



POLITECHNIKA POZNAŃSKA

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(RO/1/3/2026)

RECORDS MANAGEMENT INSTRUCTIONS

Poznan University of Technology

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Chapter I

General provisions

§ 1

1. These Records Management Instructions, hereinafter referred to as the "Instructions", set out the detailed rules and procedures for carrying out records management activities at Poznan University of Technology, hereinafter referred to as "PUT", and govern the handling of all records, unless otherwise provided by generally applicable law:
 - 1) from the time records are received by, or created within, PUT until they are either incorporated into the holdings of the University Archives or disposed of; and
 - 2) irrespective of the method of their creation, their physical form, or the information they contain.
2. Documents submitted by employees of PUT in matters relating to their employment (e.g. applications for maternity leave, paternity leave, unpaid leave or parental leave) shall be treated as incoming correspondence to PUT.
3. Heads of individual organisational units shall be responsible for the ongoing supervision of the proper performance of records management activities.
4. Overall responsibility for supervising the implementation of and compliance with these Instructions shall rest with the Deputy Chancellor of PUT.

§ 2

Where ICT systems dedicated to the provision of specific specialised services or the handling of particular matters are used, the provisions of these Instructions shall apply to ancillary records received or created in connection with the operation of such systems, unless the regulations governing the operation of those systems prescribe a different procedure for records management activities. The records referred to in the preceding sentence shall not be entered in the incoming, outgoing or internal correspondence registers, provided that the relevant ICT systems enable equivalent registration to that required for those registers.

§ 3

For the purposes of these Instructions, the following terms shall have the meanings set out below:

- 1) **Electronic Delivery Address (ADE)** – an electronic address of an entity using the public registered electronic delivery service, the public hybrid service or a qualified registered electronic delivery service, enabling the unique identification of the sender or recipient of data transmitted through those services;
- 2) **approval** – the expression of consent by an authorised person to the proposed manner of handling a case or approval of the content of a document;
- 3) **case file** – records, including in particular textual, photographic, graphic, audio, audiovisual or multimedia records, containing information required for the examination of a given case and documenting the course of its handling and resolution;
- 4) **archivist** – an employee or employees responsible for carrying out the tasks of the University Archives;

- 5) **University Archives** – the archives of Poznan University of Technology;
- 6) **allocation** – an annotation indicating the person or organisational unit designated to deal with a case, which may also contain instructions regarding the time limit and method for handling the case;
- 7) **Electronic Submission Box (ESP)** – an electronic submission box within the meaning of the Act of 17 February 2005 on the Computerisation of the Activities of Entities Performing Public Tasks (Journal of Laws of 2025, item 1703), hereinafter referred to as the "Computerisation Act";
- 8) **electronic data carrier** – an electronic data storage medium on which electronic records are stored;
- 9) **head of an organisational unit** – the person managing an organisational unit or another person authorised to perform that unit's duties, including a person holding an independent post;
- 10) **organisational unit** – an organisationally separate unit of PUT;
- 11) **incoming stamp** – stamp impression or printed mark affixed by the registry office to incoming paper correspondence, containing at least the name of PUT, the name of the organisational unit in which the registry office is located, the date of receipt, and space for entering the incoming correspondence register number and, where applicable, the number of attachments;
- 12) **dispatch stamp** – a stamp impression or printed mark affixed by the registry office to outgoing paper correspondence, containing at least the name of PUT, the name of the organisational unit in which the registry office is located, the date of dispatch, and space for entering the outgoing correspondence register number and, where applicable, the number of attachments;
- 13) **document** – information expressed in textual form constituting a separate and complete unit of meaning, irrespective of the medium in which it is recorded, including, for example, a covering letter, memorandum, record, decision or order;
- 14) **case handler** – the person substantively responsible for dealing with a given case and carrying out the relevant records management activities;
- 15) **correspondence** – records received or sent by PUT by any means, including electronic documents transmitted via the Electronic Submission Box (ESP);
- 16) **Public Hybrid Service (PUH)** – the postal service referred to in Article 2(1)(3) of the Act of 23 November 2012 – Postal Law (Journal of Laws of 2025, item 366), provided by the designated postal operator where the sender is a public entity;

- 17) **Public Registered Electronic Delivery Service (PURDE)** – the registered electronic delivery service;
- 18) **registry office** – an organisational unit, including a secretariat, registry or individual workstation, whose staff are authorised to receive or dispatch correspondence; the term also includes a person performing specified records management activities;
- 19) **register** – a tool used for recording individual items of correspondence or documents according to their type or category;
- 20) **incoming correspondence register** – a register used to record, in chronological order, correspondence received by PUT;
- 21) **outgoing correspondence register** – a register used to record, in chronological order, correspondence sent or issued by PUT;
- 22) **electronic data carrier repository** – an organised collection of electronic data carriers on which electronic records are stored;
- 23) **case register** – a paper-based form or an electronic register used to record cases within a file classification category during a calendar year in the relevant organisational unit responsible for handling those cases;
- 24) **case** – an event or state of affairs, including an administrative matter, requiring consideration and the taking of official action or acknowledgement;
- 25) **file folder** – an office file used for storing paper records;
- 26) **Official Acknowledgement of Receipt (UPO)** – an official acknowledgement of receipt within the meaning of the Computerisation Act.

