

PROCEDURES AND PRINCIPLES OF ALTINBAS UNIVERSITY ARCHIVE SERVICE ACTIVITIES

PART ONE

Purpose, Scope, Basis and Definitions

Purpose

ARTICLE 1 - (1) The purpose of these procedures and principles is to determine the archival documents of the academic and administrative units affiliated to Altınbaş University and the archival documents that will become archival documents in the future, to ensure that they are not lost for any reason, to ensure that they are protected under the necessary conditions, to deliver the archival documents to the unit archives and then to the Altınbaş University Central Archive, to use them for scientific and administrative purposes; the sorting and destruction of documents that are no longer required to be preserved; the general structure, working methods, service areas of the unit and Central Archive and the procedures and principles regarding the documents to be transferred to the Presidency of State Archives.

Scope

ARTICLE 2- (1) These procedures and principles cover the information and document management and archive services and activities of all units within the Altınbaş University Rectorate.

Basis

ARTICLE 3- (1) These procedures and principles:

- a) State Archive published in the Official Gazette dated 18/10/2019 and numbered 30922

Regulation on Services

b) Law No. 3473 dated 28.09.1988 on the Amendment and Adoption of the Decree Law on the Destruction of Documents and Documents No Longer Needed for Preservation.

Definitions

ARTICLE 4 - (1) In these procedures and principles:

a) Archive: The places where the documents created as a result of the work and transactions, communications and services provided by real or legal persons in public institutions and organizations are hosted,

b) Archive document: Any historical, political, social, cultural, legal, administrative, military, economic, religious, scientific, literary, aesthetic, biographical, genealogical and technical document that is twenty years after its last processing date or finalized after fifteen years and has no function in the daily workflow, has completed the retention periods in the retention plans and other legislation to which it is subject, if any, and has completed the retention periods in the retention plans, regardless of their production methods and hardware media.

a written, drawn, pictured, visual, audio or electronically produced document containing information that should be passed on as a value,

c) Archival document: A document that does not qualify as an archival document in terms of its duration or does not lose its currency despite the expiration of this period, and has a function in terms of the execution of the service,

ç) Sorting: The process of separating the archival document from all kinds of documents that have lost their legal value and evidentiary value although they have a value within the framework of their current transactions and that do not need to be used and stored for any reason in the future, and the process of determining the archival document that will gain the qualification of archival document in the future,

d) Sorting and destruction commission (SCD): The commission formed by personnel with knowledge in the field to manage and carry out the sorting and destruction processes to be carried out in the institution.

e) Presidency The Directorate of State Archives of the Presidency of the Republic of Turkey,

f) Document A written, drawn, pictured, visual, audio or electronic record containing information, regardless of its production forms and hardware media, which is formed as a result of the work and transactions of public institutions and organizations and real and legal persons,

g) Document management: All the activities of evaluating, organizing, sorting and putting documents into service in line with the criteria determined from the production of documents,

ğ) Unit archive: The archive unit where the archival documents produced by the units affiliated to Altınbaş University and used actively and within the daily workflow are kept for a certain period of time,

h) Unit document manager: A full-time staff member designated from each main unit to carry out the filing, storage, sorting, disposition, servicing and transfer of documents,

ı) Evaluation: The process of deciding on documents by institutional authorities, document managers and archivists, taking into account their administrative, financial, legal, historical and research status in the creation processes,

i) Digitization: The transfer of paper documents to digital media using devices such as scanners, cameras or innovative techniques,

j) File code: An alphabetic, numeric, alpha-numeric designation indicating to which file the document is associated or to which file/folder the finished document will be placed,

k) File Plan: A classification scheme that enables documents to be used, managed and stored efficiently and is created on the basis of subject/function,

l) Electronic document management system (EDMS): A system that preserves the content, metadata, format and relational characteristics of documents that can be evidence of activities by extracting documents that can be evidence of activities from all kinds of documentation created by units during their natural workflows, constitutes evidence for the function or transactions to which the documents belong, and provides their management in the chain of ownership in electronic environment,

m) Destruction: The process of destroying documents that do not need to be used and kept in the future, that are not archival documents or archival documents, and that have lost their legal value and evidence,

n) Agency document manager: Responsible for the overall information and document management of the organization, Headquarters

The archivist who is in charge of the Archive.

