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ON THE RULES FOR DOCUMENT MANAGEMENT		

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Version number	Date of publication	Effective date	Version tracking
00.	31.07.2025	01.09.2025	Publication Resolution No. VB-68/2025 (8 July)




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I. CHAPTER

GENERAL PART

Preamble

1. §

- (1) Pursuant to Section 10 of Act LXVI of 1995 on Public Records, Public Archives, and the Protection of Private Archives, in agreement with the competent public archives, and pursuant to Section 11 of the University's Organisational and Operational Procedures, the Executive Committee determines the specific document management rules of Corvinus University of Budapest as follows:

Purpose of the Provisions


2. §

- (1) The purpose of the Provisions is to ensure that the documents received by, forwarded to and generated by the organisational units are handled (properly filed, assigned, dispatched etc.), stored and discarded in a transparent and controllable system, and the documents that cannot be discarded are transferred to the Central Registry of the University, and the Central Registry duly transfers the documents to be archived to the competent higher education archives, i.e., to the Archives (hereinafter: Archives) operating under the University Library and Archives organisational unit.
- (2) The University is obliged to handle its documents under the conditions, in the manner and in the system provided for by the applicable legislation, and to ensure that the documents are suitable for subsequent use (e.g. requests for data when exercising rights related to personal data, supply of data in reply to official inquiries).
- (3) The Provisions are also intended to promote the enforcement of IT security and information security rules, in particular the rules on the processing and protection of personal data, since the filing of case files at the University is not done on paper base, but in digital way in the Poseidon Filing and Document Management System, and an increasing portion of the case files are already created in electronic form (e-mails, electronically signed case files), or the organisational units keep paper based case files in digital copies, too, in most cases.

Scope

3. §

- (1) The personal scope of these Provisions shall apply to:
- a) all organisational units and bodies of the University; the Student Union (hereinafter: SU) and the PhD Students' Union (hereinafter: PhD Students' Union), as well as the Corvinus Employees' Council,

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- b) persons with employment relationship or additional employment relationship with the University, in particular the staff member responsible for document management in the organisational unit and the person responsible for document management for the SU and the PhD Students' Union.
- (2) The rules set out in these Provisions shall apply to all paper-based and electronic documents received by, forwarded to, generated by and ultimately sent from the organisational units, as well as to the current records of the organisational units.
- (3) The material scope of these provisions shall apply to all administrative activities carried out by the organisational units and to all work steps of the administrative process, in particular to the processes of receiving mails, mail routing, mail opening, finding related documents, filing, depositing to temporary storage with deadline, assigning, issuing copies, document reproduction, coordination, dispatch, delivery, filing, lending, discarding, destruction and archiving of the case files.
- (4) The material scope of the Provisions does not cover theses and dissertations, diploma projects - excluding the Filing Plan, which contains the retention period of theses and dissertations.
- (5) The material scope of the Regulation does not cover classified documents and the rules of their handling.
- (6) Within the framework of this Regulation, the further details of document management by the Student Union and the PhD Students' Union shall be laid down in their own statutes, if necessary.

Definitions

4. §

- (1) The terms used in these Provisions shall have the meanings given to them in Section 2 of Government Decree 335/2005 (29 December).

The organisation of document management, responsibilities

5. §

- (1) The rules of document management at the University are laid down by the Executive Committee on the basis of Section 11 of the Organisational and Operational Procedures.
- (2) The University shall use the Poseidon Filing and Document Management System (hereinafter: Poseidon) for performing document management tasks at the University.
- (3) Document management at the University belongs to the responsibilities of the Rector, who performs this task through the Legal and Procurement Services organisational unit operating under the control of the Chief Operating Officer as defined in the Organisational and Operational Procedures.
- (4) The Head of Legal and Procurement Services shall be responsible for:

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- a) defining and submitting to the Executive Committee the internal rules governing the management of documents - including the document management organisation - in order to define and maintain document management rules,
 - b) making proposals to the Executive Committee regarding the introduction of legally compliant document management software, and once procured, providing it in conjunction with the organisational unit responsible for the operation of the IT infrastructure, and for performing the content administration tasks of Poseidon,
 - c) allocating, revoking and keeping up-to-date records of Poseidon access rights,
 - d) allocating, revoking and keeping up-to-date records of access rights to the Office Gateway, which is part of the Central Electronic Service System (Central System, CS),
 - e) managing the tasks of the Central Registry, providing a chief registrar and, if necessary, additional staff members, organising their training, supervising the operation of the Central Registry,
 - f) organising the professional training and further training of persons who are responsible for or carry out document management, the financial resources for which shall be provided by the organisational unit designated in the relevant financial rules,
 - g) developing a system of professional consultancy to support the organisational units' document management activities.
- (5) The Chief Operating Officer, who performs this task through the Campus Services and the Information Technology organisational unit as defined in the Organisational and Operational Procedures, is responsible for the establishment of the technical conditions (especially physical document protection, labour safety, data protection) of the temporary registry (where the case files are stored by the designated staff members of organisational units until they are forwarded to the Central Registry), the Central Registry and the University Archives, taking into account the legal requirements in force. The Chief Operating Officer is responsible for providing the support and resources necessary for the operation of Campus Services and the performance of IT tasks.
- (6) IT ensures the server-side operating environment of the IT system required for electronic document management, the continuous availability of the infrastructure, the continuous availability of the IT system's system and data security, performs backups, creates storage, email addresses and mailboxes, updates the document management system, performs testing, installs patches and new versions, and helps to set up the necessary IT tools.
- (7) The compliance control of the document management of each organisational unit is carried out by the organisational unit in charge of compliance control at the University, as specified by the Organisational and Operational Procedures.
- (8) The document management of the University's organisational units shall be governed by the heads of the organisational units in accordance with this Provision. The heads of organisational units are responsible for:

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- a) the designation of a staff member for the management of documents in the organisational unit and for the proper recording of this task in employment documents, and Legal and Procurement Services will provide professional advice as required,
 - b) providing professional assistance to case file handling staff members in the proper performance of their duties, which means in particular:
 - ba) assistance in the categorisation of the organisational unit's case files from professional point of view, i.e., what type of case files and in what system the head of the unit considers necessary to register for the proper performance of his/her managerial tasks,
 - bb) defining the tasks in such a way that sufficient time is available to carry out the document management tasks,
 - bc) ensuring that staff members handling case files have the appropriate equipment and tools to perform their duties, and that they attend the training courses determined by the head of Legal and Procurement Services, for which Legal and Procurement Services will provide professional advice as required,
 - c) the regular management of documents by the organisational unit, the control of staff members handling the documents, and, if necessary, in the case of detecting any problem in document management, reporting the problems to the head of Legal and Procurement Services.
- (9) The University performs its document management tasks in a mixed system:
- a) Legal and Procurement Services / Mail Room receive documents centrally;
 - b) filing is carried out in the organisational units dealing with the cases.
 - c) filing tasks are distributed:
 - o it starts in the temporary archives of the organisational units, then –documents are transferred to the Central Registry and Archives,
 - o and in the case of certain organisational units, documents that cannot be sent to the Central Registry, but must be filed will end up in the local registry of the organisational unit. (E.g. Finance - invoices)
 - o As to the placement of documents that are different from the rules defined in the Provision to the Central Registry, the written opinion of the Administrative Affairs Team Lead shall prevail.
- (10) At the University, document management within the organisational units is carried out by the staff members designated for document management, except for receipts, if the consignment arrives at the University's Mail Room.
- (11) All employees involved in document management must comply with the rules on document management, in particular, they must:
- a) acquire the knowledge described in these rules and required for the performance of their work and apply it in the course of their work;

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- b) develop the organisational unit's document management policy, with the support of the head of the organisational unit, in accordance with the principles set out in this Provision;
 - c) attend Poseidon training;
 - d) use Poseidon with the help of the user guides;
 - e) account for documents and case files;
 - f) keep complete records of the documents entrusted to them, handle the case files professionally and store them properly;
 - g) compile the documents to be added to the Central Registry according to filing instructions available on the Intranet site of Legal and Procurement Services / Archives and attach the accompanying documents and minutes;
 - h) if the document does not have to be transferred to the Central Registry under this Provision, it must be discarded, for which the descriptions and explanatory notes are available on the Intranet sites of Legal and Procurement Services / Registry
- (12) In order to reduce the workload on individual organisational units and to store documents with a longer period of retention in a professional and systematic manner, the University operates a Central Registry. The Central Registry is responsible for:
- a) maintaining the Filing Plan, collecting new item number requests from each organisational unit;
 - b) preparing, maintaining and making available on the Intranet, subject to this Provision, specimen documents, standard forms and process descriptions used in document management;
 - c) the receipt from organisational units of the documents to be deposited in the Central Registry under this Provision;
 - d) under the supervision of the Archives, for the development of a professional advisory system to facilitate the discarding tasks of the organisational units and the transfer of documents to the Central Registry;
 - e) the electronic registration of documents deposited in the registry and transferred for safekeeping in the past, and the continuous expansion of the register until the final document inventory is available.
- (13) To ensure the preservation and protection of documents of lasting value, the Archives supports and monitors the management of documents throughout the University. The Archives:
- a) review and approve the University's document management rules;
 - b) check and authorise the disposal of documents;
 - c) initiate the archiving of documents of lasting value;
 - d) may investigate the document management activities;

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- e) report on every development regarding document management;
- f) help to organise the repair and recovery of materials in an extraordinary event that causes damage to current records.


II. CHAPTER

GENERAL RULES AND PROCEDURES OF DOCUMENT MANAGEMENT

Scope of duties related to document management

6. §

- (1) The scope of duties related to document management covers the creation, receipt or electronic receipt, filing, making available, keeping records of, transmission, systematisation of documents, sorting them for discarding, adding aids to them, ensuring their professional and safe custody, discarding or transferring them for custody in the Archives.
- (2) In any case, the receipt, filing and subsequent management of documents must be carried out in such a way that the various data and information contained in Poseidon can be used as authentic documents of the administration.
- (3) For the sake of clarity in the management of cases falling within the University's duties and powers, documents relating to the same matter - a given subject - shall be treated as a single file unit, a case file.
- (4) Paper-based case files are physically managed as one in a document storage folder; an information sheet can be used. The initial document is the top document in the information sheet, and the document with the highest sub-number is on the bottom. Electronic case files are presented in the same way, as virtual case files and stored in a virtual folder.
- (5) In the course of the administration, documents with a case management value and which can be discarded when they cease to have a case management value, as well as documents with a lasting value and which cannot be discarded for this reason, shall be classified in the appropriate item of the Filing Plan, and the filing item number shall be indicated on the case file by Poseidon; if an information sheet is used, it should be printed (Case File/Forms) and the documents should be stored in the case file cover, if no information sheet is used, they should be stored in a document storage folder.
- (6) In order to ensure the uniform management of case files, a case file consisting of documents relating to the same case must be classified under the same filing number. If the subject of the case file can be classified in more than one batch, it should be classified under the batch number that ensures the longest retention period.
- (7) Documents of administration value, i.e., closed and completed case files, which no longer require management, shall be filed in the registry according to the system of filing numbers and by year.

