UNIVERSITY OF PANNONIA

DOCUMENT MANAGEMENT REGULATION OF THE UNIVERSITY OF PANNONIA

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*The Document Management Regulation (hereinafter referred to as: "**Regulation**") issued by the University of Pannonia (hereinafter referred to as: "**University**") on the basis of the University's Organisational and Operational Rules (hereinafter referred to as: "**OOR**"), Part I Organisational and Operational Rules of Procedure (hereinafter referred to as: "**OORP**") approved by the Senate of the University of Pannonia and adopted by the Foundation for the University of Pannonia acting as the operator exercising founders' and ownership rights (hereinafter referred to as: "**Operator**") and on the basis of the resolution by the Board of Trustees on the rules of procedure for adopting the regulations of the University of Pannonia by the Board of Trustees are as follows:*

Chapter I

GENERAL PROVISIONS

1. §

Regulation Purpose, Applicable Statutes

(1) The purpose of this Regulation is: to regulate the day-to-day management of documents in order to ensure their organisation, preservation and retrievability as well as facilitate historical research.

(2) The requirements, the process and the prerequisites for document management are set out in the following legislation:

a) Act LXVI of 1995 on Public Records, Public Archives, and the Protection of Private Archives (hereinafter: "AA");
b) Act CXII of 2011 on the Right to Informational Self-Determination and on the Freedom of Information;
c) EMMI Decree 27/2015. (V.27.) on the Professional Requirements for the Activities of Public Archives and Private Archives Open to the Public;
d) Act LXVI of 1992 on Keeping Records on the Personal Data and Address of Citizens;
e) Act CIII of 2023 on the Digital State and Certain Rules for the Provision of Digital Services;
f) Government Decree No. 321/2024 (XI. 6.) on Certain Rules of Digital Citizenship;

g) Government Decree No. 322/2024 (XI. 6.) on the Detailed Technical Requirements for Digital Services, Digital Citizenship Services, and Support Services;
h) ITM Decree 1/2018. (VI.29.) an the Rules of Digital Archiving;
i) Act CCIV of 2011 on National Higher Education;
j) Government Decree 87/2015. (IV. 9.) on the Implementation of Certain Provisions of the Act CCIV of 2011 on National Higher Education;
k) Government Decree 335/2005. (XII. 29.) on the Common Provisions of the Document Management in Public Administrative Bodies (decree pursuant to Section 35/A (1) in Act LXVI of 1995);
l) Act LXXVII of 2013 on Adult Education;
m) Government Decree 12/2020. (II.7.) on the Implementation of the Act on Vocational Education and Training;
n) Act C of 2000 on Accounting;
o) Act LXXXI of 1997 on Social Security Retirement Provision;
p) Regulation 2016/679 of the European Parliament and of the Council on the Protection of Natural Persons with Regard to the Processing of Personal Data (GDPR);
q) 34/2016 (XI.30.) EMMI Decree on the procedure and technical requirements for the archival transfer of electronically stored documents;
r) Act CLV of 2009 on the Protection of Classified Information;
s) Government Decree No. 90/2010. (III. 26.) on the roles of the National Security Authority and the handling of classified information.

2. §
Scope of the Regulation

(1) The scope ratione materiae of this Regulation includes all documents generated by all faculties, comprehensive organisational units, organisational units, units that are not considered to be organisational units (faculty, comprehensive organisational unit, organisational unit, unit that is not considered to be organisational unit, hereinafter referred to as: "**organisational unit**") of the University in the performance of their duties. The heads of the relevant organisational units are responsible for enforcing this Regulation.

(2) The territorial scope of this Regulation extends to all organisational units and registering entities of the University.

(3) The scope ratione personae of the Regulation includes the Students' Union of the University of Pannonia, the Doctoral Students' Union of the University of Pannonia and all employees of the University.

(4) The rules governing accounting documentation shall be taken into consideration with regard to documents, supporting documents and records generated in the course of business administration of the University.

(5) Files on personnel (with the exception of student personal files) must be handled and stored separately in accordance with the Records Management Policy of the Directorate of Human Resources Management. They are to be culled for disposal or archived according to the Retention Schedule.

(6) The handling of classified documents is governed by Act CLV of 2009 on the Protection of Classified Information and Government Decree 90/2010 (III. 26.) on the Rules of Operation of the National Security Authority and the Handling of Classified Information.

Chapter II

THE PROCESSES, TASKS AND THE ORGANISATION OF DOCUMENT MANAGEMENT

(1) Document management tasks involve: creating, taking over or electronically receiving, filing and registering documents, making them available for use, keeping records of them, transmitting, sorting and categorising them with regard to culling, supplying supporting material to them, providing professional and safe custody for them, culling them or forwarding them to the archives.

3. §

The Organisation of Document Management

(1) Document management at the University is carried out by the organisational units listed in Annex 1 to this Regulation. The head of the organisational unit responsible for document management shall designate the person responsible for document management (hereinafter: "**Case Manager**") and his/her deputy from among the employees of the organisational unit. In each organizational unit, as a main rule, there can be one Case Manager with the authority of a designated key officer in the Electronic Document Management System. The head of the organisational unit shall lay down the tasks, powers and responsibilities of the Case Manager in the job description, taking into account the relevant provisions of the Information Technology Regulation of the University of Pannonia.

(2) Organisational units with local document repositories are obliged to ensure the preservation of the unity and original order of their documents, which belong together, and the safe keeping of the filed material in their possession.

(3) It is prohibited to alienate, damage or otherwise render a public record unusable or, except in the case of a properly conducted culling procedure, to destroy it. Documents of permanent value, which may not be culled, shall be deposited in the Archives of the University Library and Knowledge Centre of the University of Pannonia (hereinafter: "**Archives**") after the expiry of the retention period specified in the Retention Schedule.

(4) The organisational units responsible for document management are responsible for filing, registering and archiving documents received and generated by their organisational unit.