o) Central archive The academic and administrative units affiliated to Altınbaş University and the central archive of the university where the documents produced in these units and finalized; documents that need to be preserved and protected for administrative, financial and legal reasons are sorted and destroyed after their retention period expires in accordance with document management, are kept in the institution permanently due to their institutional value, or those with research value are kept in the university central archive where the document to be transferred to the Presidency to be kept permanently,

ö) Rectorate Altınbaş University Rectorate,

p) Retention plan: An assessment of the period for which documents are to be retained and the treatment they will be subjected to at the end of that period,

q) Standard file plan: A classification scheme developed to ensure that corporate transactions and the documents created or received as a result of these transactions are filed on the basis of subject or function by specifying their relationship with the place of production,

r) Classification: The work of organizing archival documents by applying the basic principles and techniques of archiving,

ş) University: Altınbaş University,

s) Metadata: Any of the elements that describe the document or specify any of its characteristics,

t) Case file: Refers to the file opened for each transaction, where all documents related to the work and activity carried out are kept together.

PART TWO

Confidentiality, Storage and Protection of Archival Document and Archival Document

General Topics

ARTICLE 5- (1) The Central Archive is responsible for receiving, storing, evaluating and preserving archival documents, determining the method of weeding out unnecessary documents and keeping the documents in its possession in a continuously usable condition.

(2) All documents produced by the academic and administrative units of the Rectorate and required to be transferred to the Central Archive are the property of the university and cannot be the subject of private ownership. The documents of the units established and abolished within the Rectorate are transferred to the Central Archive, unless another unit is assigned in this regard.

(3) University archive services and activities are carried out by the Archive Unit consisting of managers, archivists and experts trained in archives under the supervision and supervision of the Library and Documentation Department.

(4) The General Secretariat is responsible for the protection of the archival document in the Central Archive until it is delivered to the Presidency and the archival document kept in the academic and administrative units of the University and for its organization in accordance with archival principles.

(5) The archival documents produced in the academic and administrative units affiliated to the Rectorate are delivered to the unit archive to preserve them until the documents lose their currency or expire in the units, and to the Central Archive to preserve them permanently or until they are transferred to the Presidency. The Central Archive operates under the Department of Library and Documentation.

Confidentiality and declassification of archival material

ARTICLE 6- (1) All officials who will implement the provisions of these procedures and principles and who are responsible for the collection and preservation of archival documents are not allowed to make any statements about the documents accumulated in their hands.

(2) Documents that are determined to be confidential by the units they are produced by retain their confidentiality even after they are transferred to unit archives and the Central Archive.

(3) "Confidential" shall be stamped with red ink on the upper right corner of the file sleeve containing the confidential documents in whole or in part. Confidential documents shall be treated like normal documents during classification and placement in the archive. Unless the confidentiality of the classified document is declassified, it retains this identity. The declassified document shall be stamped "Declassified" and the confidentiality stamp shall be canceled. Archival documents whose confidentiality has been declassified shall be marked with the phrase "declassified by the decision dated ... and numbered ...". The declassification of documents is done with the approval of the Rectorate/General Secretariat in line with the information received from the relevant units.

(4) A confidential archival document shall remain confidential even after its transfer to the Presidency. This kind of archive

The declassification of the document is decided by the Presidency after taking the opinion of the obliged persons.

given. The declassified archive documents shall be marked with the phrase "declassified by the decision dated ... and numbered ...". The issues regarding the declassification of archive documents transferred to the Presidency shall be determined by a directive to be issued by the Presidency.

(5) Confidential files/folders are treated like normal documents during sorting and placement in archives. Access to these documents is limited to the archive manager and persons authorized by the Rectorate/General Secretariat.

(6) The Rectorate makes use of all kinds of documents in the unit archives and the Central Archive, which may or may not be confidential. However, the unit manager who transfers the confidential document can only benefit from the documents belonging to his/her unit when needed. The use of confidential documents by other units depends on the permission of the Rectorate/General Secretariat.

Storage of archive material

ARTICLE 7- (1) Documents produced by the academic and administrative units of the Rectorate and qualifying as archival documents are kept in the unit and Central Archives within the framework of the periods specified in the Standard File Plan (SDP).

(2) All kinds of information and documents in electronic media are stored in electronic archives in such a way that they can be accessed, stored, liquidated and transferred.

