

APPROVED BY

Order No. 21/1.1-3/89 of 16.08.2021

DOCUMENT MANAGEMENT PROCEDURE

1. General Information

- 1.1. This Document Management Procedure (hereinafter — the ‘Procedure’) determines a single record-keeping system at *Biznesa, mākslas un tehnoloģiju augstskola “RISEBA”* (hereinafter — ‘RISEBA’) and is an internal normative document laying down requirements binding to all employees;
- 1.2. All employees whose job duties include the preparation, drawing-up, registration, and accounting of record-keeping documents are responsible for the observance of the Procedure at RISEBA;
- 1.3. RISEBA uses the document management system *Namejs*, <https://namejs.riseba.lv> (hereinafter — ‘*Namejs*’);
- 1.4. Document turnover is the movement of documents at the University from the moment of receipt or drafting to the completion of execution or sending. An employee of the Rector’s Office receives correspondence addressed to the University, registers and hands over items to addressees using *Namejs*;
- 1.5. Correspondence outgoing (to be sent) from the University is also registered in *Namejs*. The document author gives instructions on the method of sending the document (if it is necessary to send in a hard copy with a physical signature) — a registered, insured or another letter;
- 1.6. The document management system *Namejs* ensures an opportunity to sign a document with a secure electronic signature (e-signature) or system signature;
- 1.7. The holder of the procedure development process is the Head of Quality Assurance;
- 1.8. The holder of the document management process is the Director of Administration;
- 1.9. Drafting and drawing-up of documents:
 - 1.9.1. Documents shall be developed in accordance with the applicable Cabinet Regulation of the Republic of Latvia No. 558 “Procedures for Drawing up and Preparing Documents” so as to ensure the legal force and informative function of the document, as well as a possibility of making a copy of the document during its entire period of storage.
 - 1.9.2. Responsibility for the accuracy and drawing-up of a document is borne by its author whose surname and phone number are specified on the last page of the prepared document after the signature detail on the left side;
 - 1.9.3. Documents shall be written in literary language observing the Official Language Law and the orthography norms and terminology of the official language.
 - 1.9.4. Using several languages simultaneously in a single document is prohibited, except for international agreements and other documents that must contain identical text in two or more languages. The use of another language is permitted for writing a postal address and symbolic name, as well as in individual cases in the text, specifying the original forms of proper names in other languages and mentioning symbolic names in other languages;
 - 1.9.5. In a document, all words are usually used in their full form (also numbers) with respective case endings. If abbreviations are used in a document, they must comply with the generally accepted orthography rules of the official language or the method

stipulated by laws and regulations. Measurement units and abbreviations generally accepted in the Republic of Latvia shall be used in a document.

- 1.9.6. At RISEBA, in carrying out own activities, exercising rights and protecting legitimate interests, only the originals of documents and their derivatives that have legal force shall be used. Documents that have no legal force are not binding to other organisations;
- 1.9.7. To ensure that the University's document has legal force, it must have the following details:
- 1) name of the document author;
 - 2) document date;
 - 3) signature.

2. Document Drafting and Drawing-up Provisions

2.1. Documentation authors – process holders:

- 2.1.1. Document authors, according to their functions and specific nature of work, are process holders who can be senior management, quality employees, heads of structural units or institutions, and performers of specific works;
- 2.1.2. Documents authors or process holders have the right and obligation to draft new documents or introduce changes to existing documents in accordance with the requirements of internal and external normative documents or amendments thereto;
- 2.1.3. Responsibility for the correlation of the document content to other documents in force and their updating is borne by the processing holder.

2.2. Numbering of regulatory documents:

- 2.2.1. A new document number is assigned to RISEBA regulatory documentation by an employee of the Rector's Office;
- 2.2.2. Structure and identification of regulatory document:
- 2.2.2.1. RISEBA regulatory documentation consists of the following:

Regulations / By-laws	NL
Provisions	NT
Procedures	PR
Policies	PL

- 2.2.2.2. The following codes are used for the identification of regulatory documents:

Document name	Code
Regulation / By-law	NL 0000 – 01
Provision	NT 0000 – 01
Procedure	PR 0000 – 01
Policy	PL 0000 – 01

NL, NT, PR, PL – document designation

0000 – a four-digit number within the document type

01 – number of the document version

2.3. Drawing-up of RISEBA regulatory documents:

- 2.3.1. The *Header* of the first page of a document must contain the following details: logo, university name, and identification code;
- 2.3.2. The *Header* of the remaining pages of a document must contain the following details: RISEBA and document name, as well as number — identification code;

- 2.3.3. Documents approved by the Constitutional Council or the Senate must contain information about the approving institution and approval date in the upper right corner; if amended — also the date of approval of amendments and minutes No.

For example:

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Meeting of RISEBA Senate, Minutes No. __/____/ of DD.MM.YYYY

- 2.3.4. Identically to Paragraph 2.3.3, information about the approval of the Rector's order is reflected under the Senate's approval:

For example:

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Rector's Order No. __/____/ of DD.MM.YYYY

- 2.3.5. The person that prepared the document is specified at the end of the original document — on the last page. Name Surname +371 1234567 e-mail

- 2.3.6. All the persons involved in the drafting of the document are specified at the end of the original document — on the last page.

