(Senate Resolution dated 21.06.2023 no. 07)

(Senate Resolution dated 21.09.2021 no. 15)

(Senate Resolution dated 12.06.2020 no. 10)

# REPUBLIC OF TÜRKİYE

**ATILIM UNIVERSITY**

**DIRECTIVE ON ARCHIVE SERVICES**

**SECTION ONE**

## Purpose, Scope, Basis and Definitions

**Purpose**

**ARTICLE 1 -** (1) This Directive aims to regulate the principles and procedures on organizing documents created through the operations and transactions of Atılım University, ensuring that these documents are protected under the necessary conditions, preventing losses in documentation; sorting and destroying the documents that are no longer required, and transferring archive documents to the Directorate of State Archives.

## Scope

**ARTICLE 2** - (1) This Directive covers all units of Atılım University.

## Basis

**ARTICLE 3** - (1) This Directive is based on the provisions of Regulations on State Archive Services, published in the Official Gazette dated 18.10.2019, no. 30922.

## Definitions

**ARTICLE 4 -** (1) The definitions for this Directive are:

1. **Archive:** The areas where the documents created through the operations, transactions, correspondences of Atılım University, and services provided to real or legal persons are stored,
2. **Archive document:** Written, drawn, visual, audial, or electronic documents including a certain piece of information, and that are last processed twenty years ago, or finalized fifteen years ago, and not required in the current daily workflow; for which the retention periods as per other legislation and retention plans are complete, if any; containing information to be passed on to future generations as a historical, political, social, cultural, legal, administrative, military, economic, religious, scientific, literary, aesthetic, biographical, genealogical, or technical item of value regardless of their method of production or the hardware environment,
3. **Archival document:** Documents not categorized as archive documents due to the period of time passed; or those having fulfilled the time period conditions, but are still valid and functional for the progression of the service provided,

**ç) Sorting:** The process of identifying archival documentation destined to be archived in the future, by distinguishing between archival documents and all other kinds of documents that are functional for the purposes of the current operation period, but have lost their legal value and quality as evidence, and that are not required to be used or stored in the future for any reason,

1. **Directorate:** Republic of Türkiye Directorate of State Archives
2. **Document:** A written, drawn, illustrated, visual, audial or electronic record containing information, regardless of its production method and hardware environment, created through the operations and transactions of Atılım University, as well as those of real and legal persons,
3. **Document hierarchy:** The institution, unit, folder, file and document components to which the document belongs, from general to specific,
4. **Documentation manager:** The person managing the filing, storage, sorting, liquidation, presentation and transfer of documents on behalf of their institution or unit,

**ğ) Documentation management:** All activities of evaluation, editing, sorting and ensuring availability of documentation within the framework of certain criteria, starting from the production stage.

1. **Unit archive:** The archives of central units, schools, and graduate schools of the University,

**ı) Evaluation:** The decision-making process by institution officials, document managers and archivists, taking into account the research status of the documents in the administrative, legal, financial, historical and creation processes,

1. **Digitization:** The transfer of paper documents to digital media via devices such as scanners, cameras, or innovative techniques
2. **File code:** Alphabetical, numerical, alpha-numeric identification showing the file associated to the document, or the file/ folder to host the finalized document,
3. **File plan:** The classification prepared for the effective use, management, storage and access of documents, usually named with regards to alphabetic, numerical, alpha-numeric and similar symbol types
4. **Filing:** The process of recording, processing, and storing documents in a certain order for reference where necessary,
5. **Electronic document management system:** The system that sorts the documents that may constitute evidence for activities among all kinds of documentation created by the University through its operations; preserves their content, meta-data, format and relational properties, constitutes evidence for the function or transaction to which these documents are related, within the chain of ownership in an electronic environment,
6. **Destruction:** The process of destroying documents that are not deemed necessary to be used or stored in the future, that are not archive or archival documents, and that have lost their legal value and quality as evidence,
7. **Institution archive:** The archives within the university where archive and archival materials are stored for longer periods of time than unit archives

**ö) Storage plan:** Evaluations showing the duration through which the documents are to be stored, and the process to which documents are to be subjected at the end of this period,

1. **Documents not required to be stored:** A document that is required in current transactions, but is not deemed to be a requirement in the future, excluded from archive and archival document categories, having lost its legal value and quality as evidence,
2. **Standard file plan:** The classification scheme developed to ensure that corporate transactions and documents created or received as a result of these transactions are filed on the basis of subject or function, indicating their relationship with the production sites,
3. **Classification:** Organizing archive documents by applying the basic principles and techniques of archiving,

**ş) Institution or University:** Atılım University

1. **Meta-data:** Each of the elements that define the document or indicate any of its features.