(5) Supervision of document management:

a) <u>The responsibilities of the Chancellor's Office include:</u>

- drafting this Regulation, submitting it to the Senate if amendments are required, enforcing uniform principles and practices in document management, regularly checking and modernising document management;
- organising professional training and further education for document management staff;
- management of mails sent and received via the University's Office Gateway called 'UNIPANNON' in the Electronic Document Management System;
- defining the procedures to be followed in the event of a pandemic or

emergency.

b) The responsibilities of the Directorate of Academic Affairs include:
- management of mails sent and received via the University's Office Gateway called ‘UNIPEOKTIG’ in the Electronic Document Management System;

c) The responsibilities of the General Director of the University Library and Knowledge Centre of the University of Pannonia include:

- giving an opinion from a professional perspective on the Regulation;
- giving an opinion from a professional perspective on the Retention Schedule, which is part of the Regulation;
- countersigning the Regulation from a professional perspective;
- supervising document culling;
- checking document management;
- coordinating the transfer of documents to the Archives.

d) The responsibilities of the heads of organisational units include:
- compliance with and enforcement of the provisions of the Regulation;
- categorising official cases and assigning them to the relevant case managers;
- end-of-year review of document management, continuous monitoring of the conditions of implementation;
- regular checks on compliance with the rules of document management;
- initiating action to remedy deficiencies in document management;
- helping to organise the repair and recovery of material in the event of an incident that causes damage to documents in the repository;
- initiating, organising and carrying out document culling or document transfer to the Archives.

e) The primary responsibilities of the Case Managers include:
- receiving and handling mail;
- registering documents and attaching to them previous documents pertaining to the same subject matter;
- selecting the repository batch number on the basis of the guidelines by the head of the organisational unit

- keeping record of cases with deadlines in the Electronic Document Management System;
- forwarding documents already assigned by the head of organisational unit to the competent administrators and keeping the relevant records;
- preparing issuance of documents, forwarding and mailing issued documents;
- making official copies and duplicates of case files;
- filing documents of cases handled and completed in the local repository;
- managing and organising the local repository;
- culling documents from the local repository or forwarding them to the Archives;
- keeping record of the official cases;
- registering case files.

(6) The University uses a unified electronic document management system. As of 1 April 2018, document management is carried out using a certified document management software (hereinafter: "**Document Management Software**"), which complies with the requirements set out in a separate legal act – the use of said Document Management Software is mandatory for all organisational units. The Chancellor's Office holds professional responsibility for the Document Management Software.

4. §

Receipt, Registration of Receipt and Distribution of External Mail and Documents

(1) Documents and items arriving by post are received, registered and distributed during official working hours: in Veszprém in the Post Room of the Chancellor's Office, in Nagykanizsa at the Secretariat of the University Centre (Nagykanizsa, Zrínyi utca 18.), in Zalaegerszeg at the Dean's Office of the Faculty of Business Administration Zalaegerszeg (Gasparich utca 18/A). In the case of the Ajka Campus (Újélet utca 8.), the administrative support staff of the Campus Director are responsible for the aforementioned tasks.

(2) The employee in charge of these tasks is responsible for emptying the rented PO box, receiving registered mail and registered mail with advice of delivery, and for the registration and distribution of received mail. He/she shall act in accordance with the applicable procedures in the event of a pandemic or emergency.

(3) The receipt of letters and other mail not sent by post (e.g. by courier, delivery service, etc.) is the responsibility of the document clerk of the Post Room (hereinafter: "Postal handler"), and the employee of the organisational unit responsible for mail handling, who must acknowledge receipt and time of receipt with their signature. If proof of receipt is requested on a copy of the document submitted, the person receiving the document must ensure that the document received and the copy used as proof are identical.

(4) The Mail Handler ensures the distribution of letters and mail to the addressees. The delivery and receipt of documents and other mail is recorded in the Document Management Software.

(5) For items where packaging is damaged or show signs of having been opened, the person receiving them must mark them '**received damaged**' or '**received opened**', legibly write their name and the time of receipt, and have the sender sign for them. If a mail received is damaged, the fact of damage to paper documents must be indicated on the receipt and the contents of the consignment must be checked promptly as a matter of course. The contents of the mail must be indicated in a separate list. Missing documents or annexes must be notified to the sending body or person.

(6) Mail requiring rapid action (marked 'immediately' or 'urgent') must be forwarded without delay to the addressee or presented to the person authorised to assign it.

(7) In case of wrong address or incorrect delivery, the mail must be forwarded to the correct addressee immediately or, if this is not possible, returned to the sender. If the sender cannot be identified, the mail shall be put in the local repository and culled after the time specified in the Retention Schedule.

(8) If legal consequence arises or may arise on the basis of the date of submission of the document, it must be ensured that the date of submission can be ascertained. In the case of a paper-based mailing, if a fact or data,

which are relevant to the case and may have legal consequences, can be established based on the envelope only, the envelope must be attached to the mailing.

(9) Mail sent by electronic means is subject to the same rules as paper mail, with the exception of mail sent to the Neptun system. The date of transmission to the Document Management Software is automatically recorded and stored by the Document Management Software. For mail received electronically, but not through the Document Management Software, the recipient shall promptly send the sender (if requested and provided with an electronic reply-to address) an electronic return receipt of the mail, including the unique identifier of the receipt. In the case of mail received via the Document Management Software, the return receipt is sent out in accordance with the provisions of the Government Decree on the Detailed Rules of Electronic Administration.

(10) Mail not covered by paragraph (6) of Article 7 shall be registered upon their receipt, regardless of the means of receipt (postal, electronic, etc.). The registration must be made in the central database of the Document Management Software.

(11) Letters and other mail received by post are entered in the Document Management Software by the staff of the Post Room in Veszprém, whereby they record the data indicated in Article 4 (16). In Nagykanizsa the registration of mail in the Document Management Software is done by the employee of the Secretariat of the University Centre, whereby they record the data indicated in Article 4 (16). In Zalaegerszeg the registration of mail in the Document Management Software is done by the employee of the Dean’s Office of the Faculty of Business Administration Zalaegerszeg, whereby they record the data indicated in Article 4 (16). The registration of mail in the Document Management Software is done by the administrative support staff of the Campus Director of Ajka Campus, whereby they record the data indicated in Article 4 (16).