2.4. Reviewing, amendment, cancellation of documents:

- 2.4.1. A proposal on the updating of applicable regulatory documents or drafting of new documents may be submitted by any company employee to the processing holder or the Head of Quality Assurance;
- 2.4.2. If a document or its annex is amended, the version of both the annex and the document shall be changed. The previous version of a document shall become invalid upon the approval of amendments;
- 2.4.3. A document may be cancelled only by the person that has approved the document in accordance with the document approval procedure;
- 2.4.4. A document is amended by the processing holder (the person that prepared the document) by agreeing with involved structural units and sending it to the Head of Quality Assurance (unless the latter has prepared the document) for verification;
- 2.4.5. The map of process holders shall be revised upon necessity, but no less than twice a year (in August and January), where the Head of Quality Assurance is responsible;
- 2.4.6. By-laws of the Constitutional Council, the Senate, the Audit Commission, and the Arbitration Court are amended by the Constitutional Council only;
- 2.4.7. The content of regulatory documents is amended by the Head of Quality Assurance in cooperation with the processing holder, informing the employees related to the respective process in Riga and Daugavpils about amendments.

2.5. Document observance procedure:

- 2.5.1. The heads of structural units shall monitor that employees become acquainted with amendments to documents as well as new documents regularly, and participate in their drafting within their competence;
- 2.5.2. The heads of structural units and each employee individually are responsible for ensuring the observance of requirements outlined in documents;
- 2.5.3. The audit of regulatory documents is organised by the Head of Quality Assurance in accordance with RISEBA Internal Audit Procedure PR 0002.

3. Registration of Documents

- 3.1. Registration of documents is the registration of brief information about the document author, details, content, movement within the company, observance and storage. The aim of

document registration is the accounting, storage and quick search of documents, as well as provision of information;

- 3.2. RISEBA maintains a centralised registration system located in the document management system *Namejs*, i.e., correspondence is received and distributed by an employee of the Rector's Office. Any employee can send a document via the *Namejs* system. A document is automatically registered upon its signing in *Namejs*;
- 3.3. The processing of received correspondence starts with the verification of the correctness of its delivery. Erroneously sent correspondence is returned to the sender. Correspondence with an indication 'personally' or 'confidential' is not opened and is handed over to the addressee. An employee of RISEBA Rector's Office opens all correspondence addressed to the University or any University employee, except in the aforementioned case;
- 3.4. If upon examining the received correspondence it is found that it lacks attachments, the submitter is informed thereof. If it is impossible, the recipient is informed;
- 3.5. All the information about the document electronically received by RISEBA is registered in *Namejs* by completing all the required fields of the document card, inter alia, specifying the registration date and number of the received document, its author, summary of the content, etc.;
- 3.6. Documents to be sent, which have to be drawn up in hard copy with a physical signature, after their registration in *Namejs*, are placed in an envelope with the specified full address and registered in the log of sent postal letters (located at the Customer Service Centre);
- 3.7. Documents intended for internal are registered and handed over to the person responsible for the execution of a particular document;
- 3.8. When replying to applications, complaints, and proposals submitted by natural and legal persons, the following terms shall be observed:
 - if the examination is not within the competence of RISEBA, correspondence shall be forwarded to the competent institution within 7 days, notifying the submitter thereof;
 - a reply shall be provided to the submitter within 15 days;
 - if additional verification or information is required — within 30 days, notify the submitter thereof;
 - verbally — immediately or within up to 30 days.A reply to collective applications shall be sent to the person who has first signed the respective application, complaint or proposal.
- 3.9. RISEBA orders and other internal documents shall be executed within the term specified in the text;
- 3.10. Replies to requests of diplomatic missions shall be provided within 10 days following the date of registration at RISEBA unless specified otherwise.

4. Progress of Received Documents

- 4.1. After their registration in *Namejs*, documents are handed over to addressees by the Rector's assignment;
- 4.2. An employee responsible for the fulfilment of an assignment is specified in *Namejs*. He/she also determines the method of fulfilment. Exceptions include cases, in which each employee referred to in the resolution, is given his/her assignment. The heads of structural units are obliged to monitor the progress of assignment fulfilment on a regular basis and, if necessary, organise their faster fulfilment;
- 4.3. RISEBA Rector's assignments are to be fulfilled within the term specified in the resolution.