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**Registration of documents and documentation of the circulation of documents,
document management aids**


7. §

- (1) All incoming and outgoing documents at the University, as well as those generated therein, except as provided for in this provision, shall be registered in Poseidon by the organisational units, using the Poseidon-generated file number.
- (2) The circulation of documents - primarily through Poseidon - must be carried out in a way that it is possible to prove - clearly and with up-to-date information - the identity of the sender or recipient, the time and manner of the transfer, the process of administration and the whereabouts of the document.
- (3) In the event of a change in the identity of the persons involved in the document management process, the documents and case files managed by them are accounted for in detail on the basis of the records, and minutes are taken about the handover.
- (4) Document management aids used to keep records and document the circulation of documents:
 - a) Poseidon's electronic receipt book;
 - b) Poseidon's electronic filing books for keeping records of documents;
 - c) Records in Poseidon of the movement of documents, case files, their tracking, and the meeting of deadlines;
 - d) delivery note, delivery book, transfer book, transfer register (for the transfer of material copies to another organisational unit and for the registration of documents transferred to the Associates and returned to the Registry);
 - e) In the case of computerised records, they must print out 1 copy of the closed records per year or per academic year on a paper-based medium - in a durable manner - and keep it in the Registry of the organisational unit in a bound state, and then hand it over to the Archives at the time specified in the Filing Plan.

Access to documents and the protection of documents

8. §

- (1) Staff members of the University may only access documents and data which they need for the performance of their duties and responsibilities or for which they have been authorised by the competent manager. Access rights must be kept up to date in the electronic filing system.
- (2) University staff are responsible under employment law for the documents entrusted to them.
- (3) Access to documents held in temporary registry shall be authorised by the head of the organisational unit which deposited the case file.

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- (4) The current records in the Central Registry of the University may be researched, used for administrative purposes and for requests from external bodies or persons. The use can be: access, borrowing, making a copy. In the case of external bodies or persons, access to and copying of documents must be granted in a way that the rights of third persons and/or the University are not infringed.
- (5) The Chief Registrar is authorised to grant access to documents held in the Central Registry on the basis of the rules of access granted to him/her.
- (6) Requests for students' documents and for borrowing such documents can be met directly by the Central Registry for Legal and Procurement Services. If the Central Registry receives a request, it must always obtain a written statement before carrying out the service, from fjsz@uni-corvinus.hu.
- (7) A document may be borrowed from the Central Registry for 30 days. All the available information on the request and the location of the document to be borrowed in the Registry will be entered in the electronic borrowing logbook. In accordance with the data protection rules, the lines of documents returned and deposited at their places in the Registry must be deleted from the electronic borrowing logbook at the end of the year.
- (8) Access to the Central Registry and the premises of the University Archives is possible only with the knowledge of the staff or persons in charge of the Archives. In case of force majeure, written minutes of the entry must be taken and sent to the heads of the Central Registry and the University Archives without delay. In the case of pre-planned access or work (installation, repair, etc.), written notification is required prior to access, including the reason for and length of stay.
- (9) Poseidon keeps a log of all activities in the system. Individual documents and the electronic systems used to manage them may pose a security risk to the University and therefore the necessary security measures, including virus protection and protection against unsolicited electronic messages, must be in place for all documents and the electronic media used to manage them. Unauthorised access must be prevented for both paper-based data carriers, and access to documents in Poseidon can be restricted by setting up or removing access.

III. CHAPTER

THE DOCUMENT MANAGEMENT PROCESS, THE PRE-FILING PROCEDURE


Taking over incoming documents and consignments, receiving and distributing documents

9. §


- (1) Documents may arrive:

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- a) by post;
 - b) by courier service;
 - c) by a mail carrier;
 - d) by the sender in person;
 - e) through electronic systems:
 - o on the mailing system;
 - o on the Office Gateway.
- (2) It is the responsibility of the Mail Room to accept consignments sent to the University's central and postal addresses.
- (3) Upon receipt, the Mail Room must check whether the identification marks on the delivery document and the consignment match, and whether the envelope containing the consignment is sealed and the packaging is intact. In the case of consignments with damaged casing or signs of opening, the option of arrived with damage is selected in the Poseidon and the Opened/arrived with damage stamp is applied.
- (4) The Mail Room will clearly mark the date of receipt at the University on the paper-based consignments. It is the responsibility of the Mail Room to certify the receipt of consignments and to receive the electronic return receipts at the postazo@uni-corvinus.hu email address, and to forward them to the sending organisational unit. The Mail Room shall deposit the received consignments, excluding consignments under 9. §(11), immediately after receipt, but at the latest on the following working day in Poseidon and its central Book of Receipts.
- (5) The Mail Room shall handle consignments arriving at the University as follows:
- a) it receives consignments arriving at the University on the basis of the envelope and forwards it to the employer organisation unopened, indicating the delivery reference number on the envelope;
 - b) it registers the envelopes marked with "SK" (opening with own hands) and those for which the authorised person has ordered it, according to the information on the envelope, receives them and forwards them unopened to the recipient, indicating the delivery reference number on the envelope;
 - c) it receives and registers the consignments that arrive addressed to the University, but without the specification of an organisational unit and name;
- (6) Receipts are processed in order of arrivals, specifying the exact date of arrival.
- (7) As a minimum, the following data shall be recorded upon receipt:
- a) name of the sending organisation or person;
 - b) address of the sending organisation or person;
 - c) date of arrival;
 - d) name of the recipient organisation or person;
 - e) name of the recipient;


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- f) a remark or requirement regarding the opening (in particular the marking "SK");
 - g) the identification of the registered consignment (in particular the tracking number);
 - h) reference number or foreign number.
- (8) Consignments not to be received in Poseidon:
- a) newspaper;
 - b) publication;
 - c) advertising materials;
- (9) The competent organisational unit is responsible for filing the consignment received through the Office Gateway after its receipt. The management of the Office Gateway is the responsibility of Legal and Procurement Services.
- (10) Digitised images of documents are stored in TIF or PDF file format. Primarily proposed format: PDF. In the absence of that, the staff member in charge of receipt and filing will carry out the assignment.
- (11) The following documents shall constitute exceptions to the complete digitisation:
- a) which are not suitable for it;
 - b) which are not considered as documents to be filed;
 - c) a digital image of which is illegible;
 - d) the contents of CD/DVD consignments, other electronic media;
 - e) documents to be submitted in a legally certified form.
- (12) Prior to registration in Poseidon- in order to support digitisation -, the documents to be digitised must be provided with the identification barcode used at the University. In the case of incoming documents, this can be done either by barcoding the document on the front page when it is received at the Mail Room or as part of the registration process at the registering organisational unit.
- a) The barcode does not replace filing and file numbers, but supports digitisation and retrieval.
 - b) The barcode is placed on the document in such a way that it does not conceal any important data or information.
- (13) Received consignments are delivered physically and, if all technical conditions are available, electronically by the Mail Room to the recipient organisational unit in Poseidon.
- (14) In the event of misdirection, the Mail Room must immediately forward the consignment to the correct recipient, if clearly identifiable. If the recipient cannot be identified, the first person to contact for help is the staff member responsible for the administrative area within Legal and Procurement Services. In the event that it is still impossible to identify the recipient, the consignment must be returned to the sender. If the sender can be clearly identified, the consignment will be returned by the Mail Room. If the sender cannot be identified, the consignment, except for documents received electronically, must be filed and discarded after the time specified in the filing plan.

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10. §

- (1) Consignments are taken over from the Mail Room by staff members designated to deliver consignments (hereinafter: delivery person), and are forwarded to the case file handler of the designated organisational unit (if different from the delivery person).
- (2) Consignments are taken over from the Mail Room by means of a transfer book. The date of arrival, the names of the sender (consignor) and the recipient and the receipt identification number must be recorded in the transfer book. In all cases, the recipient must certify receipt with his/her signature and the date of receipt, and the receipt must be recorded in Poseidon, too.
- (3) The Mail Room must return the returned electronic acknowledgments of receipt to the sender's organisational unit in e-mail (to the e-mail address provided by the organisational unit), which will ensure its retention with the document (the copy in the registry).
- (4) Personal deliveries by delivery person or courier to the central address of the University are taken over by a staff member of the Mail Room. Receipt must be confirmed by a signature on a terminal, in the transfer book or on a copy of the document. If the consignment received is an invoice, it must be handed over to Finance without delay, after receipt in Poseidon, indicating the exact date of the arrival-receipt at the University on the envelope of the invoice received, or on the handover certificate, or, if there is none, on the top left-hand corner of the invoice.
- (5) The delivery person of the recipient organisational unit must take over the consignment delivered to the organisational unit.
- (6) After physical receipt, the consignment will be received by a designated staff member of the recipient organisational unit in Poseidon. Unopened consignments received in Poseidon are opened by the authorised person, and, if they are not private mails, they are handed over for processing. The recipient of a consignment delivered unopened by the Mail Room shall ensure that the official consignment is handled in accordance with this Provision. In the case of consignments received after opening them, the person designated to handle the documents shall, upon receipt, check the existence and legibility of the annexes and attached documents indicated in the consignment. If they notice a shortage or a problem with the legibility of the consignment, they must note this on the paper-based consignment, record it in Poseidon as a remark and inform the sender, too. The absence of annexes does not impede the document management process. In the case of an electronic consignment, the opening steps are skipped, and the processing starts when the consignment is received.
- (7) If the opening reveals that the consignment contains money or other valuables, the person opening the consignment must record the amount and other values on the document or envelope, with date and signature, and in Poseidon's comment field, too, and give it to the Associate against a receipt. The receipt is attached to the consignment.

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- (8) In the case of opening by mistake, the envelope must be resealed, the name of the person who opened it and the name of his/her organisational unit must be written on the envelope, then the consignment must be delivered to the recipient or to the head of the organisational unit concerned, both physically and in Poseidon. If the person who opened the consignment by mistake is unsure of the correct recipient or the use of Poseidon, they may return the consignment to the Mail Room, too.
- (9) The envelope of the consignment must be attached to the filed document if:
- there is a legal consequence attached to the date of submission of the case file;
 - the name and the exact address of the sender and other information can only be determined from the envelope;
 - the consignment arrived incompletely.
- (10) Consignments already registered in Poseidon by the Mail Room, consignments sent by internal mail, consignments, documents and case files forwarded between organisations within the University do not need to be received again.

Assigning

11. §

- (1) The head of the organisational unit or the staff member designated by him/her shall assign the presented consignments (electronic or paper-based) to the person designated to deal with the case, as appropriate.
- (2) In the course of the assignment, the head of the organisational unit or a staff member of the organisational unit authorised in writing by him/her:
- designates the Associate responsible for the document and the persons who have access to it;
 - determines the time limit for administration;
 - determines the degree of urgency;
 - gives instructions on how to deal with the case;
 - provides other related information in writing.
- (3) The head of the organisational unit must, during his/her long-term absence, appoint a substitute to open and assign "sk" (delivery to addressee in person) consignments addressed to him/her on a case-by-case or permanent basis.