(12) The mails and packages arriving via delivery service shall be received by the designated employee of the recipient organisational unit who is authorized for registration in the Document Management Software, in accordance with Article 4 (16).

(13) As a rule, mails received through e-mail (including those received through personal e-mail addresses as well) must be registered as received and filed in the Outlook plug-in of the Document Management Software. Mails must be registered as received and filed even if the recipient does not have authority for registration. After processing, e-mails, including attachments, should be filed and stored in the repository, either printed out or electronically. It is possible to print a Document Annotation Sheet from the Document Management Software, which can replace the complete e-mail in justified cases (e.g. large number of attachments) when archiving paper documents.

(14) Mail arriving at the University's Office Gateway is forwarded by the organisational unit managing the Office Gateway to the organisational unit responsible for the case management through the Document Management Software. The competent staff member of the organisational unit responsible for the case management shall handle mail forwarded in this way in the same way as mail received by other means, and in accordance with the provisions of this Regulation. The guides for using the Office Gateway are available among the documents of the Chancellor's Office on the website of the University of Pannonia.

(15) Public data of the University's Office Gateway published on the University's website are:

Short name	KRID identification	Type of subject matter	Organisational unit operating the office gateway
UNIPANNON	452217787	general matters	Chancellor’s Office
UNIPEOKTIG	762503715	educational matters	Directorate of Academic Affairs

(16) When a mail is received the following data must be registered as a minimum:

a) ID number of the receipt (the Document Management Software gives the ID number automatically)
b) the date of receipt,
c) the sender, and
d) if registered mail the registration number of the mail provided by the post.

The ID number of the receipt and the date of receipt must be indicated as an integral part of the mail.

(17) The structure of the ID number of the receipt generated by the Document Management Software is as follows:

BE-nnnnnn-year

nnnnnn: a six-digit sequential number starting with 1 each year

year: the number of the relevant year expressed in four digits

5. §

Opening the Mail

(1) The head or representative of the organisational unit concerned shall open the mail.

(2) In the event of a prolonged absence, the head must appoint a substitute for himself/herself to open official mail on an ad hoc or permanent basis.

(3) The Head of the Chancellor's Office, or a person authorised by him/her, may open and forward to the appropriate organisational unit or person any mail where the address does not identify the organisational unit which it is intended to be sent. In this case, the envelope must be resealed and furnished with the note 'Missing/inaccurate addressing', the name of the opening organisational unit must be indicated on it, and the envelope must be signed and dated.

(4) Mail must be forwarded to the addressee without opening and this forwarding must be documented,
   a) if the mail carries the indication 'solely to the hands of'
   b) where this has been ordered by the person authorised to do so,
   c) if the mail is addressed to a person and identifiably private.

(5) In the absence of the addressee, a mail is addressed to a person may be opened by the Head or his/her substitute if it is established that the mail contains an official document.

(6) When opening the mail, it is necessary to check that the documents and the annexes indicated in the documents have been received in full and are legible. If a deficiency is found, it must be recorded on the document and documented in the Document Management Software. Concurrently, the sender of the document must be requested to supply any missing or illegible annexes, so that the absence of annexes does not hinder the processing of the document.

(7) The envelope must be attached to the document if the fact of receipt gives rise to a legal consequence (tender, deadline for payment, appeal, exemption, etc.), or if the sender's address can only be determined from the envelope, or if the mail was incomplete.

(8) In the case of an incorrect opening, or if it is discovered after opening that an unauthorised opening has occurred, the mail must be resealed, the fact of opening must be marked ‘incorrectly opened’ on the envelope, the date must be indicated, and the envelope must be signed and forwarded to the addressee both physically and also in the Document Management Software.

(9) For the receipt and transmission of documents received by fax, the preceding paragraphs shall apply mutatis mutandis.

(10) A document received electronically must be checked whether it can be opened (readability) before registering it.

(11) If the document or parts of it cannot be opened by the means available, the sender must be informed of this and of the rules for receiving the document by electronic means used by the University.

6. §

Assigning Mail and Documents

(1) Managers shall, where appropriate, assign mail opened by or presented to them to an organisational unit (group) or manager, administrator responsible for the matter. The manager may delegate the right to assigning documents to another person, on a permanent or temporary basis.

(2) When assigning the document, the name and position of the person designated to handle the document, the date of assigning and any instructions with regard to the handling of the document (e.g. deadline, who to consult, who should receive copies for information, etc.) must be noted on the mail.

(3) Once assigned, the mail, including the envelope and accompanying documents, must be handed over to the case manager at the organisational unit, who will ensure that the handling instructions prescribed by the assigner are completed. The handling instructions indicated by the assigner on the document must be documented in the Document Management Software without any changes.

(4) When assigning a document, the manager should consider which organisational unit or person is responsible for the matter. When designating the person(s) it should also be taken into account who was the person designated to take action in the related previous case.

(5) If the text is in a foreign language, the subject matter of the document must be indicated in Hungarian to the person registering the document.

7. §

Registration of the Documents, Filing

(1) Documents shall be registered by entering them into the registry and filing them or as required by the accounting rules and other legal or institutional internal provisions.

(2) Paper-based and electronic documents received by, generated, or forwarded from the University, shall be registered and filed, except as provided for in sections (3) to (6) of this Article. Outgoing documents sent at own-initiative, documents for internal use within organisational units (work plans, minutes of meetings, committee minutes, etc.) and documents requiring interdepartmental action (e.g.: employment documents, purchase order requests etc.) shall all be registered and filed. Documents received or sent by electronic means in the course of official business must also be registered and filed. All documents that require administration must be registered.

(3) The following do not have to be registered in the documents registry, but they must be recorded in a separate database in cases provided for by specific legislation or university regulations:

a) books and teaching materials;
b) advertising material, information leaflets;
c) invitations;
d) documents subject to strict and non-strict accountability;
e) documents received for the sake of presentation or approval and expected to be returned to sender;
f) financial documents, invoices (in accordance with specific rules);
g) employment records;
h) material handling records;
i) gazettes, press products;
j) returned advice of delivery notes and electronic return receipts.

