

DOCUMENT MANAGEMENT POLICY

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The Central European Service for Cross-border Initiatives has defined its document management policy as follows.

I. INTRODUCTORY PROVISIONS

1. Objective of the instruction

The objective of issuing the Document Management Policy is to establish an appropriate system for the management of documents generated and received by the Central European Service for Cross-border Initiatives (hereinafter referred to as the Association), thus enabling the efficient and rapid resolution of the tasks of the Association and the effective control of its document circulation.

2. Application area

The application area of the Document Management Policy concerns public documents generated by the Association. The management of classified documents shall be governed by specific rules.

3. Applicable legislation

Act LXVI of 1995 on Public Records, Public Archives, and the Protection of Private Archives, Act C of 2000 on Accounting, Act CLV of 2009 on the Protection of Classified Data, Act CXII of 2011 on Informational Self-Determination and Freedom of Information, Act CXLIII of 2015 on Public Procurement.

II. GENERAL DEFINITIONS

1. **Document:** a set of recorded information or data, whether on paper, microfilm, magnetic, electronic or any other medium, generated by or received by an organisation or in the course of the activities of a person, to be treated as a single unit; it may contain text, data, graphics, sound, images, moving images or any other form of information or a combination of these. The classification of documents also includes data recorded by machine processing, paper, magnetic and electro-optical media (e.g. punch cards, magnetic disks), telegrams and microfilm.

Accounting and financial documents, newspapers, journals, periodicals, newspapers, books, advertising and propaganda publications are not to be treated as documents.

- 1.1. **Incoming document:** any document received at the address (name) of the Association and its employees by post (P.O. Box address) or by courier, electronic mail (fax) or computer.
- 1.2. **Outgoing document:** any document sent by the Association by post or other means.

- 1.3 Transit document: a document which, on the basis of a signature, is sent by the department entitled to take action to another department for the purpose of opinion or information sharing.
- 1.4. Public document: any document which belongs or has belonged to the archives of a public body, irrespective of the date of its creation and the place where it is kept.
- 1.5. Private document: a document which belongs to the archives of a body other than a public authority and which is the property of a natural person.
- 1.6. Unprofessional document: correspondence addressed to an individual, the address of which begins with the name of the individual and does not include the name of any of the Association's departments. This document management instruction does not extend to these documents.
- 1.7. Classified document: a document containing data or information classified by law as a State, official or trade secret.
- 1.8. Electronic document: a document created, received or transmitted by electronic means and stored on a computer medium, recorded in electronic form using a computer program.
2. Archives: all the documents created or received by the Association in the course of its activities and which belong to the archives for their intended purpose.
3. Filing room: a room or rooms suitably designed and equipped for the professional and safe custody of filing material.
4. Document management: the activity of preparing, recording, organising, sorting for disposal, providing with aids, professional and safe custody, making available for use, scrapping and archiving of documents. (Act LXVI of 1995, § 3 (h)).
5. Receipt: the administration that allows one to determine when and what type of mail has been received by the Association.
6. Filing: registration of documents, assigning them a file number.
7. Filing number: the identification number given by the record manager.

Subheading: a number used to indicate the number of documents within a file number.

A certified filing book, opened annually, must be used for filing purposes.

The document must be provided with a file number and other identifying information. The filing number of letters, reports and fax documents should be the consecutive serial number beginning with the letter "I" for each year, and the identification number in case of tenders. The file numbers on the documents must be supplemented by the year and the letter 'T' for fax messages.

Contracts relating to orders to be carried out by the Association are marked with the symbol MSz and the serial number separated by a "/".

To indicate sponsoring contracts that support the Association, the symbol TSz is used as above.

The consecutive serial number of the administration (filing book) shall be indicated by the separation of incoming "B" and outgoing "K" and application files with the letter "P". Documents received by the Association may be filed only once and each document may have only one file number.