5. Document Approval Procedure

RISEBA institutions and officials are entitled to approve the following documents:

- 5.1. The Constitutional Council adopts and amends the University's Constitution, approves the Academic Year Report, elects and dismisses the Rector, elects the Senate, the Audit Commission and the Court of Arbitration, as well as approves regulatory documents governing the activities of the said institutions;
- 5.2. The Senate approves the following:
 - 5.2.1. RISEBA regulatory documents — Regulations / By-laws and Policies;
 - 5.2.2. New study programmes, changes therein;
 - 5.2.3. Statutes or by-laws of the University's structural units, councils and boards;
- 5.3. The Rector:
 - 5.3.1. implements the overall administrative management of the University and represents the University without special authorisation;
 - 5.3.2. issues compulsory decrees to the University's staff members regarding all matters related to the University's governance, which do not fall within the competence of other governing institutions.
- 5.4. Other RISEBA structural units/institutions:
 - 5.4.1. The Scientific Council is entitled to individually decide on matters concerning research work, which fall within the competence of the University's senior management; to examine and prepare draft regulatory documents within its competence for submission to the Senate;
 - 5.4.2. The Methodological Council is entitled to individually decide on documents (Methodological Materials) related to the attainment and assessment of study results, as well as teaching methods; Agrees Regulations / By-laws and Policies, if they are related to the attainment and assessment of study results, as well as teaching methods.
The Methodological Council reviews general issues of higher education relevance and approves the relevant normative documents. Decisions adopted by faculties and departments on study matters cannot contradict decisions adopted by the Methodological Council.
 - 5.4.3. The meeting of the Department's academic staff members is entitled to individually decide on matters concerning academic and research work, which do not fall within the competence of the University's senior management; Agree to s Regulations / By-laws and Policies, if they deter the mine internal activities of a Department.
Departments have the following documentation: the Department Head's decrees; study course programmes; methodological and knowledge assessment materials of study courses; minutes of Department meetings.
 - 5.4.4. The Programme Committees are entitled to recommend (not to adopt decisions) introducing changes to the content of a study programme.
Committees are entitled to recommend changes to the content of study programmes according to the procedures set by RISEBA.
Preparation and revision of accreditation, re-accreditation and self-assessment reports.
 - 5.4.5. Faculties are entitled to individually decide on matters concerning academic, research and organisational work, which do not fall within the competence of the University's senior management. Agrees to Regulations / By-laws and Policies, if they determine the internal activities of a Faculty.
Faculties have the following documentation: Dean's decrees; documents regulating Faculty's activity; study programme documentation; internship agreements and other documents stipulated by the nomenclature.

A document enters into force upon the approval thereof or by the Rector's order unless specified otherwise.

6. Storage and Distribution of Documents:

- 6.1. After their registration and approval by the required institutions, University's regulatory documents are stored in *Namejs*;
- 6.2. An employee of the Rector's Office is responsible for ensuring that the approved regulatory documents are electronically entered into *Namejs*;
- 6.3. The person responsible for orders issued by the Rector on principal activity matters in Riga is the employee of the Rector's Office, who informs the University's staff members about changes, whereas in the Daugavpils Branch — the secretary;
- 6.4. All academic staff members of the respective Department and the Vice-Rector for Teaching and Learning are informed about the decision adopted by the meeting of Department academic staff members. The Head of the Department is responsible for information exchange. Decisions adopted by the Head of Department are binding to all members of the Department;
- 6.5. The head of each structural unit is responsible for familiarising his/her employees with documents binding thereto. If necessary, employees confirm that they have become acquainted with the content of the respective document with their signature or by marking 'acquainted' in the respective system, either *Namejs* or *Horizon* (on the HoP platform).

7. Development and Compilation of the Nomenclature of Cases

- 7.1. The University's general nomenclature of cases, including the Daugavpils Branch, is developed and compiled by the University's archivist in cooperation with the Head of Quality Assurance and observing the RISEBA organisational structure.
- 7.2. Structural units compile all the cases listed in the nomenclature.
- 7.3. Each structural unit is responsible for the creation of cases of original documents (electronic or hard copy), their storage in *Namejs* and transfers to the RISEBA archives in line with the law on cases to be stored on a constant and long-term basis.
- 7.4. The index assigned to each structural unit in the nomenclature of cases must be observed in compiling cases.

8. Responsibility

- 8.1. The Rector of the University is responsible for the quality of the RISEBA record-keeping system in general. The Director of Administration as well as other persons responsible for record-keeping are responsible for the organisation of record-keeping work and the observance of the record-keeping handbook.
- 8.2. In all cases where documents are not drawn up by record-keeping regulations and the record-keeping handbook, the said documents are returned to their authors, specifying the reason;
- 8.3. Employees of the Rector's Office are responsible for the following:
 - 8.3.1. acceptance and registration of received correspondence;
 - 8.3.2. handover of a document for execution according to the Rector's instructions;
 - 8.3.3. acceptance of documents to be sent and their preparation for sending to addressees;
 - 8.3.4. provision of information on the accounting, movement, execution progress and sending of documents;
 - 8.3.5. consulting of RISEBA employees on record-keeping matters;

8.4. The archivist is responsible for the development of the RISEBA general nomenclature of cases.

Annex:

1. Flow Chart
2. List of Process Holders
3. List of Strategic and Development Planning Documents

RELATED DOCUMENTS:

- 1) Cabinet Regulation No. 558 “Procedures for Drawing up and Preparing Documents”;
- 2) Official Language Law;
- 3) Electronic Document Law;
- 4) Law on Legal Force of Documents;
- 5) “Guidelines for Drawing up and Preparing Documents” developed by the Ministry of Justice;
- 6) RISEBA Nomenclature of Cases;

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