Documentary Procedure Rules

Based on clause 16 (2) 3) of the Universities Act and clause 15 (2) 7) of the Statutes of the University of Tartu, and pursuant to the Public Information Act, Language Act, and the “Principles for managing services and governing information”, adopted by regulation no. 88 of 25 May 2017 of the Government of the Republic, I approve the Documentary Procedure Rules of the University of Tartu. [effective as of 16 July 2018]

I. General provisions

1. Documentary Procedure Rules (hereinafter these rules) regulate the documentation of business and the related work organisation at the University of Tartu (hereinafter the university).

2. In these rules, terms are used as follows:

2.1. documentary procedure—preparation and coordination of documents, making and implementing decisions regarding documents, registration, transmission and systematisation of documents, communication of data regarding documents and preservation of documents; [effective as of 16 July 2018]

2.1.1. data—reinterpretable representation of information suitable for transmission, interpretation or processing; data may be processed by people or by automated means; [effective as of 16 July 2018]

2.2. document—data recorded on paper or a digital data carrier, the content, form and structure of which is sufficient to certify the university’s activity and facts associated with the university;

2.3. draft—version of a document which is created during the preparation of the document and which is in accordance with the requirements to the document;

2.4. document resolution—replying to the document and/or performing the task or order set in the document;

2.5. coordination—opinions and/or proposals regarding the draft of a legal act or another document which may but do not have to be taken into consideration in further proceeding;

2.6. document system—an electronic information system for the preparation, proceeding, management and preservation of documents;
2.6.1. document management system—a document system that is based on Webdesktop software and used at the university; [effective as of 16 July 2018]
2.7. drawing up—presenting the elements of the document in accordance with the requirements of the university;
2.8. document’s metadata—descriptive data about the document, e.g. the document type, heading, date, number, sequence mark of the document list, name and position of the signatory, access restrictions, audit trail and other document specific data;
2.9. registration—inserting the document to the document system and checking the integrity of the document’s data in the document system. The document is registered if the data enabling identification has been inserted in the document system and it has a reference in the information system; [effective as of 16 July 2018]
2.10. structural unit—an institution, an institute, a college, dean’s office and a support unit of the university; [effective as of 16 July 2018]
2.11. document circulation—the motion of documents within the university from their preparation or acquisition to their sending out, destruction or storage in the public archive;
2.12. archive—a complete collection of documents created or acquired in the course of the university’s activity; [effective as of 16 July 2018]
2.12.1. archival record—record to which archival value has been granted by a public archives as a result of an appraisal; [effective as of 16 July 2018]
2.13. file—a collection of documents created or acquired within one sequence in the course of documentary procedure;
2.14. list of files—a tool for document management which lists all the files created in the course of a structural unit’s documentary procedure regardless of the storage medium; [effective as of 16 July 2018]
2.15. electronic document—a document created by means of an electronic device and stored on a storage medium; [effective as of 16 July 2018]
2.16. electronic seal—a body of data composed by a system of technical and organisational means, and used by a holder of the electronic seal certificate to verify the integrity of the electronic document and the relation of the certificate holder to the document. [effective as of 16 July 2018]

3. The head of the structural unit manages and is responsible for the documentary procedure in the structural unit adhering to these rules and other legal acts.

4. A structural unit has a unique four-digit code which is used in the university’s documentary procedure; the first and second digits mark the field or sphere of responsibility and the third and fourth digits mark the specific structural unit. The code of a structural unit is assigned by the head of Administrative Office, ensuring that the part of the code that marks the structural unit and the abbreviation indicating the faculty or sphere of responsibility in the code have not been used earlier at the university. [effective as of 16 July 2018]

5. The documentary procedure period is from 1 January to 31 December.

6. At the university, directives are issued within the limits of their authority by the rector, vice rectors, heads of spheres of responsibility, deans, heads of institutes and colleges, directors of the university institutions and, in the cases provided for in legal acts, by vice deans.

