

## 20. Records Management Policy (RMP)<sup>176</sup>

The Senate of the Dharma Gate Buddhist College (hereinafter: the College), as an ecclesiastical higher education institution, establishes the College's records management procedure in accordance with the provisions of

- Act LXVI of 1995 on Public Documents, Public Archives and the Protection of Private Archival Material, Act CCIV of 2011 on National Higher Education,
- Government Decree 87/2015 (IV. 9.) on the implementation of certain provisions of Act CCIV of 2011 on National Higher Education,
- Government Decree 335/2005 (XII.29.) on the General Requirements for the Records Management of Public Service Bodies, as well as
- Decree 27/2014 (IV.18.) of the Ministry of Public Administration and Justice on the Requirements for Records Management Software Applicable to Public Service Bodies,
- under the supervision of the archival unit of the College's maintainer, the Dharma Gate Buddhist Church (hereinafter: the maintaining Church),

in the following way:

### 20.1. Introduction

20.1.1 The purpose of this Records Management Policy (IKSZ) is to set the principles and institutional framework by which recorded information arising from the College's activities is designated as records and managed throughout its lifecycle.

20.1.2 It sets out the procedures for managing and processing correspondence, documents, document categories, and case files within the records management process—including receipt, mail opening, mail sorting, registration (date received stamping and logging), assignment, electronic archiving, distribution of correspondence, records management tasks during case administration, storage, and disposal—together with the roles and responsibilities of the persons involved in records management.

20.1.3 The retention schedule is an integral, mandatory annex to the Records Management Policy. It must be reviewed each year and updated, in cooperation with the Archives appointed by the maintaining Church to oversee archival work (20.8.6.1), whenever changes occur in the duties or scope of the organisational unit using it, or when the retention period is modified.

20.1.4 Any user of this document may propose an amendment in writing to the Head of the Rector's Office. It is the responsibility of the person proposing the amendment to ensure that the reviewing and approving parties have access to the information on which the proposed amendment is based. The amendment shall be decided by the Rector on the basis of the proposal of the Head of the Rector's Office.

### 20.2. Scope of Application and Period of Validity

20.2.1 This Policy shall apply to the College and its archival materials, establishing uniform requirements for the management of both paper-based and electronic records received or created by the College.

20.2.2 The provisions of this Policy shall be mandatorily applied throughout the College's administration, in the execution of all records management tasks arising from its primary and secondary educational processes, as well as from its supporting and related activities.

20.2.3 The archiving requirements applicable to specific types of records are set out in Section 8 of this Policy.

20.2.4 The College operates several separate electronic systems for managing various records and documents, supporting the efficient execution and performance of its activities. This Policy does not set out detailed provisions for the management of information contained in electronic administrative systems (such as financial, academic, etc.), but primarily regulates the procedures for handling information generated in these systems that constitutes records.

### 20.3. Responsibilities and Powers

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<sup>176</sup> Adopted by the Senate in Resolution No. 47/2017 (12.14) of 14 December 2017.

20.3.1 The Senate of the College shall establish, by regulation, the rules governing records management, the responsibilities and powers relating to records management and associated activities, and shall designate the executive responsible for overseeing records management.

20.3.2 The Rector shall be responsible for the implementation of the provisions set forth in the Records Management Policy; for ensuring the continuous alignment of the organisational, operational and procedural rules with the IT tools and procedures in use, as well as with the retention schedule and records management requirements; for the establishment and operation of an archives suitable for the professional and secure preservation of records; and for ensuring and supervising the provision of all other material, technical, and human resources necessary for records management.

20.3.3 The Head of the Rector's Office, entrusted with the supervision of records management, shall be responsible for ensuring

20.3.3.1 — in cooperation with the legal counsel, the preparation, issuance, and amendment of the policy,

20.3.3.2 — the regular monitoring of the implementation of the records management policy.

20.3.3.3 — taking measures to remedy any irregularities and, where necessary, initiating amendments to the policy.

20.3.3.4 — being further responsible for the professional training and continuing education of the persons engaged in, or responsible for, records management; for ensuring the provision of records management tools (register, name and subject index, document templates and standard forms, etc.); and for

20.3.3.5 — through the system administrator, for keeping up to date the access rights to electronic records management software, the unique identifiers, the substitution rights, and the external and internal name and address directories, as well as for ensuring compliance with operational and data security requirements.

20.3.4 At the College, records management is centralized. The central governing body for records management and administrative matters is the Rector's Office.

20.3.5 All employees of the College shall comply with the provisions of these Regulations, regard them as a fundamental duty of their position, and perform their work accordingly.

20.3.6 In the event of the dissolution or reorganisation of an organisational unit, or in the case of a personnel change, the documents of ongoing cases in the registration system shall be handed over, accompanied by a transfer-acceptance record, to the organisational unit assuming the responsibilities of the dissolved unit, or, in the case of a personnel change, to the designated staff member.

