**Records management — Consultant personnel**

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**Records management — Consultant personnel**

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**Foreword**

This Kenya Standard was prepared by the Information Science Services Technical Committee under the guidance of the Standards Projects Committee, and it is in accordance with the procedures of the Kenya Bureau of Standards.

The management of an organization’s information asset can be complex and expensive at sometimes because of the need to derive value from the information. Many times an organization will seek the services of a professional at a particular stage or point in information management. This can be when a critical decision is to be made regarding systems, information asset utilization, or even adoption of technology in information management.

This standard aims to provide guidance on the factors to be taken into consideration when selecting a records management consultant. It can be used by organizations in the selection of the consultant who is able to meet their specific needs, expectations and objectives.

**Records management — Consultant personnel**

**1 Scope**

This Kenya Standard provides guidance for the selection of records management consultants and the use of their services.

It is intended to assist organizations when selecting a records management consultant. It gives guidance on the process for evaluating the competence of records management consultant and provides confidence that the organization's needs and expectations for the consultant's services will be met.

**2 References**

The following referenced document is useful in understanding records management principles. It is useful for understanding this document.

KS ISO 15489-1 Information and documentation Part 1, Concepts and principles

**3 Definitions**

For the purposes of this standard, the following definitions shall apply:

**3.1**

**Records management consultant**

person who professionally gives advice and guidance on records management to an organization

**4 Selection of a records management consultant**

**4.1 Input to the selection process**

**4.1.1 Organization's needs and expectations on records management**

Based on its records management objectives, the organization shall determine its expectations of the consultant in addressing its needs for the realization of an effective records management program

There shall be top management commitment in identification of the records management consultant

**4.1.2 Role of the consultant**

The consultant's role may include but not limited to the following:

a) working with the persons with records management responsibilities;

b) advising the organization in identifying the processes that require consumption or generation of records for accountability and legal requirements

c) advise the organization in identifying the measures for appropriate management of records as invaluable assets;

d) assisting in identifying and evaluation of the training needs to enable the organization to appreciate records management;

e) facilitate creation of awareness on records management within the organization; and

f) guide the organization in developing or reviewing records management policy.

**4.1.3 Evaluation of the competence of the consultant**

When evaluating the competence and suitability of a consultant, due consideration should be given to but not limited to the following:

1. knowledge and skills necessary to meet the organization's overall objectives for records management;
2. relevant professional qualification;
3. Work experience
4. personal attributes;
5. ethical behaviour

**4.2 Competence of the consultant**

**4.2.1 General**

When selecting a records management consultant, the organization should evaluate whether the consultant meets the competencies required. The consultant should be able to demonstrate ability to apply knowledge and skills.

**4.2.2 Knowledge and skills specific to Records management**

A records consultant is generally expected to be aware of technical regulations (including standards), legislations and policies governing the administration of records.

**4.2.2.1 Relevant standards**

The consultant should have adequate knowledge of records management standards which include but not limited to the following:

ISO 15489-1, Information and documentation -- Records management -- Part 1: Concepts and principles

ISO 30300, Information and documentation -- Management systems for records -- Fundamentals and vocabulary

ISO 30301, Information and documentation -- Management systems for records -- Requirements

ISO 30302, Information and documentation -- Management systems for records -- Guidelines for implementation

ISO 16175-1, Information and documentation -- Principles and functional requirements for records in electronic office environments -- Part 1: Overview and statement of principles

ISO 16175-2, Information and documentation -- Principles and functional requirements for records in electronic office environments -- Part 2: Guidelines and functional requirements for digital records management systems

ISO 16175-3, Information and documentation -- Principles and functional requirements for records in electronic office environments -- Part 3: Guidelines and functional requirements for records in business systems

**4.2.2.2** **Relevant policies, legislations and regulations governing records management**

Records management consultants should have general knowledge of:

a) Current legislations and regulations governing the administration and management of records within the business environment(s) of the organization including:

1. National Archives and Records legislations
2. Access to information
3. Protection of rights
4. Data protection
5. Legislations specific to the organization

and;

b) International best practice in records management as promoted by International Council on Archives (ICA)

**4.2.3 Education, knowledge, professional qualification and experience**

**4.2.3.1** Records management consultants should have appropriate education needed to acquire knowledge and skills useful in records management. Knowledge and skills in this context means scholarly ability to understand the legal, regulatory and business environment.

**4.2.3.2** The Records management consultant should have relevant work experience in aspects of records management relevant to the organization. This can include policy formulation, standardization activities, and records management system design.

