

{ } University of Hradec Králové

# **Filing and Shredding Regulations**

Hradec Králové

2018

**Filing and Shredding Regulations**

## **Art. 1**

### **Introductory Provisions**

- (1) In order to execute Section 66 (1) of Act No. 499/2004 Sb. on Archives and Records Management and on amendment of certain acts, as amended (hereinafter, the "Archives Act"), the University of Hradec Králové (hereinafter, the "UHK") issues the present Filing and Shredding Regulations (hereinafter, the "Regulations") that are a complete aid for execution of the records management with the primary application of the Archives Act and Decree No. 259/2012 Sb. on details of execution of the records management, as amended (hereinafter, the "Records Management Decree").
- (2) The Regulations define the execution of the records management comprising assurance of professional management of documents delivered and originating from the UHK activity, encompassing their proper acceptance, registration, distribution, circulation, handling, execution, signing, sending, storing in the Registrar and Registry and removal in periodical discarding procedures pursuant to the retention indicators and periods.
- (3) An integral component of the Regulations is the Filing and Shredding Schedule specified in Annex 1 hereto.
- (4) Basic terms of records management are defined in Annex 2 hereto.
- (5) For the purposes of these Regulations, documents include all written, graphic, audio, electronic and other records, whether in analogue or digital form, delivered to the UHK or originating from its activity.
- (6) Records management is carried out at the UHK using the Athena electronic records management system (hereinafter, "Athena"). Direct management of Athena is done by an employee of the UHK Registrar and Registry. Technical management of Athena is within the powers of the UHK Centre of Information Technologies.
- (7) Details of registration and handling of specific document types (accounting, personnel, study documents, etc.) and details of work with Athena may be defined by special internal regulations which must not be in contravention

of these Regulations. A list of separate document registers is specified in Annex 3 hereto.

- (8) All documents, both delivered and originating from the UHK activity, are subject to the registration and records management and are termed official. Documents that are not of an official nature are not subject to registration in Athena. Such document types are specified in Annex 4 hereto.

## **Art. 2**

### **Management, Inspection, Responsibility**

- (1) The UHK Archives supervise the records management process and execution at the UHK in professional and methodology terms pursuant to Section 52 of the Archives Act.
- (2) The Regulations are binding for all UHK employees who are in charge of adherence to it to the extent of their records management tasks. Managers of the UHK organisational units are in charge of execution of records management in their respective units.
- (3) In their respective organisational units, managers specified in Para. 2 are responsible notably for
  - a) Observance of these Regulations;
  - b) Proper and timely document handling;
  - c) Proper use of Athena;
  - d) Correct file handling and registration;
  - e) Keeping of reference registries;
  - f) Compliance with prescribed requirements and periods for file transfer to the UHK Registry.

Managers shall consult any defects identified immediately with document handlers and specify methods and dates for elimination of such defects.

- (4) The manager of each organisational unit has to appoint at least one employee who has access to Athena and handles documents in the system for the institution.

## **Art. 3**

### **Document Receipt**

- (1) The UHK receives documents delivered in the Registrar and Registry Department. Documents may be delivered
  - a) By a postal licence holder;
  - b) By personal delivery;
  - c) By a courier;
  - d) By means of databoxes;
  - e) To the electronic address of the Registrar and Registry.
- (2) The Registrar and Registry for delivery of documents under Para. 1, items (a) to (c) is located at: Rokitanskeho 62, 500 03 Hradec Králové. The UHK databox identifier under Para. 1, item (d) is: k3xj9dz. The electronic address of the Registrar and Registry under Para. 1, item (e) is: epodatelna@uhk.cz.
- (3) Documents delivered in person are accepted by the Registrar and Registry in paper form and on portable technical data carriers, an updated list of which is shown on the website [www.uhk.cz](http://www.uhk.cz), including their technical parameters.
- (4) Information about the Registrar and Registry operation and requirements for document receipt are published on the website [www.uhk.cz](http://www.uhk.cz) to the extent specified by the Records Management Decree.<sup>1</sup>
- (5) The Registrar and Registry checks whether the documents delivered are in fact addressed to the UHK. If it identifies an incorrect document delivery, it shall return it to the postal licence holder or any other document deliverer who has delivered it to the Registrar and Registry. In the case of a document delivery in digital form by means of a databox, it shall inform the sender about wrong delivery of the document to a wrong addressee. The Registrar and Registry shall proceed analogously in the case of a wrong document delivery to the electronic Registrar and Registry address if the sender and

---

<sup>1</sup> Section 2 (3) of Decree No. 259/2012 Sb. on Details of Records Management, as amended by Decree No. 283/2014 Sb.

their contact details can be identified.

- (6) The Registrar and Registry determines whether the document delivered in analogue form is complete and legible. Completeness of a document delivered refers to the full number of sheets specified by the sender and existence of attachments shown. Legibility refers to the document condition that enables clear perception of the written and similar content of the document without any doubt about its comprehensibility.
- (7) If the Registrar and Registry finds out a document delivered in analogue form is incomplete or illegible, and if it is capable of determining the sender of the document and the sender's contact details, it shall inform the sender about the identified document defect and set further steps for its elimination in accordance with the described consequences of document defects as published on the website [www.uhk.cz](http://www.uhk.cz). If the Registrar and Registry fails to eliminate the defect of a delivered document in cooperation with its sender, the Registrar and Registry does not continue processing the document as part of records management. If the delivery is incomplete and the sender and their contact details are evident from it, the Registrar and Registry shall include the document in records management.
- (8) If the Registrar and Registry cannot identify the sender of a document delivered in analogue form that is incomplete or illegible and cannot identify the sender's contact details, it shall not process the document as part of records management. The Registrar and Registry shall retain such a document for a period of 60 days after its delivery.
- (9) The Registrar and Registry shall find out whether a document delivered in digital form
  - a) Is complete (similarly to documents in analogue form);
  - b) Can be displayed in a user-perceptible way;
  - c) Does not contain any harmful code;
  - d) Is in a data format in which the UHK accepts documents in digital form.

If a document in digital form is delivered on a portable technical data carrier

on which the UHK accepts documents in digital form, the Registrar and Registry shall check whether the technical data carrier conforms to requirements published for these purposes on the website [www.uhk.cz](http://www.uhk.cz).

If the Registrar and Registry finds out that the results of identification under Paragraph 9 do not allow further inclusion of the document in records management, it shall follow Art. 3, Paragraphs 6 and 7 analogously.