(3) The transfer procedures of the documents produced by the academic and administrative units affiliated to the Rectorate, which are archival documents, and those that need to be transferred to the Presidency of State Archives are carried out according to the SDP. In addition, the retention periods of the documents in the University Central Archive comply with the conditions of 10 (ten) years according to the Commercial Code and 5 (five) years according to the Tax Law and administrative provisions.

(4) Preservation and destruction procedures are carried out in accordance with the "YÖK Standard File Plan" presented in Annex 1 and the "Institutional Retention Plan" presented in Annex 2.

(5) Archival documents are kept in unit archives for 1-5 years and in the Central Archive for the periods specified in the SDP and Institutional Retention Plan.

Obligation to protect

ARTICLE 8- (1) The Rectorate and the General Secretariat are responsible for taking the necessary measures to protect the archive and archival documents against fire, theft, dampness, flooding, dust, and all kinds of animals and pests, and for regulating the temperature, light, ventilation and humidity settings. This responsibility

a) Taking the necessary precautions against fire, theft, dampness, submersion, dust and destruction by all kinds of animals and pests,

b) Keeping fire extinguishers in constant working condition against fire in accordance with the fire instruction,

c) By keeping a hygrometer in each section of the archive in appropriate places, the humidity between 50-60%,

ç) Use of moisture absorbing devices or chemicals to prevent excessive moisture,

d) Disinfecting the archive halls at least once a year as a preventive measure against microorganisms,

e) Convenient organization of light and ventilation measures,

f) Keeping the temperature as constant as possible (paper document 12-18 degrees),

g) It includes taking and executing the necessary security measures against all kinds of disasters, cyber-attacks, software/hardware-originated or potential threats/risks and establishing backup units for documents formed and/or stored in electronic media.

PART THREE

Material that does not need to be transferred to the Institution / Unit Archive with the Removal of the Archive to the Institution and Abroad

De-institutionalization of the archive

ARTICLE 9 - (1) The material produced by the academic and administrative units affiliated to the Rectorate and qualified as archival documents cannot be taken out of the archives or their locations without permission within the scope of exhibitions and similar scientific and cultural activities. The permission to leave the institution is given by the Rector or the Secretary General.

Export of the archive abroad

ARTICLE 10- (1) The material produced by the academic and administrative units of the University and qualified as archive documents shall not be taken abroad without permission. The permission to go abroad is granted by the University Administrative Board.

(2) Archival documents may be temporarily taken out of the archives or the places where they are located within the scope of exhibitions and similar scientific and cultural activities, with the permission of the Presidency, upon the proposal of the Rectorate and the opinion of the Ministry of Foreign Affairs, provided that guarantees are obtained and insured by the authorities of the destination country against any damage, loss, threat or encroachment.

Material that does not need to be transferred to unit and institutional archives

ARTICLE 11 - (1) Materials and personal documents produced by the academic and administrative units of the University and used continuously in the daily workflow, as well as Official Gazettes, books, theses, brochures and similar documents are not transferred to unit archives and the Central Archive.

PART FOUR

Filing Procedures

Giving file codes to documents

ARTICLE 12- (1) The file code shall be determined in accordance with the file plan rules according to the SDP.

(2) If the document covers more than one subject, the file code for the predominant subject is preferred as the file code of the document. In such cases, a copy of the document may also be placed in the other file to which it relates.

(3) Even if it is separately defined in the file plans, a different file code cannot be given to the writings that are a continuation or part of a transaction in order not to disrupt the integrity of the transaction.

(4) The file codes for incoming documents are indicated in the reply letters to be prepared and in the is not directly referenced in its filing.

(5) In EBYS, the file code is included as a mandatory metadata element.

Filing of documents ARTICLE 13-

(1) Subject files/folders are opened each year upon the formation of documents bearing their file codes and closed at the end of the year. For the closure of case files that will take many years to process, the year in which the process is completed is taken as basis.

(2) All documents generated in relation to a transaction, from the document that started the transaction to the document that concluded it documents are filed in a historical order with their relevance and annexes.

(3) Geographical, alphabetical or chronological filing may be made unless an exception is made in the file plan in order to provide access more effectively due to the density of documents with the same file code.

(4) In the event that a small number of documents accumulate in files/folders opened with their own special code, the documents in these files/folders are merged in the upper file levels to which the file code is linked or in files/folders named "General". The file labels of the merged files/folders are rearranged taking into account the operation performed.