Consignments received electronically

12. §

- (1) Electronically, the documents may arrive:
- to the University's central electronic mailbox,
 - to the mailbox of the University's employee,

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- c) to the electronic mailbox of the organisational units,
 - d) on the Office Gateway.
- (2) The staff member designated to manage the central electronic mailbox (postazo@uni-corvinus.hu) forwards the incoming documents to the relevant organisational units.
- (3) There may be other central electronic mailboxes operating at the University. Such mailboxes are operated and managed by the designated organisational unit. The staff member designated to handle it forwards the incoming documents to the relevant organisational units.
- (4) The designated staff member in the organisational unit operating the central electronic mailbox:
- a) reports the email address of the official electronic mailbox of the organisational unit and any changes to it to Legal and Procurement Services for recording in Poseidon;
 - b) delivers mails sent to the email address to the recipient person or organisational unit;
 - c) the recipient person or organisational unit shall ensure that incoming mail is handled in accordance with this Provision.
- (5) In the case of electronic mails, efforts should be made to continue to use electronic means and to avoid unnecessary printing. If justified by the content of the consignment or a management decision, consignments received electronically should be printed and treated as paper-based documents. All consignments received electronically must be checked for opening before registration. For consignments received electronically, using a non-secure delivery service (office gateway), the recipient will immediately send to the sender - if the sender requests it and provides an electronic reply address - an electronic confirmation of receipt of the consignment.
- (6) In the case of a consignment received by using the secure delivery service (office gateway), the acknowledgement of receipt is carried out in accordance with the provisions of the Act on Electronic Administration and the Government Decree on Electronic Services.
- (7) The receipt of a document received electronically must be refused if it poses a security risk with regard to the IT system of the receiving organisation.
- (8) The electronic mail poses a security risk to the receiving organisational unit's system if:
- a) it serves the purpose of unauthorised access to or through the University's IT system or other information technology system; or
 - b) it is intended to unlawfully interfere with the operation of or access by other persons to an information system as defined in point (a), or
 - c) it is intended for the unauthorised alteration or deletion of data contained in the information system referred to in point (a).
- (9) The receiving organisation shall notify the sender of the fact of non-processing and the reason for the non-processing. The receiving organisation is not obliged to notify the

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sender if a referral with the same type of security risk has already been received from that sender.

- (10) Consignments arriving electronically do not need to be received or opened separately, but are handled directly by the designated staff member of the recipient organisational unit.
- (11) Documents arriving in the mailbox of the organisational unit by 3 pm on the working day in question shall be deemed to have been received on the date of receipt. Mails received after 3 pm will be considered as received on the next working day.
- (12) When using Poseidon, emails that involve an administrative action must be filed.
- (13) The University does not use fax.
- (14) Handling consignments arriving on the Office Gateway:
 - a) Mails and documents arriving from the Office Gateway are not opened and received by document management software automatically. The receipt of the document is the responsibility of the Associate of the Office Gateway, and once the document has been received, the Associate forwards the document to the competent recipient without delay. The competent organisational unit is responsible for the filing of the incoming consignment after receipt.
 - b) The designated filing clerk of the recipient organisational unit shall ensure that the electronic document is received electronically, forwarded to the head of the organisational unit, filed or electronically delivered without filing to the designated organisational unit in charge. Documents arriving on the Office Gateway are filed in the administrative organisational unit, according to the general rules.
 - c) The Office Gateway Associate authorised to manage the Office Gateway shall ensure the verification of the electronically delivered document, the electronic acknowledgement of receipt, and the information on the existence of the presumption of delivery.
 - d) The Head of Legal and Procurement Services appoints the Office Gateway Associates at his/her own discretion or on the basis of a proposal from and after an agreement with the organisational unit.

IV. CHAPTER

REGISTRATION AND FILING OF DOCUMENTS

General principles

13. §


- (1) The head of the organisational unit shall, unless otherwise provided by law or by these Provisions, ensure that documents are filed in Poseidon.
- (2) The following types of consignments do not need to be filed:

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- a) books, teaching materials;
 - b) advertising materials, information leaflets;
 - c) invitations (if they cannot be linked to administration);
 - d) greeting cards;
 - e) brochures;
 - f) gazettes, press products;
 - g) return receipts and electronic confirmations;
 - h) documents which are clearly private in nature;
 - i) invoices (these are received in Poseidon and further processed in SAP);
 - j) consignments containing only equipment and materials.
- (3) In respect of the items referred to in the preceding paragraph, the associate or case file handler may, if the specific nature of the case so warrants, include the consignment in the registration.
- (4) The documents of cases for which a separate register is required by law, and those designated as such by the head of the responsible organisational unit, need not be filed, but must be registered. The head of the responsible organisational unit shall inform the head of Legal and Procurement Services of the type of documents designated as such, their place and method of registration.
- (5) The head of the organisational unit responsible for the record-keeping software shall determine the procedures for the management of documents not registered in accordance with the previous paragraph, including the order, methodology (e.g., creation of a registration number), location, time, method, physical and technical conditions, discarding, transfer to the Archives, destruction and any other matter relevant to the management of documents. Such documents shall not be taken into the Central Registry but shall be kept in the archives of the organisational unit and then either discarded according to the discarding process by the organisational unit or transferred to the Archives by the organisational unit.

Finding related documents, attachments, assembly**14. §**

- (1) Before filing a document, the staff member managing documents shall establish its history. If the document:
- a) has a history in the given year, the document must be filed under the next sub-number of the main number of the related document.
 - b) had a history in the previous year(s) and the case file is not yet closed, it is added to the next sub-item; if the case file is closed, the history is added to the case file for the current year, thus recording the file number of the previous related document in the

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filing book, as well as the file number of the follow-up document under the previous related document. In the case of a paper-based document, the assembly must also be indicated on the document and the history must be assembled to the current year's supplement and they must be physically assembled.

- (2) The history or the related case file must be attached to the case file temporarily (attachment) or permanently (assembly), if necessary.
- (3) When an incorrect assembly is detected, it is immediately disassembled.
- (4) If a case file found during the prefiling is not the subject of a new case file, but knowledge of the document found is necessary for the assigning and the case to be settled, the two case files must be attached. After the case is closed, the attached paper-based case files are returned to their original locations in the Registry. Attachment and unattachment must be done in Poseidon.
- (5) In cases where the history documents cannot be assembled, their location and file number must be indicated on the information sheet (in which case the information sheet must be used) and must also be recorded in Poseidon in the Keywords/Memos tab, in the Memo text field.

The filing


15. §

- (1) Incoming consignments are registered by the responsible organisational unit on the basis of the receipt identification number, and locally generated case files are registered by organisational unit on the day of receipt, but no later than the next working day.
- (2) During the filing process, the organisational unit creating or receiving the case file, i.e., the person responsible for the case file, must create the file as an electronic case file in Poseidon at the time of filing and ensure that the organisational units involved in the case have organisational (filing location) access to the electronic case file, with the possibility of filing by sub-number by granting access. When a case involves more than one organisational unit, the filing clerk of the organisational unit concerned shall ensure that, on the basis of the access to the file given by the organisational unit in charge, the document in the case file is filed as an electronic document under a sub-item number in the case file.
- (3) Documents received or sent by electronic means which are generated in the context of the University's activities and electronic mail which, in the case of a request addressed to the recipient or forwarded by the recipient for processing, entails processing by the responsible administrative body shall also be filed. When filing incoming emails, filing also includes the receipt of the consignment.
- (4) During the filing process, the software generates the file number. Documents are filed in the file number format used by the University, where the file number issued at the start of the case is the main number, and additional documents generated by the case - both

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incoming and those generated by the organisational unit - are registered under the sub-numbers of the main number.

- (5) Documents generated in subsequent steps of a case dealt with in several steps are considered as a file unit within the case file and are filed under the sub-numbers of the main number. A main number can have an unlimited number of sub-numbers.
- (6) If a document has already been filed in a case in the organisational unit (main number), and the subsequently received document has been filed under a different main number, the document previously filed under the main number must be added to the subsequently received document (main number). The fact of assembly will be recorded in the Poseidon register, as a result of which the documents will be assembled and placed in the registry under the main number within the batch number.
- (7) The designated document management officer of the organisational unit responsible for paper and electronic documents shall add the document with the main number to the appropriate file group of the Filing Plan. The Registry item numbers are set out in the Filing Plan, which forms Annex 1 to these Provisions.
- (8) Poseidon gives the filing date automatically, it cannot be changed later, the system records the name and the organisational unit of the filing person.
- (9) During the filing process, the following items are recorded:
 - a) subject matter of the document;
 - b) name of the Associate (to be recorded in the case file as a priority);
 - c) the file number of the document (mandatory in the case of a main number, inherited from the main number in the case of sub-number filing);
 - d) checkbox "main number/sub-number filing required".
- (10) During the filing process, it is also possible to enter other additional information in Poseidon in order to record information that facilitates the administration of the case.
- (11) Fields filled in at the time of filing may be corrected, and fields left blank may be filled in before the case file is closed, except for the fields referred to in 15. §(10).
- (12) After the document has been filed in Poseidon, the imprint of the filing stamp shall be affixed on the first page of the document if the organisational unit uses a filing stamp and if there is enough space on the document. The information necessary for the management is also recorded on the first page of the document, if required. The data on the imprint of the filing stamp and the data in Poseidon are identical. If the organisational unit does not use a filing stamp, it must be still ensured that the data on the first page of the document is identical to the data in Poseidon, it being understood that it is mandatory to add the file number.
- (13) The imprint of the filing stamp must include the name of the University and the organisational unit and the following boxes:
 - a) serial number of the receipt/receipt number,

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- b) date of arrival,
 - c) the filing serial number/file number,
 - d) date of filing,
 - e) the number of annexes to the document (up to ten with numbers, above that with the word "batch"),
 - f) name and position of the associate,
 - g) the filing batch number (for a document with a main number).
- (14) When filing a case file, its subject matter must be indicated in such a way that it expresses the substance of the case file in a concise and clear manner and facilitates retrievals. The subject matter of a case file received from a body referred to as a budgetary authority in the Public Finance Act is usually the subject matter indicated in the letter or transcript. Filed documents must be provided with a filing item number, which can be selected in Poseidon, at the latest at the closure of the case. This item number must be recorded on the document, too, if it is physically available.
- (15) Electronic documents are stored in Poseidon after filing.

Incorrect filing


16. §

- (1) In the case of incorrect filing or incorrect data entry, if the data entered cannot be modified, the filed item must be cancelled in the filing book. In this case, the reason for cancellation must be given in the "Comment" field of the document. The cancelled item is moved to the Cancelled items in Poseidon and its metadata can be retrieved later. There is no need to cancel documents that have not been completed. For these documents, information on the failure should be recorded in the comment field.
- (2) A cancelled item does not need to be filed.

Opening and closing the filing book

17. §

- (1) In Poseidon, the filing book is automatically opened on 1 January each year and closed on 31 December each year.
- (2) On the last working day of the year, the electronic filing books shall be archived as part of the closing of the filing book, in a version of the electronic receipt register, the electronic filing book, their data files (address list, item number, retention, information on the documentation of the circulation of documents) and the electronic documents reflecting the filing status on the last working day of the year, as defined in the legislation on the detailed rules of electronic administration. A timestamp must be affixed to the sealed receipt register, filing book and archived. A copy of the electronic receipt register saved on an electronic data carrier may be destroyed after the second year following archiving.