6.1. The language of records management and documentary procedure at the university is Estonian. The following documents are definitely prepared in Estonian at the university:
6.1.1. regulations and resolutions of the university’s council and senate;
6.1.2. decrees issued by the rector;
6.1.3. directives issued by the rector, vice rectors, heads of spheres of responsibility, deans, vice deans, heads of institutes and colleges, and directors of non-faculty institutions;
6.1.4. minutes of the sessions of the university’s council and senate, and of the meetings of the councils of faculties, institutes, colleges and non-faculty institutions.
6.1.5. other documents provided in legal acts.
II. Using document templates and forms

7. The university uses a general template and a letterhead. The letterhead is used for outgoing correspondence and for issuing certificates and notices. The general template is used for preparing other documents. Internal letters are prepared on white paper. [effective as of 1 August 2018]

8. [repealed as of 1 August 2018]

9. The rector, vice rectors, heads of spheres of responsibility, deans and heads of structural units, and employees appointed by the aforementioned have the right to sign documents on the university’s general template and letterhead. [effective as of 1 August 2018]

10. The head of a structural unit shall guarantee that the document forms required for the preparation of the documents in their sphere are available and updated in the document management information system.

III. Creation, coordination and preparation of drafts of the university’s legal acts

11. These rules regulate the creation and coordination of the drafts of the regulations of the university council and the senate, the rector’s decrees, and the development plans and strategic plans adopted by the university council and senate (hereinafter legal acts). The rector, vice rector or head of a sphere of responsibility may decide to apply these rules to the proceeding of the drafts of other legal acts.

12. The rector, vice rector or head of a sphere of responsibility initiates the creation and amendment of a legal act. Deans, heads of university institutions and the chair of the Student Council can submit their proposal for the creation or amendment of a legal act to the rector, vice rector or head of a sphere of responsibility.

13. The person who initiates the creation and amendment of a legal act or a person assigned by them is the chief executor. The rector as the initiator can assign the vice rector or head of a sphere of responsibility as the chief executor. The vice rector and head of a sphere of responsibility can assign the head of a structural unit in their sphere of responsibility as the chief executor. The chief executor assigns a reasonable term for the preparation of the legal act.

14. The chief executor assigns the direct executor who organises the preparation and coordination of the draft of the legal act and includes representatives of relevant structural units in the preparation.

15. When the direct executor declares the preparation of the draft completed, the draft of the legal act is sent to the heads of the relevant structural units for coordination. The drafts of all legal acts are sent to the head of Administrative Office for coordination.

16. A letter of explanation is added to the draft when it is submitted for coordination. The letter of explanation gives reasons for adopting the legal act and explains the main standpoints of the draft and provides an overview of the impacts of adopting the legal act, incl. financial impacts.

17. The direct executor assigns the term for coordination which must be at least five work days.

18. The coordination of a draft of a legal act means agreeing to the adoption of a legal act without comments or with comments or not agreeing to it. In the last two instances relevant argumentation shall be presented. The coordinating person shall evaluate the draft of the legal act primarily from the aspects related to their sphere of responsibility.

19. The direct executor decides whether the proposals submitted during coordination will be taken into consideration fully or partially or not be taken into consideration and prepares the
table of coordination on the basis of the submitted proposals. When a proposal is fully or partially not taken into consideration, a relevant reason is given.

20. The direct executor submits the revised, amended and linguistically edited draft of the legal act and the table of coordination to the legal counsel who checks whether the draft is in accordance with legal acts and the rules of legislative drafting and submits their respective opinion to the direct executor.

21. The direct executor removes any discrepancies in the draft indicated by the legal counsel and submits the appropriate draft together with the table of coordination and legal counsel’s opinion to the chief executor who submits them to the rector.

22. Before signing the draft or sending it to the university council or senate for proceeding, the rector decides its discussion in the Rector’s Office. The legal counsel has the right to submit an opinion regarding the opinions of the Rector’s Office to the rector, the university council or senate. The university council and senate process the drafts of regulations and resolutions in accordance with the rules of procedure of the council and senate.

23. The regulations and resolutions of the university council and senate are prepared and submitted for signing on the day of adopting.

24. The head of Administrative Office guarantees that the guidelines for preparing a legal act are available and up to date and accessible.

IV. Preparing the minutes of decision-making and advisory bodies

25. The sessions or meetings of the university council, senate and Rector’s Office, the decision-making and advisory bodies of the university’s structural units, and other bodies formed in accordance with the university’s legal acts are recorded in minutes. [effective as of 16 July 2018]

251. The minutes include:
   251.1. the time (date, beginning and end) and place of the session or meeting,
   251.2. participants,
   251.3. agenda,
   251.4. the issues discussed and the proposals submitted,
   251.5. the decisions adopted,
   251.6. voting results if a matter was decided by vote,
   251.7. dissenting opinions.
   [effective as of 16 July 2018]

252. In the case of an electronic meeting, the minutes include the date or time period of the meeting. [effective as of 16 July 2018]

253. The minutes are signed by the chair of the meeting and the recording secretary unless otherwise provided in legal acts. The chair of the meeting is responsible for the accuracy of the content of the minutes. [effective as of 16 July 2018]

26. The minutes shall be prepared and registered in the document management system within five work days starting from the date of the session or meeting. The minutes of the university council must be prepared and registered in the document management system in accordance with the council’s rules of procedure and the senate’s minutes in accordance with the senate’s rules of procedure. The recording secretary is responsible for the appropriate preparing and registering of the minutes.

V. Registering documents

27. The head of a structural unit manages and is responsible for the registration of the documents created and acquired when performing the tasks of the structural unit in the document management system.
28. The documents are registered on the day of their signing, receipt or release or the following work day.

29. The documents are registered in accordance with the guidelines of the document information system. [effective as of 16 July 2018]

30. The head of the structural unit which manages the document management system ensures that the guidelines for registering documents are available and up to date and accessible.

31. When a document signed on paper is entered in the document management system or a document created in the document system is signed on paper, the person who registers the document is responsible for the sameness of the digital text and the content of the document signed on paper.

VI. Document circulation, terms of resolving documents and notification

32. Document circulation in the university is managed by the head of Administrative Office in accordance with these rules.

33. The term of resolving a document received by the university is one month unless stipulated otherwise in a legal act or the document. The term of resolving an internal document of the university is 10 workdays unless assigned otherwise by the person who submitted the document. The term of resolving a document must be at least three work days.

34. A document registered in the document management system is sent via the document management system to all relevant persons for information or compliance. [effective as of 16 July 2018]

VII. Document systems

35. The university’s documents are stored in at least one university document system. The university can store its documents in the state database pursuant to the contract.

36. The list of the university’s documents is established by the director of administration. The list of documents determines:

36.1. the document classification scheme where each sequence has information about:

36.1.1. the document system where the document is registered and stored;

36.1.2. the term of preserving the document, and the appraisal decision of the National Archives of Estonia; [effective as of 16 July 2018]

36.1.3. restriction on access to the document and basis for setting the restriction;

36.1.4. the data carrier where the document is recorded;

36.2. the university’s central digital data carriers, work flows and work environments which include the following information:

36.2.1. the software used;

36.2.2. the purpose of maintaining;

36.2.3. short description of the content;

36.2.4. type (rewritable data or not);

36.2.5. time limit of the data;

36.2.6. making hard copies;

36.2.7. term of preserving.

37. The university’s document systems and the structural units that manage them are as follows:

37.1. document management information system (DHIS)—the Administrative Office;

37.2. study information system (SIS)—the Office of Academic Affairs;

37.3. the personnel and finance information system (PRIS)—the Personnel Office and Finance Office;

37.4. property management information system (VHIS)—the Estates Office.
VIII. Access to documents

38. According to restriction on access, the university’s documents are divided as follows:
   38.1. documents intended for use within the institution (marked AK);
   38.2. documents with no restriction on access (no mark).

39. Documents intended for use within the institution (AK) are the university’s internal correspondence, drafts of legal acts before they are submitted for coordination or adoption, work-related memos and opinions, documents of the Rector’s Office, documents of the structural units’ governing bodies, documents which include personal data, and other documents pursuant to legal acts.

40. All other documents have no restriction on access and they are available to the university employees and other people related to the document via the corresponding document system. Documents with no restriction are made available to non-university people on the university’s website or are issued to them on the basis of a request for information.

41. In case of restricted access, the document and its metadata are marked with AK and the term and legal basis of the restriction are noted. If access to different parts of the document is restricted on different basis, all legal bases of restriction must be shown on the document and in its metadata. If the terms of the access restrictions are different, the most distant final date for restriction on access will be shown as the expiry date of restrictions on access. [effective as of 16 July 2018]

41\(^1\). The person who prepares the document or, in the case of a received document, the person who registers it, is responsible for establishing the restriction on access to the document based on the content of the document and the goal of the restriction on access. [effective as of 16 July 2018]

42. University employees are ensured access to documents which they require for work via the document system. [effective as of 16 July 2018]

43. Granting access to documents marked with AK is managed by the head of the structural unit which manages the document system. Access is granted by an employee appointed by the head of the structural unit which manages the document system or the head of the structural unit where the document is registered.

IX. Seals, their storage and usage

44. The university uses the following seals:
   44.1. the university seal,
   44.1\(^1\). the university electronic seal, [effective as of 16 July 2018]
   44.2. the faculty seal,
   44.3. the university institution seal,
   44.4. [repealed as of 1 September 2016]
   44.5. the rector’s seal of office Universitatis Tartuensis Sigillum Rectoris.

45. The head of Administrative Office manages the ordering, registering, issuing, collecting and destroying of seals or transferring seals to the university museum. The chief information technology officer organises the ordering of the electronic seal. [effective as of 16 July 2018]

46. The authenticity of a document can be verified with an impression of the seal only in case of a document with original signature or the transcript, copy, extract or printout of a document with an original note of attestation or the full text of legal acts. The electronic seal is used to attest documents in a form that can be reproduced in writing. [effective as of 16 July 2018]

47. The university seal is used to attest diplomas, academic reports and other documents, if necessary.
48. Document transcripts, copies, extracts and hard copies can be attested by the secretaries of the rector, vice rectors, director of administration and head of finance, the chief archivist, an employee appointed by the head of Administrative Office, heads and secretaries of the dean’s offices of the faculties, secretaries of university institutions, secretaries of councils and secretaries of institutes, colleges and support units.

49. The faculty seal can be used to attest all documents and copies, printouts, transcripts and extracts of documents issued by the faculty or its structural units; an institution’s seal can be used to attest documents and copies, printouts, transcripts and extracts of documents issued by this institution. The university seal can be used to attest all documents and copies, printouts, transcripts and extracts of documents prepared and signed at the university. Electronic documents are attested using an electronic seal. Electronic copies, transcripts and extracts are attested using an electronic signature or electronic seal. [effective as of 16 July 2018]

50. Copies of diplomas and academic reports are attested by an employee appointed by the head of the Office of Academic Affairs and it is attested with the university seal. Copies of these documents for students from colleges not in Tartu are attested by an employee appointed by the head of the dean’s office of the faculty. [effective as of 1 September 2016]

X. Transfer of documentary procedure and documentation

51. Documentary procedure and documentation is transferred on the basis of an act upon the termination of employment of the rector, vice rector, head of a sphere of responsibility, dean, the head of a structural unit or the secretary or a person acting in the capacity of the secretary of a structural unit, or upon the dissolution or reorganisation of a structural unit. [effective as of 16 July 2018]

52. The transfer of the documentary procedure and documentation of the rector, vice rector, head of a sphere of responsibility, a faculty’s dean’s office, a non-faculty institution and support unit is organised by a committee which comprises the recipient of the documentary procedure and documentation, the transferor, an employee appointed by the head of Administrative Office, and the secretary of the transferring person or structural unit or a person acting in the capacity of secretary. The transfer of a structural unit’s documentary procedure and documentation within the faculty is organised by the head of the dean’s office. The transfer of the documentary procedure and documentation of the secretary of a structural unit or a person acting in the capacity of a secretary is organised by the immediate superior of the employee, and the transfer committee must include an archivist of the university. [effective as of 16 July 2018]

53. The act of transfer includes
   53.1. a list of ongoing contracts in the transferor’s sphere of work;
   53.2. a list of documents (drafts) in approval and in progress;
   53.3. a list of files to be transferred;
   53.4. a record and impression of the seal and the types and amount of templates;
   53.5. a list of assignments in progress;
   53.6. in case of a new head of structural unit, the list of employees and state of the budget.

XI. Organisation of documents

54. There is a list of files of documents created in the structural unit and received by the unit. By 1 March every year, the head of a structural unit submits to the employee appointed by the head of Administrative Office their structural unit’s lists of files which have been updated with data on documents created in the documentary procedure during the previous year. [effective as of 11 April 2016]

54. The head of a structural unit appoints a person in charge of keeping the list of files and arranging the archive in the unit. [effective as of 16 July 2018]
55. Every third year the documents are organised and documents on paper are transferred to the employee appointed by the head of Administrative Office with an act. If there are suitable conditions, the head of Administrative Office may grant the structural unit the permission to store paper documents on site in the unit. [effective as of 16 July 2018]

56. By 10 January every year, the employee appointed by the head of Administrative Office prepares a schedule for the organisational works in the archive and notifies the heads of relevant structural units.

57. Expired documents with no archival value shall be destroyed. Once a year the employee appointed by the head of Administrative Office prepares the report of destruction of documents and notifies heads of structural units. If necessary, the employee appointed by the head of Administrative Office may extend the retention period of individual documents on the proposal of the head of a structural unit. [effective as of 11 April 2016]

58. Documents are destroyed regardless of the data carrier. The employee responsible for the organisational works in the archive, appointed by the head of a structural unit, destroys the paper documents in the report of destruction during one month after the report of destruction has been registered. The destruction of digital documents is managed by the head of Administrative Office.

59. The university keeps personal files of employees on paper. If the personal file is submitted electronically, a corresponding note is made in the file. [effective as of 1 January 2017]

60. [repealed as of 1 January 2017]

61. The employee’s personal file includes:
   61.1. employment contract(s) with annexes and supporting documents (employment contract draft, proposals etc.), incl. a notice of redundancy to the employee upon redundancy (with the employee’s signature);
   61.2. when applying for an academic position, the documents stated in the terms of the competition;
   61.3. decision of accreditation for teaching and research staff;
   61.4. CV and educational documents for non–academic staff;
   61.5. request and approval for competing activity;
   61.6. copies of directives of recognition of the employee;
   61.7. warning(s) issued to the employee together with supporting documents and a confirmation signed by the employee about receiving the warning and the employee’s letter of explanation if available.

62. There is only one personal file for each person. The file is reused if an employee returns to their position and new documents are added to the file. [effective as of 1 January 2017]

**XII. Implementing provisions**

63. I hereby repeal the Documentary Procedure Rules approved by Decree no. 1 of 7 May 2010 and amended by Decree no. 8 of 5 April 2010, Decree no. 3 of 7 February 2011, Decree no. 8 of 8 March 2012 and Decree no. 26 of 25 March 2014.

64. The Decree takes effect on 1 January 2016.