### *20.3.7 Records management responsibilities of executives (heads of organisational units)*

The head of the organisational unit, acting within the scope of their authority, shall be obliged to regularly monitor and ensure that:

20.3.7.1 the conditions for the uninterrupted performance of work are ensured,

20.3.7.2 the work equipment and workplaces comply with the requirements,

20.3.7.3 employees acquire the records management and archiving knowledge necessary for the performance of their duties, comply with the applicable requirements, and use the necessary tools,

20.3.7.4 order and discipline are maintained in the workplaces under their supervision,

20.3.7.5 each manager must immediately investigate and remedy any irregularity that comes to their attention,

20.3.7.6 employees must not commit any omission that could jeopardise the functioning of the system or the records management process (e.g. failure to use the prescribed system despite a warning, failure to attend training due to their own fault, etc.). If such a case is detected, the employee must be held accountable,

20.3.7.7 in the event of prolonged absence, illness, or leave, they must designate a person to manage the work during their absence and take the necessary measures to ensure the continuous provision of information and the uninterrupted performance of work,

20.3.7.8 is responsible for ensuring compliance with records management rules in their assigned area and for the continuous monitoring of the conditions necessary for work performance in accordance with the regulations,

20.3.7.9 must continuously monitor compliance with records management regulations, ensure the prevention of incidents, and arrange for an appropriate substitute during their absence,

20.3.7.10 must provide the necessary instructions to employees and system users in a timely manner.

### *20.3.8 Tasks of administrators, secretaries, and records management users*

A person engaged in records management activities may perform work only in full compliance with the rules governing the performance of such duties. In particular, the employee is obliged to:

20.3.8.1 ensure, to the extent expected of them, the safe condition of the work equipment provided, and use it according to its intended purpose and the employer's instructions,

20.3.8.2 acquire the knowledge necessary for the safe performance of their work and apply it during work,

20.3.8.3 to use the registration log,

20.3.8.4 must personally attend records management training and take part in monitoring its proper use, actively cooperating in the process.

20.3.8.5 must attend the training sessions prescribed for them,

20.3.8.6 must, to the extent reasonably expected, remedy any irregularity, malfunction, or other condition posing a problem, incident, or hazard, or request that their superior take appropriate action.

20.3.8.7 must immediately report in writing any records management incident to their superior or the system administrator,

20.3.8.8 The specific tasks associated with each role, as well as the extent of involvement in their execution, are set out in the individual sub-sections of this Policy.

20.3.8.9 The provisions set out in these Regulations apply to all organisational staff who handle any records listed in the retention schedule.

## 20. 4. Definitions

20.4.1 In the records management policy and the retention schedule, as well as in the related workflows, certain standardised terms may be associated with specific activities. To ensure consistent interpretation, the following definitions shall apply.

20.4.1.1 **Data:** the form in which information appears, that is, the form of communicating facts or ideas that is not yet interpreted but can be interpreted.

20.4.1.2 **Archiving:** a method of storage (data recording, data storage, filing) aimed at preserving and maintaining data and information in a given state for a long — but predetermined — period, for as long as the given information in that particular state may be needed.

20.4.1.3 **Digitisation:** the process by which the content of a printed document is stored on an electronic storage device in such a way that its formal and substantive elements are preserved, while also making it processable by computer.

20.4.1.4 **Precedent linking:** the process of determining whether a new document should be associated with an existing document or treated as a new document.

20.4.1.5 **Receipt logging:** the initial phase of the process, involving minimal recording—such as serial number, sender, receiver, internal addressee, arrival date, and, for registered postal items, the postal identifier (especially registration number); for electronically received items, their serial number, data carrier, type, and mode of arrival.

20.4.1.6 **Reference number:** the identifier used by the sender as a basis for reference, e.g. their registration number. 20.4.1.7 **Default accessor:**

20.4.1.7.1 . the Head of the Rector's Office

20.4.1.7.2 the Rector

20.4.1.7.3 Director of Finance

20.4.1.7.4 Authorised Representative of the Maintainer

20.4.1.7.5 In legal or law-related matters: legal counsel.

20.4.1.8 **Additional authorised user:** access rights are specified in Annex 3 to this Policy.

20.4.1.9 **Registration:** recording the document and assigning it a registration number in the electronic register, following its receipt or creation.

20.4.1.10 **Information:** data that carries meaning, which may take various forms depending on the data carrier (paper, electronic, or mixed).

20.4.1.11 **Register (registration log):** a non-disposable, authenticated records management tool used for the registration of documents.

20.4.1.12 **Registration number:** a unique identifier assigned by the College to the document to be registered.

20.4.1.13 **Document:** Documents are those records (regardless of the medium or format) that are created or appear in connection with specific activities, organisational units, or groups. A document shall be understood as a record containing information relevant from a business, legal, or other standpoint. A document qualifies as a record if its accessibility, identification, traceability, and integrity must be ensured.

20.4.1.14 **Records loan:** the issuance of a record from the archives under obligation of return.

**20.4.1.15 Electronic records management system:** an electronic program used for the registration, electronic storage, and electronic administration of administrative records generated in the operation of the College (incoming records, outgoing records, and internal administrative records), which ensures the traceability, availability, integrity, and confidentiality of the records.

**20.4.1.16 Non-record items:** non-classified press products (daily newspapers, periodicals, gazettes, official journals, etc.), non-classified books, official publications (tariff and price lists, catalogues, timetables, etc.), advertising and promotional materials (brochures, leaflets, product and manufacturing descriptions, lists containing offer prices, etc.).

**20.4.1.17 Archives:** a properly designed and equipped premises or storage capacity suitable for the professional and secure temporary or permanent retention of archival materials (may be a central archives or an organisational archives: Rector's archives, Academic Affairs Office archives, Financial Director's archives, specialised library archives).

**20.4.1.18 Central Archives:** a properly designed and equipped premises or storage capacity suitable for the professional and secure permanent retention of archival materials. An archives facility used for the retention of archival materials from several organisational units of the institution prior to disposal or transfer to the archives.

**20.4.1.19 Archival material:** the body of records produced or received in the course of the organisation's operations that, by their nature, belong in the archives.