§ 4

1. PUT shall operate a non-journal records management system based on the Uniform File Classification Scheme, hereinafter referred to as the "File Classification Scheme".
2. The File Classification Scheme shall form the basis for the classification, registration and arrangement of records into case files, as well as for the grouping of records that do not form part of case files. The File Classification Scheme is based on the decimal classification system and divides all records created by the University into a maximum of ten first-level classes, defined in general terms and designated by the digits 0 to 9. Within these classes, second-level classes (more detailed subject headings) are established, designated by two-digit symbols formed by adding one of the digits 0 to 9 to the first-level class symbol, thereby creating classes numbered 00–99. Certain second-level classes are further divided into third-level classes designated by three-digit symbols (000–999), which may in turn be divided into fourth-level classes designated by four-digit symbols (0000–9999). The final classes within each subject group, assigned an archival category, correspond to subject file folders bearing the same file classification symbol as the relevant final class in the File Classification Scheme.
3. The Uniform File Classification Scheme shall be introduced for use in agreement with the territorially competent State Archives.

4. The activities referred to in point 2 shall be carried out when a case is initiated at PUT and shall determine the archival classification of the records.
5. PUT shall create and maintain both archival records and non-archival records:
 - 1) Category A denotes archival records which, after a period of 25 years, shall be transferred to the territorially competent State Archives.
 - 2) Category B, followed by Arabic numerals, denotes records of temporary practical value. The numerals indicate the minimum retention period, expressed in full calendar years and calculated from 1 January of the year following the year in which the case was closed.
 - 3) Category BE, followed by Arabic numerals, denotes records which, after expiry of the applicable retention period calculated in the same manner as for Category B records, shall be subject to archival appraisal by the State Archives or a separate archives.
 - 4) Category Bc denotes secondary non-archival records where the originals (or equivalent records) have been preserved, or records of short-term practical value with a retention period of less than one year, calculated in the same manner as for Category B records.

§ 5

1. Where new functions or responsibilities arise in the activities of PUT, the corresponding classes in the File Classification Scheme shall be introduced before records relating to those functions are created or, if this is not possible, immediately after those functions have been assigned to PUT.
2. Amendments to the File Classification Scheme involving the modification of existing classes or the introduction of new classes shall be made in accordance with the procedure applicable to its adoption.

§ 6

1. The File Classification Scheme shall assign an archival category to each organisational unit responsible for handling cases.
2. For the purposes of these Instructions, an organisational unit responsible for handling a case shall mean the organisational unit whose responsibilities include handling and resolving a given case and which, accordingly, opens the case, maintains the complete case file, or groups records that do not form part of case files.

§ 7

1. Where the organisational unit responsible for handling a case cooperates with other organisational units in dealing with that case, it shall notify those units of the case reference assigned to the case.
2. Opinions, memoranda, statements and other records produced as a result of cooperation between organisational units shall be forwarded by units other than the organisational unit responsible for handling the case for inclusion in the relevant case file, using the case reference assigned by that unit.
3. In the circumstances referred to in point 2, a separate case file may also be opened by an organisational unit other than the organisational unit responsible for handling the case.
4. Where the records referred to in point 2 have been assigned a case reference by an organisational unit other than the organisational unit responsible for handling the case, such records shall be classified as Category Bc records.
5. The archival classification of the records referred to in point 4 may be amended by the Director of the competent State Archives.

§ 8

1. Records management activities and the documentation thereof shall be carried out in paper-based form, in particular:
 - 1) case registers shall be filed in the appropriate file folders;
 - 2) allocation and approval shall be made on paper correspondence;
 - 3) all records shall be assembled and stored in file folders.
2. IT tools may be used for the purpose of:
 - 1) maintaining incoming and outgoing correspondence registers and case registers;
 - 2) maintaining registers and records other than those referred to in subpoint 1;
 - 3) making documents available and circulating them within PUT;
 - 4) transmitting correspondence;
 - 5) making allocations, provided that the content of the allocation is subsequently entered on the correspondence together with the date and the signature of the person making the transfer.
3. The use of IT tools referred to in point 2 shall be permitted provided that incoming and outgoing registers, records and case registers are protected against loss by creating daily backup copies on an electronic data carrier other than the one used for storing current data.

§ 9

1. When preparing a copy of a record, all features of the original record shall be preserved. Where the copy is made from the original, the word "Copy" shall be placed beneath the text on the right-hand side. Where the copy is made from another copy, the words "Copy of a Copy" shall be used.
2. Where a certified copy is made from an original, each page of the copy shall be certified by affixing the certification stamp together with the signature of the certifying person and the date of certification.
3. Every copy and certified copy shall be carefully checked by the person preparing it; however, the final verification shall be the responsibility of the case handler.