(4) The following does not need to be registered but must be put in the local repository:

a) student records and indexes, document transfer lists;
b) documents relating to enrolment and registration;
c) minutes and examination records pertaining to students;
d) the written assessment documents used as a basis for student assessment (classroom tests, lab notebooks, assignments, etc.);
e) the curricula and the topics of taught subjects.

(5) The following does not need to be registered in the documents registry but their receipt must be registered:

the so-called 'pending documents' (documents sent by an organisational unit for opinions, information and suggestions).

(6) There is no need for registration in the documents registry nor registration of receipt in the case of the following:

mails which can be clearly identified as advertising, marketing and propaganda material, postcards, catalogues.

(7) A document received by the institution may only be registered by a single organisational unit which is responsible to handle the subject matter of the case. An outgoing document may only be registered in the documents registry by the organisational unit, which is responsible for the case in question. The outgoing reply letter will receive the sub-number next in line.

'Pending documents' sent by another organisational unit for opinions, proposals, etc. may not be registered in the documents registry.

(8) As a general rule, the receipt of official correspondence and items that qualify as deeds must be registered and the documents themselves must be filed in the Outlook plug-in of the Document Management Software.

(9) Documents should be filed preferably on the day of receipt, but no later than the following working day. Documents with a short deadline, priority mail and documents marked 'urgent' containing measures taken ex officio shall be filed and forwarded promptly as a matter of priority. Documents received via the network shall be deemed to have been received on the day of receipt if they are received in the electronic mailbox of the organisational unit by the end of working hours on the working day in question. No document may be filed on the basis of oral communication of the subject matter of the document.

(10) Filing shall be done after the document has been assigned or duly issued. In the case of an incoming document, the original document shall remain in the local repository of the organisational unit responsible for handling the matter. For outgoing documents, the administrator must either produce at least two originals, one of which must remain in the local repository of the organisational unit responsible for handling the matter or it is possible to store one original in the Document Management Software.

(11) By filing and documenting the flow of documents, it is necessary to ensure that the administrative process and the flow of documents within the organisation can be accurately traced and controlled, and the actual whereabouts of documents can be established at any time.

8. §

The Process of Registration and Filing, Use of the Registration Number

(1) The structure of the registration number within master number - sub-number system that can be used at the University is as follows:

Identifier of the registering entity-master-number[-sub-number]/year.
Example: KK-24-2/2016.

(2) The identifiers of the registering entities are set out in Annex 1 to this Regulation. The identifier of the registering entity, the master-number, the sub-number and year as a whole shall constitute one single identifier. The master number and sub-number are continuous serial numbers, automatically generated by the Document Management Software. The year code is the four digits of the current year.

(3) The filing of a document consists of assigning a registration number to the document and entering the relevant details of the case in the Document Management Software.

(4) The electronic document registers used by the University's registration entities are automatically opened by the Document Management Software at the beginning of each calendar year. The electronic document registers of each year assign registrations in consecutive order, starting with one and increasing consecutively until the end of the year. On the last working day of the year, the electronic document registers of that year are automatically closed by the Document Management Software. As part of the closing of the electronic document registers, the Application Officer responsible for the Electronic Document Management System prepares a time-stamped version of the electronic receipt registers and the electronic document registers, saved on an electronic medium, reflecting the filing status on the last working day of the year, which is sent to the registering entities by 31 January following the end of the year. Each registering entity must print out/archive on an optical data storage device the document register containing the documents for the closed year and file it in the local repository.

(5) The document register contains the following information on the documents recorded in the document register, if available:

a) registration number;
b) date of registration;
c) date, method of receipt, receipt registrations number;
d) type of medium (paper, electronic), kind of medium;
e) details of dispatching;
f) details of the sender (name, address);
g) details of the addressee (name, address);
h) reference number (outside reference);
i) number and type of annexes (paper, electronic);

j) the name of the organisational unit and administrator handling the case;
k) the subject matter of the document;
l) registration numbers of related previous and following documents;
m) handling instructions;
n) the deadline and the method of the handling of the case and the date of completion;
o) filing unit number;
p) the date of placement in the repository;
q) electronic files.

(6) Before registering the document, it must be established whether there is a history.
a) If the mail has a history in the current year, the mail should be registered under the next sub-number in the history.
b) If the mail has a history from previous year(s), the history must be linked to the document of the current year and the registration number(s) of the previous document(s) must be recorded in the document register of the current year, while the registration number of the document of the current year must be recorded at the previous document(s) in the document register(s) of the relevant year(s), and document replacement sheet(s) (Annex 6) must be inserted in the original place(s) of the previous document(s). The linking of historical documents must be indicated in writing on documents in print form.

(7) The registration number consists of an alphabetical indication of the registering organisational unit, a master number, if necessary a sub-number, and the year. The first document received/drawn up in the case is given a master number. Any new document in the same case must be registered under successive sub-numbers of the same master number.

(8) When placing registered documents in the repository, the case manager must use a 'Document annotation sheet' if the document has an annex or if several documents (sub-numbers) are generated in the course of the case management. The Document Annotation Sheet shall contain the following:
a) registration number;
b) date of registration;
c) reference number;
d) subject matter of the case (as entered in the register)

e) number of previous document(s) if any;
f) number of annexes;
g) name of organisational unit responsible for the matter;
h) deadline for the matter;
i) filing unit number;
j) date of transfer to the repository.

(9) In the case of a document deposited in the repository without a Document Annotation Sheet, the relevant data from among the data specified in paragraph 8 shall be recorded on the document.

(10) For the registration of material stored on electronic media – with the exception of cases managed in the Neptun Education System – the registration in the document registry and the use of the Document Annotation Sheet is mandatory, on which the medium used (e.g. optical disk, thumb drive) must be indicated.