**20.4.1.20 Archiving:** the sub-activity of the records management process in which the organisation arranges, manages, and stores the records produced in the course of its operations that, by their nature, belong to it and remain in its custody. The head of the given organisational unit is responsible for placing the records in the organisational archives (financial director, International Office, Academic Affairs Office, Student Government Office).

**20.4.1.21 Retention Schedule:** a register that sets out how records are classified and how they are assessed for disposal. It organises the archival material into categories (such as subject groups or, where necessary, record types) in line with the organisation's functions, responsibilities, and structure. It also specifies how long disposable records must be kept for operational purposes, identifies records that must be preserved permanently, and defines the deadlines for transferring them to the archives.

**20.4.1.22 Archival Item Number:** a reference code assigned to each document in the retention schedule, indicating its classification, type, and whether it is to be retained permanently or disposed of after a set period.

**20.4.1.23 Consignment:** any document or item prepared for delivery, marked with an address on its packaging or on an accompanying list.

**20.4.1.24 Copy:** any reproduction made after the creation of the original document, which may be a facsimile (identical in text and form), a simple copy (non-certified), or a certified copy (bearing an official certification clause).

**20.4.1.25 Duplicate, multi-copy document:** one of several original copies produced simultaneously, each bearing the same stamp and signature as the first copy to certify its authenticity.

**20.4.1.26 Destruction:** the permanent elimination of a disposed record in such a way that the information it contains is rendered inaccessible and cannot be restored.

**20.4.1.27 Annex:** an integral and inseparable part of a document, serving as its supplement or attachment.

**20.4.1.28 Mail opening:** the process of unsealing and inspecting items of correspondence received by the organisation.

**20.4.1.29 Disposal:** the process of removing records whose retention period has expired from the archives and preparing them for destruction.

**20.4.1.30 Assignment:** the designation of the organisational unit and/or administrator responsible for handling a matter, along with the specification of the deadline and the tasks to be carried out.

**20.4.1.31 Subject Area:** the categorisation of different types of records based on their content.

**20.4.1.32 Scope of Competence:** a defined group of matters that fall within the responsibilities and authority of an organisation or individual. **20.4.1.33 Case Administration:** the handling of matters arising in connection with the operation or activities of an organisation or individual, encompassing the full range of substantive and procedural tasks, both oral and written, carried out in the process.

**20.4.1.34 Administrator:** the person responsible for the substantive handling of a case, acting as the case presenter who prepares the matter for decision.

**20.4.1.35 Administration:** the foundation of the College's continuous operation, comprising the sequence and entirety of the successive activities involved in case management, covering the formal and technical conditions of administration as well as the delivery of services.

## 20.5. Handling of Documents

### ***20.5.1 Receipt of Incoming Mail and Deliveries***

Incoming postal and courier deliveries shall always be received centrally at the Rector's Office. The following provisions apply to the receipt of postal and courier deliveries, as well as items received by electronic means:

### ***20.5.1.1. Receipt of Paper-Based Deliveries***

#### ***20.5.1.1.1 Receipt via Postal Service***

20.5.1.1.1.1 Upon receipt of the delivery, the Rector's Office must verify that the identification mark on the delivery document matches that on the package, and that the sealed envelope or packaging containing the delivery is intact.

20.5.1.1.1.2 For deliveries with damaged packaging or showing signs of being opened, the note "arrived damaged" or "arrived opened" must be added, and this remark must be signed. 20.5.1.1.1.3 For registered, certified, or return-receipt deliveries, the Rector's Office must always indicate the date of receipt. The Rector's Office is responsible for issuing acknowledgments of receipt for registered mail and verifying the presence of return receipts. 20.5.1.1.1.4 For incoming consignments received after working hours, receipt must be arranged on the next working day.

20.5.1.1.1.5 Following receipt of the consignments, the Rector's Office is responsible for sorting them according to the recipient organisational units and preparing them for further processing.

#### ***20.5.1.1.2 Receipt by the relevant organisational unit***

20.5.1.1.2.1 This type of receipt covers traditional courier deliveries, parcels, as well as items forwarded internally within the College.

20.5.1.1.2.2

Organisational units of the College may only accept consignments from another unit if they bear a registration number and/or an arrival reference number. Without this, the receipt must be refused.

20.5.1.1.2.3 If a consignment is delivered directly to a specific organisational unit, that unit is responsible for handling it locally in accordance with the described procedure. It is the responsibility of the designated staff member of the organisational unit to receive incoming consignments, confirm their receipt, and take the necessary steps for internal records management.

20.5.1.1.2.4 For consignments delivered directly after working hours, if receipt can be arranged by the organisational unit concerned, they must be accepted in the usual manner; if receipt is not possible, the items must be collected by the responsible organisational unit on the next working day.

### ***20.5.1.2 Receiving emails***

Receiving electronic consignments (emails) is the responsibility of the designated administrator in the case of an institutional email address, and of the addressee in the case of a personal email address. Receipt is carried out through the electronic mail system, in accordance with the College's additional regulations on its use and on the use of the register. For consignments received in electronic form, efforts should be made to continue using them electronically and to avoid unnecessary printing.

### ***20.5.1.3 Receiving consignments via Office Gate***

Documents received via the Office Gate are processed centrally by the Rector's Office. The Office Gate administrator or case officer designated by the Rector must, upon receiving the notification email (or, if no notification is received, upon detecting the new document during the daily login), promptly download the electronic document together with its XML file from the Office Gate mailbox, upload it to the Redmine DMSF interface, and simultaneously print and deliver it without delay to the Head of the Rector's Office for registration. The incoming document and its XML file must be handled electronically, while the printed document should be treated in the same way as traditional consignments and—taking into account the five-working-day processing deadline—must be logged as an urgent item, registered, and immediately forwarded to the responsible officer.