Chapter II**Receipt, opening and verification of incoming correspondence**

§ 10

1. The registry office shall register incoming correspondence.
2. At the request of the sender, the registry office shall issue an acknowledgement of receipt.
3. Incoming correspondence shall be registered by recording the following information, in any order, in a register maintained either in paper form or electronically:
 - 1) a sequential number;
 - 2) the date on which the correspondence was received by PUT;
 - 3) the title, i.e. a brief indication of the subject matter of the correspondence;
 - 4) the name of the sender;
 - 5) the date appearing on the correspondence;
 - 6) the reference appearing on the correspondence;
 - 7) information indicating to whom the correspondence has been assigned, in particular an individual, an organisational unit or, in the case referred to in § 13, the postal service provider or the correct addressee;
 - 8) the number of attachments, where applicable;
 - 9) any additional information, where necessary.
4. An electronic incoming correspondence register shall enable:
 - 1) sorting of correspondence according to the information referred to in point 3;

- 2) printing a list of correspondence containing all or selected information referred to in point 3 together with the date of printing on each page;
 - 3) saving all or part of the register in a data format enabling the subsequent extraction of the information referred to in point 3.
5. Correspondence of no significance for documenting the activities of PUT, such as greetings cards or advertising materials, need not be registered.

§ 11

1. Upon receipt of correspondence delivered in envelopes or parcels, the registry office shall verify the correctness of the address and the condition of the packaging.
2. Where damage to, or tampering with, a consignment is identified to such an extent that third parties could have interfered with its contents, an appropriate note shall be made on the envelope or packaging and on the acknowledgement of receipt in the presence of the person making the delivery.
3. In the case referred to in point 2, a report on the delivery of a damaged consignment shall be prepared.
4. The immediate supervisor shall be notified without delay of the receipt of any damaged or tampered-with correspondence.

§ 12

1. Paper correspondence shall be registered by the registry office on the basis of:
 - 1) the information contained in the document itself, where the envelope may be opened and the contents examined;
 - 2) the information appearing on the envelope, where the envelope may not be opened.
2. After registering paper correspondence, the registry office shall affix and complete the incoming stamp on the first page of the document or, where the envelope may not be opened, on the envelope.
3. The Rector of PUT shall determine the categories of incoming correspondence that are not to be opened by the registry office.
4. If, after opening an envelope not marked externally to indicate its contents, it is found that the correspondence should not have been opened, it shall be forwarded without delay in the sealed envelope after registration based on the information appearing on the envelope.
5. Where an employee receives correspondence in a sealed envelope and determines that it relates to official business, the employee shall:
 - 1) forward it to the registry office so that the incoming correspondence register may be completed;
 - or
 - 2) perform the duties of the registry office themselves.
6. After opening an envelope, the registry office shall verify:
 - 1) whether it contains any correspondence delivered in error;
 - 2) whether it contains the complete correspondence identified by the reference appearing on the envelope. The absence of attachments or the receipt of attachments without a covering letter shall be noted on the relevant document or attachment, as appropriate.
7. After opening the envelope, a complete digital copy shall be made of all pages together with any attachments and, where appropriate, the envelope, except where correspondence is not scanned due to:
 - 1) the page size;
 - 2) the large number of pages;
 - 3) its content, form or physical format.

§ 13

Correspondence delivered to the wrong recipient shall be returned without delay to the postal service provider or forwarded directly to the correct addressee.

§ 14

1. Upon receipt of correspondence transmitted by electronic mail, an initial screening shall be carried out to separate spam, messages containing malicious software and messages constituting private correspondence. Spam and messages containing malicious software may be removed automatically by software designed for that purpose.
2. Following the screening referred to in point 1, electronic mail shall be divided into:
 - 1) messages addressed to the electronic mail address published in the Public Information Bulletin as the official contact address of PUT;
 - 2) messages addressed to individual electronic mail addresses which :
 - a) are of material significance for documenting the handling of cases by PUT;
 - b) are of a working nature in relation to cases handled by PUT;
 - c) do not document the activities of PUT.
3. The correspondence referred to in point 2(1) and point 2(2)(a) shall be registered, printed, and marked with a completed incoming stamp on the first page of the printout.
4. The correspondence referred to in point 2(2)(b) shall be printed and placed directly in the relevant case file without registration or allocation.
5. The correspondence referred to in point 2(2)(c) shall neither be registered nor included in the case file.