- (10) For filings made in person at the Registrar and Registry, its staff shall confirm the receipt on request with a receipt stamp showing the date of receipt on a document copy.
- (11) Filings made orally have to be officially recorded; once the record is entered in Athena, it is handled as a document.
- (12) Documents submitted outside of the Registrar and Registry have to be given to the Registrar and Registry without delay or otherwise entered in Athena.
- (13) For documents delivered to the electronic address or databox of the Registrar and Registry, the Registrar and Registry shall check the authentication elements (the electronic signature and certificate on which the electronic signature is based, the electronic seal and system certificate on which the electronic seal is based, and the electronic time stamp).
- (14) Using software tools, the Registrar and Registry shall record the findings in Athena. In the case of invalid authentication elements, the Registrar and Registry shall inform the sender thereof, and the document shall be handled as unsigned.
- (15) If the sender's electronic mail address can be identified from the document in digital form, the UHK shall confirm to the sender's electronic address that the document has been delivered.
- (16) Moreover, the Registrar and Registry shall check
  - a) Whether the data formats of documents delivered to the electronic Registrar and Registry comply with the Registrar and Registry operating requirements published. If they do not comply and if they cannot be processed using the UHK's technical facilities, the Registrar and Registry shall inform the sender thereof;

- b) Whether the actual mail contents, including any attachments specified, match the declared contents. The Registrar and Registry shall make an official record on any discrepancies, and file a complaint with the postal service provider as necessary.
- (17) If the Registrar and Registry interprets a document delivered to the electronic address or databox of the Registrar and Registry as an unrequested commercial communication (spam), it shall immediately move it to a data repository for unregistered documents; if it contains any harmful code, it shall destroy it.
- (18) In the case of delivery of technical digital data carriers without any accompanying letter, the Registrar and Registry shall proceed analogously to delivery of electronic documents by remote access.

## **Art. 4**

### **Document Conversion**

- (1) If the UHK is delivered a document in analogue form, the Registrar and Registry or the document processor may convert it, including any envelopes and attachments, to a document in digital form using authorised document conversion or verified conversion (pursuant to Section 69a of the Archives Act), unless it is ruled out by the Regulations, another legal regulation or the factual nature of the document. In such cases, the conversion output shall include a clause containing
- a) The name University of Hradec Králové;
  - b) The number of sheets converted;
  - c) Information about the existence of a watermark, embossed print or embossing, dry seal or embossed stamping, optical variable component, any other security features, plastic lettering or plastic stamp impression, if any;
  - d) Date the clause was made (conversion made);
  - e) Name(s) and surname and position of the person making the conversion;

- f) Electronic signature of the person making the conversion or UHK electronic seal and electronic time stamp.

This provision does not apply to documents for which paper form is required by legislation (e.g., parts of public tender documentation).

- (2) If the UHK is delivered a document in digital form that shall be registered in a separate paper document register, the Registrar and Registry or the document processor may convert the document delivered in digital form to a document in analogue form using authorised document conversion or verified conversion (pursuant to Section 69a of the Archives Act), if the document conversion is technically feasible.
- (3) If the conversion output is a document in analogue form, the Registrar and Registry, or the document processor for unopened envelopes, shall attach to it an identification label with a bar code (hereinafter, an ID label) or a filing stamp impression.
- (4) When converting a document in analogue form to a document in digital form, when changing the data format of a document in digital form or when converting a document in digital form to a document in analogue form, the UHK shall retain the designation of documents being converted for the converted documents as well.
- (5) The UHK shall store analogue documents delivered that are templates for documents converted to digital form for the period of use of converted documents in records management. In case an archive material selection is made for the converted document versions, the UHK Archives have the option to choose stored templates for converted documents as archive materials.
- (6) Non-paper attachments of official documents (e.g., data media sent with an accompanying letter, etc.) are handed over to the processor, who shall make their conversion as necessary and entry into Athena or a separate document register. Entry of digital documents from data media delivered is always done by the processor; it is inadmissible to store official digital documents outside Athena or separate document registers.



## **Art. 5**

### **Opening of Delivered Document Envelopes**

- (1) The Registrar and Registry is authorised to open envelopes with analogue documents delivered with the exception of documents
  - a) With the name of a natural person above the UHK name on the envelope;
  - b) Designated as "to own hands", the acceptance of which has to be confirmed by the document addressee;
  - c) With the words "Do not open" on the envelope.
- (2) If an envelope delivered to the UHK shows the name of a natural person on the first line of the address, the Registrar and Registry shall hand the envelope over to the addressee, or the natural person designated by the addressee, unopened.
- (3) If the address on an envelope delivered to the UHK contains the name of a natural person below the UHK's name or beside it, the Registrar and Registry shall open the envelope and register the document.
- (4) If the Registrar and Registry opens the envelope of a document delivered to a natural person by mistake, it shall immediately seal it again or insert the document in another envelope, which it shall seal. A substitute sealed envelope is authenticated by the signature of a Registrar and Registry employee.

## **Art. 6**

### **Sorting of Documents Delivered**

- (1) As part of its sorting work, the Registrar and Registry shall divide documents into
  - a) Mail to be forwarded to addressees unopened;
  - b) Mail to be opened;
  - c) Mail not registered in the system.

## Art. 7

### Marking of Documents

- (1) Official documents delivered as well as official documents produced by the UHK are registered in Athena or in a separate document register on the day of delivery to the UHK or production by the UHK, and are given a unique records management identifier. The unique identifier is not given to documents that are not subject to registration under these Regulations as specified in Annex 4.
- (2) The unique identifier is inseparably connected with the document it identifies. It contains the UHK name abbreviation and an alphanumeric code.
- (3) Official documents delivered in digital form are marked with a unique identifier (denoted *reference number* in Athena) on receipt, which is connected with the document using the system resources.
- (4) Official documents delivered in analogue form are marked by the Registrar and Registry with an identification label or impression of a filing stamp in the top right corner of the document, unless the location would preclude the document legibility. If the location precludes legibility of its contents, the identification label or filing stamp impression is put on a visible part of the document where no such obstacle occurs.
- (5) If there is concern about disrupting the document integrity and credibility, the identification label or filing stamp impression can be put on a blank sheet of paper attached. In that case, the blank sheet has to be added to the number of sheets of the document or the attachments as the case may be.
- (6) If the envelope is not opened, the Registrar and Registry marks it with an identification label or filing stamp impression so that the identification is visible but does not cover identification details.
- (7) The completed identification label or filing stamp impression contains:
  - a) The name University of Hradec Králové;
  - b) The document delivery date and, if required by another legal