## ***20.5.2 Arrival logging of consignments***

20.5.2.1 Following receipt, the Rector's Office is responsible for the arrival logging of all incoming consignments—packages and postal items. Arrival logging must be carried out in the register.

20.5.2.2 Arrival logging of postal and courier consignments involves marking the items with the arrival logging stamp and entering them into the register. The following data must be recorded during arrival logging:

- a. name of the sender (if available),
- b. name of the sending organisation (if applicable), c. address of the sender,
- d. name of the recipient (if available),
- e. name of the recipient organisation and organisational unit, f. reference number of the sender (if any)
- g. identifier of the registered consignment,
- h. note or instruction indicating opening requirements (e.g. confidential, personal, etc.), i. identifier of the sending organisation (if applicable),
- j. other details of the consignment, if necessary (size, weight, etc.),, k. type of consignment (e.g. letter, parcel, publication, etc.),

20.5.2.3 Leaflets, brochures, and private consignments addressed to students, as well as to the College's employees, instructors, and teachers, do not need to undergo arrival logging or be recorded; their original copies must be forwarded to the administrators or the persons concerned. All other consignments must be arrival logged in the register. It is the responsibility of the Rector's Office to record the arrival reference number on the consignment.

20.5.2.4 Consignments should be arrival logged on the day of receipt, but no later than the following working day.

### **20.5.3      *Opening of consignments***

20.5.3.1 Consignments bearing the marking "personal" or "confidential," and those the Rector has, at the request of the authorised person or organisational unit, ordered in writing to be treated as such, must be forwarded to the recipient unopened. Private consignments addressed to students, as well as to the College's employees, instructors, and teachers, are not opened by the Rector's Office.

20.5.3.2 While opening consignments, the Rector's Office is responsible for sorting and grouping them according to their address to ensure prompt forwarding.

20.5.3.3 In cases of incorrect addressing or misdelivery, the consignment must be returned to the sender marked "addressee unknown."

20.5.3.4 Once a consignment has been received and arrival logged, the Rector's Office must, during its opening, verify that all annexes and enclosed documents listed in the consignment are present and legible. If any missing items or issues affecting the legibility of the consignment are detected, this must be noted on the consignment itself or in the register, and the sender must be informed. Initiating deficiency correction is the responsibility of the recipient organisational unit.

20.5.3.5 If, upon opening, it is found that the consignment contains money or other valuables, the person opening it must record the amount or value on the document and in the register, and hand over the money or valuables against a receipt to the employee responsible for cash handling. The receipt must be attached to the document.

20.5.3.6 If the subject matter or date of a consignment (document) has, or may have, legal implications, the envelope must be attached to the document, or alternatively its contents digitised or its details entered in the register, to ensure that a third party can verify the date of dispatch, arrival, or receipt. If the sender's name or address cannot be determined from the document, any information carriers serving to verify these must be attached to the document. The envelope must also be attached to the document if there is a suspicion of a criminal offence or an administrative violation.

20.5.3.7 The Rector's Office attaches the returned acknowledgment of receipt to the archived copy of the registered document.

20.5.3.8 Consignments that may not be opened must be forwarded to the recipient. A given recipient may be notified either by email or verbally.

20.5.3.9 For consignments that may not be opened, the fact of receipt may be recorded in the register or the mail register. In such cases, however, the envelope must undergo arrival logging.

20.5.3.10 The Rector's Office forwards consignments addressed to the College for active students to the intended recipients, while all others are returned to the sender marked "moved."

20.5.3.11 An addressee who opens a consignment marked "personal" for opening by hand must return any document that requires registration (i.e. is deemed official) to the Rector's Office, where it will be registered and archived in the same way as other such documents.

## ***20.5.4 Rules for consignments received by electronic means***

20.5.4.1 Consignments received by electronic means are handled directly by the recipients as follows. 20.5.4.1.1 For consignments received by email, printing and further processing or administration on paper should be avoided.

20.5.4.1.2 In the case of incorrectly addressed or misdelivered electronic consignments, the recipient must return them or notify the sender, as with other consignments.

20.5.4.1.3 An electronic document may be accepted by those authorised to perform arrival logging on an electronic data carrier (CD, DVD, pen drive, floppy, etc.) only if accompanied by a paper cover sheet. The cover sheet must be treated as an attachment to the data carrier. The cover sheet must include the address and the subject of the documents stored on the data carrier. After receiving the data carrier, the accuracy of the information indicated on the cover sheet must be verified.

20.5.4.1.4 The accessibility (readability) of consignments received by electronic means must be checked. If the consignment cannot be opened with the available tools, the sender must be notified that the consignment is unintelligible.

## **20.6. Registration of documents**

### ***20.6.1 General rules***

20.6.1.1 Incoming consignments classified as documents must be registered without delay following arrival logging, while outgoing consignments must be registered immediately after signature.

20.6.1.2 Registration may only be carried out in the register.

20.6.1.3 Registration must always be performed in such a way that the data and information in the register can be used as an authentic record of administration.

20.6.1.4 Each step of document handling in the register must be carried out in such a way that it can be clearly proven who forwarded or handed over the document, to whom, and when.