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Saving Poseidon data

18. §

- (1) Data entered during computerised document management and data relating to the related work are saved daily by IT.

Management of case files

19. §

- (1) The case file handler or associate also records the administrative tasks and information related to the document in the comment field in Poseidon.
- (2) In the course of his or her activity in relation to the case file, the case file handler or associate shall obtain information and take action in writing or orally by telephone or in a personal meeting, the essential elements of which shall be drawn up in a memo and attached to the file or entered in the remark field of the case file.


V. CHAPTER

ISSUANCE


The rules of issuing

20. §

- (1) Electronic signatures, stamps and time stamps shall be subject to the provisions of Chapter VI in addition to those of this Chapter.
- (2) The case file submitted for issuance shall be assigned by the associate, at the request of the issuer, and signed by the person entitled to issue it.
- (3) The filing organisational unit shall keep a certified copy of the issued document in its archives as part of the case file, in the case of a paper-based document.
- (4) As part of the Rector's powers of representation, he/she has the right to issue documents. The Rector may transfer these powers to the employees of the University in accordance with the provisions of the Organisational and Operational Procedures;
- (5) Legal and Procurement Services keep a record of the persons who have the right to issue documents and the scope of their powers of issuance, in terms of time and subject matter.
- (6) An issued document to be sent to an external body or person may be signed only by a person entitled to issue documents.
- (7) Electronic confirmations, electronic information on the payment identification number and the file number, and other documents specified in the Document Management Rules are not considered as issued documents.
- (8) An issued document may be forwarded to an external body or person only as a certified issue.

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- (9) Unless otherwise provided by law, a paper-based document is a certified copy if:
- it is signed by the competent issuer by his/her own hand, or
 - there is "s.k." marking next to the name of the issuer, or
 - the person authorised to certify attests it by signature, and
 - for points (a) to (c), the official stamp imprint of the organisational unit is affixed next to the signature of the person issuing the document.
- (10) In the case of printing duplicates,
- the "s.k." marking is enough next to the issuer, or
 - a specimen signature of the issuer is enough, and
 - for points (a) to (b), the stamp imprint of the issuing body is placed on the document.
- (11) Within the limits of the law, an associate authorised by the person exercising the right of copying
- to certify a paper-based document on the basis of a paper-based document, by issuing a certification clause, or,
 - in the case of documents with electronic signatures, pursuant to 37. §, in accordance with - by issuing a copy clause
- is also entitled to issue a copy of the documents created at the University.
- (12) Unless otherwise provided for by law, an electronic document is a certified issue if it has been authenticated by the person or electronic system having the right to issue the document in accordance with the requirements laid down in the Government Decree on Electronic Services.
- (13) Legal and Procurement Services shall ensure the continuous ascertainability of the validity of the electronic signature placed within the validity period, or, if the validity period is not specified, for an unlimited period, in accordance with the requirements set out in a separate law.
- (14) The head of the organisational unit holding the document or a staff member authorised by him or her shall be entitled to issue certified paper-based copies and certified electronic copies of documents generated by the organisational unit, as specified in a separate law, in accordance with the provisions of 37. §.
- (15) In the case of issuing paper-based copies, the official stamp assigned to the person entitled to issue the documents shall be used. The registry of Legal and Procurement Services on stamps includes the stamps used and the scope of users.
- (16) Legal and Procurement Services keep a record of the official electronic signatures assigned to the person authorised to issue documents in the course of electronic issuance.


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- (17) In the case of the Student Union and the Doctoral Students' Union, the right to issue documents, including the use of electronic signatures and the registration of electronic signatures, is defined in the statutes.

Document management after issuing copies

21. §

- (1) The case file handler or associate shall check whether the required annexes have been attached to the signed and/or certified copies bearing stamp imprints and shall execute the relevant instructions. After these tasks have been completed, the date of transmission and the method of posting - with "dispatched" or "sent" signs - are recorded on the duplicates remaining in the Registry".
- (2) Consignments should be grouped according to the method of transmission.
- (3) The delivery book contains the file number of the case file and the date of delivery (year, month, day). The documents forwarded will be sent, if necessary, with an acknowledgement of receipt.
- (4) Consignments to be sent to the Post Office are handled as follows:
 - a) The centralised dispatch of outgoing mail at university level is the responsibility of the Mail Room.
 - b) After the receipt of the document prepared and sent by the associate or the case file handler, the filing and digitisation of the outgoing documents recorded in Poseidon are the responsibilities of the designated staff member of the organisational units that generated the document. The associate or case file handler provides all the information necessary for sending the document.
 - c) The envelope must indicate the recipient (with exact address and postcode), the file number and instructions on how to post (e.g., registered = RL).
 - d) The organisational unit shall, after enclosing the document to be posted, deliver it and all its supporting documents to the Mail Room. The Mail Room is only allowed to accept a consignment sent in a sealed envelope. The Mail Room shall provide any additional assembly (tracking number, delivery note) as required.
- (5) The Mail Room's opening hours are determined by the Head of Legal and Procurement Services. In the case of urgent consignments, the latest possible delivery time must be agreed with the Mail Room in order to ensure same-day dispatch.
- (6) Documents posted on the Office Gateway are handled as follows:
 - a) The filing and launching of outgoing documents to be sent to organisations with Office Gateway is the responsibility of the designated Associate of the filing organisational unit, it being understood that the actual sending is carried out by the competent Office Gateway Associate. The filing organisational unit is responsible for the proper filing of

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the document to be sent, the provision of all the necessary information (in particular: the exact recipient, its identifier) and for forwarding the document to the Associate of the Office Gateway.

- b) The Office Gateway Associate authorised to manage the Office Gateway must check the electronically delivered document, the electronic acknowledgement of receipt related to the delivery and the presumption of delivery; if the delivery fails, the Associate contacts the recipient and sends the document again.

VI. CHAPTER

PROVISIONS ON ELECTRONIC SIGNATURES, ELECTRONIC STAMPS AND ELECTRONIC TIME STAMPS

Scope of those affected by the use of electronic signatures, electronic stamps and electronic timestamps


22. §

- (1) The use of electronic signatures and electronic stamps is approved by the Head of Legal and Procurement Services upon written request.
- (2) The verification of the identity related to the right of using the advanced electronic stamp and the right of issuing copies may be carried out by Legal and Procurement Services, and the technical setup may be carried out by the designated staff members of the IT department at their own discretion, under the terms and conditions of the contract concluded between the University and the Trust Service Provider, in accordance with the authentication scheme and these Provisions.
- (3) Within the framework of the legislation and internal regulations, the Head of Legal and Procurement Services shall ensure the preparation and conclusion of agreements between the University and the Trust Service Provider.
- (4) The University's designated institutional contact for the Trust Service Provider shall be a staff member designated by the Head of Legal and Procurement Services.
- (5) The IT department is responsible for creating and maintaining the IT conditions necessary for the provision and use of electronic signatures and electronic stamps, providing the technical infrastructure, carrying out the necessary installations and software settings and performing the related user support tasks.

Scope of application of electronic signature and electronic stamp

23. §

- (1) The University may provide electronic communication in the course of its administrative procedures as provided for in the applicable legislation.

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- (2) The University shall endeavour to transmit to natural and legal persons and entities without legal personality, where circumstances permit, documents in electronic form with at least an advanced electronic signature or electronic stamp, in the course of the administrative procedures falling within its scope of duties and powers.
- (3) Where this is possible for a given administrative procedure, the University shall prepare documents in electronic form and affix an electronic signature or an electronic stamp and timestamp.
- (4) Electronic documents not containing decisions, as well as bulk notifications and information documents are authenticated by means of an electronic stamp and timestamp.
- (5) In the course of the so-called official correspondence according to the Electronic Administration Act, the University transmits consignments with at least advanced electronic signatures through the Office Gateway, or in electronic mail or by other means in accordance with the provisions of Act CCXXII of 2015 on the General Rules of Electronic Administration and Trust Services.
- (6) Documents drawn up by the University in electronic form and bearing an electronic signature or electronic stamp are delivered to the recipient electronically (via the Office Gateway, email).
- (7) If a document issued electronically cannot be sent to the recipient by electronic means - and the legal requirements for this are met - the University shall convert it into a paper-based document in accordance with these Provisions and send it to the recipient primarily by postal delivery service, or, if justified, by personal delivery or courier service.

Information content of the electronic signature and the electronic stamp and its graphic image

24. §

- (1) The information content of the graphic image of the electronic signature and electronic stamp used at the University is determined by the Head of Legal and Procurement Services, and as a general rule includes at least:
 - a) the full name of the staff member who created the electronic signature, as indicated in his/her identification document;
 - b) the official name of the University:

Rules for the use of electronic signatures and electronic timestamps

25. §

- (1) The staff member authorised to use electronic signatures, electronic stamps and timestamps

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- a) may only act on behalf of the University in accordance with these Provisions and other relevant internal regulatory documents of the organisation, within the scope of his/her duties and powers,
- b) may only create a qualified electronic signature on an electronic document by providing the password or passwords associated with the device or service, when in possession of a smart chip card or token, as defined by law, or in the context of a two-factor authentication service based on a cloud service,
- c) an advanced electronic signature can be created in the context of a service with at least one-factor authentication,
- d) may only authenticate documents with static content, mainly in a PDF format, with an electronic signature and a timestamp,
- e) Electronic signatures and electronic timestamps may not be used for private purposes or for matters outside the scope of the signature or authorisation.

Order of use of the signature creation device**26. §**

- (1) The person entitled to use an electronic signature must store the electronic data carrier issued to him/her in a secure (lockable) place.
- (2) In the event of loss or compromise of the electronic data carrier or loss or forgetting of the related password, the employee must immediately notify the Head of Legal and Procurement Services for the revocation of the attestation.
- (3) A staff member who is authorised to sign or issue documents electronically may not transfer, even temporarily, the electronic signature device or the PIN code required for its use.

Long-term preservation (archiving) of documents with electronic signatures and electronic stamps**27. §**

- (1) The University shall ensure that documents created and authenticated by electronic signature or electronic stamp in the course of the procedures falling within its scope of duties and powers remain legible and retrievable until the expiry of the retention period specified in the Filing Plan (Annex to the Document Management Regulations) and are available in the same form as when they were signed.
- (2) The University shall proceed as follows when archiving documents created and authenticated by electronic signature or electronic stamp in the course of procedures falling within its scope of duties and powers:
 - a) protects the confidentiality and integrity of documents and prevents unauthorised access,

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- b) excludes the possibility of subsequent amendment,
 - c) if an electronic signature or stamp has been affixed to several documents, it handles (archives) them together until the expiry of the retention period,
 - d) during the retention period of the document concerned, as defined in the Filing Plan, ensures that the information necessary for the long-term validation of the electronic signature, i.e., the validity chain is obtained and retained and, if necessary, a time-stamp is added to the validity chain.
- (3) Electronic documents shall be stored in the Poseidon system in accordance with Section 61 (4) b) of Government Decree 335/2005 (29 December) on the General Requirements for Document Management by Public Bodies.