- regulation<sup>2</sup>, also the delivery time;
- c) Reference number assigned by Athena;
  - d) Number of sheets of the delivered document;
  - e) Number of paper attachments to the document and number of sheets of such attachments, or number of volumes of paper attachments;
  - f) Number and type of document attachments if not in paper form;<sup>3</sup>
  - g) Reference number.
- (8) For unopened mail, some of the cells of the identification label or filing stamp whose contents are unknown to the Registrar and Registry remain blank. In such cases, adding information to the identification label or filing stamp is an obligation of the processor handling the matter.
- (9) A template of an identification label and filing stamp impression is shown in Annex 6 hereto.
- (10) The identification label and filing stamp impression must not be completed using an erasable pen, erasable ballpoint pen or similar writing utensils without permanent effect.

## **Art. 8**

### **Document Registration**

- (1) The Athena system is the primary registration device of the UHK records management.
- (2) Specific document types can be registered in separate document registers, listed in Annex 3.
- (3) Documents can be registered simultaneously in various registers if cross references are made.
- (4) Document registration data and their electronic picture if any are forwarded to the respective addressees of the system simultaneously with entry into Athena.

---

<sup>2</sup> For example, Act no. 134/2016 Sb., on Public Procurement, as amended.

<sup>3</sup> For example, CD medium, book or another three-dimensional object.

## **Art. 9**

### **Special Registration Situations**

- (1) Official documents produced by the UHK operation that are not registered immediately after creation (e.g., attendance records, cash books, vehicle logbooks, etc.) may be registered for operational reasons only after they are no longer needed for the operation, before storage in the Registry.
- (2) All documents delivered to the UHK via the databox<sup>4</sup> are automatically entered in Athena and managed therein. The Registrar and Registry shall hand the data message with the applicable files over to the respective processor after registration. At the same time, the Registrar and Registry shall print a data message envelope and hand it over to the processor via internal mail.
- (3) Official documents pursuant to these Regulations delivered to the address of the UHK electronic Registrar and Registry are registered by the Registrar and Registry in Athena. If the Registrar and Registry staff have any doubt about the official nature of the document, they shall forward it to the email address of an employee in charge of the agenda at the UHK, who shall judge the appropriateness of registration of the document in Athena or in a separate document register. The Registrar and Registry employee is then no longer responsible for processing a document forwarded in this way.
- (4) If the UHK employee judges the document delivered to their email address to be official, they shall register it in Athena or a separate document register without delay. Any digital documents delivered shall be attached in the attachment as a file. If the employee does not have access to Athena or a separate document register, they shall ask the Registrar and Registry to register the document, or ask a person in their organisational unit in charge of handling documents in the respective registration device.

## **Art. 10**

### **Document Data Kept in Athena**

---

<sup>4</sup> Decree no. 194/2009 Sb., on Details of Use and operation of the databox information system, as amended.

- (1) The UHK shall specify the following information about a document in Athena:
- a) Document unique identifier (reference number);
  - b) Date of the document delivery to the UHK or the document production by the UHK; the date of the document production by the UHK is the date of registration;
  - c) Delivery time in the case of bids under public tenders;
  - d) Sender identification data; for documents produced by the UHK, the system specifies the name of the user who produced the document;
  - e) Document identification in the sender's document records (typically reference number) if the document contains it;
  - f) Number of sheets in a paper document, number of sheets or volumes of its paper attachments; number and type of attachments in non-paper form; the number and type of attachment for documents in digital form are only quoted if the nature of the document enables their identification;
  - g) Brief document contents (subject matter);
  - h) The UHK organisational unit or employee assigned to handle the document;
  - i) Information on document handling (handling method, addressee identification, date of sending, number and type of attachments sent, filing code and retention mode arising from the retention indicator, retention period or year of entry in the shredding proceeding or other fact that the UHK designates as the trigger);
  - j) Identification whether the document is in digital or analogue form and whether document conversion has been made if any;
  - k) Information whether the document has been included for archive material selection and selected as archive material;
  - l) Identifier assigned by the digital archives to documents in digital form selected as archive material.

## **Art. 11**

### **Document Data Kept in Separate Document Registers**

- (1) The UHK maintains the following information about documents in separate document registers kept in electronic form:
  - a) Unique document identifier;
  - b) Date of the document delivery to the UHK and time of delivery or date of production by the UHK if required by another legal regulation; the date of the document production by the UHK is the date of its registration;
  - c) Sender identification data; for documents produced by the UHK, the system specifies the name of the user;
  - d) Brief document contents (subject matter);
  - e) Filing code and retention mode arising from the retention indicator, retention period or year of entry in the shredding proceeding and any other fact that the UHK designates as the trigger;
  - f) Identification whether the document is in digital or analogue form and whether document conversion has been made if any;
  - g) Information whether the document has been included for archive material selection and selected as archive material;
  - h) Identifier assigned by the digital archives to documents in digital form selected as archive material;
  - i) Document management pursuant to items (a) to (h) can be made by means of linking a separate document register with Athena based on criteria of the national electronic records management standard version in force.
- (2) The UHK maintains the following information about documents in separate document registers kept in paper form:
  - a) Date of the document delivery to the UHK and time of delivery or date of production by the UHK if required by another legal regulation; the date of document production by the UHK is the date of its

registration;

- b) Sender identification data; for documents produced by the UHK, the system shows the word "own";
- c) Brief document contents (subject matter);
- d) Filing code and retention mode arising from the retention indicator, retention period or year of entry in the shredding proceeding and any other fact that the UHK designates as the trigger.

## **Art. 12**

### **Set Time Period**

- (1) The registration numbers in the registration device form a numeric sequence that starts with number 1 and is made of continuous consecutive positive integers. The numeric sequence is maintained from the first calendar day of the time period, which is the calendar year.