# SECTION TWO

## Document Protection, Documentation Managers, Document Confidentiality, and Archive Utilization and Establishment

## Document protection

**ARTICLE 5**- **(1)** Duties and responsibilities:

1. The University is responsible for protecting all kinds of documents stored against fire, theft, moisture, heat, flood, dust and destruction by all kinds of animals and vermin, and for keeping these documents in their original order; as well as
2. taking the necessary security measures against all kinds of disasters, cyber-attacks, software/ hardware-related or other possible threats/ risks for documents created and/ or stored in electronic media, and planning and executing disaster recovery protocols, and establishing backup units in order to prevent possible document losses.

## Documentation managers and archive staff

**ARTICLE 6 - (1)** The University determines the “Institutional Documentation Manager” to be responsible for document management and archive services, as well as a “Unit Documentation Manager” for each unit. A “Documentation Manager” may also be assigned to sub-units where needed.

* 1. A sufficient of qualified staff members are assigned to ensure that document management and archive services are executed in accordance with the provisions of this Directive, and archiving methods and techniques.
	2. Priority is given to staff members having received professional training in document management and archive services.
	3. The University takes measures to improve the professional knowledge and skills of the staff employed in document management and archive services.

## Document confidentiality and declassification

**ARTICLE 7 -** (1) Documents that possessed a degree of confidentiality or were considered confidential at the time of processing, and that still maintain these properties retain their confidentiality unless declassification. Archive documents that have been declassified are marked with the phrase “Declassified by Resolution dated..., no. ...”.

## Archive utilization

**ARTICLE 8 -** (1) Units may retrieve documents from the archives when necessary, provided that the documents are not taken outside the institution to be viewed or examined. After the examination, the retrieved documents are returned to the archive from which they were taken.

1. Document requests to archives are made using the “Document/ File Request Form” provided in the annex of this Directive (ANNEX-1).
2. The review and utilization period of documents from the archives is determined by the institutional archive. Period extensions may be granted where needed.
3. The originals of documents that qualify as archive documents may not be released from the archives or their locations for any reason. However, when it is necessary to provide a service to the State, real persons or legal entities, or to protect and prove a right, samples may be provided in accordance with the relevant procedure. Documents may also be examined on-site by experts appointed by the courts or by officials appointed by relevant departments.
4. Access to electronic documents is subject to an authorization framework. Requests to utilize documents without the required authorization are made through the document manager, provided that the permission of the unit manager is granted.
5. All archive utilization logs are kept in an organized manner.
6. The procedures and principles to be prepared by the Presidency and put into effect by the Presidential Decree shall be followed regarding the use and obligations of local and foreign real or legal persons from archive documents open to research, and the provision of samples of archive documents.

## Establishment of archives

**ARTICLE 9**- **(1)** The University is required to establish an “Institutional Archive”.

1. If necessary, units may create their own archives in which documents used actively and those relevant to the current daily workflow shall be preserved for a certain period of time, without losing their validity.
2. The retention and storage periods of documents in the institutional archives and unit archives apply as specified in the storage plans.
3. All kinds of information and documents available in electronic environment are kept in electronic archives so that they may be accessed, stored, liquidated and transferred.

# SECTION THREE

## Filing Procedures

**Assigning file codes to documents**

**ARTICLE 10 -** (1) File codes are determined in accordance with the file plan rules according to the institutional file plan.

1. If the document contains more than one subject, the file code of the predominant subject counts as the file code of the item. In such cases, copies of the item in question may be placed in the file relevant to other topics.
2. The file codes of incoming documents are not directly referenced in the response letters to be prepared, or in filing procedures.
3. Even if separately defined in file plans, texts that are a continuation or part of a transaction may not be assigned a different file code in order to preserve the integrity of the transaction.
4. In electronic document management systems, the file code is included as a mandatory meta-data element.