**4.2.3.3** Verifiable references to past work experience and achievements should be made available to the organization.

**4.2.3.4** The consultant should have relevant experience in key aspects of records management. These may include:

a) policy formulation

b) creation, capture and classification

c) scheduling records

d) preservation

e) records management standardization activities

f) disaster management for records

g) records audits;

h) automation

i) digitization

4.2.3.5 The consultant shall demonstrate continuous professional development. The Records management consultant should maintain and improve competence through means such as additional work experience, continuing education, self-study, offering training, attending professional meetings, seminars, workshops and conferences or other relevant activities. (See annex A for further information).

4.2.3.6 The consultant should be a bonafide member of a relevant professional association

**4.2.4 Knowledge and skills specific to the organization**

The records consultant should be able to understand the following:

a) records required by law to be generated and maintained by the organization

b) records generated by the organization specifically for its business purposes but not necessarily for legal or regulatory requirements

**4.2.5 Personal attributes**

Personal attributes contribute to the successful performance of a Records management consultant. A records management consultant should be:

a) ethical: honest, fair and discreet;

b) observant: constantly and actively aware of organizational culture and values, physical surroundings and activities;

c) perceptive: aware of and able to understand the business environment of the organization

d) versatile: able to adapt to different situations

e) tenacious: creative, focused and persistent, in achieving objectives;

f) decisive: capable of reaching timely conclusions based on logical reasoning and analysis;

g) self-reliant: able to act and function independently while interacting effectively with others;

h) communicative: able to listen to, and effectively interface with, all levels of an organization, confidently and with sensitivity to its culture;

i) practical: realistic and flexible with good time management;

j) accountable: able to take responsibility for his/her own actions;

**4.3 Ethical considerations**

The organization should consider the following ethical issues when selecting a records management consultant. The consultant should

a) avoid or declare any conflict of interest that affects the work to be carried out;

b) maintain the confidentiality of information provided by or acquired from the organization; and

c) not offer services where the consultant does not have the necessary competence.

**5 Use of the records consultant's services**

Any organization may identify the need for a consultant's services. This may arise out of lack of qualified persons internally, or need to engage a person on temporary basis or need for an external assessment of the organization's performance in records management.

**5.1 Consultant's services**

The organization may use consulting services to assist in one or more of the following:

a) developing a records management strategy, policy, standard operating procedures, retention & disposal schedules,

b) carrying out records audit

c) carrying out training for staff

d) assess compliance with legislation and regulations[[1]](#footnote-1)

e) implementation of EDRMS

**5.2 Contract for consultant's services**

Organizations shall ensure that they have a contract with the consultant. The contract should clearly define the scope of work (including outputs), have realistic milestones, a non-disclosure agreement, and should be cost-effective to the organization.

**5.3 Useful considerations for consultant's services**

In the process of using records management consulting services, the organization should consider the following:

a) the consulting services should not result in unnecessary administrative expenses and documentation;

b) the success of a records management consultancy depends mainly on the commitment of top management and not on the consultant alone.

c) the organization shall assign a responsible member of staff to coordinate and monitor the consultant's activities;

e) the consultant should be empowered to interact with the organization's processes at all levels in order to be able to appreciate the organization's processes;

**Annex A**

(informative)

**Evaluation of Records management consultants**

**Education and work experience for a records management consultant**

The organization may use the education and work experience given in Table A.1 as a model when selecting Records management consultants. This table is only an example, it is not appropriate in all circumstances, and may depend on the scope of the records management activities. In some cases, additional competencies may be required (see 4.2.4).

**Table A.1 — Evaluation matrix**

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Education and work experience** | | |
| **Work experience**  **segments** | Complexity and diversity of the organization's business environment, business processes and products/services  - + | | |
| Total work experience | Fewer than 15 (fifteen) years of work experience is not desirable | 4 years for people who have graduated from a  university or 6 years for people  who have graduated with a diploma | More years is desirable |
| Work experience in RECORDS  management | Fewer than 10 (ten) years of progressively responsible experience in records management and archival functions.” | At least 10 years | More than fifteen years is desirable |
| Experience in the Records management aspect | At least one aspect of Records management | Have experience in more than one aspect | Have experience in at least three aspects, or equivalent personal development aspects |
| University education | A first level university degree in combination with 5 years of additional experience beyond the required work experience may be accepted in lieu of the advanced university degree.” |  | An advanced university degree (Master’s degree or equivalent) in archival science, information science, records management, information management or related field (such as business administration, information security, information systems) |

1. It is important to understand that records managers are not be legal experts. Their expertise is in the interface between records management and regulatory/legal issues; and as such their advice should never be misunderstood as legal advice. [↑](#footnote-ref-1)