Validity of an electronic document generated at the University


28. §

- (1) A document with an electronic signature or electronic timestamp is valid if the following conditions are all met:
- a) the document was created by a staff member authorised to do so under these Provisions,
 - b) acting within the scope of his/her duties and powers as set out in an internal organisation regulation document,
 - c) certificate used to authenticate a document
 - ca. of a level and type that meets the legal requirements for the procedure,
 - cb. its content is intact,
 - cc. is not subject to withdrawal or suspension at the time of creation,
 - cd. there are no grounds for invalidity under these provisions.

Requirements for checking the validity of electronic signatures, electronic stamps and associated certificates

29. §

- (1) The recipient of a document with an electronic signature or electronic stamp must exercise the utmost care when accepting the electronic signature and the associated certificate, and it is therefore the responsibility of the recipient to verify the electronic signature by checking the validity chain on the document received electronically.
- (2) Verification of the authenticity of an electronically signed document includes:
- a) the integrity of the document (the content of the document has not changed since it was signed),
 - b) verification of the certificate (the signature is made by the person or organisation that is identified as the signatory), and


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- c) verification of the time stamp (the document was signed by the signatory on the date indicated on the time stamp and its content has not changed since then).
- (3) The verification of electronic signatures and electronic stamps and associated certificates covers:
 - a) the signature certificate for the electronic signature must identify the Trust Service Provider issuing the signature certificate,
 - b) the verification of the integrity of the signature certificate by means of the certificate of the Trust Service Provider issuing the signature certificate,
 - c) the status (validity) of the signature certificate and the issuing Trust Service Provider's certificate must be checked against the certificate revocation lists,
 - d) the examination of all attributes of the signature certificate, including the authentication scheme.
- (4) An electronic signature shall not be accepted if any data in the electronic signature, the signature certificate or a certificate in the validity chain indicates that the signature is invalid.
- (5) The verification of the status of the electronic signature and the verification of the compliance with other validity conditions related to the electronic signature may be carried out by the recipient organisational unit using software and web-based tools.

Requirements for the use of time stamps and time stamp providers

30. §

- (1) The validity in time of an electronic signature or electronic time stamp is ensured by the time stamp affixed to the electronic signature. If a document signed or stamped electronically bears a time stamp, it is possible to prove that the document was signed before the date indicated in the time stamp and that the content of the document has not changed, in addition to the identity of the signatory whose signature certificate appears in the signature or the organisation of the signatory. Thus, if an electronic signature or electronic stamping attestation is revoked by the certification authority that issued it, it is still possible to verify that signatures made before the certificate was revoked are valid.
- (2) When checking the timestamp, the recipient organisational unit can verify that the time stamp is indeed part of the stamped document and that the electronic signature or electronic stamp affixed to the timestamp by the timestamp provider is valid by following the steps below:
 - a) the timestamp provider must be identified by the identification number on the timestamp signature or stamp certificate,
 - b) the validity of the signature or stamp certificate associated with the signature or stamp affixed to the time stamp by the time stamping service provider must be checked by

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means of the issuing certification authority's service certificate for the integrity of the signature or stamp certificate,

- c) the identity of the certification authority issuing the time stamp signature certificate must be verified against the issuing certification authority's identifier,
 - d) the status of the certification authority's signature certificate and the issuing certification authority's service certificate must be checked using the certificate revocation lists.
- (3) A time stamp shall not be accepted if the time stamp instead bears an electronic signature or an electronic stamp certificate or a validity chain certificate indicating that it is invalid.

Invalidity of electronic signature certificates


31. §

- (1) The signature certificate is considered invalid and the electronically signed or electronically stamped document may be rejected by the recipient of the electronic document if:
- a) the certificate's validity chain cannot be built up to a trusted certification authority, or the Trust Service Provider's certificate has been compromised,
 - b) the validity chain of the service provider certificate associated with the issued time stamp cannot be built up to a trusted certification authority, or the Trust Service Provider's certificate has been compromised,
 - c) the signature-generating data has been compromised,
 - d) the certificate associated with the signature or stamp and the time stamp is on the revocation list of the certification authority,
 - e) the signature verifier becomes aware that the confidentiality of the signature-creation data has been compromised or misused,
 - f) the algorithms used to apply electronic signatures are inadequate or insecure,
 - g) the signature or stamp was made at a time when the validity of the certificate for the signature or stamp or time stamp had expired or the certificate was not yet valid,
 - h) the information in the certificate is not correct,
 - i) the certificate issued for the signature or stamp does not meet the legal requirements,
 - j) the name of the signatory is missing from the certificate.

Obligations of the electronic signature certificate holder in protecting the validity of the certificate

32. §

- (1) In the event of suspected compromise of the private key to the staff member's certificate, the suspected loss, theft, disclosure or other compromise of the signature-creation device

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or the password required for its use, the staff member shall immediately report this in writing to the Head of Legal and Procurement Services.

- (2) The holder of an electronic signature, who has a change in his/her legal relationship concerning his/her employment or in the circumstances of his/her employment affecting the conditions of the electronic signature, in particular: transfer, termination of employment, suspension of employment, change of the right to enter into a commitment or to sign financial counterparts, shall notify the Head of Legal and Procurement Services in writing of the change upon becoming aware of it, but preferably before the change takes effect.
- (3) The holder of an electronic signature shall notify the Head of Legal and Procurement Services in writing of any change in the details of the electronic certificate within 5 working days prior to the change.

Suspension and revocation, renewal and reinstatement of an electronic signature certificate


33. §

- (1) The Head of Legal and Procurement Services may, ex officio or upon notification, order the suspension or revocation of the certificate in the case of the conditions set out in 32. §. The Head of Legal and Procurement Services shall inform the affected staff members of the suspension.

Suspension of the electronic signature certificate

34. §

- (1) The certificate is immediately suspended by the Head of Legal and Procurement Services:
 - a) in the event of a suspected compromise of the private key,
 - b) in the event of a suspected compromise of the password protecting the private key or smart card or device password,
 - c) in case of suspected theft or loss of the key-carrying device,
 - d) if the staff member having an electronic signature is suspended from work,
 - e) in the event of suspected changes to the data recorded in the certificate of the certificate holder.
- (2) With a suspension, the certificate is temporarily invalidated and the electronic signature created from the suspended certificate is not suitable for document authentication during the period of suspension.
- (3) The period of suspension is determined by the Head of Legal and Procurement Services;
- (4) Legal and Procurement Services will examine the circumstances giving rise to the suspension no later than the expiry of the suspension period, on the basis of which it will take action to reinstate or withdraw the certificate, if justified.

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Revocation of an electronic signature certificate


35. §

- (1) The Head of Legal and Procurement Services takes action to revoke the certificate, if:
 - a) the legal status of the staff member allowing him/her to use the signature is terminated,
 - b) if the signatory is transferred, there is no longer any reason to maintain the certificate,
 - c) the right of the signatory to sign or issue documents ceases to exist,
 - d) the information in the name of the certificate holder or in another certificate changes,
 - e) the private key has been compromised or if the possibility of such a compromise cannot be clearly excluded,
 - f) in the event of a compromise of the password protecting the private key or the smart card or token password, or if the existence of such a compromise cannot be clearly excluded,
 - g) in the event of theft or loss of the key-carrying device (software or hardware),
 - h) in the event of changes in the Trust Service Provider's details,
 - i) in the event of termination of the Trust Service Provider's service,
 - j) in case of compromise of the Trust Service Provider's private key;
- (2) With revocation, the certificate becomes permanently invalid and the electronic signature created from the revoked certificate is no longer eligible for document authentication.

Renewal and reinstatement of the electronic signature certificate

36. §

- (1) The renewal of a certificate may be initiated by the holder by written notification to the Head of Legal and Procurement Services no later than 30 working days before the expiry date of the electronic signature.
- (2) The certificate can be renewed if:
 - a) it has not expired, is not on a revocation list, i.e., has not been withdrawn and is not in a suspended state,
 - b) the validity and correctness of the data recorded in the certificate is confirmed in writing by the authorised staff member using the service,
 - c) at the time of the renewal, the certificate holder still complies with the conditions for requesting an electronic signature.
- (3) The Head of Legal and Procurement Services shall reinstate the suspended certificate at his/her own discretion.

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Provisions on making certified copies


37. §

- (1) Persons entitled to make certified copies (hereinafter: copy makers):
 - a) the designated staff member, in respect of documents falling within his or her duties and powers,
 - b) staff member(s) designated to manage the Office Gateway and trained in its use, for the administration of documents received and sent through the Office Gateway.
- (2) The names and job titles of the persons authorised to make certified copies shall be kept by the organisational unit concerned.
- (3) In terms of these Provisions, making copies shall mean:
 - a) making certified copies of any paper and electronic document received, including the conversion of an electronic document received from a customer into a paper-based document for administrative purposes,
 - b) making a certified paper-based copy of any electronic document generated in the course of work.

Provisions on the conversion of a paper-based document into a certified electronic document

38. §

- (1) The following cannot be digitised:
 - a) documents classified by law,
 - b) consignments which cannot be converted into an electronic document for technical reasons,
 - c) documents that cannot be digitised at the choice of the recipient.
- (2) A digitised electronic version of a paper-based document that has not yet been certified as authentic may be created using appropriate digitisation equipment and software (hereinafter: digitised document). A document considered as a single unit can be digitised into one electronic unit (file).
- (3) Digitisation of paper-based (physical) documents:
 - a) If there are multiple (unrelated) consignments within the envelope of an inbound consignment, the electronic copies must be made separately. If there are annexes to the document, they must be digitised together as inseparable annexes to the document.
 - b) Digitisation involves creating the document in an electronic unit (file). If the document to be digitised cannot be digitised in one electronic unit (file) due to its size, digitisation can be carried out by splitting the document to be digitised into parts.

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- c) An electronic extract of the contents of a paper-based (physical) document can be produced.
- d) Any inter-office, corrupted electronic documents produced during the copying process must be deleted immediately after the certified copy has been made.

Checking a digital image of a paper-based (physical) document


39. §

- (1) The digitised image must be verified by the copy maker individually and page by page to ensure that it is legible and that the image and content are identical to the original paper-based (physical) document. A certified copy can only be made on the basis of a full visual and full content match.
- (2) If a clause sheet is inserted pursuant to 40. §(3)c) of this Provision, the copy maker must check the information content on the clause sheet, too.
- (3) If the legibility of the digital image or its visual and content conformity with the original paper-based document is not maintained, the digital image must be deleted and the digitisation must be repeated.