## Filing of documents

**ARTICLE 11 -** (1) Subject files/ folders are opened every year in the event where documents bearing their own file codes are created, to be closed at the end of the year. In closing case files that are to take many years to process, the year in which the process is completed constitutes the basis for this procedure.

1. All documents related to a procedure are filed with their relevant items and attachments in a chronological order, from the document with which the procedure begins, to the document concluding the procedure.
2. In order to provide more effective access due to the density of documents bearing the same file code, geographical, alphabetical or chronological filing may be relied on if no exceptions are the case in the file plan.
3. If a small number of documents accumulate in files /folders opened with their own special code, the documents in this file/ folder are combined at the upper file levels to which the file code is linked, or in files/ folders named "General". The labels for combined files/ folders are edited to match the procedure.
4. A “File/ Folder Content List” is prepared and placed in each folder/ file to aid in the determination of contents and ensure quick access to documents; as presented in the Annex of this Directive (ANNEX-2).
5. The last processed document of each set of processed files is taken into account regarding the preparation of these file/ folder content lists. The document with the earliest date of the chronologically-listed file/ folder constitutes the first item of these lists.
6. In electronic document management systems, documents are kept in their relevant files/ folders, depending on their hierarchy and file codes.
7. File codes not only determine the subject of their files, but also aid in locating these files.
8. Films, photos, records, sound or video recordings or various similar documents may be organized under different systems and procedures.

## File labels

**ARTICLE 12 -** (1) The “File/Folder Labels” on the file/ folder, as presented in the annex of this Directive (ANNEX-3), should bear elements such as the “university logo”, the “unit name/ code”, the “file code”, the “subject name”, the “year”, and the “special information/ special code”, if any.

# SECTION FOUR

## Documentation Transfer Procedures

## Preparation of files to be transferred to archives

**ARTICLE 13 -** (1) The documents, files/ folders to be transferred to archives are checked in terms of compliance. In these compliance checks:

* 1. Whether documents in files/ folders are filed with respect to filing protocols,
	2. Whether documents on each procedure under the file/ folder also include their annexes,
	3. Whether documents on each procedure under the file/ folder are listed chronologically, with the document processed the earliest at the top,

ç) Whether file/ folder labels are present,

* 1. And whether content lists are available for files/ folders are checked, and relevant issues are resolved, if any.
1. The labels of files/ folders containing elements of confidentiality in full or in part are edited to bear the confidentiality level of the most confidential document they include. Confidential files/ folders are processed as regular documents for classification and placement purposes.
2. The relevant unit personnel and the unit documentation manager undertake compliance checks in cooperation.
3. The documentation manager checks whether the documents created in the electronic document management system are matched with the correct files; and in case of mismatches, file codes are corrected accordingly.

## Documentation transfer to archives

**ARTICLE 14 -** (1) Files/ folders fully processed, checked for compliance, and corrected in case of errors are transferred to archives within the first three months of the following calendar year.

1. Books, brochures, blank forms, documents and similar materials that are not attached to any documents are not transferred to the archives.
2. In the transfer of documents, a certain order is followed, determined with an agreement with the relevant units.
3. File/ folder content lists are taken as reference during transfer procedures.

## Organization at archives

**ARTICLE 15 -** (1) Documents are kept in the archives without breaking their original order, in accordance with their structure on the date they were processed.

1. Space is allocated to units in archives, taking into account document density and storage periods.
2. Files/ folders are placed on the shelves within a layout plan and a layout scheme is prepared.
3. Files/ folder order of placement is from left to right on shelves and from top to bottom in compartments.
4. Archive placement starts from the upper left corner of the first shelf on the left. This is repeated for all shelf groups.
5. Files/ folders are placed from the smallest number and up, in terms of file codes and serials.
6. This placement method only applies for classical-type documents. For other kinds of documents such as films, photos, records, audio and video recordings and so forth, shelving systems are set up depending on document types.
7. In electronic document management systems, documents are stored taking into account document hierarchy and file integrity.

## Preparation and delivery of archive documents to be transferred to the Directorate

**ARTICLE 16 -** (1) The Directorate decides on the transfer of archive documents to their party from the archives of the parties obliged accordingly.