## **Art. 13**

### **Reference Numbers and File Numbers from Separate Document Registers**

- (1) The reference number contains an abbreviation of the UHK organisational unit, a serial number of the document registration in Athena, and identification of the set time period (e.g., AUHK/10/18).
- (2) The processor shall mark an official document registered in Athena with a reference number generated by the system in the respective cell of the identification label or filing stamp.
- (3) The reference number in a separate register ZZZ is generated as follows: "Z/XXXX/YY", where "Z" is an abbreviation of the register and "XXXX" is the reference serial number and "YY" is the final two digits of the set time period.
- (4) The processor shall mark an official document registered in a separate document register with a reference number from the register in a structure defined by the filing regulations in the same cell of the identification label

or filing stamp where the reference number is marked.

## **Art. 14**

### **File Establishment**

- (1) The UHK produces a file typically by combining documents or by means of a collective archive if necessary.
- (2) In the case of producing a file by combining documents, the processor registers the new document in the registration device. If a document is registered in Athena, the processor assigns a reference number to it, or if the document is registered in a separate register, the processor assigns a file number from the separate document register. That said, the cross references are recorded in the registration device. The file includes a list of inserted documents with their reference numbers or file numbers from the separate document register, depending on the register type they are maintained in.
- (3) In the case of producing a file by means of a collective archive, the processor registers the initiating document in the registration device along with information about the file origin and, at the same time, registers the initiating document in the collective archive as the first document in the sequence. The following documents in the file are only registered in the collective archive. The collective archive is an integral component of the file, which is not subject to registration as a document.
- (4) A settled file includes a record on its settlement; in case the file is settled by a document, the file includes that document.
- (5) Documents and files in factual categories for which the Filing and Shredding Schedule specifies so, are stored in a standard file. The standard file is marked with a name and other identification as the case may be. Documents and files are ordered chronologically in each section of the standard file.

## **Art. 15**

### **Document and File Circulation**



- (1) The Registrar and Registry distributes documents delivered to the Registrar and Registry using one of the methods specified in Art. 3, Para. 1, items (a), (b) and (c) of these Regulations among the UHK organisational units depending on their factual jurisdiction using internal mail.
- (2) The Registrar and Registry distributes documents delivered by means of the UHK databox using Athena software tools to job positions depending on factual jurisdiction.
- (3) The Registrar and Registry forwards documents delivered by means of the UHK electronic Registrar and Registry to the email address of an UHK employee depending on factual jurisdiction.
- (4) If the Registrar and Registry is forwarding a document in digital form that is the outcome of a document conversion from analogue form, it also forwards the template analogue document for conversion along with the document in digital form.
- (5) If a document is forwarded or distributed wrongly, the UHK organisational unit shall forward the document to the institution of factual jurisdiction.
- (6) Forwarding and distribution of documents among the UHK organisational units takes place directly among them.
- (7) A document in both digital and analogue form may be forwarded simultaneously for comments and addition to multiple UHK organisational units or natural persons by making copies (excerpts) from the document.
- (8) Circulation of documents and files registered in Athena or a separate document register kept in electronic form is automatically recorded by the system in a transaction protocol, containing the following data:
  - a) Forwarding addressee;
  - b) Identification of the job position in Athena that carried out the task;  
and
  - c) Date the task was carried out.
- (9) Circulation of documents and files registered in a separate document register in paper form is recorded on the document or on the file cover. Paragraph 8 applies accordingly for the extent of data recorded.

## Art. 16

### Document and File Handling

- (1) Each document addressee registered in Athena or a separate document register is required to record immediately any steps taken in respect of a document handled (e.g., document acceptance, document settlement, forwarding it to another processor, producing a reply, etc.) and to complete, before concluding the document, all the required data about it in Athena or the separate document register.
- (2) If a document addressee registered in Athena or a separate document register does not have access to these registers, they are required to cooperate on completing the required data (subject matter, sender, number of sheets in a document, number of attachments, number of sheets in an attachment, etc.) with the person charged with handling documents in Athena or a separate document register for the organisational unit in question.
- (3) If the Registrar and Registry has registered in Athena a document that is not official pursuant to these Regulations<sup>5</sup>, the addressee or authorised processor shall use the option "Remove" in Athena.
- (4) An addressee registered in Athena who has received an unopened envelope has to proceed as follows:
  - a) If they find out it is a private document, they mark it as "Private" in the system, and the document is no longer handled by the UHK using any registration device;
  - b) If they find out it is an official document pursuant to these Regulations, they are required to provide data on the document in Athena to the same extent of registration of documents in opened envelopes; the document is then handled just as documents opened in the Registrar and Registry.
- (5) If the addressee does not have access to Athena, they shall take the steps described in Paragraphs 3 and 4 by means of a person charged with handling

---

<sup>5</sup> See Annex 4 hereto.

documents in the organisational unit in question.

- (6) If a document is registered in Athena that belongs, in terms of handling, to a separate document register, the processor shall mark it in Athena with a template denoting handling in the respective separate register and handling method option "Registration Changed". The document is then no longer handled in Athena.
- (7) If it is an official document, the addressee or another designated document processor shall check after its acceptance whether
  - a) The document in analogue form contains a signature in order to authenticate the sender's legal action; the processor proceeds accordingly for documents in digital form using data registered in Athena;
  - b) The data on the document or file are completed correctly in the registration device; if they find any shortcomings or errors in the registration, they shall correct them.
- (8) In addition, the addressee or another designated document processor shall complete the registration, typically by
  - a) Specifying the document subject matter based on its contents;
  - b) Using Athena or based on own knowledge, search whether a file has been established for the matter and whether the file is concluded.
- (9) The document processor leaves the document envelope in analogue form if
  - a) The document is delivered to own hands in accordance with another legal regulation<sup>6</sup>;
  - b) It is necessary for determining when the document was submitted for postal transport or otherwise delivered to the UHK;
  - c) Data shown on the envelope are critical for determining the sender's address;
  - d) The envelope is marked with an identification label or filing stamp

---

<sup>6</sup> For example, Act no. 280/2009 Sb., the Tax Regulations, as amended, Act no. 183/2006 Sb. on Spatial Planning and Building Regulations (Building Act), as amended, Act no. 262/2006 Sb., the Labour Code, as amended.

impression; such envelopes can be removed providing that the processor arranges marking of the document with an identification label or filing stamp impression in the upper right-hand corner of the document, specifying all data identical to those completed by the Registrar and Registry.