20.6.1.5 The registration of documents and the documentation of their handling (recording and storing in an electronic system) must ensure that the course of administration and the route of documents within the institution can be accurately tracked and verified, and that their status and location can be determined at any time.

20.6.1.6 Registration may be performed only by a registrar with the appropriate authorisation.

20.6.1.7 Registration of incoming documents must be carried out by the Rector's Office solely on the basis of the original document. For documents received in a foreign language, the Rector is authorised to provide information regarding the subject matter and competence.

20.6.1.8 It is the responsibility of the Head of the Rector's Office to open, close, and authenticate the register each year.

20.6.1.9. Where a consignment has been received and forwarded unopened, the recipient must ensure that any official document concerning the College is delivered to the Rector's Office for registration no later than the working day following receipt.

### ***20.6.2 Paper-based documents***

20.6.2.1 During registration, the registration number must be written on the cover page or first page of each document to be registered, ensuring that the full content remains legible.

20.6.2.2 In both the incoming and outgoing registers, additional details of the document may only be specified, and the consignment registered, once it has been identified and matched with its registration number.

20.6.2.3 The following must be recorded during registration:

- a. document direction (incoming – outgoing – internally generated),
- b. document type (e.g. letter, Office Gate, courier, etc.),, c.  
reference number (e.g. the sender's registration  
number) (if available) d. subject of the document,
- e. name of the sender company,
- f. name of the sender (if available),
- g. recipient / responsible organisational unit,
- h. recipient / responsible officer (may vary by  
organisational unit) i. archival item number (according  
to the retention schedule),
- j. number of annexes,

- k. number of copies,
- l. additional administrators or organisational units (if any),
- m. document group, case, case file, scope of case, etc. (if already known),

20.6.2.4 Determining the above data and completing the fields is mandatory for all documents.

20.6.2.5 During registration, additional information may also be entered in the register so that details supporting the administration of the document are available. 20.6.2.6 Any fields left blank at the time of registration may be completed later. During registration, it is mandatory to record as much information as possible about the document, as this can be used for searches, filtering, and queries.

20.6.2.7 In the register, the registration number and date of registration may not be altered afterwards, and the system records the name and organisational unit of the person who carried out the registration.

20.6.2.8 The registration number format used by the College is defined centrally.

The structure of the registration number is as follows:

Registration number: TKBF/ xxxx / zzzz / yyyy, where:

“TKBF” – Dharma Gate Buddhist College

“xxxx” – identification number according to the serial number (main number),

“zzzz” – denotes the sub-numbered document belonging to the given document, numbered sequentially from 2

“yyyy” – denotes the year of registration

20.6.2.9 After registration, the registration number assigned in the register must always be marked on paper-based consignments.

20.6.2.10 In the event of incorrect registration, the entry must be invalidated in a way that leaves no doubt as to the fact of its invalidation. The reason must be indicated in the remarks field of the registered document. In the case of incorrect registration, if the error can be corrected by re-registration, the new registration number must always be marked on the paper-based document. The administrator in charge of the archival location must be informed of the re-registration so the archival location of the filed documents can be updated.

### ***20.6.3 Registration of incoming and outgoing electronic documents***

Only those electronic documents (emails) received or sent via the electronic mail system that fall under the subjects specified in this Records Management Policy Annex 6, based on their content and subject, must be registered in the register in accordance with the procedure established for traditional paper-based consignments.

### ***20.6.4 Submission for registration, designation of authorised persons***

20.6.4.1 If a document does not arrive at, or is not sent through, the Rector’s Secretariat, its handling is the responsibility of the organisational unit concerned. An employee designated by the head of the organisational unit must forward incoming and outgoing documents to the Rector’s Office for registration.

20.6.4.2 It is always the responsibility of the person registering the document to designate the authorised persons. This must be done at the time of registration, but it may also be assigned later.

### ***20.6.5 Consignments not to be registered***

The following types of consignments do not need to be registered:

20.6.5.1 advertising materials and information leaflets, except those issued by the College; newspapers, gazettes, and press publications, except for newspapers and newsletters serving internal or external communication;

20.6.5.2 books and teaching materials, except those produced internally;

20.6.5.3 financial vouchers, invoices, and bank statements (handled in accordance with the Financial Management Policy);

20.6.5.4 records related to material handling (warehouse cards, delivery notes);

20.6.5.5 documents generated from employment records (pay slips, payroll cards, personal records);

20.6.5.6 documents that are clearly of a private nature;



20.6.5.7 student papers related to performance assessment;

20.6.5.8 data entered into, or generated in, the electronic student records system or NEPTUN, excluding requests, notifications, and other documents submitted to College bodies (HÜB, HJB, HFB, Rector, Vice-Rector) that require a written decision;

20.6.5.9 other documents stored for quality management purposes as defined in the College's Quality Assurance Policy;

20.6.5.10 documents generated within the scope of activities of the Student Government.

## 20.7. Document handling process

20.7.1 Once registration is complete, access to the documents must be granted—by entry in the register—to the head of the recipient organisational unit and its administrator. Any additional authorised persons and other actions related to the document are assigned by the Rector's Office. If necessary, the physical copies must also be delivered to the authorised persons before the usual handover.

20.7.2 All incoming and outgoing paper-based documents, as well as internally generated documents, must be digitised in order to enable paperless document and case management, and to ensure the fast and accurate transfer and preservation of information.