1. Following the sorting procedures at the institution archive, documents deemed to be archived as per the storage plan are set aside for transfer to the Directorate.
2. Files/ folders that lose their structural integrity as a result of the sorting process are filed again, taking into account their file codes.
3. Archive documents to be transferred to the Directorate are subject to compliance checks presented in Article 13.
4. Archive documents set to be transferred to the Directorate are logged in the "Archive Document Handover and Inventory Form" presented in the Annex of this Directive (ANNEX-4), and reported to the Directorate to determine the date and form of transfer. The documents to be transferred may be examined on-site by the Directorate.
5. Archive documents with a set delivery process are transferred to the Directorate within one year the latest, together with the relevant private records and digital images, if any.
6. Archive documents are delivered to the Directorate under the supervision of the documentation manager of the institution; taking into account all kinds of protection and security measures as in using special boxes with serial numbers in line with the current order.
7. The document hierarchy and the meta-data links of electronic archive documents are preserved. If this link is not achieved during the formation phase, it is established later. Items created as subject files are prepared with respect to their subject codes and the file series under these codes, and items created as case files are prepared with respect to their case file codes and folder series. These are transferred in accordance with the procedures and principles to be determined by the Directorate.

# SECTION FIVE

## Sorting and Destruction Procedures

## Sorting and destruction at institution archives

**ARTICLE 17 -** (1) No sorting or destruction procedures are performed in unit archives, except by those with the privileges as per the Directive due to the characteristics of the Institution. Sorting and destruction procedures take place in the archives of the Institution.

1. For sorting and destruction purposes, older documents are prioritized.
2. Destruction of all kinds of documents that are no longer required is undertaken with the final decision of the Sorting and Destruction Commissions. However, the provisions of Article 20 are reserved.
3. Liquidation of documents stored in e-Archives is undertaken through the system within the scope of the provisions of this Directive, depending on storage plans.

**Documents exempted from sorting procedures**

**ARTICLE 18 -** (1) Documents required for current operations, those with storage periods not yet expired as per legislation provisions and storage plans, and those constituting the subject of a lawsuit may not be sorted or destroyed, until the stipulated storage period is completed and/ or the lawsuit is concluded.

## Establishing Sorting and Destruction Commissions

**ARTICLE 19 -** (1) (Senate Resolution no. 07, dated 21.06.2023) For the purposes of any sorting and destruction procedure to take place at university archives; a “University Archives Sorting and Destruction Commission” is established with five members, chaired by the Archive and Record Management Director of the University; with the approval of the President of the University.

## Operation principles for Sorting and Destruction Commissions

**ARTICLE 20 -** (1) Sorting and Destruction Commissions begin their operations whenever necessary.

1. Commissions convene with the full number of members and take decisions by majority vote. In case of a doubt, it is deemed that the decision is to keep the documents in question.
2. Documents rejected for destruction are re-evaluated by the relevant commissions in the following years.

## Preparation and finalization of destruction lists

**ARTICLE 21 -** (1) A “Destruction List”, as presented in the Annex of this Directive (ANNEX-5) is prepared for the documents to be destroyed. For documents of the same type and qualifications, destruction lists may be prepared to show the type and the year, with copies to be kept.

1. Each page of the destruction lists is signed by the chairperson and the members of the Sorting and Destruction Commission.
2. **(Senate Resolution no. 15, dated 21.09.2021)** Destruction lists are finalized with the approval by the President of Atılım University, or by someone authorized by the President.
3. During the approval process, the destruction method is determined.
4. Documents sorted and set to be destroyed by the Sorting and Destruction Commissions are stored in an organized manner, until the destruction procedures are finalized.
5. The destruction process is determined with a report.
6. Prepared destruction lists, minutes and all kinds of relevant documents are stored for ten years.

## Destruction methods

**ARTICLE 22 -** (1) Documents to be destroyed are shredded in a way that renders them hard to see or read by others, and are evaluated for recycling.

1. The relevant legislative provisions apply in destruction procedures on documents, the method for which is determined in the legislation of their relevance due to the nature of these documents.
2. Documents stored in e-Archives are destroyed and liquidated by way of removal from the system so that they may not be viewed, read or used.

**SECTION SIX**

## Various, Provisional, and Final Provisions

## Digitization of documents

**ARTICLE 23 -** (1) Documents delivered on paper for processing are scanned with their attachments, and added to the electronic document management system in order to preserve the integrity of the transaction and the file.