(11) In case of student matters, documents and forms generated in the Neptun Education System, especially electronically certified documents such as pre-degree certificate, copy of pre-degree certificate, copy of diploma, copy of diploma supplement, credit certification, and micro-certificates, must be registered. The completed and filed documents must be stored in the Neptun Education System.

(12) On the basis of Article 3 (6), the Document Management Software may function as the document transfer list where the fact of transfer is attested by a handwritten signature on the document.

(13) The server of the Document Management Software is backed up by the Directorate of Information Technology at least weekly, based on the Directorate of Information Technology's internal backup and recovery policy.

(14) In the case of electronic records created from the Document Management Software, the provisions of the Data Protection Act on data management must be taken into account.

9. §

Handling the Matters of the Documents

(1) The person authorised to assign the handling of the matter shall write the name of the designated administrator, the date of designation and the instructions for handling the case on the document/Document Annotation Sheet.

(2) The case manager shall hand over the document to the administrator and place it to the repository in the manner documented in the Document Management Software.

(3) Before handling the matter, if necessary, the administrator must take interim measures (requesting an opinion, clarifying the facts, requesting data, etc.). In cases where the handling of a document involves several administrators, the administrators must consult each other and coordinate their actions. Interim measures may be taken by telephone or by electronic means, in which case the essence of the opinion received, the name of the person giving the opinion, his/her organisational unit/place of work and the date of the opinion must be recorded on the document/Document Annotation Sheet.

(4) In the case of interim measures, the document remains with the administrator as pending cases until a reply or report is received.

(5) Handling can be completed by:
   a) a response letter ready to be signed;
   b) an internal measure;
   c) without handling the case on the merits and by taking notice of the matter and placing the document in the repository.

(6) In the response letter, reference must always be made to the registration number of the document received and the date of issue of the document, or, if this is not possible, to the subject line of the document.

(7) Response letters must be drawn up by the administrator in the final form and content, in the required number of copies, on a paper or electronically with header of the office of the relevant manager and in accordance with the Visual Identity Guide, and signed on the paper copy placed in the repository.

The paper copy of the response letter in the repository must indicate who has been notified of the document, the date of issue and the mailing method of the document (registered, priority, registered letter with advice of delivery).

(8) Issuing can take place:

a) by signing the original copies of the document;

b) by documents that are issued in the name of the issuer but not signed by the issues (in this case, 's.k.' [signed] shall be indicated on the document and the document must be endorsed with the clause 'The document is a certified copy' and signed by the administrator);

c) by transmission through the network in case the document carries an electronic signature.

(9) Rules for issuing documents:

a) The right to issue a document includes the right to decide on the merits, the right to issue (sign) the measure and the right to place the document in the repository.

b) The Rector and the Chancellor have the right to issue documents and may delegate this power to the heads of the organisational units in accordance with the provisions of the OOR.

c) The person empowered to issue a document shall indicate on the registered document, on the Document Annotation Sheet or on the draft measure whether he or she signs the document his-/herself.

d) Without the consent of the issuer no changes may be made to a document that has already been issued.

e) If an electronic signature and time stamp are used, the document shall be register before it is issued.

f) In all cases, the outgoing document must contain the following:

- name, position and address of the recipient(s);
- registration number;
- in case of a response the reference number;
- name of the administrator;
- a precise indication of the subject;
- date;
- number of annexes;
- persons receiving a copy.

g) In all cases, one original copy of the document in the repository shall be kept by the organisational unit responsible for the handling of the case in accordance with Article 7(10).

h) The document is a certified copy if one of the following conditions is met:
   - it carries an electronic signature;
   - it is signed by the competent issuer and bears the official stamp of the organisational unit;
   - next to the name of the issuer, the note 'signed' is indicated, the person authorised to certify the document signs the document and the official stamp of his/her organisational unit is affixed next to his/her signature.

i) Records must be kept of the stamps and valid signature stamps used for issuing documents. The keeping of the register is governed by the Chancellor's Instruction on the use of stamps.

j) The Directorate of Information Technology keeps a register of electronic signatures that can be used for official purposes.

10. §

Forwarding of Documents

(1) The case manager must check that the required annexes are attached to the signed or authenticated and stamped documents and must carry out any instructions given by the issuer. Once these tasks have been completed, he/she shall ensure that the document is forwarded.

(2) The Postal Handler sorts and prepares mail for mailing by post. Forwarding by post is carried out in an electronic outgoing mail register certified by the post office.

(3) The handover of outgoing mail sent by courier must be documented by the sending organisational unit.

(4) Mail returned because of misaddressing, refusal to receive the sent mail, etc. must be forwarded to the sender by the Postal handler.

(5) The returned e-Advice of Delivery Note will be electronically forwarded by the Postal Handler to the sending organisational unit, where it must be attached to the document without registering it in the document registry.

(6) Documents may be carried on the University premises and between buildings only in a locked bag provided for this purpose.

(7) The document to be sent through the Office Gateway:

a) for general matters, organisational units should file the document and send it to the Chancellor’s Office through the Document Management Sofware, the document will be forwarded by the Chancellor's Office from the University's ‘UNIPANNON’ gateway to the office gateway of the recipient organisation.
b) for educational matters, the prepared and signed document(s) to be sent shall be forwarded to the email address unipeoktig@uni-pannon.hu by the organisational units. Subsequently, the designated staff member of the Directorate of Academic Affairs will carry out the registration and, at the same time, send it from the official gateway named "UNIPEOKTIG" to the official gateway of the recipient organisation.
c) the guides for using the Office Gateway are available among the documents of the Chancellor's Office on the website of the University of Pannonia.

11. §

Placement and Processing in the Repository

(1) Only documents that have been duly completed, have already been forwarded or have been ordered to be placed in the repository without handling the case on the merits may be placed in the repository. Documents where the processing was completed must be placed in the repository within three working days of the date of posting or delivery.

(2) Before placing the document in the repository, the Case Manager must ensure that the instructions of the case manager have been carried out, that any missing documents are supplied and check that no non-relevant documents have erroneously been included.