20.7.3 Documents must be digitised after registration (except for personal and confidential documents).

Digitisation is primarily carried out by the Rector's Office using the high-capacity document scanner provided (batch scanning). The original copies of documents from closed cases must be delivered to the Rector's Office every six months. 20.7.4 The digital copies of the documents must be made available at the same time to all staff involved in administration, decision preparation, or providing opinions.

20.7.5 The original copies of consignments addressed to the Director of Finance, the International Office, the Academic Affairs Office, and the Student Government are sent to the respective organisational unit after registration and digitisation, where they are filed and stored.

20.7.6 The assignment of documents is carried out by the Head of the Rector's Office in accordance with the Rector's instructions, and orders for preliminary review are issued as follows:

20.7.6.1 Sends notification by email to those case handlers who do not have an organisational archive. The notification alerts the administrator to the required action.

20.7.6.2 For units with an organisational archive (Director of Finance, Academic Affairs Office, Student Government), the physical copy of the delivered documents indicates the need for administration.

20.7.7 If a document has a registered precedent, or the person or organisational unit responsible for processing the case or case group has already been designated, it must be assigned directly to that person or unit, and they must be notified.

20.7.8 For record-keeping, tracking, and retention purposes, all administrative tasks related to a given document must be carried out and documented through the register. 20.7.9 The administrator assigned to handle registration is granted access to the register, enabling them to access, monitor, and track the assigned tasks, notifications, and related documents. It is the responsibility of the organisational unit to define the decisions, instructions, and rules governing the administration and execution of tasks. 20.7.10 Documents created in a given year and stored in the organisational archive must be archived by 31 March of the following year.

20.7.11 Monitoring and verifying the administration of issued documents, notifications, and related tasks, as well as determining any necessary intervention or action, is the responsibility of the head of the organisational unit.

20.7.12 The administrator must always record information related to the administration of the case in the register.

20.7.13 College employees may only access those documents, data, and data carriers that are strictly necessary for the performance of their duties, or for which the responsible head of the relevant area/person has granted authorisation. 20.7.14 All outgoing and internally generated documents must be prepared by the administrator in accordance with the relevant institutional regulations and policies. Taking these administrative processes into account, outgoing and internally generated documents may be prepared individually or using a specific administrative system (e.g. Neptun).

20.7.15 Individual documents to be sent by post—in registered, printed, and signed form—are handled by the administrator designated within the organisational unit and delivered to the Rector's Office.

20.7.16 Registration of outgoing and internally generated documents is carried out by the Rector's Office. Digitisation is carried out by the Rector's Office. The digitisation of internal and outgoing documents may also be carried out by the document's administrator.

20.7.17 The registration of outgoing and internally generated electronic documents is carried out as described above (printing,

forwarding to the Rector's Office, and marking the registration number on the document). In addition to the copy to be posted, one extra original of every outgoing and internal document—bearing the registration number and also signed by the administrator concerned—must be delivered to the Rector's Office for archiving. An exception applies to organisational archives (Director of Finance, International Office, Academic Affairs Office, Student Government), where archiving is carried out locally.

20.7.18 The College does not operate a fax machine. Before a fax machine is put into operation, this Records Management Policy must be supplemented with the relevant provisions.

20.7.19 If a document contains confidential information, the administrator must ensure its digitisation or file attachment after the document has been signed (e.g. HR).

20.7.20 Based on the decision of the creator or issuer, the following handling instructions may be assigned to the documents: a) For personal opening only. (sk)

b) Not to be copied.

c) other necessary instructions depending on the nature of the data carrier.

20.7.21 The records clerk of the organisational unit must group outgoing documents into registered (e.g. certified) and regular consignments. Forwarding outgoing consignments to the Rector's Office is the responsibility of the administrators designated for registration.

20.7.22 Documents to be sent out on the same day must be submitted to the Rector's Office by 15:00 from Monday to Thursday, and by 14:00 on Friday.

20.7.23 If a large volume of documents is involved (more than 50 registered consignments), the head of the organisational unit must inform the Rector's Office at least one day in advance about the expected arrival of the above-normal quantity.

20.7.24 For outgoing documents, each organisational unit must submit the envelope and the acknowledgment of receipt to the Rector's Office, completed and provided with the dispatch details (registered, priority, acknowledgment of receipt, etc.).

20.7.25 For outgoing documents to be sent on an electronic data carrier, the contents of the carrier must be provided in electronic form to the system administrator for archiving purposes.

## 20.8. Archiving

### **20.8.1      *Archiving procedure***

20.8.1.1 Archiving is an integral part of records management, referring to the activity by which the College organises, manages, and preserves the documents created or received in the course of its operations that properly belong to it and remain in its possession, as well as those to be transferred to the archives.

20.8.1.2 The archiving of information and documents available in electronic form is carried out by the IT Centre in the form of data backups. The detailed regulations for backing up electronic data are set out in the IT Policy.

### **20.8.2      *Purpose of archiving***

20.8.2.1 The archive can only fulfill its true role and function if the documents are stored in an orderly and systematic manner. The archive must always be established in a location that ensures the storage area is dry and clean, and protected against fire, water ingress, pests, and unauthorized intrusion. 20.8.2.2 The archive must be suitable for:

- a.      a. for the transparent and secure archiving of documents,
- b.      for ensuring the prompt retrieval of documents,
- c.      for the temporary storage of records of permanent value.
- d.      for transfer to the archives after the expiry of the retention period, e.      for disposal.

20.8.2.3 During the administrative period, the storage location of a case file is determined by the stage it has reached in the workflow.