§ 15

1. Correspondence received through the Electronic Delivery Inbox (ESP) shall be divided into:
 - 1) correspondence intended for automatic registration in an ICT system dedicated to the provision of specific specialised services and the handling of particular types of cases;
 - 2) all other correspondence not intended for automatic registration.
2. The correspondence referred to in point 1(1) shall not be registered, provided that the ICT system in which it is processed enables searching and sorting at least by the date of receipt and by the sender.
3. The correspondence referred to in point 1(2) shall be registered, printed together with the Official Acknowledgement of Receipt (UPO), and marked with a completed incoming stamp on the first page of the printout.

§ 16

1. Correspondence submitted on an electronic data carrier shall be divided into:
 - 1) correspondence submitted directly on an electronic data carrier;
 - 2) correspondence constituting an attachment to a document submitted in paper form.
2. The correspondence referred to in point 1(1) shall be registered, printed, and marked with a completed incoming stamp on the first page of the printout.
3. The documents referred to in point 1(2) shall be registered in accordance with § 12, with the incoming correspondence register containing a note that an attachment has been submitted on an electronic data carrier.

§ 17

1. Where it is impossible or impracticable to print the full contents of electronic correspondence or an attachment thereto because of the type of electronic document (e.g. an audio recording, video recording, software or database) or the size of the electronic document (e.g. a document comprising a

large number of pages or requiring printing in a format not supported by the University's equipment), the following procedure shall apply:

- 1) only part of the correspondence shall be printed (e.g. the first page of the document or the document without its attachments) or, where this is also impossible, a note describing the received correspondence shall be prepared and printed, with a completed incoming stamp affixed to the first page of the printout;
 - 2) the electronic data carrier containing the correspondence shall be attached to the printout referred to in subpoint 1 until the case has been concluded, after which the data carrier shall be transferred to the electronic data carrier repository.
2. PUT may maintain more than one electronic data carrier repository where justified by its organisational structure or the location of its organisational units.
 3. Where electronic correspondence or an attachment thereto bears an electronic signature identifying its holder in accordance with the provisions of the Act on Computerisation, and no Official Acknowledgement of Receipt (UPO) has been issued in respect of that correspondence, the printout bearing the incoming stamp shall also include information on the validity of the electronic signature, the integrity of the signed document, and the date on which the verification was performed (for example: "Electronic signature verified on ... [date]; verification result: valid / invalid / verification not possible"), together with the legible signature of the person preparing the printout.
 4. The printout of the Official Acknowledgement of Receipt (UPO) shall bear only the legible signature of the person preparing the printout and the date on which the printout was made.

Chapter III

Review and allocation of incoming correspondence

§ 18

1. Following the completion of the activities relating to the receipt and registration of correspondence, the registry office shall allocate the correspondence to the appropriate organisational units or individuals and forward it in accordance with the procedures adopted at PUT.
2. The competent organisational unit or individual shall be determined on the basis of the division of responsibilities and competences within PUT.
3. Where this may be relevant for establishing the date of dispatch or the identity of the sender, the envelope shall be attached to the correspondence.

§ 19

1. The allocation of correspondence shall consist of entering the relevant instructions directly on the correspondence by hand, together with the date and the signature of the person making the allocation, unless the allocation has been made using IT tools.
2. Where IT tools are used, the content of the allocation shall be transferred to the correspondence together with the date and the signature of the person making the transfer.

§ 20

1. Correspondence may be accepted for handling directly by the person to whom it has been assigned for allocation.
2. Correspondence allocated to an organisational unit may be accepted for handling directly by the head of that organisational unit or reallocated for the purpose of designating the case handler. Such reallocation shall not alter the instructions of the superior regarding the manner in which the case is to be handled or extend the time limit specified in the original allocation.

3. Any correction of an erroneous allocation shall be made by the person who made the original allocation.
4. Where correspondence has been distributed incorrectly, the recipient shall forward it without delay to the competent organisational unit or to the registry office.

§ 21

1. Where correspondence relates to a matter falling within the responsibilities of more than one organisational unit or case handler, the allocation shall designate the organisational unit or case handler responsible for the final handling of the matter. The designated organisational unit or case handler shall then be regarded as the organisational unit responsible for handling the case.
2. Where correspondence relates to several separate cases, the allocation shall designate the organisational units responsible for handling each individual case.

Chapter IV

Registration of cases and their documentation

§ 22

1. Documentation received, submitted to, or created within PUT shall, according to the manner in which it is registered and maintained, be classified as:
 - 1) documentation forming part of case files;
 - 2) documentation not forming part of case files.
2. Documentation forming part of case files shall mean documentation assigned to a case and bearing a case reference.
3. Documentation not forming part of case files shall mean documentation that has not been assigned to a case but only to a class in the File Classification Scheme.

