



KENYA FOREST SERVICE

DOCUMENT TITLE: REGISTRY

REF NO:KFS-HR&AD-007

ISSUE NO: 2

REVISION NO: 1

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ISSUE HISTORY

ISSUE	DESCRIPTION OF CHANGE	PROCESS OWNER	EFFECTIVE DATE
1	None, no change has been done	Head Resource Officer-Registries	10 th June 2010
2	Changes Done to conform to ISO 9001:2015 standard	Head Resource Officer-Registries	31 st May 2018

REFERENCED DOCUMENTS

S/NO	REF	TITLE
1	QPM	Quality Policy Manual
2	PM	Procedure Manual
3	WI	Work Instructions
4	FCMA	Forest Conservation Management Act
5	EMPL ACT	Employment Act 2007
6	STAFF EST	Staff Establishment
7	FMR	File Movement Register
8	SP	Strategic Plan 2018-2022
9	DRS	Disposal Request Form
10		Public Archive and Documentation Service Act
11		Official Secret Act

COPY HOLDERS

1	Chief Conservator of Forests
2	QMR
3	MHRA
4	HRO

RECORDS/ANNEXES

REC. NO	REC. TITLE
	Out-going mail
	Incoming mail registry
	Folio transfer slip
	Process flow chart

PREPARED BY: Human Resource Officer-Registries

APPROVED BY: CCF



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**1. TERMS AND DEFINITION**

TERM	DEFINITION(S)
KFS	Kenya Forest Service
KPI	Key Performance Indicator
CSF	Critical Success Factor
CCF	Chief Conservator of Forests
DCCF	Deputy Chief Conservator of Forests

2. SCOPE

This procedure covers from identifying good filing schemes, opening new file, closing file, file movement, lost file, daily files and file census to filing classification.

3. PURPOSE

This procedure defines the necessary control measures to be followed in filing management.

4. OBJECTIVE

NB: Refer to the performance contract.

CSF	KPI	TARGET(S)	DUE

5. RESPONSIBILITY AND AUTHORITY**5.1. Record Assistant**

5.1.1. Provides files to the Action Officer.

5.1.2. Assigns file names and folio.

5.1.3. Does file census.

5.2. HRO/RMO

5.2.1. Provides overall guidance in file movement.

5.2.2. Ensures effective and appropriate disposal of files.

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1. RESOURCES, INPUTS AND OUTPUTS

1.1. Resources

- 1.1.1. Finances
- 1.1.2. Personnel
- 1.1.3. Infrastructure

1.2. Inputs

- 1.2.1. Files
- 1.2.2. Incoming Mails
- 1.2.3. Files Requisition Slip
- 1.2.4. Franking machine/stamps

1.3. Outputs

- 1.3.1. Folio Transfer Slip
- 1.3.2. Incoming mail register
- 1.3.3. Posted mail registry
- 1.3.4. File movement register

2. CRITERIA OF MEASUREMENT

NB: Refer to Performance progress reports

3. RISK AND OPPORTUNITIES

NB: Refer to the Service's Risk register

4. EVALUATION OF PROCESS

NB: Refer to the Monitoring and Evaluation Reports.

5. DETAILS OF PROCEDURE

5.1. File Identification

- 5.1.1. Any file in the KFS is either of pink, yellow or green/black box files in colour.

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- 5.1.2. Pink files contain secret/confidential information only.
- 5.1.3. Yellow files contain personnel information only.
- 5.1.4. Green/black box files contain either general information.
- 5.1.5. All files have a name, name of department, and code number on the front cover.
- 5.1.6. The serial/code numbering system is provided for by the registry.

Note 1: All files must be identifiable and legible.

5.2. Opening a New File

- 5.2.1. Opening of all subject files is done in liaison with the Officer in-charge of the registry.
- 5.2.2. RMO opens a new file when no existing file matches the subject of record received or when an existing volume becomes full.
- 5.2.3. RMA consults the HRO to determine the title and serial number of the new file.

5.3. Closing a File

- 5.3.1. A file is closed when:-
 - Its subject comes to an end or,
 - Attains a thickness of 3 centimetres or,
 - It is 5 to 8 years old, whichever comes first.
- 5.3.2. RMO ensures there is no letter pending action before closing a file.
- 5.3.3. The last four letters can be transferred to the next volume.
- 5.3.4. RMO writes the word “**CLOSED**” diagonally across the front cover indicating the date of closing and the number of the new file/volume.
- 5.3.5. RMO examines the closed file to remove any irrelevant document.
- 5.3.6. Closed files to be stored separately from the active files.
- 5.3.7. RMO examines closed files after five years to ascertain their usefulness.
- 5.3.8. Destroy valueless files accordingly.

5.4. File Movement Control

- 5.4.1. The registry maintains a file movement register which consists a book featuring the following:
 - File reference

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- File title
- Date issued
- To whom issued
- Date received back to the registry.