Adding a clause to the digital image of a paper-based (physical) document

40. §

- (1) In the case of a match, only the copy maker is entitled to add a clause to the digital document image after the successful completion of the examination in accordance with 39. §.
- (2) Clauses may be added:
 - a) in the form of an electronic clause;
 - b) by digitising the paper-based clause sheet.
- (3) In the case of a match, the digitised document must be accompanied by an electronic clause. The clause can be added:
 - a) to a digitised document created in PDF format, with the attachment possibility allowed by the format,
 - b) with a unique program of signing or adding clauses, subject to the availability of a tamper-proof certificate,
 - c) if electronic attachment is not possible, as a supplementary document attached to the paper-based document (clause),
 - d) in Poseidon, using the Authentication tab of the electronic copy by using the "Authentication with signature"/Authenticated copy function.
- (4) The electronic clause must include:

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- a) The text: “A certified electronic copy corresponding to the original paper-based document”,
 - b) if the signature certificate or electronic stamp certificate used by the copy maker in the authentication process does not include the name of the copy maker and the University, this must be indicated in the clause.
- (5) If the electronic attachment of the authentication clause is not provided - i.e. the clause is not created in Poseidon - the following procedure must be used to create the clause:
- a) The text of the clause must be prepared on a separate blank sheet of paper, with the following text centred at the top of the page:

“This page is not part of the original document, it is only used to display the clause required for legal compliance.”

“A certified electronic copy of the original paper-based document.

*Name of the copy maker: XY (if not included in the authentication certificate),
their organisational unit*

Corvinus University of Budapest”
 - b) The clause should be temporarily attached to the document as the last sheet and digitised together with it, creating an electronic document.
- (6) If the digital image of the original paper-based (physical) document is composed of several electronic units (files) due to its size, each part must be accompanied by a separate clause, and the following information must be included in the clause:
- a) The text “It contains the complete contents of the original paper-based (physical) document together with additional file(s).”
 - b) the name of the original document,
 - c) the number of files containing the digital copy of the complete original paper-based (physical) document,
 - d) within the total number of files representing the original paper-based (physical) file, the sequence number of the file to be identified (e.g., 3/5),
 - e) the part of the original physical document included in the current file, as follows:
 - The full content of the original paper-based document is included, together with additional file(s).
 - Original document name: subject document
 - Current file’s serial number/Number of files containing the original document: 3/5
 - How much of the original document is included in the current file: 5-7 pages

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- (7) Adding clauses, authentication and time stamping with Poseidon are done in one step. When signing electronically, Poseidon creates a clause that is placed in front of the first page of the PDF document. As per the following:

“CLAUSE - Certified electronic document identical to the original paper-based document”

image of electronic signature

“Name of the copy making organisation:”

*“Name of the person responsible for the image or content conformity of the copy:”
- name of the user performing the authentication (print name + user name in the system)*

*“Copy making system: Poseidon (EKEIDR) Document Management System
version number”*

“Copy Making Regulations:” - Document Management Provisions.

“Access to copy making order:” –


“Date of copy making:”

In Poseidon, an entry of the type “Certified copy” is recorded in the Authentication tab.

Authentication of a digital image with a clause of a paper-based (physical) document

41. §

- (1) The digital document image with a clause must be certified by the copy maker.
- (2) Electronic certification can be made:
 - a) with an electronic signature of the copy maker in accordance with these Provisions, or
 - b) by affixing an electronic (organisational) stamp in accordance with these Provisions.
- (3) The certified digitised document with a clause must be electronically time-stamped.
- (4) A digital document with a clause, that is certified and time-stamped, is equivalent to a certified electronic copy with the same legal effect as the original document.
- (5) The fact and the time of making the certified copy, the name of the copy maker, in the case of a filed document, in the document management system, and in the case of other documents, on the original paper-based (physical) document or on the related information sheet, shall be recorded by the copy maker.

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Provisions on the conversion of an electronic document into a certified physical document (paper-based document)


42. §

- (1) Preparation of a paper-based, printed copy (a certified paper-based copy) of an electronic document:
 - a) An electronic document can be made into a paper-based document on an appropriate printing device and with an appropriate program (physical document)
 - b) There is no need for a copy making authorisation to print the document.
 - c) Before making a copy, the copy maker shall check whether the original electronic document has changed between the time of signature and the time of making the copy, and whether the certificate authenticating it is valid at the time of signature.
 - d) If the verification does not confirm the integrity of the document and the validity of the signature, a certified copy of the electronic document cannot be made.
 - e) A paper-based document can be created from an electronic document using any printing device.
 - f) The pages of a printed paper-based document consisting of several pages must be kept together after printing. The pages of the document can be kept together by collating them.

Checking a printed (certified paper-based) copy of an electronic document

43. §

- (1) The copy maker must check the individual content and image conformity of the printed copy with the original electronic document and the legibility of the printed physical document, page by page.
- (2) A certified paper-based copy can only be made if a match is established. The copy maker shall certify the conformity by stamping his/her name and organisation identification stamp on the first page, affixing his/her signature on each page and indicating the number of sheets and pages.
- (3) If it is not possible to determine whether the image and content match, the printed copy cannot be read, it must be destroyed and the copy must be reprinted.
- (4) If the hard copy of an electronic document is a match and a filed document, the file number should be written in the top right-hand corner.

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Adding a clause to a printed paper-based document made from an electronic document

44. §

- (1) Only the copy maker is entitled to add a clause to the hard copy after the successful completion of the check pursuant to 43. §.
- (2) Adding a clause can be done by hand or with a stamp.
- (3) The clause must include:
 - a) unless otherwise provided in these Provisions, the text “Identical to the original electronic document”,
 - b) the name of the copy maker and the University and organisational unit making the copies and the date on which the copies were made.
- (4) If the hard copy is of an electronic document issued by the University, the clause must also include the following:
 - a) the name of the person who issued the original document, the name of the issuing organisation, the name of the University and the date of signature,
 - b) in the case of an original electronic document with an electronic stamp, the data identifying the originator of the stamp, as specified in the certificate accompanying the stamp.

Certification of a printed copy with a clause

45. §

- (1) The paper-based document, printed and with a clause, shall be authenticated by the personal signature of the person making the copies and the stamp imprint of his or her organisational unit used for issuance on the first page, in the event of a match.
- (2) The certified, printed paper-based copy with a clause shall be deemed to be a true and correct copy of the original document with the same legal effect.
- (3) The fact and date of making the certified copy, the name of the person who made the copy must be indicated, in the case of a filed document, in Poseidon (by creating a new physical copy and converting it into an authentic example), and in the case of other documents, on the physical copy. On the certified copy, in the case of a filed document, the file number must be indicated in the top right-hand corner.

Making an electronic extract of a paper-based document

46. §

- (1) An electronic extract of the contents of a paper-based document shall be prepared if the technical characteristics of the paper (in particular its size, transparency or high resolution


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image content) do not provide the technical conditions for the preparation of a digitised document which ensures full matching.

- (2) The following must be indicated on the extract:
- a) the part of the paper-based document on which the digitisation is based;
 - b) the restrictions on the information contained in the paper-based document.

Making a paper copy of an electronic document

47. §

- (1) A paper-based extract of the contents of an electronic document shall be prepared if the technical characteristics of the electronic document (in particular its special data structure, display size, resolution requirements) do not provide the technical conditions for the preparation of a paper-based document ensuring full matching. A paper-based extract of the electronic document that is suitable for official use may be produced.

VII. CHAPTER

ARCHIVING, MANAGEMENT IN REGISTRY


48. §

- (1) The Registry must be located in a dry, clean place, protected from fire, pests and forced entry, where the Registry can be used for its intended purpose. Storage of other material in designated registry rooms is prohibited.
- (2) Only case files that have been sorted out, the copies have been forwarded and have been inspected after possible delivery, if any, or that have been ordered to be placed in the Registry without being processed and have been closed in Poseidon may be placed in the Registry.

Temporary, local registry

49. §

- (1) After closure, documents are first transferred to the temporary, local Registry. They may be kept in the temporary Registry for a maximum of 5 years, but may be transferred to the Central Registry within this period, too.
- (2) Documents received, transmitted and digitised electronically should be registered in Poseidon, where possible.
- (3) The administrator of the temporary local Registry must examine the case files before placing them in the Registry to ensure that the administrator's instructions have been carried out. He/she will draw the attention of the head of the organisational unit concerned

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to any shortfall. Unfiled preparatory notes relating to the case file shall be attached to the case file and filed with it.

- (4) If a deadline is indicated on the case file, it must be entered in the appropriate box in the file, indicating the date (year, month, day). If a reply is received, this is indicated in the deadline field and the case file is sent to the associate. If no reply is received by the deadline, the case file is still forwarded to the associate.
- (5) No person other than the handler of the registry may enter the temporary local registry without the presence of the handler. Documents may only be released from the Registry for official use against a completed "document replacement form". The document number, the subject of the document, the name of the recipient and the deadline for its return are recorded on the document replacement form. The receipt is kept in the place of the document. Case file is issued to employees of other organisational units only on the instructions of the competent manager. A person without any interest in the case shall be given access to information or a copy of any case file with the permission of the competent manager only.
- (6) The use of documents and case files which cannot be discarded and which remain in the in the Central Registry even after the expiry of the research restriction period specified by law shall be ensured by the organisational unit keeping them in accordance with the rules applicable to the records in the public archives.

50. §


- (1) The case files shall be grouped in the temporary local registry according to the item numbers of the Filing Plan.
- (2) Case files under the same item number are placed between cover sheets. The cover sheet shall bear the name of the organisational unit, the registry item number, the year in which the case file was created, the item number of the case files in the batch and the initial and final file numbers.

51. §

- (1) Case files shall be managed by the organisational unit responsible for case file management and kept in its registry until they are transferred to the Central Registry or discarded, as specified in these Rules.

52. §

- (1) Minutes shall be drawn up of the handover of the temporary local registry of the organisational unit in the following cases:
 - a) any change in the person of the head of the organisational unit;
 - b) any change in the person of the employee(s) responsible for the filing.
- (2) The handover minutes contain the following information of the case files and auxiliary documents in the registry:

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- a) the years;
 - b) its quantity (document linear metres);
 - c) the degree of organisation.
- (3) An employee whose job title changes or whose employment relationship is terminated shall account for the documents issued to him/her and shall hand over his/her case files, together with the minutes, to the head of the organisational unit or to the employee(s) designated by the head.
- (4) The handover of documents is carried out with the assistance of the case file handler.

53. §

- (1) The organisational unit shall discard that part of its own current records which is not of lasting value and which is not required for business, and is not transferred to the Central Registry, after the expiry of the retention period assigned to the case file subject groups (item number) of the Filing Plan or after the expiry of its administrative value. The scrapping process, the necessary forms and sample minutes are available on the Legal and Procurement Services/Registry intranet.
- (2) Documents held in temporary local registry may be removed from the registry for destruction only by means of document discarding.
- (3) The current records in the temporary local registry are reviewed at least once a year from the aspect of transfer to the Central Registry or discarding. In this process, registry items that can be discarded and whose retention period has expired according to the Filing Plan are selected.
- (4) The retention period is calculated from the day after the last substantive action was closed. No further retention of documents may be authorised. If the retention period of a certain type of document is requested to be longer, this must be specified in the filing plan. The organisational unit concerned may request in writing, before the annual review, that the retention period is amended. Annex 1 to this Regulation indicates the maximum temporary storage period in the local archives for each group of documents and items.
- (5) The total retention period is calculated from the total of the time in the temporary registry and in the Central Registry. After that, documents are either sent to the Registry or discarded.
- (6) Case files which are not classified as discardable by law or by the Filing Plan may not be discarded.
- (7) Electronic documents are stored in Poseidon.