§ 23

1. The case reference shall constitute the permanent identifying feature of the complete case file relating to a given case.
2. The case reference shall consist of the following elements in the order indicated:
 - 1) the designation of the organisational unit;
 - 2) the classification symbol from the File Classification Scheme;
 - 3) the sequential case number assigned from the case register;
 - 4) the four-digit calendar year in which the case was initiated.
3. The elements of the case reference referred to in point 2 shall be arranged in the order specified therein and separated by full stops as follows: [unit].[classification symbol].[case number].[year], where:
 - 1) [unit] means the designation of the organisational unit in which the case was opened and which is responsible for handling and resolving the case, expressed as a character string consisting of the characters [A–Z, a–z, 0–9] and containing at least one letter, for example: ABC, B2, A1c, 11d, b99;
 - 2) [classification symbol] means the classification symbol assigned under the File Classification Scheme;
 - 3) [case number] means the sequential number assigned to the case within the relevant classification symbol in the organisational unit referred to in subpoint 1 during the given calendar year;
 - 4) [year] means the four-digit year in which the case was initiated.

4. Within a given calendar year, a designation forming part of the case reference may be assigned to only one organisational unit, irrespective of any organisational changes within PUT.
5. Where it is necessary to separate specific cases within a given class of the File Classification Scheme into a distinct group, a separate case register shall be established for the case number referred to in point 2(3) which forms the basis for that separation. In such cases, the case reference shall consist of:
 - 1) the designation of the organisational unit;
 - 2) the classification symbol from the File Classification Scheme;
 - 3) the sequential number of the case under which the group of cases was separated;
 - 4) the sequential number assigned from the case register established for the separated group of cases;
 - 5) the four-digit calendar year in which the case was initiated.
6. The elements of the case reference referred to in point 5 shall be separated by full stops as follows: [unit].[classification symbol].[case number].[sub-case number].[year], where:
 - 1) [unit] means the designation of the organisational unit opening the case and responsible for handling and resolving it, expressed as a character string consisting of the characters [A–Z, a–z, 0–9] and containing at least one letter, for example: ABC, B2, A1c, 11d, b99;
 - 2) [classification symbol] means the classification symbol assigned under the File Classification Scheme;
 - 3) [case number] means the sequential number of the case forming the basis for separating the group of cases within the relevant classification symbol in the organisational unit referred to in subpoint 1 during the given calendar year;
 - 4) [sub-case number] means the sequential number assigned to the case within the separated group of cases referred to in subpoint 3,
 - 5) [year] means the four-digit year in which the case was initiated.
7. A hyphen may be used as part of the organisational unit designation, for example: AB-C, B-2, A1-c, 11-d, b9-9.
8. When marking a document with a case reference, it is permissible to:
 - 1) add the sequential number of the outgoing document in the case after the case reference, separated by a full stop, as follows: [case reference].n, where n is the sequential number of the outgoing document in the case;
 - 2) add, after the case reference or after the number referred to in subpoint 1, the symbol identifying the case handler, separated by a full stop, as follows: [case reference].[case handler] or [case reference].n.[case handler], where [case handler] means an identifier consisting of the characters [A–Z, a–z, 0–9] and containing at least one letter, for example: AB, a1, ad99.

§ 24

1. Documentation not forming part of case files shall not be entered in case registers but shall be maintained in file folders established for the final classes in the Uniform File Classification Scheme.
2. The documentation referred to in point 1 may include, in particular:
 - 1) invitations, greetings, acknowledgements and letters of condolence, provided that they have been registered as incoming correspondence and do not form part of case files;
 - 2) unsolicited offers, provided that they have been registered as incoming correspondence and do not form part of case files;
 - 3) financial and accounting documentation, including in particular bills, invoices and other accounting documents;

- 4) attendance lists;
- 5) leave request forms;
- 6) warehouse records;
- 7) finding aids maintained by the institutional archives;
- 8) data stored in ICT systems dedicated to the provision of specialised services and the handling of specific matters, including in particular systems that automatically make data available from designated registers or that automatically generate registers from electronically transmitted data;
- 9) registers and inventories, including those relating to fixed assets, equipment loans, office supplies and library collections;
- 10) auxiliary documentation referred to in § 2.

§ 25

1. The case handler shall determine whether correspondence received directly or by way of allocation:
 - 1) relates to an existing case; or
 - 2) initiates a new case.
2. In the case referred to in point 1(1), the case handler shall place the correspondence in the relevant case file and mark it with the case reference.
3. In the case referred to in point 1(2), the case handler shall treat the correspondence as the basis for opening a new case by entering the relevant information in the case register and marking the correspondence with the case reference.
4. The case reference shall be entered at the top of the first page of the document.

§ 26

1. A case register shall contain the following information:
 - 1) Information relating to the register as a whole, including at least:
 - a) the calendar year in which the cases entered in the register were opened;
 - b) the designation of the organisational unit;
 - c) the classification symbol from the File Classification Scheme,
 - d) the classification heading from the File Classification Scheme;
 - 2) information relating to each case entered in the case register, including at least:
 - a) the sequential entry number,
 - b) the title providing a concise description of the subject matter of the case,
 - c) the name of the sender from whom the case originated, where the case did not originate within PUT,
 - d) the reference number of the document initiating the case, where the case did not originate within PUT,
 - e) the date of the document initiating the case, where the case did not originate within PUT,
 - f) the date on which the case was initiated,
 - g) the date on which the case was finally resolved,
 - h) remarks, including the designation of the case handler and, where appropriate, information concerning the manner in which the case was handled.
2. A case register and the corresponding records folder for storing finally resolved cases shall be established for each final classification category in the File Classification Scheme.
3. A new case register and a new records folder shall be established for each calendar year.
4. Where only a negligible number of cases are initiated within a given final classification category in the File Classification Scheme during a calendar year, the corresponding records folder and case

register may be maintained for a period exceeding one year. In such a case, a separate case register shall be established for each calendar year.