(5) In each file/folder, the "File/Folder Content List" annexed to these procedures and principles (Annex 3.) is prepared and placed in order to determine the content and provide quick access to documents.

(6) In the preparation of the file/folder content list, the most recently processed document of each transaction whole is taken into account. The listing process starts from the oldest dated document of the file/folder whose historical order has been completed.

(7) In EBYS, documents are stored in the files/folders they belong to according to the hierarchical structure and file codes they are defined in.

(8) Different types and kinds of documents, such as films, photographs, records, audio and video tapes, etc., may be issued according to different systems and procedures.

File label

ARTICLE 14- (1) On the file/folder, there should be elements such as "institution name/logo", "unit name/code", "file code", "subject name", "year", "unit archive retention period", "institutional archive retention period", "total retention period and retention code" and "special information/special code", if any, in the "File/Folder Label" (Annex 4).

PART FIVE

Conformity Check and Transfer Procedures

Sorting and preparation of the material to be transferred to the central archive

ARTICLE 15- (1) Units shall transfer the archival documents that have lost their active use value and have completed the unit archive retention period specified in the SDP and Institutional Retention Plan to the Central Archive.

(2) Archival documents that have completed their retention period in the unit archive according to the SDP are prepared by the unit document manager in the form of "those to be transferred to the Central Archive".

(3) The archival document to be transferred to the Central Archive is checked for compliance in accordance with Article 16 of these procedures and principles. If there are any deficiencies, they are completed as specified in Article 16.

(4) The transfer transactions are carried out by issuing the "Central Archive Transfer-Delivery and Inventory Form" in Annex 6 and the "Central Archive Transfer-Delivery and Inventory Minutes" in Annex

Compliance check

ARTICLE 16- (1) Documents to be transferred to the Central Archive by unit archives shall be received after their compliance with the transfer procedure and their content have been checked by the institutional document manager or Central Archive staff in the relevant unit. The conformity check is carried out in accordance with the following procedures.

a) Whether there is a jump in the file number between transfers of each unit,

- b) Whether the documents in the files are placed in historical order, with the oldest date at the bottom and the most recent date at the top,
- c) The name of the unit to which the folders and files/notebooks, binders, envelopes belong, whether the unit code and the transaction year(s) to which they belong are written,
- ç) Whether those required to be bound are bound or not,
- d) Whether the envelopes that should have been enveloped were enveloped or not,
- e) Whether file/folder labels are edited,
- f) Whether file/folder content lists are prepared,
- g) Whether the documents related to each separate transaction in the file / folder are brought together with their annexes,
- ğ) Check whether pages or attachments are torn, torn or missing. If there is an omission or defect, it is corrected.

(2) Files/folders that contain full or partial confidentiality shall be labeled with the highest degree of confidentiality. Confidential files/folders shall be treated like normal documents during classification and placement in archives.

(3) The conformity check is carried out together with the unit document manager.

(4) It is checked by the institution document manager whether the documents created in electronic document management systems are associated with the correct file, and it is ensured that the file codes given incorrectly are associated with the correct file by the EBYS system administrator under the coordination of the institution document manager.

Handover and handover operations

ARTICLE 17 - (1) In the first three months of the calendar year, archival documents whose deficiencies have been eliminated by checking compliance in unit archives are transferred within the scope of the planning of the Archive Unit in January-February-March.

(2) In the Central Archive Handover Inventory Forum, the sections describing the qualifications of the transferred documents are filled in by the document manager of the transferring unit and approved by the unit manager.

(3) Unit archives record the documents to be transferred to the Central Archive on the "Central Archive Transfer-Delivery Inventory Form" in Annex 6 by assigning a sequence number starting from one each time. Following the approval of the unit supervisor, the relevant inventory forms are submitted to the institutional document manager with the relevant forms and minutes by issuing the "Central Archive Transfer-Delivery and Inventory Minutes" in Annex 7.

(4) The relevant forms and minutes are checked and approved by the institutional document manager, and the documents are checked and received by the Central Archive officer(s).

(5) Inventories are prepared to facilitate and manage the use of documents transferred from unit archives. This inventory is kept as one record per file / folder.