8. Document binding: in the case of a document already received from the same organisation or person in the same subject area (preceding document) and registered in a previous period, the file number of the new document (follow-up document) must be indicated, where appropriate, and the file number of the appropriation must be referred to in the file book entry of the follow-up document.
9. Filing clerk: a designated employee of the department who performs the specific tasks of filing, as described in their job description.
10. Archive plan: a list on the basis of which documents are preserved, organised and sorted for the purpose of disposal, which classifies the archival material into archive items (subject groups, and sometimes types of documents) in a system that is adapted to the organisation of the Association, and determines the period of retention for administrative purposes of documents belonging to the archival items that can be disposed of, as well as the deadline for the transfer of documents that cannot be disposed of to the archives.
11. File item number: the number of each item group/item as defined in the File Plan.
12. Document management guides:

Register: A certified document register opened and closed each year to record the administrative documents (submissions, publications, internal administrative documents) generated (generated, addressed to and kept by the company) in the course of the normal operation of the company. It shall be kept for an unlimited period!

13. Mail: letters, notifications, brochures, press products, parcels, etc., not treated as documents, which occur in the mail order business.
14. Package: a quantity of paper that exceeds the size of a letter envelope, or a consignment that exceeds the weight limit but is the size of a letter envelope, and is a form for the transport of documents, printed matter or small technical goods.
15. Telegram, fax: expedited communication, sent by post or fax, essential for the functioning of the Association's departments.
16. Document of lasting value: a document containing data of economic, social, political, legal, defence, national security, scientific, cultural, technical or other importance, essential for research, knowledge and understanding of the historical past, for the continuous performance of public duties and for the exercise of citizens' rights, which cannot be obtained from other sources or only partially from other sources.
17. Archives: an institution established for the purpose of ensuring the permanent preservation, archival processing and proper use of documents of lasting historical value.

III. CASE-FILE MANAGEMENT

1. Document management

The professional management of document management tasks and activities is the responsibility of the head of the Association, while the Association's administrative administrator is responsible for the proper and complete management of the Association's documents.

The duties of the administrative administrator are:

- receiving documents and correspondence;
- opening and dispatching documents,
- preparing and posting documents and dispatches for mailing,
- managing the archives.

2. Receipt of documents

Documents sent to a postal address or delivered by hand must be received by the filing clerk (administrator). Outgoing letters and other mail shall be handed over to the filing clerk for filing and forwarding by post or delivery. Documents received with classification may be received by the person responsible for confidentiality.

The "s.k." must be forwarded to the addressee without opening and with documentation for opening, which must be registered after receipt of the consignment.

Mail received mistakenly shall be forwarded to the consignee or consignor without delay.

The mail received (fax) shall be handed over dated to the Secretary-General for their administrative assignment.

In the case of incorrect opening of mail, the person opening the mail shall document the receipt and the fact of opening, indicating the date, and shall ensure that the mail is delivered to the addressee.

When opening the consignment, the presence and legibility of the marked attachments must be checked. The presence of any problems should be recorded and the sender should be informed.

Documents received electronically shall be checked for openability (legibility) before filing:

- If the document cannot be opened with the available means, the sender must be informed within three days of receipt of the illegibility of the document and of the rules for receipt by electronic means by the public authority /These documents need not be filed/.
- If only certain elements of the document cannot be opened by the means available, the sender shall be informed within three days of the illegibility of the elements and of the rules for receipt by electronic means used by the public authority and of the need and possibilities for completing the document.

Only the addressees may accept money and value items.

If, on opening, it is found to contain money or other valuables, the person opening the consignment shall indicate the amount or value of the consignment on the documents or in a

note attached to the document and shall hand over the money, stamps and other valuables to the person responsible for financial management against receipt. The receipt shall be attached to the document.

Where the date of submission of the document is or may be subject to legal consequences, care shall be taken to ensure that the date of submission can be established by a third party.

- In the case of a paper document, the date of submission may be established by attaching the envelope.
- In the case of a document received electronically, the date of receipt shall be deemed to be the date of submission.
- If the name or exact address of the person submitting the document cannot be established from the document, documents confirming these data must be attached to the document.

All mail received must be registered.

Electronic documents may be received or sent on a computer medium (floppy disk, CD-ROM, etc.) only with a paper accompanying document. The medium and the accompanying document shall be treated as a document and as an annex. The accompanying document must indicate, in addition to the addressing information, the subject of the document(s) on the computer storage medium, the file name, the type of file, whether it has an electronic signature and the parameters of the medium. The accuracy of the identifiers on the accompanying document must be checked on receipt.