- (10) In case there is an open file for the matter, the processor inserts the document in the file.
- (11) In case there is no open file for the matter, the processor establishes a new file. They are required to complete the file registration data, notably the filing code, retention indicator and retention period, and insert all the documents of factual jurisdiction. If there is a concluded file for the same matter, a reference is made to it.
- (12) If the submission cannot be handled within the required period of time (no more than 30 days), the processor shall inform the applicant thereof with a written notification. The procedure is analogous if the document has been forwarded to another entity for handling.
- (13) Depending on the facts, the processor shall mark in the document register one of the following ways of handling the document or the file:
  - a) By a document;
  - b) By forwarding;
  - c) By acknowledgement;
  - d) By a note on the document;
  - e) By changing the registration.
- (14) The document or file processor shall assign and record in the document register, upon the settlement at the latest, a filing code, retention indicator and retention period, and the trigger if any, based on the current Filing and Shredding Schedule. Documents inserted in a file adopt the file filing code.
- (15) For registered mail deliveries, the applicable addressees or another person authorised to receive mail in their name shall confirm the factual document receipt by signing the delivery list.

- (16) After settling the matter, the addressee is required to forward the document or file in full for storage in the reference registry of the respective organisational unit.
- (17) Official document handling and signing must not be completed using an erasable pen, erasable ballpoint pen or similar writing utensils without permanent effect.

## **Article 17**

### **Document Production**

- (1) Every document produced by the UHK and designated for sending contains a header reading "University of Hradec Králové". The UHK registered office address is a part of the footer.
- (2) The processor shall mark the following on a document produced and designated for sending:
  - a) Document reference number if the document is registered in Athena, or file number from a separate document register if the document is registered in that registration device;
  - b) Delivered document reference number or delivered document file number from a separate document register;
  - c) Document signing date;
  - d) Number of sheets for documents in analogue form;
  - e) Number of attachments; in the case of a document in digital form, the number of attachments is given only if the nature of the document allows their identification;
  - f) Number of sheets or volumes of attachments in analogue form; if an analogue document contains attachments in digital or other non-paper form, specify the number and type of attachments;
  - g) Name, surname and position of the natural person authorised to sign the document.
- (3) The processor produces a document designated for sending in analogue or

digital form, based on the document sending rules set in Art. 19.

- (4) In case settlement requires a written reply, the original or duplicate of the original of the reply remains in a file at the UHK as a separate document.
- (5) The UHK sends the addressee of a produced document the duplicate of the original of the document, unless another legal regulation requires otherwise.

## **Art. 18**

### **Document Signing and Use of Official Stamps<sup>7</sup>**

- (1) The signature is placed on the document in the right-hand half of the notepaper. The employee's degree, full name(s), surname and position are identified underneath the employee's signature. The first name always comes first, followed by the surname.
- (2) If a document is not signed directly by the employee in charge, their name or only their position are indicated and the proxy employee appends their own signature with the abbreviation "v. z." in front of it (meaning "by proxy"). If a document (typically duplicate) is not signed with own hand, the signing person puts a "v. r." next to the name (meaning "with own hand").
- (3) If the processor is making a document in digital form that is to be signed with an electronic signature or electronic seal, the fact is indicated in the document with the words "signed electronically" in place of the signature clause.
- (4) If the processor is making a document in digital form that is to be stamped with an official stamp, the fact is indicated in the document with the words "official stamp impression".
- (5) The UHK Rector's Office maintains a register on official stamps containing
  - a) Official stamp impression;
  - b) Name and position of the natural person who has accepted and uses

---

<sup>7</sup> The conditions and powers for document signing and use of official stamp at the UHK are specified in the current version of the internal regulation "Rules for the Internal Governance of the University of Hradec Králové". Rules for signing contractual and accounting documents are set in the current version of a Rector's and Bursar's managing act.

- the official stamp;
  - c) Date of acceptance;
  - d) Signature of the natural person accepting it;
  - e) Date the official stamp was returned;
  - f) Date the official stamp was removed from the register.
- (6) In the event of loss of an official stamp, the UHK records the loss in the register pursuant to Para. 5, containing the date of loss or the assumed date of loss, as appropriate.
- (7) Employees shall report any loss of a stamp to the UHK Rector's Office immediately. The report shall include the date since when the stamp is missing and a description of the stamp.
- (8) The UHK Information Technology Centre maintains a register of the UHK electronic certificates issued by accredited certification service providers, and records in it
- a) Electronic certificate number;
  - b) Electronic certificate type specification;
  - c) Start and end of electronic certificate validity;
  - d) Date, time and reason for electronic certificate invalidation;
  - e) Data on accredited certification service provider;
  - f) Data identifying authorised electronic signature user.
- (9) The holder of a certificate based on which (s)he is using an electronic signature is required to inform the certificate service provider issuing the certificate immediately about any risk of misuse of the said data for making electronic signatures.
- (10) The user of an electronic seal is required to inform the certificate service provider issuing the system certificate immediately about any risk of misuse of the said data for making electronic seals.

## **Art. 19**

## Document Sending

- (1) Documents from the UHK can be sent
  - a) By a postal licence holder;
  - b) By personal delivery;
  - c) By a courier;
  - d) By means of databoxes;<sup>8</sup>
  - e) To the electronic address of the Registrar and Registry or the electronic address of a person appointed for deliveries.
- (2) Regarding a document designated for sending, the processor shall record in Athena
  - a) Data identifying the addressee;
  - b) Number of sheets sent for documents in analogue form;
  - c) Number of sheets or volumes of paper attachment sent, and number and type of non-paper attachments;
  - d) Number and type of attachments for documents in digital form, if the nature of the document enables their identification.
- (3) When choosing the method for sending a settling document, the UHK is required to prioritize sending by means of the databox information system. The processor shall find out using Athena or a separate document register whether the addressee has an active databox. If so and if the nature of the document permits it, the processor is required to send the document to the addressee's databox.
- (4) The following rules apply to documents sent via the databox:
  - a) Permitted formats of data messages are specified by Decree No. 197/2009 Sb., on details of use and operation of the databox information system, as amended;
  - b) Before the sending, the processor marks electronic files designated

---

<sup>8</sup> Section 17 of Act No. 300/2008 Sb. on Electronic Operations and Authorised Document Conversion lays down the obligation to use delivery by means of databoxes with priority in cases where the University acts as a public authority.



for sending with an electronic certificate pursuant to Act No. 297/2016 Sb. on Services Establishing Trust for Electronic Transactions, unless a special regulation specifies otherwise;