(3) The filing of the document in the repository must be entered in the appropriate section of the electronic document register, indicating the filing unit number in accordance with the Retention Schedule and the date (using the Close and file in repository function of the Document Management Software).

(4) Documents shall be placed in the repository in the order of the year, grouped according to the filing unit number in the Retention Schedule, and in ascending order of the master numbers and/or sub-numbers.

(5) Documents deposited in the repository may be released by the repository manager to any person not belonging to the organisational unit only against a Document Handover Certificate (Annex 7). The certificate must be kept at the place where the document was kept.

(6) The case management units keep the documents in their own local repositories. Documents shall be culled at the end of the retention period laid down in the Retention Schedule. The case management unit may transfer the documents that cannot be culled together with the document registers, from the repository to the Archives after the time specified in the Retention Schedule, starting from the calendar year of the date on the document, has elapsed. Only complete yearly volumes of documents may be transferred.

(7) The Directorate of Human Resources Management keeps all documents and personnel files (employment contracts, prospectuses, job descriptions, study contracts, decisions, amendments to employment contracts, declarations, copies of diplomas) generated in the course of its activities in its internal repository. The operation of the internal repository is governed by the internal procedures established by the Directorate of Human Resources Management.

(8) The documents of an organisational unit which ceases to exist without successor in title shall be filed separately in accordance with the filing rules. Prior to the dissolution, the head of the organisational unit that shall cease to exist shall arrange for the placement of the documents in the repository, in consultation with the head of the organisational unit responsible for controlling the management of the documents. The order of custody and storage of these documents is the same as that of the ones in the repository.

(9) If an organisational unit within the University ceases to exist due to reorganisation or for any other reason, and the successor organisational unit can be clearly identified, the successor organisational unit shall take over the material in the repository and manage it in accordance with the regulations on document management and archiving.

a) In the event of the dissolution of an organisational unit, all mail and documents relating to pending cases that have not been handled and closed must be handed over to the organisational unit taking over the responsibilities of the dissolved organisational unit (hereinafter: “receiving organisational unit”), accompanied by a handover report.
b) If the organisational unit being dissolved had a separate document register, the final transfer must be indicated in its document register, the document register must be closed and the transferred pending cases must be registered in the document register of the receiving organisational unit, indicating the previous registration number of the document and the document register identifier.
c) If the dissolved and the receiving organisational units used a common document register, the receiving organisational unit must be recorded in the document register as the responsible entity.
d) If the responsibilities of the organisation unit that is being dissolved are divided between several organisational units, the repository must be divided according to the responsibilities to which the documents belong. Requests for individual documents must be met by making a copy or by lending. The documents of pending and closed cases shall be treated as provided for in point (a).
e) Access to the electronic document register of the dissolving organisational unit shall be granted to the receiving organisational unit.
f) If the functions of the dissolved organisational unit are not taken over by another organisational unit, its repository shall be moved to the Archives.
g) The head of the successor organisational unit shall inform the Director General of the University Library and Knowledge Centre of the University of Pannonia of the location of the records of the dissolved organisational unit within 15 days.

(10) The subsequent reading and use of data and data files stored on electronic data carriers must be ensured at all times, even in the event of any modification or replacement of the devices used for the storage, until the expiry of the retention period or until the data are transferred to the Archives. If this cannot be ensured, a durable certified paper copy of the electronic documents shall be made and a formal declaration shall be made that the copies made are identical in content and form to the data recorded on the electronic medium.

12. §

Culling of Documents

(1) The organisational unit must cull that part of its own repository which is not of permanent value and which is no longer required for administrative purposes.

(2) Documents deposited in the repository that have been received but not registered must be reviewed annually, and those documents that are no longer needed for administrative purposes can be destroyed.

(3) Any registered document deposited in the repository may only be destroyed as part of document culling.

(4) The repository must be reviewed for culling at least once a year, selecting those filing units which may be culled and where the retention period has expired according to the Retention Schedule. Once a year, a culling report of the destruction of filed documents shall be forwarded to the Archives for authorisation of destruction, after approval by the manager of document management.

(5) The version of this Regulation and the Retention Schedule in force in the year in which the document was created shall apply to culling of documents. The Retention Schedules of previous years are available on the website of the University of Pannonia among the documents of the Chancellor's Office. If the Retention Schedule for a given year is not available, the next amendment closest to the year in which the document was created shall be taken into consideration. In calculating the expiry of the retention period, the retention period indicated in the Retention Schedule in force in the year of placing the document in the repository shall be calculated from the first day of the year following the closure of the case in the document. Exceptions to this rule are documents containing personal data used in the pension calculation, which must be culled on the first working day after the 5th year following the date on which the pension entitlement was acquired.

(6) In justified cases, the head of the organisational unit may order that certain documents be kept for a longer period than the retention period laid down in the Retention Schedule: this fact must be indicated on the document.

(7) The head of the organisational unit is responsible for initiating, organising and carrying out the culling of documents.

(8) 30 days before the start of the culling, the head of the organisational unit initiating the culling must notify the General Director of the University Library and Knowledge Centre of the University of Pannonia. Culling of documents may only take place with the approval of the General Director of the Library and Knowledge Centre of the University of Pannonia.

(9) The tasks of culling should be entrusted to persons who are aware of the administrative, scientific and historical importance of the documents. The persons responsible for the culling shall be appointed by the head of the organisational unit carrying out the disposal.

(10) The fact of culling must be recorded in the document register.

(10) Documents in the database of the Document Management Software are culled without physical deletion, with a mark indicating the fact of culling. Once culled, the electronic documents must be destroyed, i.e. irretrievably deleted from the database.

(11) A culling report must be drawn up in two copies at the time of the culling of the documents. (Annex 8)

(12) Two copies of the culling report shall be sent to the Archives, the Archives shall note its statement on it and return one copy to the organisational unit; this copy shall be placed in the repository.

(13) Documents marked for culling may only be destroyed after the consent of the Archives has been recorded on the culling report.