54. §


- (1) The organisational unit carrying out the discarding in the temporary local registry shall notify the Chief Registrar (Central Registry) of the discarding 15 days before it starts. They agree on the documents to be scrapped, and the documents to be filled in.

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- (2) The head of the organisational unit appoints a discarding committee of 2 persons.
- (3) The discarding committee is responsible for managing and controlling the discarding tasks in the temporary, local registry and for certifying the discarding minutes with their signatures.
- (4) From among the members of the discarding committee, the head of the organisational unit shall appoint a person responsible for discarding to carry out the organisational and control tasks involved in discarding. He/she will assign the task to a staff member who is familiar with the administrative, scientific and historical significance of the case files.
- (5) The discarding committee shall draw up discarding minutes at the time of the discarding. The discarding minutes shall include:
 - a) the date (year, month, day) on which the discarding minutes were drawn up;
 - b) the name of the organisational unit for which the discarding minutes were drawn up;
 - c) the name of the document to be discarded, the filing item number, the name and year of the item;
 - d) the specific identification and listing of any documents retained from the discarded items shall be recorded separately;
 - e) the quantity of discarded material in document linear metres;
 - f) the names of the persons carrying out and checking the discarding.
- (6) Three discarding minutes must be drawn up in one electronic copy, which must be sent to the Central Registry. The chief registrar checks the minutes and if corrections are needed, sends them to the organisational unit in writing. If no errors are detected, the handover takes place, minutes are drawn up in one copy, and the Registry will arrange for the transfer of the documents to be destroyed to the Central Registry and then for their destruction in accordance with the legal requirements. No discarding can be carried out without notifying the Central Registry.
- (7) In the procedure for discarding security documents, the provisions of this 54. § shall apply in conjunction with the special rules provided for in these Provisions.

55. §

- (1) It is the responsibility of the organisational units concerned to initiate the procedure for the destruction of case files, while the actual destruction is carried out by the Central Registry, together with the destruction of expired documents already stored, but on request it provides support to organisational units for the compilation of temporary, local registry minutes and physical documents.
- (2) Documents on electronic data carrier shall be discarded and destroyed in accordance with the general rules on document management.
- (3) The Central Registry shall store the documents generated during the year to be discarded separately in a locked room of the Registry, until the Archives' discarding authorisation is

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obtained. A summary of the minutes taken during the year is prepared once a year and checked and approved by the Archives. Only with the permission of the Archives can documents be destroyed by the University's contracted sensitive document destruction company. After the destruction, the certificate of destruction must be added to the minutes with the Archives' clause.

- (4) The destruction authorised by the Archives is carried out by the Central Registry through a specialist destruction company contracted in a tender procedure carried out by Legal and Procurement Services. In order to ensure the secure destruction of documents without the slightest touch by human eyes or hands, the company must have a certification, for its own business premises, for its technological and operational processes on its own premises (not a possible certification from the parent company) in accordance with the *ISO 9001* quality assurance system, have a certificate of implementation of the environmental security system in accordance with *ISO 14001* and have a certificate of application for the information security system in accordance with *ISO 27001*.

Forced discarding

56. §

- (1) If, in the course of document management, documents suffer any damage as a result of an extraordinary event in the temporary, local or Central Registry, minutes of the event must be drawn up immediately and the University Archives must be notified. The minutes shall contain the identification of the damaged documents, and the place, date and circumstances of the incident. The minutes shall be sent to the Archives without delay. The organisational unit shall examine the possibility of restoring the damaged documents, after consulting the Archives. If the extent or the nature of the damage does not allow for the recovery of the documents, the Archives may authorise their forced discarding and, if necessary, notify the authority entitled to act regarding the loss of records *ex officio*.
- (2) In the case of forced discarding, the rules for discarding must be applied.


VIII. CHAPTER

TRANSFER OF DOCUMENTS TO THE REGISTRY / ARCHIVES

Transfer of documents to the Central Registry

57. §

- (1) The Central Registry stores the documents until they are transferred to the Archives or, if the Filing Plan indicates that the documents may be discarded, until they are discarded.
- (2) The Central Registry may only accept documents which have been processed by the organisational unit in accordance with these Provisions, in particular with regard to the filing of the document, assigning a registry item number to it, and its sorting and

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classification in before the transfer to the Central Registry. A document that is not filed in Poseidon, or not closed after the case is closed, or does not have a registry item number, may not be placed in the Central Registry. (Exceptions to this rule are student and doctoral ID bags)

- (3) The handling and storage of the documents not handled in accordance with the previous paragraph until their transfer to the Archives or their discarding is the responsibility of the organisational unit that handled the case (where the document is stored temporarily, locally). The head of the organisational unit shall determine the necessary technical conditions, the rules for sorting, systematisation, identification and storage, the rules and methods for accessing and requesting documents, and shall be forwarded to the Central Registry.

Transfer of documents to the Archives

58. §

- (1) The complete and closed volumes of public records that cannot be discarded according to the Filing Plan must be transferred to the Archives in accordance within the deadline specified in the Filing Plan. The case files to be transferred, together with the printed paper-based file or the electronically signed filing book, must be handed over to the Archives once a year, accompanied by detailed handover minutes, in filing order, with standard archival storage equipment (acid-free box). The date of the handover shall be agreed between the transferring organisational unit and the Archives. In general, only items with a full closed year may be transferred, although some documents may be retained for administrative purposes. A detailed list of the items retained is drawn up and a signed copy is given to the Archives.
- (2) Together with the filed documents, the corresponding auxiliary books (filing book and, if available, the index) are also handed over. The handover minutes shall contain the volumes by item, indicating the year and the initial and final file numbers.
- (3) Minutes are drawn up of the handover, including:
 - a) the date (year, month, day) of the handover;
 - b) the name and year of the documents handed over, including their quantity by item number (document linear metre);
 - c) the handover method (stack, bundle, box);
 - d) the names of the transferring organisational unit, the persons responsible for the handover and the persons receiving the documents.
- (4) The Archives may only be obliged to take over documents generated within the the time of retention set out in the Filing Plan on the basis of a special legal provision.
- (5) Documents held in an electronic format must be handed over to the archives in accordance with the requirements laid down by law.

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IX. CHAPTER

THE PROTECTION OF DOCUMENTS

59. §

- (1) Individual documents and the electronic systems used to manage them may pose a security risk to the University, therefore the necessary security measures, including virus protection and protection against unsolicited electronic messages, must be in place for all documents and the electronic data carriers used to manage them. Unauthorised access must be prevented for both paper-based and electronic data carriers, and access to documents in Poseidon can be restricted by setting up or removing access rights.

X. CHAPTER


MEASURES IN THE EVENT OF THE TERMINATION OF AN ORGANISATIONAL UNIT, CHANGE OF ITS RESPONSIBILITIES OR TRANSFER OF A JOB TITLE

60. §

- (1) In the event of the termination of an organisational unit or a change in its responsibilities, the further storage, safe custody, handling and continued usability of the current records concerned shall be arranged in accordance with the provisions of Act LXVI of 1995 on on Public Records, Public Archives, and the Protection of Private Archives.
- (2) In the event of the dissolution of an organisational unit, change of legal successor or transformation of an organisational unit, the Head of Legal and Procurement Services must be informed of the disposition of the documents.
- (3) If an organisational unit within the University ceases to exist for reorganisation or other reasons, the successor organisational unit shall take over the current records and manage them in accordance with the rules on document management and the rules applicable to the terminated organisational units.
- (4) In the event that the records of a terminated organisational unit cannot be transferred to another successor organisational unit, they shall be deposited in the Central Registry as provided for in these Provisions, and records of lasting value, which cannot be discarded, shall be transferred to the Archives.
- (5) If the tasks of the terminated organisational unit are divided between several organisational units or if certain tasks of an organisational unit are taken over by another organisational unit, the current records may only be divided by registry item.

61. §

- (1) In the event of the termination of an organisational unit, the head of the organisational unit shall ensure the review of the cases handled in Poseidon, the closure of the cases that can be closed, the transfer of all documents, the documents and electronic documents of


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pending cases not yet sorted out to the organisational unit taking over the responsibilities of the terminated organisational unit (hereinafter: receiving organisational unit), and the transfer of the closed case files to the Archives or the Central Registry.

- (2) In organisational units where the predecessor has ceased to exist and the organisational unit has subsequently been restructured, the documents are stored separately.
- (3) The former organisational unit shall transfer to the Central Registry the documents held in its temporary archives or registry (the closure of the case files managed in Poseidon and the completion of the tasks shall be ensured), unless the functions of the former organisational unit are taken over by another organisational unit.
- (4) If the former organisational unit is merged into another organisational unit, the case files are reviewed, those that can be closed are closed in Poseidon and deposited in the Central Registry or in the receiving organisational unit's registry, and the pending case files are then deposited in the temporary registry of the organisational unit taking over the functions.
- (5) If the organisational unit being wound up had a separate filing book, the final transfer is indicated in its filing book, the filing book is closed and the documents of transferred pending cases are transferred to the filing book of the receiving organisational unit, indicating the previous file number of the file and the filing book identifier.
- (6) If the tasks of the organisational unit being abolished are divided between several organisational units, the current records and case files may be divided according to the tasks or, if this is not possible for some reason, they may be placed in the Central Registry.
- (7) Requests for individual case files are met by making a copy or by borrowing. The documents of pending and closed cases are handled according to the general rules.
- (8) The provisions relating to the management of the documents of the terminated organisational unit shall apply mutatis mutandis to the transfer of the organisational unit's functions.
- (9) The management of the terminated organisational unit in Poseidon is agreed with the Document Management Department, which coordinates the necessary transfers with the IT Directorate and coordinates the necessary adjustments.

62. §

- (1) An employee who leaves the University organisational unit shall account for the documents entrusted to him/her on the basis of the records. The managers concerned shall inform Legal and Procurement Services of the changes in personnel and shall initiate the cancellation of access rights in Poseidon and designate the successor(s) of the leaving employee from a document management point of view.
- (2) Employees of the University who have been assigned the role of managers, case file handlers and associates are required to sort out their tasks in Poseidon and to return and account for their case files upon termination of employment for any reason, or upon long-term absence (unpaid leave) or transfer to another organisational unit.

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- (3) The head of the organisational unit shall draw up a list of missing case files, signed by the outgoing employee and the head of the organisational unit, in the event of a shortage of documents.
- (4) In the case of pending cases, the head of the organisational unit must ensure that (a) new case handler(s) is (are) appointed immediately after the employee has announced his/her departure. Outgoing and newly appointed staff members will be supervised by the manager in the handover of documents and the organisation of their tasks and case files in Poseidon. Minutes of the handover shall be filed in Poseidon.