- c) The data message sending proceeds automatically by connecting Athena with the databox information system after concluding the document.
- (5) In case the document contains attachments that cannot be sent electronically, the processor completes the shipment in paper form and readies for sending by means of a postal service provider or courier or in a form appropriate for personal delivery.
- (6) Before sending a data message, the document processor arranges for a check for any harmful code.
- (7) Sending of analogue documents that are registered in Athena has to be done exclusively by means of the Registrar and Registry. The Registrar and Registry will not mediate sending if it is not ready in Athena at the same time. Failing that, the Registrar and Registry returns the shipment to the sender. An exception is documents specified in Annex 4, which can be dispatched with the organisational unit manager's knowledge even without registration in Athena under technical conditions specified by the Registrar and Registry.
- (8) The processor shall hand an analogue document designated for sending and registered in Athena in an envelope bearing all the applicable identifiers to the UHK Registrar and Registry in person or via internal mail. Technical requisites for sending of analogue documents and requisites for envelope data are governed by Registrar and Registry requirements. The automatic system Athena provides this functionality in electronic form.
- (9) If sending a document in analogue form, the Registrar and Registry checks the correctness of dispatch by the processor and adds any other requisites to the envelope depending on the chosen sending method.
- (10) Registered mails designated for sending by means of a postal service provider are registered by the Registrar and Registry in a postal check-in sheet.

- (11) Handling of decisions subject to Act No. 500/2004 Sb., on administrative proceedings, as amended, are governed by the said Act and its executive regulations where they differ from the present Regulations.

## **Art. 20**

### **Document and File Sorting as per Filing Schedule**

- (1) In a Filing and Shredding Schedule, which constitute Annex 1 hereto, the UHK specifies an overview of hierarchically arranged factual categories. Each factual category is identified with a filing code; items shown at the lowest hierarchy level contain the retention mode governing document storage. Documents not shown in the Schedule are judged by the nearest related document to that specified.
- (2) The retention mode comprises a retention indicator, a retention period and a trigger if any. The retention indicator expresses the value of the document and file on the basis of its content and marks the method of document or file appraisal during the shredding procedure. The retention period is expressed with a number added to the retention indicator. A retention period is a set time period for which settled documents have to remain stored in the Registry or, in the case of operating need, in reference registries at UHK institutions.
- (3) The retention period is defined as a number of entire years counted from 1 January of the calendar year following the calendar year in which the trigger occurred.
- (4) The processor uses the retention indicator<sup>9</sup>
  - a) "A" (archives) for documents and files of permanent value that enter the discarding procedure as proposed for selection as archive material;
  - b) "S" (shredder) for documents and files without permanent value that enter the discarding procedure as proposed for destruction,
  - c) "V" (selection) for documents and files that are judged in the

---

<sup>9</sup> Decree no. 259/2012 Sb., on Details of Records Management, Section 15, Para. 3.

discarding procedure and proposed for either selection as archive material or destruction.

- (5) The processor shall assign a filing code and a retention mode to a document no later than upon its settlement, based on a factual category pursuant to the Filing and Shredding Schedule effective as of the document or file settlement date. Documents without a filing code assigned and included in a file adopt the filing code of the file.
- (6) A file is always assigned the filing and retention/retention indicator that is attributed to the most highly protected document contained in the file.<sup>10</sup> If a file contains a document with the retention indicator "A", the processor marks the file with the retention indicator "A". If a file contains documents with the retention indicators "V" and "S", the processor marks the file with the retention indicator "V". If a file contains only documents with the retention indicator "S", the processor marks the file with the retention indicator "S".
- (7) If a file contains documents of various dates of origin, the retention period is set based on the most recent document, which is to enter a shredding proceeding the latest.
- (8) For the purposes of assurance of proper functionality of Athena or separate document registers kept in electronic form, the Filing and Shredding Schedule is maintained in electronic form in a structure as per the XML scheme for exporting and importing the Filing and Shredding Schedule set by the national electronic records management standard.

## **Art. 21**

### **Document Storage and Protection**

- (1) When settling a document or concluding a file, the processor is required to
  - a) Complete data in the registration device, notably complete, in accordance with the Filing and Shredding Schedule, the filing code, retention indicator, retention period and trigger if any;

---

<sup>10</sup> That is, if a file contains documents with the retention indicators S5, A5 and A10, for example, the file is given A10.

- b) Check whether the documents are marked with unique identifiers and reference number for Athena documents;
  - c) Check the file completeness based on the document list or collective sheet;
  - d) Check the number of sheets or number of attachments/attachment volumes if shown;
  - e) Ensure saving of all digital documents in the output data format (typically PDF/A);
  - f) Mark storage of registered documents or files in the registration device.
- (2) Settled documents and files in digital form are stored in the electronic Registry of Athena or separate document register which manages the registration data of such settled documents that are stored there complete with attached digital files.
- (3) Settled documents and files in analogue form are stored, after the end of operating need, in reference registries of the UHK organisational units, marked as per the Filing and Shredding Schedule. The reference registries are the responsibility of managers of respective UHK organisational units. An authorised employee of each organisational unit is in charge of correct storage and identification of documents and securing them against damage and loss.
- (4) Settled documents and files in analogue form that are no longer necessary for the organisational unit operation are handed over to the Registry for storage. The Registry ensures management of documents and files handed in until the discarding procedure. An employee authorised with Registry management is responsible for their correct storage, identification, registration and security against damage and loss.
- (5) The UHK uses a Registry log and applicable Athena tools for registration and management of documents handed in the Registry.
- (6) The UHK Archives do methodology supervision over the Registry.
- (7) The Registry depositories have to be properly lockable and have to conform

with prescribed climate, technical and safety requirements pursuant to the Archive Act and its executive regulations. Only an employee authorised with management of the Registry and their direct superior have autonomous access to the Registry and its depositories. Other UHK staff are allowed access to the Registry only in their presence.<sup>11</sup> In the case of long-term absence of the employee authorised with management of the Registry, a substitute has to be appointed.