5. Records folders may be established for a particular entity or subject matter, in which multiple case files bearing different case reference numbers but entered in the same case register are grouped together. In such a case, no additional case registers shall be maintained within those records folders.
6. In cases specified by separate legislation, consolidated records folders shall be established for storing case files entered in several different case registers (for example, personnel files).
7. Records folders may also be established for the documentation relating to a single case.

Chapter V

Handling of cases

§ 27

1. Where correspondence received by or assigned to the case handler concludes the case, that is, where no further correspondence is required or the matter has been resolved orally and this is evident from the content of the correspondence or the endorsement, the case handler shall place the document in the case file and enter the date of the final resolution of the case in the case register.
2. Where the correspondence received by or assigned to the case handler does not conclude the case, the case handler shall process the matter in accordance with the applicable procedure, including preparing draft documents where necessary.
3. When preparing a draft document, the templates and forms prescribed by separate legislation shall be used.

§ 28

1. A case that has not been finally resolved within a calendar year shall continue to be handled in subsequent years without any change to its existing case reference number. The elements of the case reference number shall remain unchanged.
2. A new case reference number may be assigned and a new case opened only where a finally resolved case is reopened or where, as a result of organisational restructuring, responsibility for unresolved case files is transferred to a different organisational unit.
3. In the cases referred to in point 2, the case shall be entered in a new case register, and the previous case register shall contain the annotation: "Transferred under case reference number ...". The case files shall then be transferred to a new records folder without altering the case reference number previously assigned to the documentation.

§ 29

Where a case has been resolved orally and this is not evident from the content of the correspondence or the endorsement, the case handler shall:

- 1) prepare a file note describing the manner in which the case was resolved;
- 2) place the correspondence together with the file note in the case file;
- 3) enter the date of the final resolution of the case in the case register.

§ 30

During the handling of a case, the following shall, in particular, be included in the case file:

- 1) correspondence registered in the incoming and outgoing correspondence registers;
- 2) file notes concerning conversations with interested parties or activities carried out outside the premises of PUT, unless a formal record is required for such activities;

- 3) correspondence referred to in § 14(3) and (4).

Chapter VI

Approval, signing and dispatch of documents

§ 31

1. Approval may be granted in either a single-stage or a multi-stage process.
2. Multi-stage approval consists of the preliminary approval of a document by successive persons who are not authorised to sign it, culminating in its final approval by the person authorised to sign the document.
3. Draft documents may be submitted for approval:
 - 1) in paper form; or
 - 2) in electronic form.
4. Depending on the level of approval required, the method of submitting draft documents for approval shall be determined by the head of the organisational unit or, as appropriate, the Rector of PUT.
5. Where draft documents are submitted in paper form, as referred to in point 3(1), the employee who prepared the draft shall place their handwritten signature (or initials) and the date of signing on the second copy of the draft document.
6. If a draft document submitted for approval requires no amendments, the approving person shall sign two copies of the document—one intended for dispatch and the other for inclusion in the case file (hereinafter referred to as the "file copy"), unless a greater number of copies is required.
7. The file copy shall include information on the method of dispatch (for example, registered mail, priority mail or electronic delivery) and, where appropriate, confirmation that the correspondence has been dispatched or delivered by hand.
8. If a draft document submitted for approval requires amendments, the approving person shall indicate the necessary changes by:
 - 1) making annotations and corrections directly on the draft document; or
 - 2) providing oral instructions.
9. Where a draft document is submitted for approval in electronic form, the approving person or another person acting on their instructions may make the necessary amendments directly and prepare the two copies referred to in point 6.

§ 32

1. Draft documents intended for dispatch by means of electronic communication shall be submitted for signature exclusively in electronic form.
2. In the case of a document intended for electronic dispatch, the signatory shall:
 - 1) apply an electronic signature to the electronic version of the document;
 - 2) sign by hand a printed copy of the electronic document to be retained as the file copy.

§ 33

1. Paper documents shall be dispatched by the registry office.
2. Documents intended for electronic dispatch may be sent automatically after being signed with an electronic signature.
3. Where a document has not been dispatched in the manner referred to in point 2, the registry office shall be responsible for dispatching electronic documents.
4. The case handler shall place the signed file copy of the outgoing document in the case file.