3. Filing

After the administrator's designation (signing), the letters received and the application materials before the handovers must be filed with the stamp and file number as per Annex 2. Outgoing letters (documents) must be filed and stamped with the Association's stamp after signature.

A register must be kept of the documents, opened each year and closed at the end of the year, indicating on the cover page the name of the Association and the year of registration, as well as the opening and closing filing numbers. The register must be kept in batches and must indicate the date of receipt or dispatch, the filing number, the name of the sending organisation or person, the subject of the case-file, the deadline for completion of the file, the name of the person responsible and the batch number of the file.

Items received without being filed shall be forwarded to the interested parties with the date indicated.

In order to facilitate the management of the register, an administration of the files may be kept. The subject and file number of the file in the register shall be entered in the appropriate alphabetical field.

The register shall be closed on the last working day of the year after the last document has been filed.

In the case of a manual register, the closing shall underline the last number used for filing and shall be authenticated by signature after the date and by the stamp of the circular.

The filing clerk shall register the documents on the day of receipt, but no later than the following working day.

Time-sensitive documents, telegrams, express mail and documents marked 'urgent' containing measures taken ex officio shall be filed in priority.

In the event of an error in filing, the entry in the manual register shall be cancelled by crossing out the entry in such a way that the fact of cancellation is not contested, while the original entry remains legible. An incorrectly issued registration number cannot be reused.

No number shall be left blank in the manual register, nor shall the pages used be glued together, nor shall the data entered be erased or rendered illegible in any other way. If a correction is necessary, the incorrect entry or number must be crossed out with a line so that the original record remains legible. The correction must be dated and signed.

4. Signing

The filing clerk shall hand the document received over to the head of the office, who shall designate the person in charge (signing).

The person responsible for signing the document shall specify any specific instructions (tasks, time limits, degree of urgency, etc.). These shall be set out in writing, indicating the time of signature.

5. Publication

Documents to be sent to an outside body or person may be signed as publication by the President and the Secretary-General.

Documents may be sent to an outside body or person only in certified form.

A document shall be certified if:

- it is signed in the handwriting of the competent person drawing up the document, or the name of the person drawing up the document is followed by the initials "s.k." is signed by the person authorised to authenticate the document, and
- the signature of the drawer or the authorised person is accompanied by the official stamp of the body.

In the case of reproduction by a printing company

- the name of the drawer must be followed by 's.k.' or a specimen signature of the publisher (signature stamp) and
- the stamp of the issuing body.

The administrator is authorised to issue paper copies of documents received by the Association, subject to authentication.

An administration shall be kept of the stamps and valid signature stamps used for issuing documents.

6. Expediation

The administrator should check that all issuing instructions have been carried out on the certified documents and that the annexes have been attached. Once this task has been completed, the information relating to the registration and transmission should be documented.

The consignments should be grouped according to the method of transmission (postal service, special delivery, courier service, etc.).

7. Manual register

Documents for the year under review shall be collected by the administrator or shall be stored in a secure manner by the parties concerned. Proper and orderly storage (filing) of documents from the previous year must be ensured by the administrator responsible for the management of the documents.

The archives shall contain the originals of incoming documents and copies of outgoing documents, separated by year, with the chronological order of the batch number and the annual registers and indexes of the documents.

Documents in the archives may be released only on presentation of an acknowledgement of receipt and subject to a time limit for return.

8. Transfer of documents

The transfer of registered and filed documents generally takes place when there is a change of organisation or person or when the archives are requested, and a record of this transfer must be kept. Prior to the transfer of records to the archives, a register of items that cannot be discarded according to the filing plan and of items with expired retention periods must be drawn up. The filing register shall indicate the subject of the file, the filing number, and the year of preservation by batch number. The minutes shall indicate the receiving as well as the transferring organisation, the date of transfer, the documents transferred, separated by year, the subject, file number and quantity (number of boxes) of the files, the number of indexes and the number of registers belonging to the files.

9. Scrapping, archiving

On a proposal from a committee of at least three members appointed by the President, the files may be disposed of at the end of the period laid down in the filing plan. The scrapping of documents shall be the subject of a scrapping report, signed by the members of the scrapping committee and bearing the stamp of the body's circular stamp, which, after being filed, shall be forwarded to the competent archives for authorisation to scrap.

The archives shall authorise the destruction of the documents, after carrying out the necessary checks, by means of a stamp on the copy of the report returned.