(14) If a document is removed from among the documents to be culled by the Archives for further preservation, it must be kept in the repository until it is transferred to the Archives.

13. §

Transfer of Document to the Archives

(1) A document of value from the scientific, legal, economic or other perspective is considered material to be archived. After the expiry of the retention period, the document manager shall transfer to the Archives the documents of permanent value held in the repository.

(2) Documents which cannot be culled and which are to be handed over to the Archives may be handed over to the Archives together with the printed document register at the earliest after the fifteenth year from the calendar year of their date. There is a possibility for an even longer retention period before the transfer to the Archives. Only complete and closed yearly volumes of documents may be transferred from the repository to the Archives. In duly justified cases, the time limit for handing over files which are still regularly needed for administrative purposes may be extended once, up to a maximum of five years. A detailed list of the documents withheld shall be drawn up, 1 copy of which shall be given to the Archives.

(3) A handover report must be drawn up with regard to the transfer. (Annex 9)

(4) The handover takes place in the official premises of the Archives.

(5) A list of missing documents must be drawn up and attached to the transfer note.

14. §

Retention Schedule

(1) For both paper-based and electronic documents received by, generated, or forwarded from the University, the filing of the documents is carried out on the basis of the Retention Schedule constituting Annex 3 to this Regulation.

(2) The Retention Schedule is a list, on the basis of which the documents are organised and sorted in terms of culling, which classifies the materials in the repository into filing units (subject groups, document types) in a system that is adapted to the University's tasks and competences and its organisation,

and determines the retention period of documents, belonging to the filing units that can be culled, for administrative purposes, as well as the deadline for the transfer of documents that cannot be culled to the Archives in accordance with the 'AA'. Documents handled in a single filing unit in the repository must also belong to the same category in terms of culling.

(3) The entry and deletion of filing unit numbers in the Retention Schedule can only be made as of 1 January of a given year; consequently the Retention Schedule cannot be modified during the year. The Archives should also be informed of any changes to the Retention Schedule, ensuring the use of one unified filing unit number in the whole institution.

(4) The Retention Schedule must be reviewed annually and amended in the event of changes in the organisational structure, in the scope of duties or in the retention period, and a copy of the Retention Schedule must be attached to the document register of the organisational unit each year.

(5) The change in the law reducing the retention period adhered to in the Retention Schedule shall apply from the date of entry into force of the law.

Chapter III

FINAL PROVISIONS

(1) This Regulation was adopted by Senate Resolution No. 200/2025. (XI. 27.) at the Senate's meeting on the 27 November 2025. The Regulation shall enter into force on 1 January 2026. Simultaneously, the Regulation adopted by Resolution No. 43/2025. (II.27.) of the Senate on 27 February 2025 shall cease to have effect.

Chapter IV

EXPLANATORY PROVISIONS

15. §

Definitions

(1) For the purposes of this Regulation the following definitions shall apply:

a) **Archiving:** the long-term secure storage of electronic document registers and their data files and electronic documents on electronic storage media.

b) **Transfer:** a documented delegation of the right to handle a document, case file or set of documents.

c) **Temporary repository:** repository set up by an agency fulfilling public duties in connection with its registering entity, in which current records are temporarily stored for a specified period before being culled or transferred to the central repository.

d) **Incoming mail:** all mail arriving at the organisational unit from outside or from within the institution.

e) **Internally created document:** any document generated by an organisational unit of the University.

f) **Opening:** reviewing the contents of an incoming mails. Security check, opening of and making the incoming mails available for reading.

g) **Attachment:** temporary joining of documents, case files.

h) **Documents received electronically:** documents received by the electronic mail system or through the Office Gateway.

i) **Electronic return receipt:** an electronic document, other than a publication, which informs the sender of the receipt of a document received electronically and of the serial number of the receipt.

j) **Electronic archiving:** the preservation of electronic document registers and their data files and electronic documents on electronic storage media to ensure their long-term security and legibility.

k) **Electronic register of received mails:** in the case of electronic document management, the set of services of the document management software that ensures the recording, storage and retrieval of the receipt information.

l) **Electronic document register:** in the case of electronic document management, the set of services of the document management software that ensures the recording, permanent storage and retrieval of the information in received mails.

m) **Electronic repository:** the part of the document management software used by an agency fulfilling public duties, including the provision of such software by means of an electronic document storage service, or a database in which electronically stored current records are electronically retained for a specified period of time.

n) **Document Annotation Sheet:** a document management tool that carries information about the case, the assigning, the issuing, the administration

and the management of the case file, and that is an integral part of the document or is managed together with it in a common database.

o) **Dispatching:** preparing for the forwarding of a document, determining the recipient, the medium, the type of document, the method and time of delivery.

p) **Registration of receipt:** identifying and recording the details of the mails received.

q) **Computer storage medium:** a device that can be used for client-office or office-client communication, as defined in specific legislation, and that can be used to store electronic data.

r) **Office Gateway:** a temporary storage space and a secure delivery service address, provided by a legally designated service provider to the University for official electronic communication, which ensures access to electronic forms and electronic documents sent through the dedicated application or web interface and the dispatch of electronic mail.

s) **Document registration:** the registration of the document and the assignment of a registration number in the document register, on the document itself and on the document annotation sheet after the document has been received or generated.

t) **Document register:** a certified document management tool which cannot be culled and in which documents are registered.

u) **Registration number**: a unique identifier assigned to the document that needs to be registered by the organisational unit registering the document.

v) **Document management software:** an IT application supporting the basic document management process to facilitate the basic function of the document management operations or part of them, as defined in the Decree No. 335/2005 (XII. 29.), regardless of whether it also performs other functions ancillary to the aforementioned.

w) **Document:** recorded information or a set of data, whether on paper, microfilm, magnetic, electronic or any other medium, generated or received in the course of the operation of an agency or the activities of a person, to be treated as a single unit; its content may be text, data, graphics, sound, images, moving images or any other form of information or a combination of these;

x) **Document lending:** the release of the paper document from the temporary or central repository with the obligation of returning it, and access to the electronically stored document if an electronic repository is used.

y) **Document clerk:** employee of the Post Room. He/she is responsible for the receiving and distributing documents, returned advice of delivery notes and other items sent to the University by post or by courier, as well as the

forwarding of mails between the University's organisational unit and the forwarding of outgoing mail.

z) **Document management:** an activity which involves creating, registering, sorting documents and categorising them with regard to culling, supplying supporting material to them, providing professional and safe custody for them, making them available for use, culling them or forwarding them to the archives.

aa) **Repository:** physical or electronic storage space established and operated for the purpose of ensuring the professional and safe custody and management of current records.

bb) **Placement in the repository:** the documented placement of a document with filing unit number in a temporary or central repository – archiving in the case of an electronic repository – or the transfer of the right to manage the document to the repository for a period following the completion of the case.

cc) **Current records:** a set of documents belonging together which remain with the institution for their intended purpose and which, because of their content, require temporary or permanent preservation.

dd) **Retention Schedule:** is a list, on the basis of which the public records are organised and sorted in terms of culling, which classifies the materials in the repository into filing units (subject groups, and if appropriate document types) in a system that is adapted to the the scope of duties and competence, as well as the organization of the agency fulfilling public duties, and determines the retention period of documents, belonging to the filing units that can be culled, for administrative purposes, as well as the deadline for the transfer of documents that cannot be culled to the Archives.

ee) **Filing unit:** the smallest unit with an individual retention period, according to the scope and organisation of the body or person creating the document, which may contain the documents of several individual cases.

ff) **Filing unit number:** code specifying the classification of the document according to subject group and document type defined in the Repository Schedule, and its classification according to the possibility of culling.

gg) **Delivery:** the delivery of the mail to the addressee by a delivery organisation, person or means of data transmission.

hh) **Opening document**: the first document in a case, the document that starts the case.

ii) **Handling instructions:** management or administrative instructions to the case manager concerning the handling of a case file or individual document.

jj) **Official copy:** a document which, after approval, has been written in a fair copy, signed and stamped by the person authorised to issue the document (the issuer).

kk) **Issuance:** means the approval of the final document, which has already been revised, by the person entitled to issue the document.

ll) **Issuing right:** includes the right to decide on the merits, to impose (sign) the measure and to place the document in the repository.

mm) **Outgoing mail:** all documents generated within the organisational unit and sent to recipients inside or outside the University.

nn) **Public record:** irrespective of the time of origin and the place of custody, any document which belongs or belonged to the current records of an agency fulfilling public duties.

oo) **Mail**: a document or object, other than advertising material, press products or electronic spam, which contains an address for delivery on its cover or on the list attached to it.

pp) **Sender:** the person or entity identifiable as the originator of the mail from the contents of the mail or from the identifying information associated with the mailing.

qq) **Archives:** an institution established for the purpose of permanent retention and archival processing of documents with permanent value, and to ensure their use in accordance with their designated purpose.

rr) **Transfer to the archives:** the transfer of complete and closed yearly volumes of documents of permanent value from the repository to the Archives after the repository retention period has elapsed.

ss) **Archived material:** part of the current records and of the archived documents of natural persons, which is held in archives and represent permanent value, as well as the protected private records with permanent value.

tt) **Documents of permanent value:** a document containing data important from economic, social, political, legal, national defence, national security, scientific, cultural, technological or other aspect, which are indispensable for the research of historical past, for becoming acquainted with and understanding it, and/or for the continuous fulfilment of public duties and the realisation of citizens' rights, which are not – or only partially – available from other sources.

uu) **Duplicate**: a certified copy of the original document, authenticated in the same way as the first issue.

vv) **Copy:** a simple (not certified) or certified (with a certification clause) copy of the original document that fully records the data content of the original document.

ww) **Destruction:** the permanent rendering inaccessible or deletion of an out-of-date document in such a way that the information contained therein cannot be retrieved.

xx) **Enclosed document:** is not an integral part of the document, it can be separated from it as an accompanying document.

yy) **Annex:** an integral part of a document, a supplementary part which is inseparable from it.

zz) **Logging:** recording a defined set of events in the document management software and in the data files managed by it.

aaa) **Culling:** removing documents with elapsed retention periods from the current records and preparing them for destruction.

bbb) **Serial number**: the number by which a case file is registered.

ccc) **Linking:** the permanent linking of parts of the case file (previous and subsequent documents) belonging to the same case file, which must be indicated both in the register and on the documents.

ddd) **Assigning**: the designation of the organisational unit and/or administrator responsible for the case, the deadline for handling the case and the task to be performed.

eee) **Forwarding:** the transmission of a document from one point of administration to another in the course of the administration of a case, which may also be achieved by providing access to the document in the case of an electronically stored document.

fff) **Administrator:** the person designated to handle the case, the person who prepares the case for decision.

ggg) **Case file:** all documents belonging to a case.

hhh) **Case manager:** a person performing document management tasks.

iii) **Case matters:** a set of matters defined by the agency for administrative or record-keeping purposes.

jjj) **Administration:** the basis of the continuous operation of the body, the sequence or set of successive sub-activities (tasks) of the administration, which includes the formal and technical conditions of the administration, the performance of services.

kkk) **Mixed case file:** a case file containing both documents on paper and electronic documents.

(2) Annexes to this Regulation:

1. Annex 1: Organisational Units entitled to register documents and their acronyms
2. Annex 2: Document Annotation Sheet

3. Annex 3: Unified Retention Schedule of the University of Pannonia
4. Annex 4: Flow Chart for Case File Management
5. Annex 5: Flow Chart for Registering Documents
6. Annex 6: Document Replacement Sheet
7. Annex 7: Document Handover Certificate
8. Annex 8: Culling Report
9. Annex 9: Report on Handover to the Archives

Veszprém, 27 November 2025

Dr. János Abonyi
Rector

Zsolt Csillag
Chancellor

The University Library and Knowledge Centre of the University of Pannonia endorses this Regulation.

Katalin Urbán
General Director of the University
Library and Knowledge Centre of the University of Pannonia