§ 34

1. An outgoing correspondence register shall be maintained, either in paper or electronic form, containing, in particular, the following information:
 - 1) the sequential entry number;
 - 2) the date on which the correspondence was dispatched to the addressee or handed over to the postal operator;
 - 3) the name of the addressee to whom the correspondence was sent; where correspondence is addressed to multiple recipients, a collective designation describing all addressees may be used;
 - 4) the case reference number of the outgoing document or another identifying reference;
 - 5) the method of dispatch (for example, ordinary mail, registered mail, registered mail with acknowledgement of receipt, facsimile, electronic mail or the Electronic Delivery Inbox (ESP)).
2. An outgoing correspondence register maintained in electronic form shall enable:
 - 1) sorting of outgoing correspondence according to the information referred to in point 1;
 - 2) printing a list of outgoing correspondence containing all or selected information referred to in point 1, together with the date of printing on each page;
 - 3) saving all or part of the register in a data format enabling the subsequent retrieval of the information referred to in point 1.

Chapter VII

Storage of records within organisational units

§ 35

1. Records shall be stored within organisational units and in the institutional archives.
2. Records shall be protected against unauthorised access, damage, destruction and loss.

§ 36

1. Records shall be stored in case files.
2. Case files opened in a given calendar year shall be arranged according to the classification symbols of the file classification scheme.
3. Within the case files referred to in § 26(2) and (4), case records shall be arranged in the order in which the cases appear in the case register, beginning with case No. 1 at the top of the file, and, within each case, in chronological order.

§ 37

1. Every case file containing records relating to closed cases shall be labelled.
2. The label affixed to the cover of a case file shall contain the following information:
 - 1) the full name of the organisational unit and of the organisational unit that created the records, centred at the top;
 - 2) the part of the case reference consisting of the organisational unit designation and the classification symbol from the file classification scheme, and, in the case referred to in § 23(5), additionally the case number that formed the basis for separating a group of cases, placed on the left below the name of the organisational unit;
 - 3) the archival category and, in the case of category B, the applicable retention period, placed on the right below the name of the organisational unit;
 - 4) the title of the case file, consisting of the full classification entry from the file classification scheme together with information on the type of records contained in the file, centred;
 - 5) the year in which the case file was opened, below the title;

- 6) the covering dates, consisting of the year of the earliest and the year of the latest document contained in the case file, below the year in which the file was opened;
 - 7) the volume number, where records classified under the same classification symbol of the file classification scheme in a given year occupy more than one case file, below the covering dates.
3. In the case of the case files referred to in § 26:
- 1) in point 5, the title of the case file shall additionally include the name of the entity or subject to which the separated cases relate, together with all case numbers assigned to the records contained in the file;
 - 2) in point 6, the title of the case file shall additionally include information identifying the collective file (for example, the employee's full name in the case of personnel files);
 - 3) in point 7, the full case reference shall be used instead of the part of the case reference referred to in point 2(2), and the title of the case file shall additionally include the case title.

§ 38

Where records relating to a case are removed from a case file, a substitution card shall be placed in their stead. The substitution card shall indicate the case reference, the subject of the case, the name of the organisational unit or the name of the employee borrowing the records, or the name and address of the organisational unit to which the case records have been sent, together with the due date for their return. A copy of the removed case records may be made.

Chapter VIII

Transfer of records to the university archives

§ 39

1. Organisational units shall transfer complete annual sets of records to the institutional archives after the expiry of two full calendar years, calculated from 1 January of the year following the year in which the case was closed.
2. Records relating to closed cases that are still required for current business may remain in the organisational unit only on the basis of their loan from the institutional archives, following completion of the formal transfer procedures (arrangement of the records, preparation of transfer lists and completion of records access forms).
3. In consultation with the heads of organisational units, the archivist shall establish an annual schedule for the preparation and transfer of records to the institutional archives.
4. The archivist may refuse to accept records where:
 - 1) the records have not been arranged in accordance with this Instruction,
 - 2) the transfer lists contain errors or inaccuracies,
 - 3) the records being transferred do not correspond to the transfer lists.
5. The archivist shall notify their immediate superior of the reasons for refusing to accept the records.

§ 40

1. Records relating to closed cases transferred to the institutional archives shall be arranged by the case officer or by an employee designated by the relevant organisational unit.
2. For archival materials (Category A records) and records assigned an archival category higher than B10, arrangement shall consist of:
 - 1) arranging the records within case files in the order specified in § 36(3), with individual cases separated by paper dividers where appropriate;
 - 2) removing unnecessary duplicate copies of the same incoming correspondence or documents;
 - 3) placing the case registers in the relevant case files;