## **20.8.3      *Organisational archives***

20.8.3.1 To protect and securely preserve documents, organisational units shall ensure the storage of completed documents in the central archives or in organisational archives that carry out periodic archiving. 20.8.3.2

Documents required to be retained shall be delivered to the central archives by 31 March of the year following the completion of administration. An exception is made for documents relating to ongoing cases that extend over several years. Organisational archives operate within the Academic Affairs Office, the Directorate of Finance, the Special Library, and the Student Government Office. 20.8.3.3 Documents may be placed in the archives only in appropriate collection, holding, or storage containers after handover.

20.8.3.4 For easier reference, the main details of the contents of the collection or storage container (year of creation of the documents, date range, archival item number) shall be clearly indicated on the container itself, in a visible manner (in more than one location if necessary). 20.8.3.5 The custodian appointed by the head of the organisational unit shall classify the documents delivered to the organisational archives separately, in accordance with the retention period set out in the retention schedule. Document materials falling under individual archival item numbers must be stored separately. An exception to this is the Academic Affairs Office, where documents related to student matters are kept in separate folders for each student (student file).

20.8.3.6 The custodian shall deliver documents that have been processed and are no longer to be retained in the organisational archives to the central archives by 30 April each year.

20.8.3.7 The retention period for a document shall be calculated from 1 January of the year following its final substantive processing. The retention period also means that it must always be determined after the final closure of the case.

20.8.3.8 Only documents covering a complete, closed year may be placed in the organisational archives.

20.8.3.9 In the event of the dissolution of an organisational unit, the head of that unit shall ensure the transfer of ongoing, unresolved cases to the head of the organisational unit assuming its responsibilities.

20.8.3.10 If the responsibilities of the dissolving organisational unit are not assumed by another unit, the document materials held in its archives shall be transferred to the central archives with a detailed handover–acceptance record.

## **20.8.4      *Central Archives***

20.8.4.1 The central archives is the repository for the College’s archival materials prior to disposal or transfer to the archives, located at the College’s premises at 1098 Budapest, Csengettyű u. 3.

20.8.4.2 Documents and case files that are closed, require no further substantive action, have been officially issued, and bear a records schedule item number shall be placed in the central archives. Records that are over 1 year old, not related to any ongoing case, and not requiring continuous administrative action shall be placed there.

20.8.4.3 The central archives retains records for the period specified in the retention schedule and, thereafter, disposes of them or transfers records of permanent value to the Archives.

20.8.4.4 Placement in the central archives and the management of records shall follow the procedures prescribed for the organisational archives.

## **20.8.5      *Records loan***

20.8.5.1 Records loaned for administrative purposes to organisational units or individuals from the organisational and/or central archives shall be recorded in the register.

20.8.5.2 Records deposited in the archives may be removed only upon the written request of the head of the organisational unit that deposited or is responsible for the records, or their deputy, with the authorisation of the Head of the Rector’s Office and with the assistance of the records officer, primarily in the form of copies.

20.8.5.3 Records held in the archives may be issued by the records officer only upon receipt of a completed Acknowledgement of Record Withdrawal (Annex 5). The acknowledgement shall be kept alongside the record; in the case of an original record, it shall be kept in the record’s place. 20.8.5.4 If a certified copy is required, staff of the Rector’s Office shall make the copy, and only the Head of the Rector’s Office—or, in their absence, a person authorised by the Head of the Rector’s Office with the Rector’s permission—may certify it.

20.8.5.5 If multiple original copies of a given record (e.g., contracts) are received by the institution, it shall be recorded in the system who else holds an original copy.

## **20.8.6      *Archives***

20.8.6.1 The supervision of the College’s archives work is carried out by the Dharma Gate Buddhist College Special Library—the maintainer Church’s special library, jointly maintained, church-run, and operating as a church public collection—which also performs archival tasks and, as the unit performing the maintainer Church’s archival function (hereinafter: the Archives),

provides this oversight.

20.8.6.2 The records to be transferred to the Archives are determined by the retention schedule. Case files classified as of permanent value, together with all their attachments and reference materials, shall be transferred to the Archives in accordance with the retention schedule.

20.8.6.3 The transfer and receipt shall be documented in a report together with an itemized list by transfer unit (Annex 1). Case files may be transferred to the Archives only in complete, closed annual batches.

20.8.6.4 The transfer and receipt report shall include the following data: a. name of the transferring party (name of the institution to which the transferred records belong),

- b. the quantity of the records transferred,
- c. the authenticated signatures of the transferor and the recipient,
- d. the transferor's stipulations regarding the handling of the records.

Each party shall henceforth treat its copy of the transfer and receipt report as a non-disposable item.

20.8.6.5 A unit-level (box, volume) inventory shall be prepared for the transferred materials, indicating the box number, subject, item number, and year identifiers. A separate inventory shall be prepared for records withheld (e.g., deed of foundation, design documentation).

## **20.8.7      *Disposal procedure***

20.8.7.1 Documents classified as records and stored in the central archives shall be subjected to the disposal procedure. 20.8.7.2 The disposal procedure shall be carried out when the record is no longer needed for administration and its retention period specified in the retention schedule has expired.

20.8.7.3 Any record held in the archives may be removed for destruction only through the records disposal procedure.

20.8.7.4 Certain records are non-disposable; these are specifically marked in the register contained in the retention schedule.

20.8.7.5 The following fall into the category of non-disposable records:

- a) records of fundamental importance relating to the establishment, organisation, operation, and records management of the College,
- b) records of permanent value from an archival perspective (records subject to archival retention),
- c) records classified as non-disposable in the retention schedule.