1. The relationships of digitized documents with electronic and physical documents are preserved.
2. Where necessary, obliged parties may digitize the archive documents already on paper in order to make copies available, and frequently-used non-archive documents to prevent their loss, and to use them effectively.
3. Documents that are not used frequently and are not required to be stored at the end of their storage periods as per storage plans, and are set for destruction instead, are not subjected to a digitization process.
4. The relationship between digital images and their meta-data is preserved.
5. Digitization processes are undertaken under institutional integrity, in line with the recommendations of the relevant units, and subject to the information or coordination of the unit responsible for document management and archive services. Units may not perform independent digitization procedures.
6. Documents are digitized in accordance with the procedures and principles determined by the Directorate.

## File plans and storage plans

**ARTICLE 24 -** (1) Obliged parties are required to prepare file plans and storage plans as coordinated by the unit responsible for document management and archive services, and to put them into practice following the approval of the Directorate.

1. File plans take into account the institutional structure and the functions of the institution; while storage plans are prepared as a result of the evaluation of the documents from administrative, financial, legal and historical perspectives.
2. It is mandatory to implement the “Standard File Plan” in filing procedures. A separate storage plan is prepared for films, photos, records, audio, images and other documents that are not included in the file plan.

## Document management and archive services activity reports

**ARTICLE 25 -** (1) The University reports information regarding document management and archive activities during the year to the Directorate in January of the following calendar year, in accordance with the forms and formats to be determined by the Directorate.

## Effective Date

**ARTICLE 26 -**(1) This Directive shall take effect after its approval by the Senate.

## Execution

**ARTICLE 27 -** (1) This Directive is executed by the President of Atılım University.

**ANNEX: 1**

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| **DOCUMENT / FILE REQUEST FORM** |
| **DOCUMENT/ FILE INFORMATION** |
| DOCUMENT UNIT |  |
| SUBJECT |  |
|  |
| FILE NO. |  | SERIAL |  | DATE/ YEAR |  |
| LOCATION |  |
| **REQUESTED BY** | **SIGNATURE** |
| UNIT SUPERVISOR |  |
| TITLE |  | PHONE |  | FAX |  |
| APPOINTED PERSON |  |
| **ISSUING METHOD** |
| ORIGINAL \_\_\_\_ | SAMPLE \_\_\_\_ | FAX \_\_\_\_ | ON-SITE REVIEW \_\_\_\_ |
| NUMBER OF PAGES/ ITEMS |  |
| **DELIVERED BY** | **DATE OF DELIVERY** | **RECEIVED BY** |
|  |  |  |
| **AUTHORIZATION** |
| **RETURNED BY** | **DATE OF RETURN** | **RECEIVED BY** |
|  |  |  |
| **REMARKS**1. *Unit Supervisors’ signatures are required for document requests.*
2. *Documents may not be delivered to anyone other than the appointed person as per this form.*
3. *Request Forms are prepared in two copies for original document requests, and in one copy for other requests.*
4. *The returning period for original documents is 7 days.*
5. *Phone requests shall not be taken into account.*
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**ANNEX: 2**

**REPUBLIC OF TÜRKİYE**

**ATILIM UNIVERSITY**

**FILE CONTENT LIST**

**Unit File No.:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Serial No.** | **Date** | **No.** | **S u b j e c t** | **No. of Items** | **Remarks** |
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**ANNEX: 3**

**FILE/ FOLDER LABEL**

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**FILE YEAR**

**SPECIAL INFO FIELD**

**FILE SUBJECT**

**FILE CODE**

**UNIT NAME/ UNIT CODE**

**ANNEX: 4**

**ARCHIVE DOCUMENT HANDOVER INVENTORY FORM**

**Unit/ Sub-Unit: Document Type:**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Inventory Order No.** | **Date/ Year** | **No./ File Code** | **Confidentiality Level** | **Subject** | **Serial Number** | **Pages/ Items** |
| **Box** | **File** | **Document** |
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**ANNEX: 5**

**DESTRUCTION LIST**

**Unit/ Sub-Unit: Document Type:**

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| --- | --- | --- | --- | --- | --- |
| **Inventory Order No.** | **Date/ Year** | **No./ File Code** | **Subject** | **Pages** | **Remarks** |
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| **Chairperson** | **Member** | **Member** | **Member** | **Member** |