- (8) Documents and files stored in the Registry may be borrowed only by an authorised employee of the organisational unit in which they were settled. Other UHK employees may borrow documents only with the consent of a manager of the respective organisational unit. Documents can be borrowed off-premises for one calendar month. Each borrowing is recorded in the borrowing register and the borrower confirms its acceptance with their signature. On-premises viewing of documents stored in the Registry is only permitted in the presence of an employee authorised with management of the Registry.
- (9) Documents in analogue form from reference registries of the UHK institutions are typically handed in to the Registry once a year, by 31 March of the calendar year at the latest for the previous calendar year. Documents may be handed in at a different date by arrangement with a Registry employee. Before handing in, document covers have to be identified properly with
  - a) Organisational unit name;
  - b) File contents and temporal scope;
  - c) Filing code;
  - d) Retention indicator and retention period;
  - e) Settlement method.
- (10) Correctness of the identification is the responsibility of the processor handling the file or an authorised employee handing the documents in to

---

<sup>11</sup> This provision does not reasonably apply in the event of a fire or another natural disaster posing a risk of destruction. In such cases, however, the intervening UHK staff are not allowed to inform themselves about the contents of documents stored in the Registry.

the Registry. Each UHK organisational unit uses the Filing and Shredding Schedule for this identification.

- (11) If permitted by operating conditions, documents handed in are modified by removing all metal parts of folders, paper clips, binder wires, plastic clips and covers, etc. However, the structuring into folders, volumes, etc. is retained. The Registry employee specifies the form of documents to be handed in (cartons, bundles, folders, etc.).
- (12) The processor makes a handover report on the handing of documents in to the Registry. The report has to be made in duplicate; one signed copy remains with the organisational unit handing in, and the other is stored by the Registry employee in his reference registry.
- (13) The handover report shall contain the following data:
  - a) Organisational unit name;
  - b) File content and temporal scope;
  - c) Filing code;
  - d) Retention indicator and retention period;
  - e) Date of handover;
  - f) Name and signature of employee handing in and their direct superior, and name and signature of the Registry employee accepting the files.
- (14) If rules for handing documents and files in to the Registry are not observed, in the case of discrepancies in the formal layout of documents or between the handover report contents and the actual situation, the Registry employee is entitled to refuse to accept a file until the defects are eliminated.

## **Art. 22**

### **Document and File Discarding**

- (1) Documents and files in both analogue and digital form are stored in the Registry for the period specified by the retention periods. Documents and files are discarded in the year following the expiry of the document and file

retention periods by means of discarding procedures.

- (2) Discarding refers to assessment and systematic selection of documents and files that are no longer necessary for the UHK in terms of operation or administration. The selection includes decision whether a document is
  - a) Important from economic, political, historic or cultural points of view, has permanent documentation value, thus being archive material and appropriate for archive management;
  - b) Without permanent documentation value and therefore appropriate for destruction.
- (3) Discarding is done exclusive by means of discarding procedures; no official documents or files may be destroyed or handed over for recycling without discarding procedures.
- (4) The provision of Paragraph 3 does not apply for multipliers and copies, advertising printed matter, offerings and other promotional materials delivered to the UHK. Those are not official documents pursuant to these Regulations and are therefore not subject to records management.
- (5) Discarding procedures apply to all official documents for which the retention period has expired and which are no longer necessary for the UHK. Discarding procedures also apply to official stamps and electronic certificates once removed from registers. Organisational units also include in discarding procedures templates for document conversions pursuant to Article 4 hereof.

## **Art. 23**

### **Archive Supervision Over Discarding Procedures**

- (1) The UHK Archives are the archives authorised for supervision over the UHK discarding procedures and selection of archive materials arising from the UHK activity; they are also the repository for the said archive materials.<sup>12</sup>
- (2) The UHK organisational units and the Discarding Committee are required to

---

<sup>12</sup> Section 52 of Act No. 499/2004 Sb., on Archiving and Records Management and Amendments to Some Acts, as amended.

cooperate with the UHK Archives in all aspects of discarding procedure preparation and implementation.

## **Art. 24**

### **Discarding Procedure and Handover of Discarded Document to Archives**

- (1) The UHK Rector appoints a Discarding Committee for the discarding procedure implementation. The Discarding Committee always comprises one representative of each Faculty, one representative of the Rectorate and an employee authorised with management of the Registry. The employee authorised with management of the Registry is always the chair of the Discarding Committee.
- (2) The discarding proposal for the UHK is developed by the employee authorised with management of the Registry notably using documents handed into the Registry and the discarding proposals of the different organisational units.
- (3) If the organisational unit from which documents were handed into the Registry no longer exists, the discarding procedure is attended by an employee of the organisational unit that has taken over the agenda of the discontinued organisational unit.
- (4) If the retention period has expired for a document that has not been handed into the Registry by the UHK organisational unit and its operating need has expired, the authorised representative of said organisational unit has to include the document or file in the discarding proposal for the discarding procedure. It is done by completing a discarding proposal on the applicable form for A, V and S documents.
- (5) If the organisational unit in question has no documents or files with expired retention periods in its reference registry, the authorised representative of the organisational unit informs an authorised Registry employee thereof using the applicable form.
- (6) If the organisational unit in question has any documents or files with expired retention periods in its reference registry but still needs them for its



operation, the authorised representative of the organisational unit informs an authorised Registry employee thereof using the applicable form.

- (7) The authorised Registry employee makes a list of documents and files with expired retention periods for the whole of the UHK. The list contains notably the contents of the documents and files, their dating and retention mode (filing code, retention indicator, retention period and trigger if any).
- (8) Moreover, the authorised Registry employee arranges a list for the discarding procedure for the proposed documents and files registered in Athena or a separate document register in the form of a metadata output following the XML scheme under the national electronic record keeping system standard (hereinafter, the national standard).
- (9) The Discarding Committee then checks documents with expired retention periods that are included in the categories "A" and "S". The Committee sorts documents in the category "V" into "A" and "S".
- (10) After that, the Registry employee makes a discarding proposal divided into lists, which the employee presents to the UHK Archives for assessment after approval by the Discarding Committee. Discarding lists of documents discarded in category "S" and documents discarded in category "A" are made separately. Documents originally in the category "V" are shown separately in these discarding lists.
- (11) On the agreed date, an authorised employee of the UHK Archives makes a professional archiving inspection of documents, stamps and electronic certificates submitted for the discarding procedure. Following the inspection, the UHK Archives develop a discarding report and issue agreement to destroy documents marked with the retention indicator "S" and presents a list of documents and files with the indicator "A" selected as archive material. This decision by the UHK Archives can be protested against within 15 days of accepting the discarding procedure report at the State Regional Archives in Zámrsk.
- (12) Selected documents in analogue form are handed over for permanent storage to the UHK Archives with two copies of the handover report. An analogue document can be replaced with registration and handover of the