20.8.7.6 The holdings of the archives shall be reviewed for disposal purposes at least once every 3 years. In this process, those records schedule items/records whose retention period specified in the retention schedule has expired shall be identified for disposal.

20.8.7.7 In justified cases, the Head of the Rector's Office may order certain records to be retained for a period longer than that specified in the retention schedule; this shall be noted both in the register at the relevant record and, with the head's signature, prominently at the record's records schedule item number. 20.8.7.8 During disposal, special attention shall be paid to records requiring special handling and containing a heightened security classification (confidential, strictly confidential). In such cases, the Head of the Rector's Office shall specifically determine the disposal procedure and designate the persons authorised to carry it out.

## **20.8.8      *Preparation of disposal***

20.8.8.1 At least 30 days before commencing disposal, the Head of the Rector's Office of the College shall be notified, and their expert opinion shall be sought regarding the scope of records to be disposed of. Disposal may be carried out only with the authorisation of the Head of the Rector's Office. 20.8.8.2 At least 30 days before commencing disposal, the Archives shall be notified, and its expert opinion shall be sought regarding the scope of records to be disposed of. Disposal may be carried out only with the approval of the Archives.

20.8.8.3 The disposal procedure shall be supervised by the central archives and the Head of the Rector's Office.

20.8.8.4 Based on the final inventories, a disposal report shall be prepared, which shall be reviewed by the three-member disposal committee and approved by the Head of the Rector's Office.

20.8.8.5 The disposal committee shall ensure that the records selected for disposal consist of complete and closed items, with no records missing. If an original record has been removed and not returned, the missing items shall be recorded in a report.

## **20.8.9      *Disposal report (Annex 4.)***

20.8.9.1 A disposal report shall be prepared in every case of records disposal. The disposal report shall be accompanied by the inventory of the records disposed of.

20.8.9.2 The inventory shall include:

- a.      the records schedule item number of the records,
- b.      the subject of the records to be disposed of, c.      the year of the records subjected to disposal,
- d.      the individual titles of any records withheld from disposal, e.      the quantity of the records disposed of (number of storage units, linear metres of records),

20.8.9.3 The disposal report shall be signed and sent to the Head of the Rector's Office. The disposal may be carried out only after authorisation by the Head of the Rector's Office.

20.8.9.4 Two copies of the disposal report shall be sent to the Head of the Archives.

## **20.8.10      *Transfer of Records to the Archives***

20.8.10.1 Non-disposable public records, in complete and closed annual batches—except as provided in Section 12 (5) of Act LXVI of 1995—shall be transferred to the Archives, together with storage containers and a detailed transfer and receipt report, no later than the end of the fifteenth year after their calendar year of creation.

20.8.10.2 The date of transfer shall be agreed upon by the transferring organisation and the Archives.

## **20.8.11      *Destruction procedure***

20.8.11.1 Only those records listed in a disposal report that has been signed, countersigned by the Head of the Rector's Office, and approved by the Archives may be destroyed.

20.8.11.2 The chair of the disposal committee is responsible for ensuring that the records to be destroyed are identical to those listed in the disposal report.

20.8.11.3 The primary method of destruction shall be shredding. Records for destruction shall be transported only in sealed packaging.

## **20.8.12      *Retention schedule***

20.8.12.1 Structure of the retention schedule

The arrangement of records in the archives is thematic and independent of organisational units. The retention periods specified in the register shall apply to all records created by the organisation's organisational units.

20.8.12.2 The structure of the register containing the subject areas and topics is as follows: a) records schedule code/item number,

- b) Subject
- c) Retention period (years), d) Time of transfer to the Archives.
- e) Retention method

20.8.12.3 Records are arranged within item numbers in ascending order of serial numbers or base numbers.

- a) Item number:      the centrally assigned identifier for each subject area; b)
- Serial number:      the number under which the record is registered;
- c) Base number:      the registration serial number of the first record created in the case.

## **20.8.13      *Retention periods and methods***

20.8.13.1 The following retention periods may apply to individual records:

- a)      NS: Non-disposable (confidential or classified record, or one to be retained by the organisation for administrative purposes),
- b)      3, 4, 5, 8, 10, 15, 50, 80 years: records disposable after the lapse of the specified number of years,

20.8.13.2 All internally and externally created records and their related attachments shall be retained in paper and/or digitised form.

## **20.9. ANNEXES**

Annex IKSZ 1	transfer and receipt report
Annex IKSZ 2	Retention schedule (list of records schedule item numbers)
Annex IKSZ 3	Access rights
Annex IKSZ 4	Document disposal report
Annex IKSZ 5.	Acknowledgement of Record Withdrawal
Annex IKSZ 6	Electronic consignments to be registered

## 20.10 Entry into force

20.10.1. This Policy shall enter into force upon approval by the Senate and shall form Annex 11 of Volume IV: Other Policies Requirements System (EKR) of the Dharma Gate Buddhist College Regulations. At the same time, the cover page of the Regulations of the Dharma Gate Buddhist College, Volume IV: System of Requirements for Other Regulations (EKR), shall be supplemented with the designation “Annex 12: Records Management Policy.”

20.10.2 This policy was adopted by the Senate in its Resolution No. 47/2017. (12.14.) of 14 December 2017 and enters into force on 1 January 2018.

Budapest, 14 December 2017

János jelen,  
Rector

20.10.3 Closing clause

I hereby approve this Records Management Policy on behalf of the maintainer, the Dharma Gate Buddhist Church.

Budapest, 14 December 2017

Zoltán Cser  
Church Director