 SATBAYEV UNIVERSITY	NON-PROFIT JOINT STOCK COMPANY KAZAKH NATIONAL RESEARCH TECHNICAL UNIVERSITY named after K.I.SATPAYEV	
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RULES
for documentation, documentation management and use of electronic
document flows system in NJSC
«KazNRTU named after K.I.Satbayev»

R. 029-04-03.3.01-2023

Almaty, 2023

PREFACE

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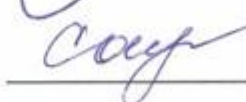
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CONTENT

1	General provisions	4
2	The procedure for documentation, preparation and execution of documents	4
3	The procedure for execution of the document details	5
4	The procedure for preparation and execution of orders and decrees	15
5	Peculiarities of preparation and execution of the protocol	19
6	The procedure for preparation and execution of the Act	21
7	The procedure for preparation and execution of the certificate / information	22
8	The procedure for preparing and executing the letter	23
9	The documentation management procedure, requirements for document flow arrangement	23
10	The procedure for processing incoming documents	24
11	The procedure for processing outgoing documents	28
12	The procedure for internal documents passage	29
13	The procedure for documents registration	29
14	The documents execution control	31
15	The accounting and storage of seals, stamps and letterheads	31
16	The procedure for compilation of the nomenclature of cases, formation and storage of cases	33
17	The order for registration of the nomenclature of cases	34
18	The procedure for cases formation	35
19	The order for cases registration	37
20	The procedure for operational storage of documents	38
21	The procedure for transferring files to the University Archives	39
	Appendices	41
	Change registration sheet	48

1 General Provisions

1. These Rules for documentation and document management in NJSC «KazNRTU named after K.I.Satbayev» (hereinafter - Rules) are developed in accordance with the Standard Rules for documentation, document management and the use of electronic document management systems in State and Non-Governmental Organizations, approved by the Order No.236 of the Minister of Culture and Sports of the Republic of Kazakhstan dated August 25, 2023 (hereinafter referred to as the Standard Rules).

2. The Rules establish the procedure for the organization of documentation of management activities with unclassified documents NJSC «KazNRTU named after K.I.Satbayev» (hereinafter - the University or KazNRTU).

3. The composition of the documents used in the structural divisions is determined by the University's nomenclature of cases.

4. The Methodological guidance and general control over compliance with the Rules and the established procedure for working with documents at the University is carried out by the Department of Documentation Support and the State Language Development of KazNRTU (hereinafter – DDS&SLD).

5. The Control over the proper execution of documents and procedures of documentation initiated by structural divisions is entrusted to the heads of structural divisions.

6. When changing the head of a structural division, documents and cases are transferred to the newly appointed head under the Act of acceptance-transfer.

7. Heads of structural divisions are obliged to ensure that employees of the divisions know and comply with these Rules.

8. These Rules do not apply to the procedure for working with official information containing state secrets, official information marked as "For official use only" and information of limited distribution.

2 The procedure for documentation, preparation and execution of documents

9. The preparation of documents, letters and acts of the University is carried out in accordance with the legislation of the Republic of Kazakhstan.

10. Documents are drawn up in the State language, the Russian language is officially used along with Kazakh, and in cases provided for by the Law of the Republic of Kazakhstan "On Languages in the Republic of Kazakhstan", other languages are used as well.

A document in the Kazakh language and an authentic document being created in Russian or another language are printed each on separate forms (separate sheets) and are issued with the same requisites.

11. Letterheads are used when creating and executing a document. The requisites on letterheads are arranged in a certain sequence established by the Standard Rules.

Paper document forms and electronic templates of forms are identical in terms of the composition of the requisites, the order of their arrangement and font types. Electronic templates of document forms are protected from unauthorized changes.

12. The forms of documents shall be produced on white sheets of A4 paper. Each sheet of a document, whether on letterhead or not, must have margins of at least:

20 mm - left; 10 mm - right; 10 mm - top; 10 mm - bottom.

When double-sided printing or copying, the reverse side of the document sheet shall have respectively the following margin sizes at least:

10 mm - left; 20 mm - right; 10 mm - top; 10 mm - bottom.

13. The following types of letterheads are used at the University:

1) A letterhead according to Annex 1 to these Rules;

2) A letterhead of a specific type of documents according to Annex 2 - 4 (order, instruction, minutes) to these Rules;

Documents in electronic format are drawn up in the same way.

Internal documents, with the exception of administrative documents, shall be drawn up on white sheets of paper.

14. Letterheads must be used strictly for their intended purpose and cannot be transferred to other organizations or other persons without appropriate permission of the organization's management.

15. Accounting and issuance of letterheads shall be carried out by DDS&SLD. Letterheads shall be issued under signature to the head of the structural division or the person appointed responsible for the division's record keeping.

The damaged letterheads shall be returned to the DDS&SLD by the responsible person to draw up an Act of destruction.

3 The procedure for execution of the document details

16. The official name includes the name in accordance with the constituent documents with an indication of the organizational and legal form: **«Қ.И.Сәтбаев атындағы қазақ ұлттық техникалық зерттеу университеті» коммерциялық емес акционерлік қоғамы; Некоммерческое акционерное общество «Казахский национальный исследовательский технический университет имени К.И. Сатпаева»; Non-profit joint stock company "Kazakh National Research Technical University named after K.I. Satbayev".**

The abbreviated name of the University are: **«ҚазҰТЗУ» КЕАҚ ; НАО «КазННТУ»; NJSC «KazNRTU».**

The name of the structural division shall be indicated if it is the author of the document and shall be placed below the name of the university.

17. On the letterhead, as well as in the reference data about the organization the following are indicated: postal address, telephone, fax, e-mail address - 050013, Almaty, K.I.Satbayev str. 22, tel. fax: 8(727)292-60-25, <http://kazntu.kz>, allnt@ntu.kz.

18. The name of the document type shall be printed on all documents (except letters) in capital letters in bold.

19. The date of a document is:

- 1) for a letter, reference - the date of its registration;
- 2) for a minute - the date of the meeting (decision-making);
- 3) for an act - the date of the event;
- 4) for other documents (regulations, rules, etc.) - date of approval.

20. Official marks on a document related to its passage and execution within the University must be dated and signed.

The date of the document shall be written in Arabic numerals in the sequence - day of the month, month, year. The day of the month and the month are drawn up in two pairs of Arabic numerals separated by a dot, and the year is drawn up in four Arabic numerals. If the ordinal number of a date or a month consists of one digit, then a zero is placed in front of it (01.01.2017).

The word-digital method of writing the date is used in regulatory legal acts, legal acts, minutes, banking and financial documents, documents relating to the rights and legal interests of citizens, with reference to regulatory legal acts and is executed as follows "January 01, 2017".

21. The registration number of an outgoing document consists of the index of the executing structural division and the serial number of the document in the registration and control form.

22. Reference to the registration number and date of the incoming document is indicated in the reply document.

23. The place of compilation or issue of the document is indicated for all types of documents except letters.

24. The access restriction mark is placed in the upper right corner of the first sheet, with indication the copy number.

25. When addressing a document to an organization, its structural division, their names are written in lowercase letters, using the bold font, in the nominative case, and the position of the person to whom the document is addressed - in the dative case. For example:

**Ministry of Science and Higher Education
of the Republic of Kazakhstan
To the Chairman of the Quality Assurance Committee
in Science and Higher education**

When addressing a document to the head of an organization, its name is included in of the addressee's position title. For example:

**To the Minister of Science and Higher Education
of the Republic of Kazakhstan
Mr. Nurbek S.**

When addressing a document to an individual, the initials of the addressee's first name and last name shall be indicated, followed by the postal address. For example:

**To Ospanova A.B.
45, Shevchenko Str.
Almaty city,
050000**

In correspondence within the organization, it is allowed to specify only the surname and initials of the official in the dative case.

The "addressee" requisite shall be printed in bold 'Times New Roman' font, size 14, located on the right side of the upper part of the document and aligned along the left margin.

If the document is addressed to several homogeneous organizations, they shall be indicated in generally. For example:

To Rectors of Higher educational Institutions in Almaty city
or

**To Heads of Structural Divisions,
Directors of Institutes**

The document shall not contain more than four addressees. The word "Copy" is not indicated before the second, third, or fourth addressees. In case of a large number of addressees, the executor shall compile a document distribution register.

26. The stamp of approval of the document is located in the upper right corner of the first sheet of the document and is executed in lower case letters.

When approving a document by a specific official, the stamp of approval consists of the following elements: the word "Approve" (in lowercase letters, without quotation marks), the name of the position, the signature, the transcript of the signature and date of approval. For example:

Approved
Chairman of the Board - Rector
of the NJSC «KazNRTU named after
K.I.Satbayev»

_____ **M.M. Begentaev**
"___" _____ **20**_____.

When approving a document by a resolution, decision, order, protocol, the approval stamp consists of the word "Approved", the type of administrative document in the objective case, its date and number. For example:

Approved

**by the decision of the
the Academic Council
of NJSC «KazNRTU named
after K.I. Satbayev»
from " ___ " _____ 20__.
No. ___**

27. The resolution shall be placed in the upper part of the first page of the document in a place free of text. The resolution includes the surname and initials of the name of the executor(s), the content of the instruction(s), the deadline for execution, the signature of the author of the resolutions and the date.

On documents that do not require instructions on execution and have standard terms of execution, the resolution shall specify the executor, signature of the author of the resolution, date.

28. In cases when an order is given to two or more persons, the main executor shall be the person specified in the order first, unless otherwise specified in the resolution itself. The document is sent to the first executor, who is obliged to organize the review of the resolution by all other executors and its execution.

The main executor and co-executor may give instructions in the form of a resolution to persons directly subordinate to them. In this case, the resolution is indicated on the document.

29. The Rector and Vice-Rectors of the University may execute the resolution on a separate form (chip) with the indication under the signature of the person who imposed the resolution, the incoming registration number, the date of receipt and a note on the details of the document to which the resolution relates (author, outgoing number and date of the document), as well as other elements of the requisite provided for in this paragraph. Assignments in the form of resolutions sent to other organizations shall be registered in the University's DDS&SLD.

30. The title to the text of the document shall be executed in bold font from the border of the left margin of the document, without hyphenation of words and shall not contain more than 35 characters in each line. There is no dot at the end of the title shall be placed.

The title to the text should be concise, accurately conveying the content of the document. It should be consistent with the name of the type of document and answer the questions: "about what?" ("about whom?"), "what?" ("who?").

The title to the text of a document of less than 10 lines long is not compiled.

31. A mark on the control over the execution of the document shall be indicated by words or stamps "Bakylauga alyndy", "Taken under control" and shall be placed in the upper left part of the first sheet of the document outside the text field.

To certify the that the copy of the document corresponds to the original, below the "Signature" requisite there shall be a certification inscription: "The copy is true" (without quotation marks), the name of the position of the person who certified the copy, personal signature, transcript of the signature (initials of the name and surname) of the signatory, imprint of the seal of the organization (if any), date of certification. A paper copy of an electronic document shall be certified with an indication that the source document is an electronic and a positive result of the procedure for verifying the electronic digital signature of the person who certified the electronic document has been obtained. To certify a copy of an electronic document on paper and to apply information on the result of verification of an electronic digital signature, a stamp (triangular shape) with the text "* * * * * Electrondyk kuzhattyn koshirmesi durys." (positive result of the electronic digital signature verification procedure has been determined) and indication of the fields for the number of sheets and the signature of the certifying person shall be used.

The electronic copy of the document shall be certified by:

1) the executor - in case of attachment of additional documents on paper when creating an electronic document draft;

2) the employee of the Documentation Support Division of a State body - when registering a document received only in hard copy. The authorization to certify a paper copy of an electronic document created through SED shall be granted to employees of the University's Department of Documentation Support.

32. The text of the document shall be in the form of a questionnaire, a table, a coherent text or a combination of these forms.

A coherent text usually consists of two parts. The first part states the reasons, grounds, goals of the document, the second part contains decisions, conclusions, requests, recommendations. In some cases, the first part contains requests, proposals, the second part contains justifications, arguments.

The text may contain one concluding part (e.g., orders - an ordering part without a stating part, letters - a request without an explanation).

The text of the document prepared on the basis of documents of other organizations or previously issued documents shall specify their details.

If the text is significant in its volume, contains several decisions, conclusions, proposals it can be divided into sections, paragraphs.

The items in the document are arranged by importance in a logical sequence, as well as taking into account the chronology of the stages of addressing the issue. Closely related paragraphs of lengthy documents may be combined into chapters. Several chapters of similar content may be grouped into sections, and sections, in turn, may be grouped into parts. Large chapters may be organized into paragraphs, and large sections may be similarly organized into subsections.

Paragraphs may be subdivided into subparagraphs. Within paragraphs and subparagraphs there may be parts distinguished by paragraphs.

A paragraph is a part of the text, which represents a semantic unity and is indented in the first line of the text.

In the text of documents it is not allowed to mark paragraphs with hyphens or other signs.

Each subparagraph, paragraph, as well as paragraphs, chapters, subsections, sections and parts of documents shall be numbered with Arabic numerals with a period (1., 2., 3., etc.).

In a single paragraph document, paragraph numbering is not required.

The numbering of paragraphs, chapters and sections is consecutive.

Subparagraphs are numbered independently for each paragraph.

The numbering of paragraphs in each chapter and the numbering of subsections in each section of the document is also independent, not cross-cutting.

Subparagraph numbers within paragraphs are distinguished by a parenthesis: 1), 2), 3) and following.

In cases where the document is a reply, the text of the letter shall contain a reference to the registration number and date of the incoming document.

The text of the document shall be typed in size 14 Times New Roman font, one line spacing, aligned to the width of the page. In some cases (design of tables, annexes, artist's marks, notes, etc.) font size and line spacing may be different.

When a document is drawn up on two or more sheets, the second and subsequent sheets shall be numbered. The numbers shall be inserted in Arabic numerals in the middle of the upper margin of the sheet without punctuation marks.

33. The number of sheets, copies, language of execution shall be marked as follows:

Annex: on 3 sheets in 1 copy in Kazakh language.

If there are annexes not named in the text, their numbers, names, number of sheets, number of copies and language of execution shall be indicated:

Annexes: 1. Letter of the Ministry of Science and Higher Education of the Republic of Kazakhstan dated 25.09. 2016 № 2-5/551 on 3 sheets in 1 copy in the Kazakh language.

2.

3.

If the annexes are stapled, only the number of copies should be indicated.

If another document is attached to the document, which also has an annex, a note on the presence of the annex shall be executed as follows:

Annex: Letter of the Ministry of Culture and Sports of the Republic of Kazakhstan dated 15.10.2015. № 3-5/151 and its Annex, total on 7 sheets, in Kazakh language.

34. Documents sent to higher organizations, state bodies, representative, executive and judicial authorities shall be signed by the Rector or, by proxy, by the Vice-Rectors. **Letters on letterhead shall be signed only by the Chairman of the Board - Rector and by Vice-Rectors.**

The signature of the document shall include:

1) the name of the position of the person who signed the document, the official name of the structural division or organization (if the document is not on letterhead or the signature is transferred to another sheet);

2) personal signature and signature transcription (first name initial and surname).

The document shall be signed with lightfast ink.

Signing the original document with a facsimile signature is prohibited.

An electronic document shall be certified by the electronic digital signature of the person authorized to sign the document.

When a document is signed by several officials, their signatures shall be placed one below the other in accordance with the descending hierarchy of official positions.

When a document is signed by two or more persons of equal positions, their signatures shall be arranged in alphabetical order of the official names of structural divisions.

A document drawn up by a commission shall specify not the names of positions of the persons signing the document, but their duties within the commission. Documents of collegial bodies of the organization (collegiums, councils and others) shall be signed by the chairman and the secretary (the presiding officer and the person who made the record).

Minutes of staff meetings of the University and its structural divisions shall be signed by the presiding person.

If the official whose signature is prepared on the draft document is absent, the document shall be reissued to the person performing his/her duties. **The preposition "For", handwritten inscription "Deputy" or slashes (fractions) before the name of the position are prohibited.**

The names of the positions of the persons signing the document and deciphering of signatures shall be executed in lowercase letters, in bold font.

35. Documents that remain within the organization are subject to mandatory signing.

36. Approval of a draft document is formalized by a visa on the document (internal approval) or an approval stamp (external approval).

Documents submitted to the Rector for signature shall be signed by the executor, the head of the unit where the draft document was prepared, other interested officials, and, if necessary, by the Vice-Rectors, CFO and legal counsel.

Ordering documents shall be signed on the first copy.

It is allowed to sign administrative documents on the reverse side of the last sheet.

The visa shall include the signature of the signatory, signature deciphering (first name initial, surname), name of the position of the signatory.

Comments, dissenting opinions and additions to the draft document shall be drawn up on a separate sheet of paper, and a corresponding note shall be made in the draft document. Comments shall be reported to the manager signing the document.

37. External approval of the document shall be executed by the approval stamp, which shall be placed in the lower left corner of the last page of the document, shall consist of the word "Approved (a, o, s)" in lower case letters, without quotation marks, as well as the name of the position of the person with whom the document is agreed (including the name of the organization), personal signature and its deciphering, date of agreement.

When a document is agreed upon by two or more persons of equal positions, the approval signs are arranged in alphabetical order of the official names of structural divisions.

When a document is agreed upon by several officials, the approval signs are arranged in accordance with the descending hierarchy of positions.

Internal coordination of the document with structural divisions should be formalized by a coordination sheet.

If coordination is carried out by letter, protocol or other document, the type of document in the nominative case, the name of the organization in the genitive case, date and number (index) of the document shall be indicated in the approval slate. External coordination of the document with several organizations shall be executed by the sheet of coordination in the form according to Annex 5 to these Rules. Approval of the draft document in electronic format shall be carried out in EDMS or through information systems (hereinafter referred to as IS). If the organization has an EDMS, the approval of draft documents is carried out in an automated mode by sending draft documents to the persons designated as approvers and formalizing the results of approval in the EDMS. After completion of the approval procedure (when creating the original document on paper), the approval sheet is printed from the EDMS, attached to the draft document and submitted for signature to the head of the organization (other authorized person). The approval of internal documents, the creation, storage and use of which is carried out via EDMS, is carried out in EDMS in electronic form. When approving draft internal documents created on paper, visas are stamped directly on the draft document - IS.

38. The seal imprint certifies the authenticity of the official's signature on the document. The impression of the seal should be affixed in such a way that it captures part of the title and signature. Documents executed not on letterhead shall be certified by the University seal.

Documents executed on letterhead shall not be stamped, except for cases stipulated by the legislation of the Republic of Kazakhstan. In some cases, at the request of the receiving organization, documents on letterheads may also be stamped.

39. The authenticity of the signature of the Rector, Vice-Rectors, Rector's Chief of Staff, Chief Financial Officer, Managing Directors shall be certified by the University seal, the authenticity of the signature of other employees shall be certified by the seal of the respective structural divisions.

40. To certify the conformity of the document to the original, below the "Signature" requisite, a certification inscription "True copy" (without quotation marks), the name of the position of the person who certified the copy, personal signature and its decipherment, seal impression and date of certification shall be affixed.

41. A note on the executor of the document shall include the abbreviated word "Exec.", surname, first name and patronymic initials, his/her telephone number, including internal telephone number, e-mail address, if any, and shall be located on the front or back side of the last sheet of the document in the lower left-hand corner.

42. A mark on receipt of the document in the organization is put in the lower right corner of the front side of the first sheet of the document and contains the serial number of the incoming document and the date of receipt.

43. On the letterhead of a letter printed by printing method, in the lower right corner, the number of the letterhead shall be stamped, which shall be recorded in a special log of issuance to the executor.

The reproduction and copying of forms by University employees is not permitted.

44. The date of the document, reference to the registration number and date of the incoming document, the title to the text, the text of the document (without a paragraph), a note on the executor of the document are drawn up from the left margin.

A note on the presence of an annex, signature (name of the position of the person who signed the document), a note on approval of the document (stamp of approval), a note on certification of a copy of the document shall be executed from the paragraph.

45. An electronic document consists of two parts: a content part and a requisite part. The content part of an electronic document consists of one or more files in the following formats:

- 1) PDF, PDF/A-1, TIFF, JPEG, JPG - graphic format;
- 2) RTF, DOCX - text format;
- 3) XLS, XLSX - tabular format;
- 4) PPT, PPTX - presentation;
- 5) RAR, ZIP - archived format.

The content part of the electronic document shall have the following requisites:

- 1) official name of the sending organization;
- 2) reference data about the organization (legal address, telephone, fax, e-mail address of the organization (if any));
- 3) name of the document type;
- 4) reference to the registration number and date of the incoming document;
- 5) place of composition or issue of the document;
- 6) addressee;
- 7) document approval stamp (if any);

8) title to the text (if any);

9) text of the document;

10) mark on the executor (surname, initials of the name and phone number of the executor) (in the national security bodies of the Republic of Kazakhstan the initials and phone number of the executor shall be indicated);

11) electronic digital signature.

The requisite part of an electronic document shall be formed by means of drawing up an electronic registration control card (hereinafter - ERCC), which shall use the following requisites:

1) name of the document type;

2) registration number of the document

3) index of the nomenclature of cases;

4) name and version of the software with the help of which the document was created;

5) electronic digital signature;

6) the nature of the question;

7) number of sheets of the main document and annexes;

8) name of the state body-addressee (in the National Security Committee of the Republic of Kazakhstan the names of departments are indicated according to the codes, except for territorial bodies);

9) name of the addressee's position (if any);

10) surname, initials of the addressee's name (if any);

11) surname, initials of the executor's name (in the national security bodies of the Republic of Kazakhstan the initials of the executor shall be indicated);

12) telephone number of the executor;

13) control mark;

14) a note on execution of the document and sending it to the file;

15) mark on presence or absence of original paper document, paper copy of electronic document .

Watermarks are used to ensure protection of the authenticity of an electronic document and unauthorized distribution of service electronic documents. The use of additional requisites is determined depending on the type of document in accordance with these Rules.

46. When exchanging electronic documents between organizations, the list of requisites and the procedure for using an electronic digital signature of an electronic document shall be established by written forms of transactions in accordance with the Civil Code of the Republic of Kazakhstan, compliance with the Law of the Republic of Kazakhstan "On Electronic Document and Electronic Digital Signature", these Rules.

47. Electronic documents are transferred for storage in accordance with the state standard ST RK "Document Management. File format of electronic documents for long-term storage. Part 1: Use of PDF 1.4 (PDF/A-1)".

4 The procedure for preparation and execution of orders, decrees

48. Orders formalize decisions of legal nature, as well as on operational, organizational, personnel (hiring, reassignment, combination, transfer, dismissal; attestation, change of name; encouragement, awards, imposition of disciplinary penalties; remuneration, bonuses, various payments; all types of employee leave; duty in the profile of the main activity; business trips, etc.) educational and other issues of the University.

The order shall be signed by the Chairman of the Board-Rector or the person acting as Chairman of the Board-Rector in case of his/her absence, or by the Vice-Rectors according to the Power of Attorney issued to them.

49. The University shall issue the following orders:

- 1) on the main activity (registered by automatic EDMS, with the letter "p");
- 2) on personnel issues (registered in the HR Department, with the literals: "l/s" - on personnel; "k" - on business trips and vacations);
- 3) on personnel and movement of contingent of students (registered in the Office of the Registrar) with the following literals:
 - with the letter "b" (for bachelors studying both on a grant and on a contractual basis);
 - with the letter "m" (for master's students studying both on a grant and on a contractual basis);
 - with the letter "e" (for doctoral students studying both on a grant and on a contractual basis);
 - with the letter "do" (for those studying on the distance learning form);
 - with the letter "acm" (for students in the framework of the academic mobility program)..

The requisites of the order are:

- 1) the logo of the University;
- 2) the official name of the University;
- 3) name of the document type;
- 4) date of the order;
- 5) registration number of the order;
- 6) place of issuance of the order;
- 7) title to the text;
- 8) text;
- 9) signature;
- 10) a note of approval of the order;
- 11) seal imprint.

50. Draft orders on core activities are prepared by structural divisions on the basis of instructions from the Rector, Vice-Rectors or on an initiative basis.

Ensuring quality preparation of draft orders and their coordination with stakeholders is the responsibility of heads of structural divisions, who prepare the draft order and submit it for review and signing. **Orders are formed and printed in the relevant structural divisions by persons responsible for the office work.**

The draft order is attached to the memo. The memo addressed to the Rector must contain a brief statement of the essence of the order, the rationale for its necessity, as well as information on the basis of which the draft was prepared and with whom it was coordinated.

When developing draft orders, heads of structural divisions should **create a distribution register of the document with mandatory indication of the position and full name of the addressees.**

Objections to the draft order arising during the approval process are set out in a note attached to the draft. If changes of principle are made to the draft order during the approval process, it is finalized and re-consented.

51. Draft orders on personnel and movement of contingent of students, other issues of organization of educational process are prepared by the Office of the Registrar and directorates of institutes according to the distribution of relevant functions between structural divisions.

The following orders shall be prepared by the registrar's office:

- on the transfer of students from course to course;
- on the appointment of scholarships and other payments to students;
- on reinstatement of students after academic leave (based on the submission of the directorate of institutes);
- on granting academic leave (based on the submission of the directorate of institutes);
- on the transfer of students from other universities to KazNRTU (based on the presentation of the directorate of institutes);
- on the expulsion of students (on the basis of representation of the directorate of institutes, on the basis of the application of students);
- on changing the surname of students (based on the submission of the Directorate of Institutes);
- on disciplinary penalties (based on the presentation of the Directorate of Institutes);
- on the reinstatement of students (based on the submission of the Directorate of Institutes).

The following orders shall be prepared by the directorates of the institutes:

- expulsion of bachelors as having completed their studies;
- expulsion of master's and doctoral students as having completed their studies;

- on approval of topics of diploma projects (works), master's and doctoral theses and appointment of supervisors;

- on other issues of the organization of the educational process.

The following orders are issued by the Admissions Committee:

- on the enrollment of bachelors in the first year;

- enrollment of master's and doctoral students in the first year of study.

52. Approval of the draft order shall be carried out by means of signing:

1) by the head of the structural division submitting the draft;

2) supervising official;

3) a lawyer;

4) Chief accountant (in production orders related to the expenditure and receipt of funds);

5) Director of the Institute (in the orders on the movement of the contingent of students).

53. Annexes to orders (estimates), the execution of which requires financial support, shall be coordinated with the supervising Vice-Rector for Science and Corporate Development.

54. Orders should have a title that begins with the preposition "About (About)". For example: On the approval of ..., On the registration of ..., On the establishment of ...

Orders shall be drawn up in the Kazakh and Russian languages, both copies shall have the same legal force.

Orders shall be printed in font 14 on forms according to Annex 2.

The date of the order is the date of its signing.

Orders shall be numbered by sequential numbering within a calendar year.

Orders shall be registered separately in the relevant journals.

To the serial number of the order the corresponding letters shall be added through hyphen.

The unit registering the order shall send a copy of the order to interested structural divisions and officials, other addressees in accordance with the distribution register.

55. The text of an order, as a rule, consists of a stating part and an ordering part. The stating part (preamble) summarizes the goals and objectives, facts or events that served as the basis for issuing the order. If the order is issued on the basis of another document, the name of this document in the genitive case, its author, date, number and title shall be indicated in the stating part. When referring to a normative legal act registered with the justice authorities, the number under which it is registered in the Register of State Registration of Normative Legal Acts shall be additionally indicated.

The preamble in draft orders shall conclude with the word "**I EXECUTE**", shall be written in capital letters, in bold type and may not be moved to another line.

The text of the ordering part is divided into paragraphs, which specify the executors, specific actions and deadlines for the implementation of prescribed actions.

The ordering part shall contain a list of prescribed actions with indication of the executor of each action and deadlines for execution. The ordering part may be divided into paragraphs, subparagraphs and paragraphs.

Paragraphs and subparagraphs are numbered with Arabic numerals.

Paragraphs are not preceded by hyphens or other characters.

Actions of a homogeneous nature may be listed in one paragraph. Structural divisions or specific officials shall be indicated as executors. The last paragraph of the dispositive part may contain information on the official charged with control over the execution of the order.

56. Orders on hiring, transfer, termination of employment contract and other orders on personnel issues of employees may consist only of a dispositive part .

Draft orders on personnel issues are prepared and registered by the HR Service on the basis of relevant documents (employment contracts, applications, reports (memos), submissions, etc.).

Familiarization of employees with the orders on personnel issues is certified by the signature of employees placed below the requisite "mark of approval of the document" or on the reverse side of the order.

57. If the order supplements, abolishes or amends previously issued orders or their separate clauses, this shall be specified in the text.

If the order enacts any documents (instructions, schedules, regulations), they shall be drawn up as an annex to the order. In the upper right corner of such documents, the word "Annex" is written, indicating the name of the ordering document, its date and number.

Pages of the order and annexes are numbered as a single document. When registering, orders are numbered by ordinal numbers within a calendar year.

58. Orders are issued by the Representative of the Board - Rector, vice-rectors, directors, heads of structural divisions .

Orders are issued on issues within the competence of the respective head of the structural division and establish assignments for the structural divisions supervised by the respective official.

Orders are formed and printed in the relevant structural divisions by persons responsible for office work, signed by the persons concerned and issued on the letterhead according to Annex 3.

Orders of the Chairman of the Board, Rector, Vice-Rectors are registered automatically in the EDMS, other orders are registered in the relevant structural divisions.

5 Peculiarities of preparation and execution of the protocol

59. Minutes - a document that records the course of discussion of issues and decision-making at meetings, meetings, conferences and sessions of collegial bodies.

Minutes shall be drawn up on the basis of records made during the meeting (session) of the assembly, submitted abstracts of reports and speeches, references, draft decisions and other materials in the form according to Annex 4 to these Rules.

Minutes drawn up internally and not outside the organization may not be drawn up on letterhead.

The requisites of the minutes are:

- 1) the official name of the University and (or) structural unit;
- 2) name of the document type (for example: Minutes of the Academic Council meeting; Minutes of the Disciplinary Commission meeting; Minutes of the working group meeting, etc.);
- 3) date;
- 4) registration number of the minutes;
- 5) place of issue of the minutes;
- 6) list of those present;
- 7) approval stamp (in some cases);
- 8) agenda;
- 9) title to the text;
- 10) text;
- 11) decisions taken;
- 12) signature.

Minutes may be issued in full or summary form.

The text of full minutes usually consists of two parts: introductory and main.

The introductory part after the title of the minutes shall contain: surnames and initials of the chairman (chairperson) and secretary of the meeting, the list of those present.

The introductory part ends with the agenda, listing the issues in order of importance, with a rapporteur for each agenda item. Each question is numbered with an Arabic numeral and its name begins with the preposition "About", "About", which is printed from the paragraph.

The main part of the minutes consists of sections corresponding to the agenda items. The text of each section follows the scheme: **HAVE HEARD - HAVED - DECIDED**, which are written in capital letters, in bold.

The initials of the name and surname of the rapporteur (the name of the position shall be indicated in the agenda), the main content of reports and speeches shall be placed in the text of the minutes or attached to them, in the latter case a footnote "The text of the speech is attached" shall be made out in the text.

The section EXHIBITORS shall indicate the initials of the names, surnames and, if necessary, positions of the speakers and the content of their speeches in the sequence in which they were delivered at the meeting.

Questions to the rapporteur, speakers and their answers shall be logged as they are received and recorded in the same sequence, with the words "Question", "Answer" not being written, but the initials of the name and surname of the person from whom the question or answer was received shall be indicated.

In the operative part, the decisions taken are recorded using indefinite verbs. The adopted decision shall be printed in full and, if necessary, the voting results shall be given.

The content of the dissenting opinion expressed during the discussion shall be recorded in the text of the minutes after the relevant ruling (decision).

The text of the summary minutes also consists of two parts. The introductory part does not include the agenda. The main part of the summary minutes includes the issues under consideration and the decisions taken on them.

The name of the question is numbered and begins with the preposition "About", "About", printed centered (the beginning and end of each line equally distant from the boundaries of the location area) and underlined with one line below the last line. The initials and surnames of the officials who took the floor during the discussion of the issue shall be indicated below the line. The decision taken on the issue shall then be indicated.

The title of the minutes includes an indication of the type of activity and the name of the collegial body in the genitive case (minutes of a staff meeting, board meeting, etc.).

The minutes are signed by the chairperson of the meeting and the secretary (unless otherwise established by the requirements of the legislation of the Republic of Kazakhstan or internal regulatory documents of KazNRTU). The date of the minutes is the date of the meeting.

Minutes shall be assigned sequential numbers within a recordkeeping year separately for each group of minutes.

Copies of the minutes or adopted decisions in the form of extracts from the minutes shall be distributed to interested organizations and officials in accordance with the distribution index. The distribution index shall be prepared and signed by the responsible executive of the division that prepared the consideration of the issue and shall be approved by the head of the structural division. Copies of minutes and extracts therefrom shall be certified by the seal of the University or relevant structural divisions.

6 The procedure for preparation and execution of the Act

60. The act shall be drawn up in accordance with the sample act according to Annex 5 to this Regulation. An act drawn up internally and not outside the organization may not be drawn up on letterhead.

The content of the act is the information confirming the established facts or events. The act is drawn up by several persons confirming this fact (delivery-acceptance (works, material assets, documents), inspection (state of safety, fire safety, working conditions), results of activity, testing (samples, systems, technologies), allocation to destruction (tangible assets, documents), transfer, violation of established rules of revision of inventory, investigation of accidents, accidents, liquidation of the organization, specifying (regulating), technical (work performed, failure, inspection, elimination of failure, reconciliation, services provided, work performed, and so on).

The requisites of the act are:

- 1) official name of the University and (or) structural unit;
- 2) name of the type of document;
- 3) date;
- 4) registration number (index) of the act;
- 5) place of issue of the act;
- 6) stamp of approval (in some cases);
- 7) title to the text;
- 8) text;
- 9) signature.

The text of the act consists of two parts: introduction, statement part.

The introduction states the basis for the act, lists the authors and, if necessary, the persons present.

The statement part of the act states - the essence and nature of the work performed, the facts established, the relevant data are given.

The report may contain conclusions, recommendations and actions to be taken. At the end of the text, before the signatures, information on the number of copies of the act and their location shall be placed. The number of copies of the act is followed by a note on the presence of an annex to the act (if any).

The act shall be signed by the chairman and members of the commission, or by the person(s) who drew up the act. The names of persons signing the act shall be arranged in alphabetical order, their positions shall not be indicated.

Familiarization of persons with the act is made against signature. A person who disagrees with the content of the act must sign it with a reservation about his disagreement. A dissenting opinion of a commission member should be drawn up on a separate sheet and attached to the act.

7 The procedure for preparation and execution of the certificate/information

61. The certificate is a description and confirmation of certain facts or events.

Certificates sent outside the University are made on the letterhead (Annex 1), with the exception of certificates issued to students for submission to the State Center for Pension Payments, which have a form approved by the state body. The internal certificate shall be drawn up on white sheets of paper without the use of letterhead. The requisites of the certificate are:

- 1) official name of the University and (or) structural unit;
- 2) name of the type of document;
- 3) date;
- 4) registration number (index) of the act;
- 5) place of issue of the act;
- 6) stamp of approval (in some cases);
- 7) title to the text;
- 8) text;
- 9) signature.

The text of the reference may consist of several sections, contain tables, explanations, references, and have annexes.

The texts of certificates issued to citizens on confirmation of the place of work, position, salary and others must begin with the indication in the nominative case of the surname, first name, patronymic of the person about whom the information is reported.

At the end of the text or in the upper right corner, the organization to which the certificate is submitted shall be indicated.

The following turns should not be used in the text of such a certificate: "this certificate", "really lives (studies, works)".

If the certificate is signed by the executor, the requisite "mark on the executor" shall not be indicated.

8 The procedure for preparing and executing the letter

62. The content of letters can be requests, notifications, agreements, claims (complaints), tasks, messages, reminders, responses, requests, feedback, suggestions (offer), remarks, notices, invitations, confirmations and others.

Letters from the University shall be prepared on a letterhead in the form as per Annexure 1 to these Regulations.

In addition to the requisites included in the form, when writing a letter, the following requisites are drawn up: addressee, title, text, a note on the presence of annexes (if any), signature, a note on the executor of the document.

Deadlines for the preparation of reply letters are set by resolution of the Rector or Vice-Rectors of the University on the basis of available deadlines for the fulfillment of assignments, requests or by decision of the author of the resolution, as well as in accordance with the tasks specified in the resolution.

The deadlines for preparation of initiative letters are determined by the heads of the University or structural divisions.

As a rule, the text of a letter has one or two semantic parts.

A letter consisting of one part is a request without an explanation, a reminder without a preamble, a message without a reason and others.

If the text of the letter consists of two parts: a stating and a concluding part, the first part shall state the reason, grounds or justification for the drafting of the letter, provide references to the documents that are the basis for the preparation of the letter. The second part, beginning with a paragraph, contains conclusions, suggestions, requests, solutions.

Reverse text constructions (conclusion - statement) are possible in rejection letters.

The following forms of statement are used in letters:

- 1) from the first person plural ("we ask to provide", "we send to you");
- 2) in the first person singular ("please send", "I consider it necessary");
- 3) from the third person singular ("the University has no objection").

A note about the executor shall be made on the front side of the last sheet under the signature, closer to the bottom margin of the document or on the back of the letter. It is allowed to print a note about the executor in a smaller font size (10,11).

No changes or additions may be made to signed letters.

9 The document management procedure, requirements for document flow arrangement

63. The movement of documents in the organization from the moment of their creation or receipt to the completion of their execution, dispatch, formation of the file and submission to the University Archive forms the document turnover.

The volume of document turnover is determined by the total number of incoming, outgoing, internal documents and their copies for a month, quarter, year.

The document itself is taken as the unit of accounting for the number of documents, not including copies.

10 The procedure for processing incoming documents

64. Initial processing of incoming documents consists in checking the correctness of delivery and integrity of attachments, recording the fact of receipt of documents at the University and preparing documents for transfer to their destination.

The document envelope may be delivered through a post office, courier, by hand by an individual, by facsimile or by e-mail.

In cases where correspondence is received by an employee of the University while receiving visitors in person or visiting other organizations, he or she must forward it to DDS&SLD for processing in the appropriate manner no later than the following day.

When accepting documents, the DDS&SLD employee opens the envelope, checks the correctness of its delivery to the destination and the integrity of the packaging. If the document is found to be incomplete or damaged, appropriate marks shall be made in the lower margin of the last sheet of the document and an arbitrary act in three copies shall be drawn up. One copy is sent to the sender, the second copy remains at the DDS&SLD, and the third copy is given to the executor of the document. Envelopes are not destroyed in cases when only from them it is possible to determine the sender's address, the date of sending and receipt of the document, as well as when personal documents are received.

Envelopes marked "Personal" are handed over to their destination without opening. Erroneously delivered correspondence is returned to the post office.

The documents received (registered and non-registered) bear the University's registration stamp with the date of receipt.

65. The primary purpose of the preliminary review of incoming documents is to categorize them into those that require mandatory management review and those that do not. Documents that do not require mandatory review by the management are sent directly to structural divisions or responsible executors.

66. Documents received from the Administration of the President of the Republic of Kazakhstan, the Parliament of the Republic of Kazakhstan, the Office of the Prime Minister of the Republic of Kazakhstan, central and local state bodies, superior organization, appeals of individuals and legal entities are subject to mandatory review by the management.

67. Appeals of persons (proposals, applications, complaints, feedback and requests) are taken into account centrally and registered on the day of their receipt by the University. Written appeals received by officials during personal reception of persons are also subject to registration in the DDS&SLD of the University, separately from the general documents.

The registration number of the appeal of an individual consists of the initial letter of the author's surname, the serial number and the letter index "FL".

The registration number of the appeal of a legal entity consists of the initial letter of the surname of the official who signed the appeal, the serial number and the letter index "UL".

The registration number of an anonymous appeal consists of the letter index "ANM" and a serial number.

68. When a repeated application is received within a calendar year, the registration number of the initial application is stamped with the indication "second", "third" and so on, and the number of the first document is indicated in the registration and control forms (RCF). In the upper right corner of the first sheet of the repeated application and in the RCF is marked "Repeatedly". Materials of consideration of previous appeals shall be attached to repeated appeals.

A repeated appeal is considered to be an appeal received from the same person on the same issue at least twice, in which the decision taken on the previous appeal is appealed, it is reported about untimely consideration of the previously sent appeal, if from the time of its receipt the established term of consideration has expired, but the applicant has not received the answer, it is indicated on other shortcomings, admitted during consideration and resolution of the previous appeal.

Answers to the appeals received through the information analytical system "Electronic Appeals" are given through this system, answers received by hand and by postal service are sent in accordance with the Law of the Republic of Kazakhstan "On Post".

The received telegrams are received against a receipt with the date and time of receipt, registered, and then passed on to the management for consideration and execution. The text of the received telephonogram shall be recorded (typed) by the addressee, registered and promptly transmitted to the head to whom it is addressed. When receiving a telephonogram, the following details shall be drawn up: text, sender, name of the document type, date, number, name of the position, initials of the name and surname of the person who signed the document. In addition, the positions and names of the persons who transmitted and received the telephonogram, the hours and minutes of acceptance and transmission shall be indicated.

69. Appeals of one and the same person on one and the same issue, sent to different addressees and received for consideration in one organization, shall be accounted under the registration number of the first appeal with the addition of a serial number inserted through a slash (fraction).

70. During the preliminary review of documents, they are sorted into registerable and non-registerable documents. The list of non-registerable documents is given in Appendix 6.

Unregistered documents are transferred to the appropriate structural divisions of the organization.

71. Registered documents after their registration in the RCF are submitted to the Chairman of the Board-Rector, Vice-Rectors for decision making.

In case of necessity of urgent execution of the received document, it is allowed to familiarize the executor with its content before the document is considered by the University management.

72. The documents reviewed by the University management are returned to DDS&SLD, where the contents of resolutions are entered into the RCF and the documents are transferred to the executors.

A document, the execution of which is assigned to several structural divisions, shall be transferred to them simultaneously in copies with a corresponding mark in the RCF. The executor is the first person specified in the resolution.

73. Upon receipt of an electronic document, the DDS&SLD service shall carry out the procedure for verifying the authenticity of the electronic digital signature using the public key of the electronic digital signature and encryption systems that implement the process of formation and verification of the electronic digital signature (electronic digital signature means), as well as those that have undergone the procedure of confirmation of conformity in accordance with the procedure established by the legislation of the Republic of Kazakhstan in the field of technical regulation.

74. In case of detection of inconsistency of the electronic digital signature after the electronic digital signature verification procedure with the use of electronic digital signature means (hereinafter - negative result of the electronic digital signature authentication), the electronic document shall be considered unreceived, about which the addressee of the electronic document shall send a notification-receipt, which is an electronic document marked "not accepted", signed by an employee of DDS&SLD, indicating the reason for non-receipt of the document. Upon receipt of confirmation (establishment) of the authenticity of the electronic digital signature using electronic digital signature means after the electronic digital signature verification procedure (hereinafter - positive result of authentication, electronic digital signature), the electronic document shall be subject to primary processing.

75. The primary processing of an electronic document shall include verification of: 1) the validity of the electronic digital signature registration certificates and the public key of the electronic digital signature, using which the electronic document was certified; 2) all details of the electronic document; 3) the authorization status of all persons whose electronic digital signatures were used to certify the electronic document.

76. Registration of an electronic document by the DORGYA department shall be carried out when establishing the belonging of the electronic document to the sender and the integrity of the content by carrying out the procedure of verification of the electronic digital signature and receiving a positive result of verification of the electronic digital signature of the official of the state body

(organization) used in certifying electronic documents issued by it within its authority.

77. Registered documents after their registration in RCF and ERCC are submitted for consideration to the management of the organization or structural division (official) for decision making. In case of necessity of urgent execution of the received document it is allowed to familiarize the executor with its content before the document is considered by the management of the organization (structural division).

78. When an incoming document sent only on paper is received, DDS&SLD reproduces in electronic digital form (scans) the received document, all its attachments into one electronic file of the same format and certifies it with the electronic digital signature of an employee. Documents received through the official e-mail of the organization, if they have requisites, are subject to registration.

79. Receipt and registration of an electronic document shall be confirmed in the EDMS by transmission to the sender of a notification-receipt - an electronic document containing data on actual delivery and the following marks (hereinafter - notification-receipt): 1) data on the sender of the notification-receipt; 2) date, time of receipt of the electronic document; 3) date of registration and registration number assigned in the EDMS of the addressee of the electronic document; 4) electronic digital signature of the employee of the DSS service of the state body (organization) - addressee (after registration of the electronic document); 5) data on the responsible executor of the state body (organization) - addressee. The state body (organization)-addressee ensures relevance and reliability of data on the responsible executor of the electronic document.

80. An electronic document shall be deemed not delivered to the addressee if the sender has not received a notification-receipt on receipt of the electronic document.

81. If the notification-receipt is not received by the sender within one business day after sending the electronic document, the sender shall notify the addressee of the lack of confirmation of receipt of the electronic document by other means of communication. In case of problems with receipt of the notification-receipt for more than one working day from the addressee of the electronic document, the Owner of the EDMS Center after prior notification of the addressee of the electronic document, reserves the right to block the possibility of exchange of electronic documents with EDMS participants until the problems are completely eliminated. When a paper document is received that has already been registered in the electronic document format and is being processed, the paper document is marked as received by the DPU service. In the previously created electronic registration card of this document, a note is made about the availability of a paper document.

82. Documents reviewed by the management of the organization (structural division) are returned to DDS&SLD, where the content of resolutions is entered into RCF and ERCC, and the documents are transferred to the executors. The

document, execution of which is assigned to subordinate (-subordinate) organizations (-subordinate) and (or) several structural divisions, is transferred to them simultaneously in copies with a corresponding mark in the RCF and ERCC. The original shall be transmitted to the executive indicated first in the resolution, unless otherwise specified in the resolution itself. Electronic documents shall be transmitted to executors via EDMS.

83. The text of the received telephonogram shall be recorded (typed) by the addressee, registered and promptly transmitted to the head of the University to whom it is addressed.

When receiving a telephonogram, in addition to the text, it is necessary to draw up the following details: sender, name of the document type (telephonogram), date, index, name of the position, initials and surname of the person who signed the document. In addition, indicate the positions and names of the persons who transmitted and received the telephonogram, the hours and minutes of acceptance and transmission.

11 The procedure for processing outgoing documents

84. Formalized documents for shipment are transferred by structural divisions to DDS&SLD.

The DDS&SLD is obliged to check the correctness of their execution, the presence of annexes specified in the main document. Incorrectly executed documents shall be returned to the executors.

Signed documents are registered and sent to the addressee(s) no later than the next working day, telegrams and telefaxes - immediately.

85. Before sending an electronic document, the correctness of its execution (availability of electronic document details) is checked, including the procedure for verification of electronic digital signature, verification of the positive result of electronic digital signature and registration certificates is performed. The content of the electronic document corresponds to the original paper document.

The EDMS allows automatic assignment of the document registration number and date when signing an electronic document with an EDS.

In case the document has more than 5 addressees, the structural division that prepared the document shall also submit to DDS&SLD the document distribution register in paper and electronic form.

86. If a document sent to another organization is to be returned, then in the upper right corner of the first page of the document on the field free of text a stamp or a note of return, the same note is made in RCF

12 The procedure for internal documents passage

87. Internal documents are executed and enforced within the University. The passage of internal documents at the stages of their preparation and execution should correspond to the passage of sent documents, and at the stage of execution - to incoming documents.

The transfer of internal documents (memos, briefs, summaries, reports, etc.) between structural divisions is performed by officials responsible for record keeping in structural divisions.

88. Each structural division maintains an Outgoing Correspondence Registration Journal and an Incoming Correspondence Registration Journal, in which all outgoing and incoming documents are registered on a mandatory basis.

89. Memoranda addressed to the Rector and Vice-Rectors are registered automatically in EDMS.

90. Those responsible for records management in structural divisions are obliged to constantly check the EDMS.

13 The procedure for documents registration

91. All documents that require accounting and execution, use for information and reference purposes are subject to registration .

Letters are registered by DDS&SLD: the registration number, date of registration and initial data are entered into the registration record form.

92. Registration of documents is carried out by the following structural divisions:

Name of the document	Place of registration	Storage location
Resolutions and minutes of meetings of the Board of Directors	Corporate Secretary	Corporate Secretary
Decisions of the Joint Academic Council and minutes of meetings	Scientific Secretary	Scientific Secretary
Orders on main activities (acceptance-transfer of material assets)	DDS&SLD	DDS&SLD
Incoming and outgoing emails	DDS&SLD	Division executer
Orders on the personnel structure of employees	HR service	HR service
Travel orders	HR service	HR service
Vacation orders	HR service	HR service
Orders on the personnel of students (bachelors, masters and doctoral students)	Registrar's office	Registrar's office
Orders of the Rector, Vice-Rectors, Director	Structural divisions	Structural division
Orders of the heads of structural divisions	Structural divisions	Structural division
Minutes of meetings of commissions, committees	Secretaries of commissions,	Secretaries of commissions,

	committees	committees
Powers of attorney to represent the university	DDS&SLD	DDS&SLD - copies
Powers of attorney for the release/receipt of inventories	Department of Finance and Accounting	Department of Finance and Accounting
Agreements for the provision of educational services under bachelor's, master's and doctoral programs	Department of Finance and Accounting	Department of Finance and Accounting
Material liability agreements liability	Department of Finance and Accounting	Department of Finance and Accounting
Contracts for purchase / supply of goods, works, services	Department of Finance and Accounting	Department of Finance and Accounting
Contracts for accommodation in dormitories	Department of Student Affairs	Department of Student Affairs
Memorandums, agreements, other civil law contracts	Department of Finance and Accounting	Department of Finance and Accounting
Employment contracts	HR service	HR service
Certificates of employment	HR service	-
Travel authorization cards	HR service	-
Archival references	DDS&SLD (Archive)	DDS&SLD (Archive) - копии
Case inventories	DDS&SLD (Archive)	DDS&SLD (Archive) - копии
Personal files of students	Registrar's office	Registrar's office
Certificates from the place of study trainees	Дирекции институтов	-
Information about academic progress students	Registrar's office	-
Academic certificates students	Registrar's office	-
Diplomas on postgraduate education	Institute directorates	-

Warrant for the right to reside in dormitories	Department of Student Affairs	In the respective dormitories
Reader's tickets	Research Library	-

93. The University shall establish the following composition of information on the document subject to mandatory registration:

- 1) name of the organization (author or correspondent);
- 2) name of the document type;
- 3) date and registration number of the received document;
- 4) title to the text (brief content of the document);
- 5) resolution (executor, content of the assignment, author, date);
- 6) deadline for execution of the document;
- 7) signature of the executor on receipt of the document;
- 8) a note on execution of the document and sending it to the file.

14 The documents execution control

94. Document execution control includes setting a document for control, regulating the execution progress, removing the executed document from control, sending the executed document to the file, recording, summarizing and analyzing the progress and results of document execution, informing the management about the status of document execution.

Information on execution of documents subject to control and information on execution of appeals of individuals and legal entities shall be filled in according to the form established by the Model Rules.

95. All registered documents requiring execution are subject to control, including documents from previous years, which due to various reasons were not executed and their execution was postponed to the current year. In these cases, re-registration of documents is not carried out and the RCF indicates the newly established deadlines.

96. Control over the execution of documents on the substance of the issue is entrusted to the heads of structural divisions or officials.

Control over the deadlines for execution of documents, the deadlines for consideration of appeals of individuals and legal entities is carried out by the DDS&SLD of the University.

97. When organizing execution control, registration and control files and logbooks are used. The control file is systematized by document due dates, by executors, and by groups of documents.

In case of insignificant volumes of controlled documents, control is carried out by making the necessary marks in the registration logs.

98. The document is removed from control by the manager who put it under control, or on his/her instruction - DDS&SLD.

15 The accounting and storage of seals, stamps and letterheads

99. Accounting, use, storage and destruction of printed materials, seals, stamps subject to protection, and means of document protection are carried out by officials appointed by orders (instructions) of the Rector of the University.

100. The University has one seal depicting the University logo.

If necessary, structural divisions of the University may have seals (stamps).

101. Seals and stamps shall be recorded at DDS&SLD in the registration record forms specified in the Model Rules.

102. Production of a seal or stamp is carried out through the State Procurement Department of the University at the request of the head of the structural unit. Upon receipt of a new seal (stamp), the Division for Work with Suppliers of the Department of Finance and Accounting shall notify DDS&SLD and issue the seal (stamp) to the materially responsible person of the relevant structural division. DDS&SLD registers new seals (stamps) in the Register of Seals and Stamps and keeps further records of them.

In case of loss of a seal (stamp), the materially responsible person of the respective structural division must obligatory notify the DDS&SLD about it.

103. Records of issued forms are kept at DDS&SLD in the journal of registration and issuance of printed and blank products subject to protection, in the form established by the Standard Rules.

This register shall be kept for each type of printed and blanket production to be protected.

Blanks shall be issued against signature in the appropriate registration record forms.

Blanks of chips are not subject to special accounting.

104. Duplication and copying of blank forms by means of rapid printing is not allowed.

105. Copies of completed forms for mailing shall bear a copy number and the University seal.

106. The titles of the logbooks shall be included in the organization's nomenclature. The sheets of the journals are numbered, bound and sealed.

107. The transfer of unused letterheads, seals, stamps to another official shall be formalized by an act of their acceptance-transfer, drawn up according to the established form.

108. The seals, stamps and letterhead of the University shall be kept in sealed safes or metal cabinets.

109. Destruction of seals, stamps and spoiled letterheads is carried out by drawing up an act on allocation for destruction of spoiled copies of printed materials, seals and stamps according to the established form and making appropriate marks in the registers of accounting and issuance of seals, stamps and letterheads.

110. In case of reorganization or liquidation of the organization or structural division of the organization, destruction of seals, stamps of the division shall be carried out with drawing up of acts according to the established form and making marks in the relevant registers of accounting and issuing.

111. The availability of copies of letterheads, seals and stamps shall be checked at least once a year by a commission established by order (instruction) of the Chairman of the Board-Rector.

Notes on the results of inspections shall be made in the registers of registration and issuance according to the forms established by the Model Rules.

In case of detection of violations, the commission conducts an official investigation, the results of which are formalized in an act and brought to the attention of the Chairman of the Board - Rector of the University for taking measures in accordance with the legislation of the Republic of Kazakhstan.

112. In case of loss of the seal (stamp), all necessary measures are taken to search for it; in case of negative result of the search, an arbitrary act is drawn up, approved by the Chairman of the Board-Rector.

16 The procedure for compilation of the nomenclature of cases, formation and storage of cases

113. The nomenclature of cases is intended for grouping executed documents into cases, systematization and accounting of cases, determination of their retention periods and is the basis for drawing up inventories of cases of permanent and temporary (over 10 years) storage, as well as for accounting of cases of temporary (up to 10 years inclusive) storage.

All documents created at the University and received by the University shall be included in the nomenclature. Electronic documents and databases are included in the nomenclature on general grounds.

The nomenclature records the form of the document - electronic with an indication of the medium, or paper.

114. When compiling the nomenclature of cases are guided by constituent documents, regulations on structural divisions, job descriptions of employees, standard, industry (departmental) lists of documents with storage periods, standard (sample) nomenclature of cases, structure (staffing table), plans and reports on work, study the types, composition and content of documents formed in the activities of the organization.

115. The University's nomenclature is prepared by DDS&SLD according to the form established by the Standard Rules on the basis of the nomenclatures of structural divisions submitted by the respective divisions of the University.

116. A newly created unit is obliged to develop a nomenclature of affairs in Russian and the state language of the unit within a month and submit it to the DDS&SLD of the University.

117. The University's case nomenclature is signed by the Head of DDS&SLD, agreed with the expert commission of the University (hereinafter - EC), with the expert verification commission of the State Archive (hereinafter - EPC), to which the documents are transferred for permanent storage, and approved (not later than the end of the current year) by the Chairman of the Board - Rector, and entered into the EDMS. The Nomenclature of Affairs shall be coordinated with the state archival institution at least once every 5 years, unless there have been conceptual changes in the functions and structure of the University.

The nomenclature shall be printed in the required number of copies. One copy of the approved nomenclature shall be kept in the State Archives, with which it was coordinated.

At the end of each year the nomenclature of cases is specified, approved by the Chairman of the Board - Rector of the University and put into effect from January 01 of the next business year.

118. The titles of the sections of the nomenclature of cases are the names of structural divisions, which are located in accordance with the approved structure (staffing table) of the University.

17 The order for registration of the nomenclature of cases

The order for registration of the nomenclature of cases

119. The nomenclature shall include case headings reflecting all documented areas of the University's work, including personal files, case inventories, registration and control forms, reference, thematic and other filing cabinets.

Printed publications shall not be included in the nomenclature of cases.

120. Column 1 of the nomenclature shall contain the indexes of each case included in the nomenclature. The case index consists of the numerical designation of the structural division and the serial number of the case title according to the nomenclature within the structural division. The elements of the index are separated from each other by a hyphen.

In the nomenclature of cases it is recommended to keep the order of homogeneous cases within different structural divisions; for transient cases the index is retained.

121. Column 2 of the nomenclature shall include titles of cases (volumes, parts).

The requirements for the title are set out in the Model Rules.

122. Case headings within sections of the nomenclature shall be arranged in accordance with the degree of importance of the documents composing the cases and their interrelationship.

Case headings may be refined in the process of forming and finalizing cases. If new documented areas of work arise during the year that are not foreseen in the case, they are additionally added to the nomenclature.

123. Column 3 shall be filled in after the end of the calendar year.

124. Column 4 shall indicate the retention period of the case with reference to the numbers of items (articles) of the standard or departmental (branch) list of documents with indication of their retention period, in their absence - to the standard (exemplary) nomenclature of cases.

125. Column 5 of the DDS&SLD indicates the names of the list of documents, nomenclature of cases used in determining the retention period of the cases, and makes a note of passing cases, especially valuable documents and cases, transfer of cases to another structural unit or organization for their continuation, to the University Archives, the presence of electronic copies of documents, the type and place of storage of their media.

126. At the end of the year, at the end of the nomenclature of cases, a final record of the number of cases (volumes) is made.

Information on the number of cases filed shall be reported to the University Archives.

18 The procedure for cases formation

127. Executed documents shall be organized by the executor into files in accordance with the nomenclature of cases. Formation of cases outside the nomenclature of cases is not allowed.

DDS&SLD shall control the formation of cases.

The following general requirements shall be observed when compiling files:

1) only executed, properly executed documents in accordance with the titles of cases according to the nomenclature shall be placed in the files;

2) all documents related to the resolution of one issue shall be placed together.

Annexes to documents, irrespective of the date of their approval or composition, shall be attached to the documents to which they relate.

Annexes exceeding 180 sheets shall constitute a separate volume, which shall be noted in the document.

3) versions of the document in the state, Russian and other languages are grouped together;

4) documents of one calendar year are grouped into files; exceptions are: documents of educational institutions, which are formed for an academic year; transition files, court files, personal files, which are formed during the entire period of the person's work in the organization;

5) documents of permanent and temporary retention periods shall be separately grouped into files;

6) telegrams, photocopies of facsimiles, telephonograms shall be placed in the files on general grounds in accordance with the nomenclature of files;

7) documents subject to return, drafts and redundant copies shall not be placed in the case file;

8) the volume of the case file shall not exceed 180 sheets;

9) if there are several volumes (parts) in the case file, the number (index) and title of the case file shall be placed on each volume with the addition of numbering of volumes (parts), in the last volume (part) the word "last" ("last") shall be added.

128. Documents shall be arranged in accordance with the sequence of the issue resolution (chronological order by the issues to be resolved), or an initiative document shall be placed at the beginning of the case, followed by the document with the final resolution of the issue, then other documents covering the course of the issue resolution.

129. All documents of reporting and informational nature on execution of acts and instructions of superior organizations, in which the organization was the main executor, are filed in separate files on their execution. In other cases, these documents are filed in the correspondence file for the current year.

130. Ordering documents are grouped into files by type and chronology with their annexes. Instructions, rules, regulations, statutes approved by regulatory

documents are annexes to them and are grouped together with the said documents. If they are approved as an independent document, they shall be grouped into separate files.

131. Orders (orders) on the main activities, orders (orders) on personal composition shall be formed in separate files.

132. Minutes in the file shall be arranged in chronological order by number together with documents to them.

133. Correspondence is grouped for a business year and organized chronologically, with the reply document placed after the request document. In case of resumption of correspondence on a certain issue started in the previous year, the documents are included in the file of the current year with indication of the index of the file of the previous year.

134. Documents in personal files are arranged in chronological order according to their receipt.

135. Personal payroll accounts shall be formed into separate files and shall be arranged in them in alphabetical order of employees' surnames.

136. Employment contracts shall be formed as part of personal files or separately in alphabetical order of employees' surnames.

137. Lists of individuals and documents confirming the transfer of mandatory pension contributions to accumulative pension funds shall be formed in one file.

Lists of individuals and documents confirming the transfer of social contributions shall be formed in one file.

138. Plans, reports, estimates, schedules, limits and staff schedules shall be filed in the appropriate files of the year for which or for which they are made, regardless of the date of their preparation, approval or receipt.

139. Appeals of individuals and legal entities are formed into cases on issues, directions of the University's activity.

140. Electronic documents and databases are formed into files (folders) in accordance with the case nomenclature, separately from paper documents, on a dedicated storage medium. Electronic databases are formed in separate files, the name of the file corresponds to the name of the database.

19 The order for cases registration

141. Cases are to be finalized when they are opened and at the end of the year. Finalization of a case is the preparation of the case for storage. Case processing includes a set of works on description of the case on the cover, stitching, numbering of sheets and drawing up a certification inscription. Case processing is carried out by the person responsible for record keeping of the structural division.

142. Depending on the retention period, files are fully or partially finalized. Permanent, temporary (over 10 years) and personnel files shall be subject to full finalization.

The complete finalization of the file includes: drawing up the details of the cover of the file; numbering the sheets in the file; drawing up the file header sheet and the internal inventory of the documents of the file according to the forms established by the Model Rules; filing or binding the file; making the necessary clarifications in the details of the cover of the file.

143. The following requisites shall be indicated on the cover of the case of permanent, temporary (over 10 years) storage and on personal composition:

- 1) name of the organization; name of the structural division;
- 2) name of the locality where the organization is stationed; case number (index);
- 3) title of the case; date of the case (volume, part); number of sheets in the case; retention period of the case;
- 4) archival cipher of the case.

The requisites to be placed on the cover of the case shall be drawn up in accordance with the procedure established by the Model Rules.

144. In order to ensure safety and fix the order of documents included in the file, all its sheets, including resolutions drawn up on a separate sheet (chips), except for the sheet of the certifier and the internal inventory, shall be numbered. Sheets shall be numbered with a black, soft, graphite pencil, with numbers in the upper right corner of the sheet.

The order of numbering the sheets of the case file is established by the Model Rules.

145. After the numbering of the sheets is completed, a certification inscription shall be prepared and signed by its author, indicating the signature, position and date of preparation.

All subsequent changes in the composition and condition of the file (damage, removal of documents) shall be noted in the record-holder sheet with reference to the relevant act.

The number of sheets in the file shall be indicated on the cover of the file in accordance with the summary caption.

146. The requisite "case retention period" shall be transferred to the cover of the case from the corresponding nomenclature of cases after checking it against the

retention period specified in the lists of documents with the indication of retention periods.

147. On permanent storage files it is written: "Keep permanently."

148. The archival case cipher (consisting of the fonds number, inventory number and case number according to the inventory) on the covers of the cases of permanent storage is affixed in the University Archives only after these cases are included in the sections of the consolidated inventories approved by the EPC (before that it is affixed in pencil).

149. At the end of the year, the inscriptions on the covers of permanent and temporary (over 10 years) storage cases are updated: in case of inconsistency of the title of the cases on the cover with the content of the filed documents, changes and additions are made to the title of the case.

150. An internal inventory of documents is prepared to record documents of certain categories of permanent and temporary storage periods (more than 10 years), the recording of which is caused by the specific nature of this documentation (especially valuable, personal files and others).

The internal inventory of documents of a case is also drawn up for permanent and temporary (over 10 years) storage cases, if they are formed by types of documents, the titles of which do not disclose the specific content of the documents.

151. The documents composing the file shall be filed with at least four punctures in a hard cardboard cover or bound, taking into account that the text of all documents can be read freely. The first and last puncture shall be made at a distance of one centimeter from the upper (lower) border of the sheet. When preparing files for filing (binding), metal fasteners (pins, paper clips, etc.) shall be removed from documents.

152. Temporary (up to 10 years inclusive) files may be kept in binders, documents in the file may not be re-systematized, the sheets of the file may not be numbered, and attestation notations may not be prepared.

20 The procedure for operational storage of documents

153. After completion in office work, the documents shall be kept in the files at the place of their formation for one year before transfer to the Archive of the organization.

154. Heads of structural divisions of the University shall ensure the safety of documents and files. The files shall be kept in cabinets and safes in work offices or specially designated for this purpose rooms.

155. Cases shall be arranged in accordance with the approved nomenclature of cases of the University, their indexes shall be indicated on the spines of the covers.

156. The preservation of documents after submission to the University Archives shall be ensured by its employees.

157. Preservation of electronic documents on the server is ensured by the Department of Information Technology.

158. The issuance of files to external organizations is made on the basis of a written request and only with the permission of the Rector of the University.

Issuance of files to other divisions of the University is made with the permission of the supervising Vice-Rector, and within the structural unit - against receipt.

A substitute file card shall be kept for the issued file. It shall indicate the structural unit, case index, date of issue, to whom the case was issued, date of its return, and shall contain boxes for receipts in receipt and acceptance of the file.

159. Withdrawal of documents from files is made in accordance with the legislation of the Republic of Kazakhstan, with copies of documents and an act (protocol) on withdrawal of originals being placed in the file.

21 The procedure for transferring files to the University Archives

160. The transfer of files from structural divisions to the University Archives shall be carried out according to the inventories of files compiled based on the results of the examination of the value of documents and files completed in record keeping. Temporary (up to 10 years inclusive) documents are transferred to the University Archives according to the nomenclature of cases.

161. Inventories shall be prepared separately for permanent, temporary (over 10 years) and personnel files in the form established by the Standard Rules.

162. The columns of the inventory of cases shall be filled in exactly in accordance with the information on the covers of the cases. When listing consecutive cases with identical titles, the title of the first case shall be written in full, all other similar cases shall be labeled with the word "same", and other information about them shall be entered in full. On a new sheet of the inventory, the title of similar cases shall be reproduced in full.

163. Each case (volume, part of a case) is entered in the inventory under an independent serial number.

164. The "Note" column of the inventory is used to make notes on the peculiarities of the physical condition of the case, on the transfer of the case to another structural division (another organization).

165. The inventory of cases shall be prepared in two copies, one of which shall be transferred together with the cases to the University Archives, and the second copy shall remain as a control copy in the structural unit.

166. Correctness of formation and preparation of files for transfer to the Archive is checked by the Archive staff. The existing violations are eliminated by the structural unit of the University.

167. Each case shall be accepted by the Archive staff in the presence of the person responsible for record keeping of the structural division. In this case, on both copies of the inventory against each case included in it, a note is made about the presence of the case. At the end of each copy of the inventory, the number of

actually received files, the date of acceptance and transfer of files, and the signatures of the Archive employee and the person who transferred the files shall be indicated in figures and capitalization.

168. In case of liquidation or reorganization of a structural division, the person responsible for record keeping of this structural division, during the period of liquidation measures, forms all available documents into files, draws up the files and transfers them to the University Archive regardless of their storage period.



Annex 1

<p>ҚАЗАҚСТАН РЕСПУБЛИКАСЫ ҒЫЛЫМ ЖӘНЕ ЖОҒАРЫ БІЛІМ МИНИСТРЛІГІ</p> <p>«К. И. СӘТБАЕВ АТЫНДАҒЫ ҚАЗАҚ ҰЛТТЫҚ ТЕХНИКАЛЫҚ ЗЕРТТЕУ УНИВЕРСИТЕТІ» КОММЕРЦИЯЛЫҚ ЕМЕС АКЦИОНЕРЛІК ҚОҒАМЫ</p>	 <p>СӘТБАЕВ УНИВЕРСИТЕТІ</p>	<p>МИНИСТЕРСТВО НАУКИ И ВЫСШЕГО ОБРАЗОВАНИЯ РЕСПУБЛИКИ КАЗАХСТАН</p> <p>НЕКОММЕРЧЕСКОЕ АКЦИОНЕРНОЕ ОБЩЕСТВО «КАЗАХСКИЙ НАЦИОНАЛЬНЫЙ ИССЛЕДОВАТЕЛЬСКИЙ ТЕХНИЧЕСКИЙ УНИВЕРСИТЕТ ИМЕНИ К.И. САТБАЕВА»</p>
<p>050013, Алматы қ., Сәтбаев к-сі, 22 үк, Тел.: 8(727) 320-40-01, факс: 8(727) 292-60-25 e-mail: info@satbayev.university</p> <p>№ _____</p> <p>« _____ » _____ 20 _____ жж.</p>		<p>050013, г.Алматы, ул.Сатпаева, 22 Тел.: 8(727) 320-40-01, факс: 8(727) 292-60-25 e-mail: info@satbayev.university</p>





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Annex 2

<p>ҚАЗАҚСТАН РЕСПУБЛИКАСЫ ҒЫЛЫМ ЖӘНЕ ЖОҒАРЫ БІЛІМ МИНИСТРЛІГІ</p> <p>«К. И. СӘТБАЕВ АТЫНДАҒЫ ҚАЗАҚ ҰЛТТЫҚ ТЕХНИКАЛЫҚ ЗЕРТТЕУ УНИВЕРСИТЕТІ» КОММЕРЦИЯЛЫҚ ЕМЕС АКЦИОНЕРЛІК ҚОҒАМЫ</p>	 СӘТБАЕВ УНИВЕРСИТЕТІ	<p>МИНИСТЕРСТВО НАУКИ И ВЫСШЕГО ОБРАЗОВАНИЯ РЕСПУБЛИКИ КАЗАХСТАН</p> <p>НЕКОММЕРЧЕСКОЕ АКЦИОНЕРНОЕ ОБЩЕСТВО «КАЗАХСКИЙ НАЦИОНАЛЬНЫЙ ИССЛЕДОВАТЕЛЬСКИЙ ТЕХНИЧЕСКИЙ УНИВЕРСИТЕТ ИМЕНИ К.И. САТБАЕВА»</p>
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Annex 3

<p>ҚАЗАҚСТАН РЕСПУБЛИКАСЫ ҒЫЛЫМ ЖӘНЕ ЖОҒАРЫ БІЛІМ МИНИСТЕРЛІГІ</p> <p>«Қ. И. СӘТБАЕВ АТЫНДАҒЫ ҚАЗАҚ ҰЛТТЫҚ ТЕХНИКАЛЫҚ ЗЕРТТЕУ УНИВЕРСИТЕТІ» КОММЕРЦИЯЛЫҚ ЕМЕС</p>	 СӘТБАЕВ УНИВЕРСИТЕТІ	<p>МИНИСТЕРСТВО НАУКИ И ВЫСШЕГО ОБРАЗОВАНИЯ РЕСПУБЛИКИ КАЗАХСТАН</p> <p>НЕКОММЕРЧЕСКОЕ АКЦИОНЕРНОЕ ОБЩЕСТВО «КАЗАХСКИЙ НАЦИОНАЛЬНЫЙ ИССЛЕДОВАТЕЛЬСКИЙ ТЕХНИЧЕСКИЙ УНИВЕРСИТЕТ ИМЕНИ К.И. САТБАЕВА»</p>
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<u>Алматы қаласы</u>		<u>город Алматы</u>



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Annex 4

ҚАЗАҚСТАН РЕСПУБЛИКАСЫ
ҒЫЛЫМ ЖӘНЕ ЖОҒАРЫ БІЛІМ
МИНИСТРЛІГІ
«К. И. СӘТБАЕВ АТЫНДАҒЫ
ҚАЗАҚ ҰЛТТЫҚ ТЕХНИКАЛЫҚ ЗЕРТТЕУ
УНИВЕРСИТЕТІ» КОММЕРЦИЯЛЫҚ ЕМЕС
АКЦИОНЕРЛІК ҚОҒАМЫ



МИНИСТЕРСТВО НАУКИ И ВЫСШЕГО
ОБРАЗОВАНИЯ
РЕСПУБЛИКИ КАЗАХСТАН
НЕКОММЕРЧЕСКОЕ АКЦИОНЕРНОЕ ОБЩЕСТВО
«КАЗАХСКИЙ НАЦИОНАЛЬНЫЙ
ИССЛЕДОВАТЕЛЬСКИЙ ТЕХНИЧЕСКИЙ
УНИВЕРСИТЕТ ИМЕНИ К.И. САТБАЕВА»

ХАТТАМА

« _____ » _____ 20__ ж.т.
Алматы қаласы

ПРОТОКОЛ

№ _____
қорып Алматы



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ACT NO. ____

Almaty city

«__» _____ 20__ y.

Basis: normative legal act or other document that served as a basis for drawing up the act.

Done by a commission consisting of:

Chairman of the commission:

position, initials, surname

Commission members:

1. _____
position, initials, surname

2. _____
position, initials, surname

Text

Done in 2 copies:

1st copy: in file no.

2nd copy: (addressee)

Chairman of the Commission _____
(FULL NAME.) (signature)

Members of the Commission

(FULL NAME) (signature)

(FULL NAME) signature)

Annex 6

List of documents, not subject to registration with DDS&SLD

1. Documents marked "Personal" on the envelope.
2. Requests for repair of office equipment, installation and connection of telephone, installation, repair and replacement of sockets and electric switches, etc. (to be registered in the relevant structural division).
3. Newsletters.
4. Monthly, quarterly and other reports (to be registered in the relevant structural unit).
5. Scientific reports on topics (to be registered in the relevant structural division)..
6. Primary accounting documents (to be registered in the relevant structural division).
7. Printed publications (books, magazines, newspapers, bulletins).
8. Letters sent in copies for information.
9. Congratulatory letters, congratulatory telegrams, invitation cards.
10. Price lists.
11. Advertising notices, prospectuses, posters, meeting programs.
12. Summaries. Reports on meetings, meetings.
13. Curricula, programs (to be registered in the relevant structural unit).
14. Personnel records.
15. Statistical reporting forms (to be registered in the relevant structural division).

Sheet of changes registration to _____*document designation*

Order number changes	Section, paragraph document	Type of change (replace, cancel, add)	Number and date notice	Change made	
				Date	Surname and initials, signature, position