

Approved by Rector's directive No 1-8/9 of 14.03.2023

In force from: 14.03.2023

Procedure for Organising Access to the Archives and Ensuring Security of the Archival Repository

1. General provisions

1.1 The Procedure for Organising Access to the Archives and Ensuring Security of the Archival Repository (hereinafter referred to as "the Procedure") lays down the organisation of access to the records stored in the archival repository of Tallinn University of Technology (hereinafter referred to as "the university"), the persons with access rights, their liability and the rules for the use of the archival repository for long-term preservation of records.

1.2 Records of structural units with a permanent and long-term retention period are received and stored in the archival repository. As an exception, records with a short retention period are stored in the archival repository if their preservation in the repository is required by legislation or if storing them in the structural unit is not possible.

2. For the purposes of the Procedure:

2.1 "**archives**" means a complete set of records of an institution or person;

2.2 "**archives emergency plan**" means an action plan for preventing any potential threat to and damage or destruction of archival records and for eliminating damage at the archival repository;

2.3 "**archival repository**" means a space used for proper storage of records;

2.4 "**archival record**" means a record to which archival value has been granted by a public archives as the result of an appraisal;

2.5 "**public archives**" means an archival agency within the meaning of the National Archives;

2.6 "**record**" means information recorded on any medium, which is created or received in the course of the activities of an agency or person, and the content, form and structure of which is sufficient to provide evidence of facts or activities; for the purposes of the Procedure, "records" means also files and archival records unless otherwise specified.

2.7 "**records management system (RMS)**" means an electronic information system for creating and managing records, which includes a records register indicating the location of the record based on the records classification scheme;

2.8 "**records classification scheme**" means a structured list of agency functions and series and a framework for capturing and managing its records and forming archives;

2.9 "**personal identification document**" means a document provided for in subsection 2 (2) of the Identity Documents Act, the staff card in the case of a member of the university staff;

2.10 "**file**" means a unit for physical management of paper documents (a folder, volume, etc.);

2.11 "**other persons**" means legal or natural persons who are not members of the university staff.

3. Using records in the reading room of the archival repository

3.1 In the archival repository, members of the university staff and other persons (hereinafter referred to as "visitors") are granted access to university files, inventories, and other archive descriptions in the required scope and manner based on an identity document until the records are either destroyed or transferred to the public archives.

3.2 A visitor can examine the records stored in the archival repository only in the reading room. Files that are in poor physical condition or under repair shall not be issued to visitors.

3.3 Records and files are lent to members of the university staff in accordance with clause 5.2 of the Procedure.

3.4 An employee of the Archives Division has the right to refuse to issue copies if this is not possible due to substantial workload or the need to issue a large quantity of extracts.

3.5 In order to protect the privacy of individuals, the employee of the Archives Division is obliged to cover any personal data contained in the files when copies are made or not to issue copies of files where it would undermine the privacy of an individual.

3.6 A visitor of the reading room:

3.6.1 is obliged to comply with the requirements set out in the Rules and adhere to the instructions of the archivist. If the visitor fails to comply with the requirements laid down in the Procedure, an employee of the Archives Division has the right to prohibit the visitor's access to the reading room.

3.6.2 bears liability for any files used and is required to promptly inform an employee of the Archives Division of any damaged file or damage caused by him/her;

3.6.3 when leaving, shall return to an employee of the Archives Division the files, lists of archival records and other materials provided to him/her for use.

3.6.4 If a visitor breaches the Procedure or other terms and conditions and restrictions he/she has been notified of, an employee of the Archives Division has the right to restrict the visitor's access to the records. The measures taken need not be explained to the visitor.

3.6.5 The visitor is prohibited from making copies (incl. digital copies or photocopies) of a file in any form unless granted permission by an employee of the Archives Division and the copies are not intended for commercial purposes. When making copies in any form, the information contained therein must be preserved, and damaging the records and files is prohibited.

3.6.6 Visitors' actions that may damage records or files are prohibited.

3.6.7 A visitor shall be liable for any damage caused by examining the archival records.

3.7 An employee of the Archives Division:

3.7.1 provides advice to visitors of the reading room;

3.7.2 shall make sure that records are used without damaging their condition or putting their further preservation at risk;

3.7.3 shall restrict access to records, if necessary, where the physical condition of the medium does not allow it or its use may otherwise damage the record;

3.7.4 shall check the integrity and condition of the files when they are issued to be used or returned after use in the reading room.

4. Organising access to restricted records

4.1 The principles of accessing restricted documents in the university are laid down in the Procedure for Classification of Information as Internal.

5. Temporary lending of records from the archival repository

5.1 As a rule, records stored in the archival repository are not lent to persons outside the university.

5.2 Members of the university staff can borrow records stored in the archival repository for the performance of their duties based on a reasoned request.

5.3 Other persons can borrow records stored in the archival repository only if they are legally entitled to do so.

5.4 The lending of documents shall be documented.

5.5 An employee of the Archives Division issues and receives the returned documents.

5.6 If necessary, an employee of the Archives Division prepares a copy before issuing records from the archival repository, which is destroyed after the original is returned.

6. Responding to archive requests

6.1 All archive requests are registered in the RMS.

6.2 If possible, requests shall be answered immediately but no later than 30 calendar days after registration.

6.3 A request will not be answered if it is not clear who submitted the request or the request does not include the person's contact details or the source data provided are insufficient to determine and find the information, if access restrictions apply to the requested information or responding to the request requires a large-scale investigation. The person who submitted the request shall be notified of the refusal to respond to the request within five working days.

6.4 If the requested information is possessed by a structural unit or institution, the request shall be forwarded according to competence by notifying the person who submitted the request.

6.5 If it is not possible to respond to a request or the deadline for responding needs to be extended, the person who submitted the request shall be notified thereof.

7. Ensuring security of the archival repository

7.1 Unauthorised persons can enter the archival repository only together with an employee of the Archives Division.

7.2 The security system of the archival repository must be activated when no employee of the Archives Division is present in the archival repository.

7.3 In the archival repository it is prohibited:

7.3.1 to store foreign objects, including food, plants, flammable and explosive substances;

7.3.2 for individuals to stay in the repository if they do not have work-related duties requiring their presence,

7.3.3 to use additional heating devices, make open fire or smoke;

7.3.4 to enter the repository in outwear and uncovered outdoor footwear;

7.3.5 to leave the files in a place not designated for this purpose;

7.3.6 any other activity that may damage the records.

7.4 At the end of a working day, an employee of the Archives Division shall check the condition of the rooms of the archival repository and activate the security alarm of the rooms.

7.5 The archival repository shall be cleaned once a month in the presence of an employee of the Archives Division.

7.6 The files in the archival repository shall be cleaned based on their condition and actual need.

7.7 The storage conditions of the archival repository shall be monitored continuously. The immediate superior shall be informed in the case of the occurrence of potential sources of risk or hazard.

7.8 The archives emergency plan must be observed in the case of any threat.

7.9 In order to ensure the security of the rooms of the archival repository, the staff of the Archives Division shall follow, in addition to the Procedure, the Archival Rules, the university's Fire Safety Regulations, the Archives Emergency Plan and other legislation.