PART SIX

Stamping and Classification and Placement of Archival Documents

Stamping

ARTICLE 18 - (1) Following the sorting and destruction procedures, the document transferred to the central archive is stamped with the "Altınbaş University Central Archive" stamp. The stamp is stamped on the upper right corner of the front face of the document, on the upper right corner of the front face of the inner cover of the notebooks and on the upper right corner of the documents in the notebooks in the same way. For other types of archival documents, the stamp printed on the adhesive label is applied.

Classification and placement of the material in the central archive

Article 19- (1) Archival and archival documents are classified by the organic method (Provenance System / Respect for the Original Order Principle), which is based on the principle of arrangement in accordance with the forms of formation and relations that occurred at the time of processing. The essence of this classification system is to leave the funds transferred to the archives in their original order without disrupting their integrity.

(2) The institutions, departments and sub-units to which the archival document belonged at the time it was processed are identified in hierarchical integrity. The documents belonging to the units are brought together. Classification procedures follow the following order;

(a) First, the documents belonging to each unit and sub-units are handled and sorted one by one. The documents of the units are brought together in accordance with the forms of organization and relations at the time they were processed. The sorting process is carried out in line with the organization chart of the institution. According to the organizational chart, the process of determining the organizational codes of the institution, unit and sub-branches separately is started.

(b) From the documents and documents that have been separated, those that are identical in terms of subject and procedure shall be brought together with their annexes. Maps, plans, projects and the like attached to the documents shall not be separated from the original documents and documents. Such attachments are handled together with the original documents and documents.

(c) The documents and documents whose units have been identified are then placed in chronological order according to "day, month and year". Chronological ordering is done from the younger date to the older date. The same procedure is applied in the chronological order of documents with more than one annex. Documents with only a "month" and no day are placed at the end of the month in which they are found, unless they have a clue such as the number of the document, they are placed collectively at the end of the month in which they are found. Documents that do not have a day and month but only a year are placed at the end of the year to which they belong. Documents with an estimated date even though they do not have a written date on them

It is also placed among the documents of the year to which they belong, whose month and day are not known. The estimated dating record is shown in square brackets.

(d) The pages of documents consisting of more than one page are numbered in order to prevent them from being scattered, to prevent them from losing their place and to ensure their belonging, thus facilitating their use. In each file, documents are numbered sequentially starting from one. After the attachments of the documents are counted within themselves, they are written in pencil in the lower left corner of the front side of the original document.

(e) The "File / Folder Content List" in Annex 3, which will give a breakdown of the documents to be included in that file, is placed in each file liner.

(f) In this sorting system, an inventory is prepared for the documents for which sorting and dating are completed. All these processes are then transferred to electronic media. The information recorded in electronic media is then printed out and cataloged.

(g) The documents whose classification has been completed are placed in folders or boxes in standard file liners, in archive halls and metal shelves that have the necessary conditions, within the archive layout plan. In this placement, the shelves, including double-sided blocks, shall be arranged from left to right and the compartments shall be arranged from top to bottom. When entering the archive hall, the placement process starts from the upper left corner of the first shelf on the left side. This process is repeated for each shelf group. The archive hall layout chart is drawn up and hung in a suitable place at the entrance of the hall.

(h) This classification system is only for documents called classical type archive documents. The provisions applied for other types of materials in the preservation, classification, transfer and similar archive operations of the information and documents formed in electronic media, which have the characteristics of archival documents, are applied by taking into account the "Electronic Document and Archive Management System" standard numbered TS13298.

PART SEVENTH

Digitization of Documents

Digitization

ARTICLE 20- (1) Documents received in paper format for processing shall be scanned with their attachments and included in the electronic document management system (EBYS) in order to preserve their transaction and file integrity.

(2) The relationship of digitized documents with electronic and physical documents is preserved.

(3) When deemed necessary, it is necessary to save the documents in paper media that have the characteristics of archival documents from being a single copy, to save the documents that are not archival documents and are frequently

used documents can be digitized in order to prevent wear and tear and to be able to use them effectively.

(4) Documents that are not used frequently and that will be destroyed at the end of the retention periods stipulated in the retention plans are not subject to digitization.

(5) The relationship between digital images and their metadata is preserved.

(6) Digitization processes are carried out in line with the recommendations of the units, with the knowledge or coordination of the unit responsible for document management and archive services, within the institutional integrity. Independent applications of units are not allowed.