- 4) removing all metal fasteners and plastic sleeves (including paper clips, staples, fasteners and document sleeves);
 - 5) placing the records in tied acid-free cardboard case files (personnel records may alternatively be placed in envelopes) not exceeding 5 cm in thickness, and placing those files in archival boxes; where a file exceeds 5 cm in thickness, it shall be divided into volumes unless this is physically impossible;
 - 6) numbering the pages of archival materials in soft pencil by placing the page number in the upper right-hand corner; the total number of pages in each file shall be recorded on the inside of the back cover using the following formula: "This file contains ... consecutively numbered pages." [place, date, signature of the person arranging and paginating the records];
 - 7) labelling the case files in accordance with § 37(2);
 - 8) arranging the case files according to the order established by the file classification scheme, separately for archival materials and for non-archival records.
3. For non-archival records assigned archival category B10 or lower, arrangement shall consist of:
 - 1) placing the case registers in the relevant case files;
 - 2) placing the records in tied case files not exceeding 5 cm in thickness and then in archival boxes, or alternatively placing the records directly into bundles or archival boxes; where a file exceeds 5 cm in thickness, it shall be divided into volumes unless this is physically impossible;
 - 3) labelling the case files in accordance with § 37(2);
 - 4) arranging the case files according to the order established by the file classification scheme.

§ 41

1. Organisational units shall transfer records to the institutional archives on the basis of a records transfer list. The preparation of the transfer list shall be the responsibility of the employee designated by the head of the organisational unit transferring the records.
2. The records transfer list shall be prepared either in paper or electronic form.
3. An electronic records transfer list shall be prepared where the institutional archives use information technology systems that comply with the requirements laid down in the Instruction governing the organisation and operation of the institutional archives.
4. Paper records transfer lists shall be prepared separately for archival materials (Category A records) in four copies (one of which shall be forwarded to the competent State Archives for information) and for non-archival records (Category B records) in three copies. One copy shall be retained by the organisational unit transferring the records, while the remaining copies shall be intended for the institutional archives.
5. A records transfer list shall contain at least the following information:
 - 1) relating to the transfer list as a whole:
 - a) the full name of the University and of the organisational unit transferring the records;
 - b) the full name and signature of the employee who prepared the list;
 - c) the full name and signature of the head of the organisational unit transferring the records;
 - d) the full name and signature of the archivist receiving the records;
 - e) the date of transfer;
 - 2) relating to each entry in the transfer list:
 - a) the sequential number;
 - b) the part of the case reference consisting of the organisational unit designation and the classification symbol from the file classification scheme and, where a separate group of cases has been created within a classification class, the case number forming the basis for that separation;

- c) the title of the case file, consisting of the full classification entry from the file classification scheme together with information identifying the type of records contained in the file (for example: correspondence, invoices, applications, complaints, accounting notes, agreements, opinions or memoranda);
 - d) the year in which the case file was opened;
 - e) the covering dates, consisting of the year of the earliest and the year of the latest document contained in the case file;
 - f) the number of volumes of the case file transferred under that entry;
 - g) the archival category.
6. Without prejudice to the requirement referred to in point 4 for separate transfer lists, separate records transfer lists shall also be prepared for specific categories of records (for example technical, audiovisual or personnel records), where this is required by the University's needs, by recommendations of the competent State Archives, or where the information referred to in point 5(2) is insufficient to describe such records adequately.

§ 42

1. Every information storage medium transferred from the information storage media repository to the institutional archives shall be permanently labelled in a manner enabling its unambiguous identification.
2. The records transfer list for the media referred to in point 1 shall contain:
 - 1) information relating to the transfer list as a whole:
 - a) the full name of the University and of the organisational unit transferring the media;
 - b) the full name and signature of the employee who prepared the list;
 - c) the full name and signature of the head of the organisational unit responsible for the information storage media repository;
 - d) the full name and signature of the archivist receiving the media;
 - e) the date of transfer;
 - 2) information relating to each entry in the transfer list:
 - a) the sequential number;
 - b) the designation of the medium referred to in point 1;
 - c) the type of storage medium;
 - d) the relevant case reference or classification symbol with which the storage medium is associated, together with the year designation;
 - e) the serial number of the storage medium, where applicable.

§ 43

All finding aids relating to the transferred records, including registers, indexes, card indexes and other control tools, shall accompany the records upon transfer.

Chapter IX

Management of records in the event of the dissolution of Poznań University of Technology, the dissolution of an organisational unit, or their reorganisation

§ 44

1. Where proceedings are initiated for the dissolution of Poznań University of Technology or for its reorganisation resulting in the establishment of a new organisational unit, the Rector shall notify the Director of the competent State Archives thereof.



2. Where all or part of the responsibilities of a reorganised organisational unit are assumed by a new organisational unit, the head of the reorganised unit shall transfer the records relating to pending cases to the head of the new organisational unit by means of a formal handover protocol. The archivist shall receive a copy of the protocol for information.
3. The organisational unit assuming responsibility for the records relating to pending cases shall register those cases anew in accordance with § 28(3) of this Instruction.
4. All remaining records shall be transferred without delay to the institutional archives in accordance with the procedure and conditions laid down in §§ 39–43 of this Instruction.