- 5.4.2. RMO ensures no unauthorized person enters the registry.
- 5.4.3. When the AO needs a subject file, the registry clerk provides it accordingly and fills in file movement register.
- 5.4.4. Collecting Secretaries and staff, from the earmarked departments, signs the subject file dispatch register.
- 5.4.5. Retrieval of current file takes a maximum of 30 minutes upon request.
- 5.4.6. Retrieval of archived file takes a maximum of 24 hours upon request.
- 5.4.7. Files collected from the registry are expected to be returned within a maximum of two (2) days to avoid any delays of other mails.
- 5.4.8. Personal files will be released to only HR Officers for action.
- 5.4.9. Request of the personal files by other internal departments will be sanctioned or authorized by the office of the MHRA before release.
- 5.4.10. Highly confidential or secret correspondence/ files are handled by the officer in-charge in liaison with the Office of the CCF and Manager HR & Administration.
- 5.4.11. When the file is returned to the registry, registry clerk fills in the date received back in the file movement register.
- 5.4.12. Each division/ department puts in place a file monitoring register (quire book) handled by the Secretary to facilitate accountability.
- 5.4.13. If a file whose return is overdue, the registry clerk prompts its return from the concerned AO.
- 5.4.14. If the file is lost, the clerk first contacts the AO to whom the file was last issued.
- 5.4.15. If still the file cannot be traced, the clerk does a systematic search to all places the file is likely to have passed through.
- 5.4.16. In the meantime RMO creates a temporary file bearing the same reference number and the index and file movement register endorsed with the words “**missing file**”.

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5.4.17. Eventually, when the original file is found all the documents in the temporary file must be transferred to the original file with folios in order.

5.5. File Census

- 5.5.1. Registry clerks visits all offices it serves on weekly basis to find out files that have been retained or misplaced by action officers.
- 5.5.2. All files found in these offices are noted and the file movement register updated or amended appropriately.
- 5.5.3. AO discouraged from locking away unclassified files. They should be left on the table.
- 5.5.4. When the AO passes a file to another officer without the knowledge of the registry, such an officer fills a registry transit slip, and sends it to the registry.

5.6. Retention, storage and Maintenance

- 5.6.1. Storage, retention and maintenance of files/records in KFS can be done by either:-
 - Manual process and/or
 - Integrated records management system.

5.7. Manual process


- 5.7.1. The files are named, serialised and stored with the registry.
- 5.7.2. All pink files are stored in fire proof cabinets with the secret registry.
- 5.7.3. Yellow and green files are stored in file jackets with the main or human resources registry as required.
- 5.7.4. Any classified file held in a department office should be stored in file jackets in shelves or cabinets.
- 5.7.5. Files are retained and maintained as per the relevant work instruction and/ or the government act.


5.8. Integrated Record Management system (IRMS)

- 5.8.1. The whole filling system is digitized.

5.9. Disposal of Files

- 5.9.1. On expiry of the retention period, the files are reviewed before disposal as per the Work Instructions Manual and the relevant disposal records are

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prepared and/or disposition done as per the government act, where applicable.

5.10. File Requisition

- 5.10.1. Officer fills requisition slips as per the authorized list.
- 5.10.2. The request is forwarded to the registry for verification if the person requesting the file is authorized. If not authorized they are informed.
- 5.10.3. Confirm if file is in registry, if not the officer is notified.
- 5.10.4. If the file is there it is retrieved from the pocket, records updated and the recipient signs the register.
- 5.10.5. The requisition is filed.

5.11. Misplaced Files

- 5.11.1. The file is traced in the last section it was marked and other relevant sections.
- 5.11.2. If not located as when needed or in cases of urgency a temporary file is opened marked “**TEMPORARY**”
- 5.11.3. Once file is found the two files are merged.
- 5.11.4. If not found the “**TEMPORARY**” become the active file.


5.12. Returning Files

NOTE 1: The maximum number of days to retain a file is 7 days

- 5.12.1. The returned file is accompanied by a register which is signed by the officer receiving.
- 5.12.2. The officer checks the folios to ensure that none is missing. In case of a missing folio the officer who last had the file is followed up for explanations.
- 5.12.3. The officer also checks if the cover page has been initiated against the folio worked on. If not initiated the file is returned to the action officer.
- 5.12.4. File movement cards and register are updated.
- 5.12.5. In case of pending mail, it is filed and minute to action officer.
- 5.12.6. If there is no pending mail the file is returned to the pocket.

5.13. Transfer of files between officers

- 5.13.1. The officer with the file fills the file transfer slip in triplicate.

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5.13.2.The file is dispatched and a copy retained by the officer, copy to officer receiving the file and copy to registry.

5.13.3.Records are updated accordingly.

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6. PROCESS FLOW CHART

6.1. File Requisition

Filling of file requisition slip	Marking Officer
Confirm if the file is in the registry	RMA
Retrieve the file, update records in file movement register, and sign out the file	RMA

6.2. Misplaced File

Trace file in the last section it was	RMA
Open Temporary file	RMA
Merge the two files once all files are found	RMA

6.3. Returning Files

Returned files accompanied by movement register	Marking office
Checks the folios to ensure that none is missing	RMA
Confirms if the cover page has been initialised	RMA
File movement Register is updated	RMA
File and minute to action officer	RMA

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