(7) In all kinds of digital imaging operations to be carried out, the "Electronic Document and Archive Management System" standard numbered TS13298 and the "Procedures and Principles for Digitization Activities to be Performed in Archives" notified to the obliged parties by the Presidency of State Archives with the letter dated 13.7.2020 and numbered 51048475-010.08-E.7401 are taken into consideration.

(8) Digitization processes are applied retrospectively starting from the most recent date on a unit basis.

PART EIGHT

Transactions for the Presidency of State Archives

Transfer transactions

ARTICLE 21 - (1) The Rectorate is obliged to transfer to the Presidency of the State Archives the archival documents that have lost their active use value for itself, have completed their retention period within the scope of the SDP and need to be transferred to the Presidency.

(2) Handover and handover procedures Annual between the date determined by the Presidency is realized.

(3) The Rectorate shall process the documents to be transferred to the Presidency of the State Archives regularly and each time by assigning a sequence number starting from 1 on the "Archival Document Transfer-Delivery and Inventory Form" presented in Annex 8.

(4) In the Archive Document Transfer-Delivery and Inventory Form, the sections defining the qualifications of the files to be transferred are filled in by the Central Archive staff, and the transfer-delivery process is carried out following the approval of the Rectorate.

(5) If there are physical and structural differences between the documents to be transferred to the Presidency, their transfer and delivery procedures shall be carried out in separate lists.

(6) All kinds of documents falling within the scope of these procedures and principles, which are understood to have been used in crime according to the relevant laws and whose confiscation decision is finalized, shall be delivered to the Presidency of the State Archives within six months following the finalization of the judgment.

Annual report

ARTICLE 22 - (1) In January of each year, the Central Archive organizes the "Document Management and Archive Services Evaluation Form" presented in Annex 11 in accordance with the forms and formats determined by the Presidency of the State Archives and reports the information on document management and archive activities during the year to the Presidency under the supervision of the Rectorate.

PART NINE

Utilization and Exploitation of Unit and Institutional Archives

Utilization of Archives

ARTICLE 23 - (1) External utilization of all kinds of documents used in the workflows of the Agency or preserved in the unit archives is not possible without prejudice to the rights granted to private and legal persons under the "Right to Information Law" numbered 4982.

(2) Copies of any document cannot be given in the Central and unit archives without the "Document / File Request - Return Form" presented in Annex 5.

(3) Persons or units requesting documents from the central and unit archives are obliged to inform the archive reference number of the document they request.

(4) Those who damage archival documents are deemed to have damaged the property of the institution.

(5) Documents created in electronic environment are utilized within the framework of access authorization. Requests to benefit from documents that do not have access authorization are carried out under the control of the institution's document manager in line with the permission of the Rectorate / General Secretariat.

(6) Units may request files from the unit archive within the knowledge of the unit document manager, provided that they are seen or examined when necessary but not taken out. The file request is made by issuing the "Document / File Request-Return Form" presented in Annex 5. Files taken from the unit archive are returned to the unit archive within one week after the examination. If necessary, this period may be extended by one week with the approval of the unit document manager and the unit manager.

(8) Document requests from the Central Archive are made by issuing the Document / File Request-Return Form presented in Annex 5. Document requests are met by the Central Archive staff after evaluation and approval by the institutional document manager.

(9) The originals of the documents under the authority and responsibility of the Central Archive may not be taken out of the archives or their locations for any reason or under any circumstances. When necessary, duplicate copies (certified photocopy) are presented by making "Like Original".

(10) The Central Archive document lending period is one week. This period can be extended if justified in case of need. If the borrowed document is not returned after the expiration of one week or the extension period, a warning is given to the unit and personnel who do not return it.

(11) All records related to the utilization of the archives are kept in an organized manner and kept for 10 years.

Utilization of Archives

ARTICLE 24 - (1) The Central Archive was established to serve only within the University and responding to external requests depends on the permission of the Rectorate/General Secretariat.

(2) Documents taken from the central and unit archives are used only within the institution. The originals of archive documents cannot be taken out of the institution in any way. However, when it is necessary to perform a service belonging to the State, real and legal persons, to protect and prove a right, samples may be duly provided. Or they may be examined on site with the permission of the Rectorate by the authorities to be appointed by the courts or by the relevant departments.

(3) The originals of the documents under the authority and responsibility of the Central Archive may not be taken out of the archives or their locations for any reason or under any circumstances. When necessary, duplicate copies (certified photocopy) are presented by making "Like Original".

PART TEN

Sorting and Disposal Operations

General Topics

ARTICLE 25- (1) The sorting and destruction procedures to be implemented in the Central Archive shall be carried out by the university "Sorting and Destruction Commission (SCD)" to be established.

(2) After separating the documents produced by academic and administrative units that do not qualify as archival documents and the archival documents, samples of which will be sent to the Presidency, the remaining documents are destroyed by taking into account the periods specified in the SDP and the Institutional Retention Plan.

(3) The Rectorate/General Secretariat is responsible for the protection of the archival document in the Central Archive and the archival documents kept by the academic and administrative units until they are delivered to the Presidency and for organizing them in accordance with archival principles.

Documents that will not be subject to sorting

ARTICLE 26- (1) Documents that have an actual role in current transactions, whose retention is determined by law and other legislation for certain periods of time (those deemed necessary according to the provisions of special legislation), and documents that are subject to any lawsuit cannot be subjected to the sorting process within the period specified in the SDP and the time limit determined by the legislation and/or until the conclusion of the lawsuit.

Sorting and destruction commission

ARTICLE 27 - (1) For the sorting and destruction operations to be carried out in the Central Archive, a five-person university Sorting and Destruction Commission (SCD) shall be established under the chairmanship of the manager of the Archive Unit of the Department of Library and Documentation, who is the unit supervisor responsible for the organization and execution of archive services and activities, consisting of two personnel to be assigned from the Central Archive, two representatives with knowledge and experience in public administration, document management and the services provided by the unit to be assigned by the head of the relevant unit. In case a five-person commission cannot be established, this commission shall consist of at least three people. The person in charge of the library and certification services within the university or the person to be appointed by him/her is also accepted as a natural member of this commission.

(2) AIK is established with the approval of the Secretary General for the sorting and destruction operations to be carried out in the Central Archive.

(3) The EBRD starts its work at the beginning of March each year.

(4) Any document that is no longer required to be used and preserved shall be destroyed upon the final decision of the EHR.

(5) Annexes submitted to the EHR as a result of the sorting process carried out in the Central Archive each year

9. a final decision is made on the "Destruction List" presented.

(6) The EHR convenes with the full number of members and takes its decisions by majority of votes. In case of equal votes, it shall be deemed to have been decided to retain the document in question.

(7) The document rejected for destruction will be re-evaluated by the EHR in the following period. is subjected to.

(8) Each page of the destruction lists shall be signed by the chairperson and members of the EHR.

Sorting Operations

ARTICLE 28- (1) Documents that are actively used in the workflow by academic and administrative units and those that need to be kept within the framework of the law and other legislation cannot be sorted unless the active use value disappears and the periods specified in the legislation expire. The sorting procedures of the remaining documents are carried out within the framework of the principles set out in the SDP and the Institutional Retention Plan, and the opinions of the units that produce the documents are also taken in this regard.

(2) The retention periods of documents in the Central Archive are based on the SDP and the Institutional Retention Plan. Weeding cannot be performed on documents that have not completed their specified periods.

(3) When performing the sorting operations, priority is given to the sorting of documents from previous years.

(4) The University Sorting and Destruction Commission, which will be established for the sorting of old documents belonging to the units that are within the scope of the University Archive Service Activities Procedures and Principles and closed due to changes in institutional structures, is established by including a member to be selected from the units that have assumed the responsibilities of the closed units or among the officials who are knowledgeable about the service areas of the closed unit.

(5) Sorting cannot be performed in unit archives, except for envelopes and manuscripts. The sorting process is carried out at the Central Archive. In case there are difficulties in transferring to the Central Archive for various reasons, the sorting process is carried out in the unit archives by the Central Archive staff and the unit document manager under the supervision and supervision of the institutional document manager.

(6) Old-letter Turkish documents within the University, sorting and classification without being subjected to the procedures, shall be transferred to the Presidency in its current order.

Destruction operations

ARTICLE 29- (1) Destruction of all kinds of documents that do not need to be used and preserved is done with the final decision of the EHR. This decision becomes final with the approval of the Rector or the supervisor authorized by him/her.

(2) The document, which is sorted and decided to be destroyed by the University Sorting and Destruction Commission, is sorted and classified according to its characteristics based on its unit, year, content, date and sequence number received in the unit, and the year it will be destroyed.