XI. CHAPTER

ADDITIONAL PROVISIONS


Privileges and roles related to the use of Poseidon

63. §

- (1) The general rules for managing privileges and roles related to the use of Poseidon are as follows:
 - a) Changes to access rights to Poseidon are documented in the system by name and role (in case of user(s) with the same name, by providing a personal code and/or official mailing address).
 - b) The registration and recording of the user, the assignment of his/her rights, the modification of his/her data and rights, through Neptun, using the form designed for this purpose, based on the written consent of the supervisor of the user, after approval by the Head of Legal and Procurement Service, is the responsibility of the Legal and Procurement Services staff member in charge of the operation of Poseidon, who is assigned the role of internal administrator, and who will notify the relevant organisational unit of the setting.
 - c) In Poseidon, a user can be assigned multiple roles and a role can be assigned to multiple users.
 - d) User roles are functional privileges, so a user can only access the functionality they are allowed to access.
- (2) The main roles and privileges associated with using Poseidon are:
 - a) User roles:
 - filing clerk;
 - registrar;
 - receiver;
 - associate;

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- executive.
- b) Administrator role:
- internal administrator
- (3) The details of roles, responsibilities and privileges are set out in Annex 2 to these Provisions.

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Rules for filing case files in the event of a system breakdown in Poseidon

64. §

- (1) The measures to be applied are set out in the Business Continuity Plan in Annex 3 to these Provisions.

Special rules for the handling of security documents


65. §

- (1) With regard to security documents, these Provisions shall be applied in accordance with the provisions of the legislation and internal regulations applicable to documents subject to strict accountability.
- (2) The provisions of the internal financial regulations and of the internal regulations relating to diplomas, diploma supplements, etc., as documents subject to strict accountability, shall apply to the management of security documents with the following exceptions:
 - a) the continued compliance with the legal obligation of safe storage must be ensured;
 - b) security documents that are subject to strict accountability must be recorded in an up-to-date register by the person entrusted with their management or authorised to issue them, in such a way as to ensure that they are accounted for. The records shall be kept in a continuous pagination and numbering system;
 - c) the "spoiled" copies of the security documents must be handed over to Campus Services with the handover minutes filed after the discarding procedure and containing detailed data, accompanied by the discarding minutes filed for the annual discarding procedure and containing the detailed records.
- (3) The obligation set out in paragraphs (1) to (2) shall bind the head of the issuing organisational unit throughout the entire document management process.

Temporary and final provisions


66. §

- (1) By 30 November of each year, comprehensive organisational units review the Filing Plan and make recommendations on it to Legal and Procurement Services, which are responsible for the Provisions.
- (2) The present Provisions shall enter into force on 1 September 2025. At the same time, the Document Management Regulations adopted by resolution SZ-72/2015/2016. (14 December 2015) shall be repealed.
- (3) Documents generated prior to the entry into force of these Provisions shall be filed and discarded in accordance with the Filing Plan of the Document Management Regulations in force at the time of their generation.
- (1) Sample documents and standard forms to be used in document management shall be made available by the Legal and Procurement / the Registry on the intranet interface.

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Annexes:

1. Annex: Filing Plan
2. Annex: Detailed description of Poseidon roles
3. Annex: Business continuity plan for the Poseidon Filing and Document Management System Changes to the document management process in the event of a Poseidon malfunction

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1. Annex

Filing Plan


The annex is included in a separate document (excel file).

2. Annex


Detailed description of Poseidon roles

1. Details of roles, responsibilities/privileges

- a) Filing clerk (Case File Handler): he/she is responsible for registering the document and assigning a file number to it in the filing books which his/her level of authorisation entitles him/her to use. In addition, he/she is responsible for forwarding, depositing to a temporary storage with deadline, scheduling, taking back the document, assembling, for attaching, amending of the case file, recording a memo, closing a case file, filing, forwarding the case file, the document. In particular, he/she is in charge of filing incoming documents, filing by main number, filing by sub-number, consulting the filing book of the organisational unit, creating case files, filing, making general enquiries, mailing outgoing documents.
- b) Registrar: takes over a closed file in the Central Registry, modifies the physical location of the file in the registry, manages, lends or takes back a case file in the registry, and prepares a register, destruction register, discarding minutes, and records the discarding and destruction of case files. In particular, he/she is responsible for setting up archives, handling and destruction of archived documents.
- c) Receiver: records the sender, receiver, internal recipient, date of arrival, serial number of the electronically received consignment, the data carrier and the type of the consignment, and its method of arrival in the receipt book. In particular, he/she is responsible for receiving documents, recording without filing, assigning tasks, delivery of consignments, mailing, forwarding mails received via the Office Gateway to the recipient.
- d) Associate: managing cases, registering documents and assigning them a file number in the registers for which his/her level of authorisation entitles him/her to do so. He/she may forward, deposit to temporary storage with deadline, take back, assemble, attach, amend case files, record notes, close, file, transfer case files. In particular, he/she is in charge of filing incoming documents, filing by main number, filing by sub-number, consulting the filing book of the organisational unit, creating case files, filing, making general enquiries, mailing outgoing documents.
- e) Executive: he/she is responsible for assigning, checking document management, authorising the reopening of case files, authorising changes to deadlines, approving and signing outgoing documents, authorising employees to use Poseidon, inquiring and checking the deadlines of subordinate(s).

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- f) Internal administrator: his/her rights are not limited, in particular the role includes creating a new organisational unit, recruiting employees (access right management), creating filing books, reclassifying documents, tasks, creating statistics, making basic settings, uploading templates, setting access passwords, maintaining system parameters, troubleshooting, managing duplicate partners, maintaining document management functions.

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3. Annex


Business continuity plan for the Poseidon Document Management System

- a) **Purpose of the business continuity plan**
The purpose of this document is to ensure that in the event of a Poseidon malfunction or outage, the business process can be maintained with the minimum of downtime. The Business Continuity Plan (BCP) details all the main functions of the system.
- b) **Responsibilities**
The Head of Legal and Procurement Services is responsible for issuing and ordering the use of the BCP, in close cooperation with the Head of IT.
- c) **Issuing**
The procedure for issuing the BCP is as follows:
Information Technology as the IT operator of Poseidon, and Legal and Procurement Services as the unit responsible for the professional aspects and the proper operation of Poseidon, based on the number and critical nature of the error reports and on prior consultations with the Poseidon software developer if necessary, determines that the fixing of the error takes more than 24 hours, and in that case, the Head of Legal and Procurement Services orders the application of the BCP.
- d) **Scope**
The personal scope of the BCP covers all employees of the University involved in the document management, given that they are all involved in maintaining the continuity of the business process.
- e) **Testing**
The BCP must be tested once a year, jointly by IT and Legal and Procurement Services.
- f) **Maintenance**
The BCP should be reviewed and updated once a year to reflect the changed environment. The review is the responsibility of Legal and Procurement Services.

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Changes to the document management process in the event of a Poseidon malfunction

- In the event of a malfunction work must, as a general rule, be continued in accordance with the Document Management Regulations. However, in the following cases, the traditional physical administration as defined therein should be reverted to.
- a) Taking over, opening and receiving of consignments
If the Poseidon is down, the Mail Room will takes over the consignments in the manner set out in the Document Management Regulations, and then sort them by the recipient organisational unit.
Instead of the receipt identifier, the consignment will not receive another identifier, the Mail Room will deliver the sorted consignments to the recipient organisational unit in a traditional transfer book. The transfer book must clearly identify the consignments to be delivered so that they can be traced for future reference. The names of the transferring person and the recipient are signed legibly.
- b) Designation of the associate (assigning)
Documents forwarded on paper must be handed over to the designated associate or other organisational unit for administration or execution of the task, based on their content and subject matter.
A document with a file history or, if the organisational unit responsible for processing the case or group of cases has already been designated, may be forwarded directly to the organisational unit or person previously designated.
If the person responsible is not known on the basis of the document received, it is essential that the head of the organisational unit assigns the document and gives specific instructions for the handling of the case:
- designates the associate of the document, the person responsible for it and the persons who have access to it;
 - sets the deadline for implementation (degree of urgency);
 - gives instructions on how to implement;
 - provides other related information in writing, indicating the date of assigning.
- In the case of an outage, the assigning shall be done by placing the assigning information - task, responsible person, deadline, management information - on the original physical copy.
- c) Filing
In the event of a shutdown, organisational units must keep their own temporary register of documents to be filed.
In the event of a system breakdown, filing should be done in the so-called System Breakdown Excel spreadsheet, as a general rule electronically, or, if this is not feasible, on paper, at the filing locations defined in Poseidon, with the help of the user designated as the case file handler (filing clerk/associate).
The structure of the System Breakdown Excel spreadsheet issued by Legal and Procurement Services cannot be modified or changed, it must be kept in the given format by the employees designated to perform filing tasks, thus facilitating subsequent uploading back to Poseidon.

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It is the responsibility of the head of the organisational unit concerned to designate the employee who will carry out the filing.

In each case, the employee designated to carry out filing tasks will record the documents in a separate register and will request a new file number when a new case is opened.

The records must be kept in such a way that it is possible to determine:

- the name of the organisational unit;
- the exact time of receipt of the document;
- the subject of the document;
- the way of administration;
- handling notes (annexes, other remarks);
- the location of the document;
- the name and position of the associate.

The following does not have to be filed, but must be kept in cases provided for by law:

- books, teaching materials;
- advertising materials, information leaflets;
- invitations;
- documents returned for presentation or approval;
- gazettes, press products;
- returned acknowledgements of receipt and electronic confirmations.

Identification format of the separate filing register:

[Filing Book ID/Main number-Sub-number/YYYY].

The separate filing ID must be entered in the Records field of the document after Poseidon has been restored, and the file number obtained in Poseidon must be entered in the register.

In the case where the case handler or associate, as the holder of the case file, already has a document with a main number filed in Poseidon, and using that number, he or she manually records the documents created in the case under the next sub-numbers on the information sheet.


When the system is reset, it is the responsibility of the case file handler, associate (filing clerk) to subsequently enter the sub-numbers in Poseidon.

Handling outgoing documents, issuing copies (signature, authentication).

All outgoing and locally managed documents must be prepared by a staff member designated by the head of the organisational unit in accordance with the Document Management Regulations. A copy can be forwarded to an external body or person only if it is certified. The filing and digitisation of outgoing documents handled locally is carried out in the same way as for incoming documents.

The filing is carried out by the filing clerks designated in the organisational units or associates, after receipt of the document prepared and sent by the administrator. The case file handler (filing clerk, associate) is responsible for identifying and providing all the necessary information. After filing, outgoing and locally managed documents are digitised. Once Poseidon is restored, it is the task of the case file handler (filing clerk, associate) to attach the digital document to the corresponding document.

d) Archiving

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The organisational unit holding the documents shall ensure their preservation by placing them in the temporary registry.

- e) Switching back to the Poseidon system
- Once the error has been corrected and tested, the Head of IT and the Head of Legal and Procurement Services will jointly decide when Poseidon should be reopened for use. Sending the System Breakdown Excel spreadsheet and entering it into Poseidon
- Once Poseidon has been restored, it is the responsibility of the employee responsible for filing in each organisational unit to send the System Breakdown Excel spreadsheet he/she has kept to Legal and Procurement Services within 3 working days of the restoration. The file numbers kept in the System Breakdown Excel spreadsheet are uploaded to Poseidon by IT.