- electronic version of the report in Athena or a separate document register.
- (13) Selected documents in digital form and metadata of documents and files in digital form are exported or transmitted from Athena or a separate document register in the format as per the XML scheme of the national standard. The transmission or export is terminated by recording the digital archive identifier in the document and file metadata in Athena.
  - (14) For documents that have been selected for permanent storage in the UHK Archives as part of a discarding procedure, the Registry and the Archives agree a date and method for their physical handover for archive management.
  - (15) Documents designated for destruction in a discarding procedure, documents transmitted to the digital archives and parts of metadata of transmitted and destroyed documents are destroyed. Destruction refers to making documents worthless so that their reconstruction and identification of their contents is rendered impossible; in digital form, their deletion from Athena or a separate document register or from any other repositories as the case may be.
  - (16) The Registry employee makes an entry in the respective registration devices about discarding of analogue documents registered in the Registry log or a separate analogue document register.
  - (17) The Archives employee makes an entry in the Addition Log about the extent of additions to the UHK Archives and their location. At the same time, the employee transmits records on selected archive materials kept so far in an analogue Registry log into the Archives log.
  - (18) The discarding proposal, the UHK Archives discarding procedure report, the discarding permit, confirmation on destruction of documents designated for destruction, and the official record on acceptance of documents designated for archive management are stored simultaneously in the reference registries of the Registry and the UHK Archives.

## **Art. 25**

### **File Separation**

- (1) File separation is carried out upon dissolution or fundamental reorganisation of the UHK and its agendas. File separation always includes a discarding procedure. The discarding procedure discards documents and files with expired retention periods; other documents and files are handed over to the UHK's successor based on handover lists.
- (2) Settled documents and concluded files without expired retention periods that are handed over are recorded on a handover list. The handover report specifies the serial number, filing code, document and file type, date of their origin and quantity (such as "2 volumes"), persons in charge of the file separation and their signatures. Unsettled documents and open files handed over are recorded on a handover list, specifying each file and document, date of their origin, extent (number of sheets and attachments), persons in charge of the file separation and their signatures.
- (3) Unsettled documents and open files handed over are registered newly by the UHK's successor or the successor UHK section established after the reorganisation in its document register as delivered.

## **Art. 26**

### **Records Management in Emergencies**

- (1) In the event of a natural disaster, environmental, industrial or other accident or any other emergency resulting in the UHK being incapable, for a limited period of time, of doing records management in the usual way (hereinafter, "Emergency"), the UHK does records management in an emergency mode in paper form as a filing log (hereinafter, "Alternative Registration").
- (2) Documents are accepted and identified in the emergency mode by the Registrar and Registry or employees of respective organisational units.
- (3) If the Emergency permits, all electronic documents delivered have to be converted to paper form and furnished in that form with an authentication clause containing
  - a) The UHK name;
  - b) Information about existence of security features;

- c) Date of making the authentication clause;
  - d) Name(s) and surname and position of the person making the conversion.
- (4) The Registrar and Registry typically marks the document with an identification label or filing stamp pursuant to Article 7 hereof.
- (5) The Alternative Registration is kept in a paper filing log based on locations of institutions. The Alternative Registration is concluded immediately after the end of the Emergency.
- (6) Provisions of these Filing Regulations apply accordingly to settlement, signing and sending of documents.
- (7) If documents are recorded by the Alternative Registration
  - a) For less than 48 hours, they are moved from the Alternative Registration to ordinary registration;
  - b) For more than 48 hours, they remain registered in the Alternative Registration and only those documents that cannot be settled under the alternative registration and moved to ordinary registration.
- (8) Documents registered and settled under the Alternative Registration are stored in the Registry along with other documents.

## **Art. 27**

### **Inspection Role of the UHK Archives**

- (1) In accordance with Section 52 of the Archives Act as well as Art. 2, Paragraph 1, Art. 21, Paragraph 6 and Art. 23, Paragraphs 1 and 2 of the present Regulations, the UHK Archives carry out supervision over the UHK records management and the UHK discarding procedures.
- (2) As part of their entrusted duties, an authorised employee of the UHK Archives is entitled to carry out an archive inspection at any UHK organisational unit at a time specified by them. As part of the inspection, the UHK organisational units are required to present to the authorised employee of the UHK Archives for viewing all the registration devices

maintained for the purpose of document registration, all paperwork for discarding procedures and any other documents related to records management or discarding procedure organisation, as necessary.

- (3) Likewise, the UHK organisational units are required to inform, upon request, the authorised employee of the UHK Archives about their document registration and storage system, unless defined by the present Regulations. As part of the archive inspection, the authorised employee of the UHK Archives is entitled to view documents handled by the UHK organisational units at random to verify compliance with the present Regulations.
- (4) A written report has to be made on each archive inspection, signed by both parties, and each party keeps one copy of it. The UHK organisational units are required to remedy any shortcomings identified by the date agreed with the UHK Archives.
- (5) Protests against the UHK Archives decisions can be made to the State Regional Archives in Zámorsk. Administrative proceedings commence upon filing a protest.
- (6) In their inspection work, the UHK Archives staff are required to respect the UHK employees' and students' and third parties' rights protected by law and maintain confidentiality about any facts that they learn as part of their inspection work and refrain from abusing the knowledge. This obligation applies during the UHK Archives employee's employment and for five years after its termination.

## **Art. 28**

### **Final Provisions**

- (1) These Filing and Shredding Regulations include the following Annexes
  1. [Filing and Shredding Schedule](#)
  2. [Definition of Records Management Terms](#)
  3. [List of Separate Document Registers](#)
  4. [Documents Exempt from Registration](#)

5. [Accepted Formats for Electronic Filings](#)
6. [Label with Bar Code and Filing Stamp Impression](#)
7. [Registry Handover Report Form](#)

(2) These Filing and Shredding Regulations enter into force on the date of signing and enter into effect on 1 January 2019. They revoke the UHK Filing and Shredding Regulations that entered into effect on 13 June 2011 as Rector's Decree No. 11/2011, and Rector's Decree No. 4/2015 – Amendment to Annexes 1 and 2 to Rector's Decree No. 11/2011.

Hradec Králové, 03 December 2018

prof. Ing. Kamil Kuča, Ph.D.