(3) According to the characteristics of the document to be destroyed, the destruction list is prepared in two copies based on the unit, year, nature, belonging, date and sequence number within the belonging and file plan. If the archive management system, electronic system and program are used, the members of the destruction commission approve the documents to be destroyed in line with the SDP and Corporate Retention Plan in the program and within the framework of the workflows of the Sorting - Destruction module, and the central archive personnel perform the necessary sorting and destruction operations.

(4) The destruction process is determined by issuing the "Destruction List" in Annex 9 and the "Destruction Record" in Annex 10 in duplicate and signed by the chairman and members of the EHR.

(5) Destruction lists and minutes prepared in duplicate, as well as correspondence and approvals related to them, are grouped according to their belonging. The first of these copies is kept in the unit archive and the second in the institutional archive. The lists are kept for 10 (ten) years to be presented when necessary (audit, etc.).

(6) The document to be destroyed will not be possible to be seen and read by others shredded with special machines. This is **d o n e** under the supervision of archive staff.

(7) The Sorting and Destruction Commission subjects the documents that were not transferred to the Central Archive on time for various reasons and that do not need to be preserved to destruction after their transfer to the Central Archive.

(8) The provisions of the relevant legislation shall apply to the destruction of documents (confidential documents, etc.) whose destruction method is determined in their own legislation due to their nature.

(9) The document to be destroyed is separated from its metal parts such as pins, fasteners, wires and carbon paper.

(10) The EHR requests the opinion of the Presidency of the Republic of Turkey's State Archives Directorate in case of any hesitation in the destruction process.

(11) At the end of the periods specified in the SDP and Corporate Retention Plan, the documents produced in electronic environment are destroyed by the system administrator of the Department of Information Technologies and Security and the EHR under the supervision and control of the institutional document manager.

PART ELEVEN

Miscellaneous and Final Provisions

Status of Documents in Case of Dissolution, Transfer of Authority or Privatization ARTICLE 30- (1)

In the event of the termination of Altınbaş University's activities, its documents are transferred to the Presidency, and in this case, the process for sorting and destruction is carried out by the Presidency.

(2) In the event that the activity is carried out by different institutions and organizations due to organizational changes at Altınbaş University, the documents are transferred to the institution or organization where the activity will be carried out.

(3) In case of abolition, transfer of authority or privatization, the obligations of the documents belonging to Altınbaş University specified in these procedures and principles shall be fulfilled by the superior institution and organization to which Altınbaş University is affiliated in case of abolition, by the institution and organization that transfers the authority in case of transfer of authority, and by the commission to be established when it is included in the scope of privatization in case of privatization.

Repeal

ARTICLE 31- (1) The "Altınbaş University Archive Directive" adopted by Altınbaş University Senate dated 03.07.2021 and numbered 2020/13 and by the Board of Trustees dated 23.07.2020 and numbered 2020/5 has been repealed.

Enforcement

ARTICLE 32- (1) When these procedures and principles are accepted by Altınbaş University Senate

enters into force as of that date.

ARTICLE 33 - (1) The provisions of these procedures and principles shall be executed by the Rector of the University.

Legal Basis for Entry into Force		
Relevant Board	Date of Decision	Number of Decision
Senate	24/09/2021	2021/13
Board of Trustees	08/10/2021	2021/08
Legal Basis for the Amendment		
Relevant Board	Date of Decision	Number of Decision

APPENDICES

[Annex 1: HEC Standard File Plan](#)

[ANNEX 2: Corporate Custody Plan / KDDB F 13](#)

[ANNEX 3: File/Folder Content List/ KDDB F 14](#)

[ANNEX 4: File/Folder Label/ KDDB F 15](#)

[Annex 4.1: File/Folder Label/ KDDB F 15.1](#)

[ANNEX 5: Document / File Request - Return Form / KDDB F 16](#)

[ANNEX 6: Central Archive Handover and Inventory Form / KDDB F 17](#)

[Annex 7: Central Archive Handover and Inventory Minutes/KDD F 18](#)

[Annex 8: Archive Document Handover and Inventory Form /KDD F 19](#)

[Annex 9: Destruction List /KDD F 20](#)

[Annex 10: Destruction Record /KDD F 21](#)

[Annex 11: Document Management and Archive Services Evaluation Form/KDD F 22](#)