The President shall ensure that the destruction is carried out in compliance with data protection and security requirements.

The documents to be transferred to the archives, together with the case management guides, shall be transferred at the expense of the transferor, in accordance with the filing plan, accompanied by a transfer report, with a list of items by transfer unit (box, parcel, etc.) annexed to it, in complete, sealed volumes. A specific list of retained files shall be drawn up.

IV. FILING PLAN

The filing plan shall be drawn up for each type of file of the Association, classified by subject and indicating the period for which the files are to be kept. The retention period of the documents shall be indicated by the batch number of the filing plan at the time of filing. The Association's filing plan is set out in Annex 1.

V. FINAL PROVISION

The Association shall revise its rules on the management of its files annually in order to take account of any changes in the relevant legislation.

Date: Budapest, 5 May 2010.

Dr. György Kocziszky

The amendments were adopted by General Assembly Resolution 13/2020 (IX. 14.).

Budapest, 14 September 2020.

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Dr. Tamás Tóth
President

FILING PLAN
For the preservation of the documents of the Central European Service for Cross-border Initiatives

Archival reference code	Domain	Retention period	Archived/Filed
ADMINISTRATIVE MATTERS			
1.	Documents relating to foundation, transformation, dissolution	Not scrappable	15 years
2.	Rules, internal instructions	Not scrappable	15 years
3.	Damages, penalties, infringement cases	10 years	
4.	Litigation cases	10 years	
5.	Investigation and control cases	10 years	
6.	Strategic plans	Not scrappable	15 years
7.	Long-term plans	Not scrappable	15 years
8.	Annual plans	Not scrappable	15 years
9.	Other plans	5 years	
10.	Legal advice cases	10 years	
11.	Internal audit cases	10 years	
12.	Property protection cases	10 years	
13.	Work and fire safety cases	5 years	
14.	IT related cases	5 years	
15.	Postal and telecommunications issues	5 years	
16.	Procurement and use of stamps	Not scrappable	15 years
17.	Register, index	Not scrappable	15 years
18.	Records of the transfer and scrapping of documents	Not scrappable	15 years
TENDERS			
19.	Application materials	10 years after grant accounting	
20.	Financial accounting of grants		
21.	Grant decisions		
EVENTS			
22.	Course-related matters	5 years	

23.	Study tour matters	5 years	
24.	Conference and festival organisation matters	5 years	
PRESS AND ADVERTISING			
25.	Advertising and publicity matters	5 years	
26.	Printed press matters	10 years	
27.	Book publishing matters	15 years	
28.	Audio recording	Not scrappable	15 years
29.	Photo, film, TV broadcasting	Not scrappable	15 years
FINANCE			
30.	Account-holding financial institution, signature declaration/ notarised signature	10 years after expiry	
31.	Other bank accounts, signature declaration		
32.	Permit for foreign currency convertibility		
33.	Bank statements	10 years	
34.	Cashier's receipts, reports	10 years	
35.	Transfer powers	10 years	
36.	Annual budget of the Association	Not scrappable	15 years
37.	Investment, procurement	10 years	
38.	Matters of representation	5 years	
39.	Securities purchase matters	20 years	
ACCOUNTING MATTERS			
40.	System of accounts	10 years	
41.	Accounting documents	10 years	
42.	General ledger extracts	10 years	
43.	Accounting balance sheet, profit and loss statement, report of public-benefit activity	Not scrappable	15 years
44.	Inventories	10 years	
45.	Statistical data services	10 years	
46.	Tax returns	10 years	
WORK			
47.	Leadership appointment	Not scrappable	15 years
48.	Employment contract,	50 years	

	employment documents		
49.	Service agreements	10 years after expiry	
50.	Wage-setting cases	20 years	
51.	Work certificates	10 years	
52.	Work schedule matters	10 years	
53.	Matters related to sickness, holidays	10 years	
54.	Pension matters	20 years	
55.	Other staff or employment matters	10 years	
OTHER MATTERS			
56.	General correspondence	5 years	

Annex 2

THE ASSOCIATION'S FILING STAMP

Central European Service for Cross-border Initiatives

Central European Service for Cross-border Initiatives		Reference number:
Date:	Desk officer:	
Deadline:	Number of annex:	Archival reference code: