

# Regulations on Records Management

Established Nov.9, 2016

## Chapter 1 General Provisions

**Article 1 (Purpose)** The purpose of this regulation is to promote the reliable preservation and efficient utilization of the records by stipulating the matters necessary for the establishment of the Records Center and the record management of Pohang University of Science and Technology (hereinafter referred to as “the University”) pursuant to ‘Public Records Management Act’ (hereinafter referred to as “the Act”).

**Article 2 (Application Scope)** This regulation shall apply to all records produced in the course of work related to the operation of the University. Unless otherwise specified in the other regulations, the management of the records produced in all departments of this University’s organizations shall be subject to this regulation.

**Article 3 (Definition of Terms)** The terms used in this regulation shall be defined as follows:

1. “Records” shall refer to all forms of recorded information and administrative archival objects such as documents, publications, books, ledgers, cards, blueprints, posters, audiovisual materials, electronic records, and others produced or received by the member of the University in relation to administrative, research and other University activities.
2. “Electronic Records” shall refer to all recorded information that were transmitted, received, or stored in electronic form through devices that have information-processing capacities.
3. “Digitalized Records” shall refer to all records converted from hard copy or any non-electronic form into a format that can be processed by information processing systems.
4. “Administrative Archives” shall refer to formal records produced and utilized during the course of business for the University such as notarized documents, symbols, souvenirs, and others.
5. “Available Records” shall refer to records frequently used by Processing Departments in the maintenance or verification of the matters concerning personnel, goods or relation of rights such as cards, drawings, ledgers, and others.
6. “Records Management” shall refer to duties such as the production, classification, arrangement, relocation, collection, evaluation, disposal, preservation, exposure, and utilization of the records as well as the activities accompanying such duties.
7. “Processing Department” shall refer to all departments of the University that oversee the receipt and transmission of documents as well as the work processing.
8. “Records Management Overseeing Department” shall refer to the dedicated department in charge of overall management of the records management to facilitate systematic management.
9. “Records Center” shall refer to facilities that possess the archive, reading spaces, office spaces, work spaces, preservation facilities and equipment, and records management systems, etc. necessary for the preservation, management, and utilization of the records.
10. “Electronic Records System” shall refer to an electronic records production system that can electronically process works such as drafting, reviewing, collaborating, paying, registering, implementing, classifying, binding, securing, preserving, transferring, receiving, distributing, displaying, searching, utilizing and etc. of documents.

11. "Records Management System" shall refer to the system that electronically performs records management such as the collection, preservation, utilization, relocation, and disposal of the records.
12. "Unit Work" shall refer to the tasks or businesses that are assigned to a team consisting of one or few numbers of personnel according to the functional classification standard that cannot be divided in situations such as restructuring and as such represents the fundamental unit of records management.
13. "Records Folder" shall refer to the collection of more than one records as defined by Unit Work. Records Folder shall be the unit for the setting of the preservation period, relocation and disposal.
14. "Relocation" shall refer to the act of transferring the records' physical location and their management rights to the Records Center.
15. "Receiving" shall refer to the Records Center receiving the transferred records from the Processing Department.
16. "Condition Check" shall refer to the inspecting possessed records of their quality and the degree of damage according to the condition check criteria of physical appearances or changes, damages, and discolorations.
17. "Fixed-Number Check" is a procedure of library management which refer to the act of periodically inspecting the quantity of records.
18. "Evaluation" shall refer to the task of deciding whether or not to preserve the records whose preservation period has been expired based on examining their administrative, evidential and historical values.
19. "Disposal" shall refer to the removal of the records that no longer need to be preserved, especially by physical destruction.

**Article 4 (Duties of POSTECH members)** All members of the University are obliged to produce, manage and protect the records in accordance with this regulation.

**Article 5 (Duties of Records Management)** ① The duties to be performed for the systematic management and efficient operation of the University records are as follows:

1. Establishment and implementation of records management policies and systems
2. Collection, management, utilization and preservation of records
3. Gathering, management and revision of the Records Management Standard Chart
4. Collection and registration management of unregistered records
5. Instructing, supervising, and educating each department regarding records management
6. Operation of the Records Management Committee and the evaluation and disposal of the records
7. Digitalizing non-electronic records and making them available for searching and viewing
8. Matters regarding compilation, exhibition, promotion and record information service
9. Periodic inspection and quality checks on the records
10. Operation of the Records Center and the management of its facilities and equipment
11. Establishment and operation of the records management system
12. Making plans to safeguard important records in case of disasters
13. Other matters regarding record management

② In order to efficiently perform the duties of Clause ①, a specialist in records management as qualified by law, and dedicated personnel necessary for other types of records management shall be assigned.

**Article 6 (Designation of the Person Responsible for Records Management)** The head of the Processing Department shall designate the person responsible for the records management for the respective departments so as to perform the management works of the records produced by the Processing Department.

## Chapter 2 Committee

**Article 7 (Records Management Committee)** ① The Records Management Committee shall be established to deliberate and resolve important matters regarding the University's records management, and the Chair of the committee shall be the Vice President of the respective office.

② The Committee shall consist of no more than 7 members including the Chair, and they shall have a term of two years and may serve for consecutive terms.

③ The members of the Committee shall include the Vice Presidents of Planning, Business Affairs, and Academic Information Affairs ex-officio, and the rest may be selected from the faculty members in the relevant field, and appointed by the President of the University upon recommendation by the Chair of the Committee.

④ The Committee shall have one secretary to assist with its work, and shall be designated by the Chair of the Committee.

⑤ The Committee shall deliberate and resolve on each of the following matters.

1. The establishment of the basic plans regarding records management policies and the operation of the Records Center.
2. The establishment, revision, and abolition of the Regulations on Records Management
3. Matters regarding the budget and settlement of accounts
4. Other matters regarding records management that the Chair of the Committee designates to be subject to deliberation

⑥ The Committee shall be convened by the Chair of the Committee, be opened with the attendance of the majority of current members, and be resolved with the positive votes of the majority of the attended members.

⑦ The Committee shall have a Records Evaluation Council for the evaluation and disposal of the records, and the related details shall be determined separately.

### **Chapter 3 Registration and Management of the Records**

**Article 8 (Principles of Records Management)** ① Electronic Records Production System and the Records Management System must be constructed and operated so that the University's records can be produced and managed electronically.

② A plan for digitalization of records must be established and implemented in order to electronically manage and utilize the records that were not produced in electronic forms.

**Article 9 (Principles of Records Production)** ① Measures must be taken to ensure that the billing information, reports, reviews and records which include all processes and results of all tasks performed by the Processing Department can be produced, registered and managed as records.

② The records that are legally obliged to be produced, such as the written investigations, research papers, project proposals, review reports, proceedings and the audiovisual records, shall be written, registered and managed as separately specified.

**Article 10 (Registration of Records)** ① When producing or receiving records, they must be managed through assigning production numbers or the reception registration numbers. Also, they must be managed properly so that the registered information is not arbitrarily modified or deleted.

② For each of the publications published by the Processing Department, three specimen copies shall be submitted to the Records Management Department within 30 days of the publication. However, for publications published only in electronic forms, submitting specimen copies is not required if their electronic files are registered in the records

management system. Also, even for publications published in non-electronic forms, they could be registered in the system if there are electronic files.

**Article 11 (Records Management Standard Chart)** ① The Processing Department shall make and operate the Records Management Standard Chart as stipulated by law to ensure systematic management of the records. However, their visibility and accessibility status shall be particularly determined taking into consideration the University's circumstances.

② When it is deemed necessary to revise the records management standard chart due to organizational reform or establishment or abolition of individual roles, the proposal for change regarding records management must be submitted to the Record Managing Department.

**Article 12 (Compilation of Records)** The Processing Department must make compilation of records for each unit of work so as to reflect the processes of task performances.

**Article 13 (Preservation Period)** The preservation periods for records are classified into 1 year, 3 years, 5 years, 10 years, 30 years, or permanent and the standard for determining the preservation period is in Attachment 1.

**Article 14 (Organization of Records and Informing Current State of Production)** The Processing Department must, until the end of April every year, complete the organization (such as compilation and reclassification of visibility and accessibility status) for records that were concluded the previous year. After organization of records is complete, the current state of production for those records must be informed to the Record Managing Department in the format of request.

**Article 15 (Transfer of Records)** ① The Processing Department shall transfer the produced and concluded records to the Records Center together with the list within 2 years from the starting day of the preservation period. However, the records that the Processing Department needs to continue to use for work must be designated as Handy Records, and the application for deferment of transfer must be submitted in advance to the Record Managing Department. ② If transfer of records is necessary due to reasons such as reorganization of personnel and the change of job assignments, it is necessary to prepare a list of records to be transferred [Attachment 1] and a records of transfer [Attachment 2] and report to the Record Managing Department; and the Record Managing Department must manage the history of relocated records.

③ If there is no department to take over the concerned duties due to abolition of the Processing Department or individual roles, then the department to be abolished must transfer the relevant records to the Records Center along with the list of records to be transferred of [Attachment 1].

**Article 16 (Transfer of Presidential Records)** The Record Managing Department must, through collaboration with the President's Assistive Department, establish and implement the transfer plan which includes the transfer schedule for the presidential records and the subjects to be transferred, until 40 days before the expiration of the President's term of office.

**Article 17 (The Takeover and the Management of Records)** ① The Record Managing Department must takeover and manage the records that were subjected to relocation by the Processing Department in accordance with the prescribed procedures.

② The Record Managing Department must conduct periodic inspections and quality checks of the records that were transferred to the Records Center.

**Article 18 (Disposal of Records)** The disposal of records must be conducted by the Record Managing Department in accordance with the result of the deliberation by the Records Evaluation Council and the procedures prescribed by the law. However, records with a one-year preservation period that are not to be transferred to the Records Center

can be discarded by the Processing Department following deliberation by the Records Evaluation Review at the expiration of the preservation period.

**Article 19 (Management of Electronic Records)** For electronic records whose transfers are complete and whose preservation periods are more than 10 years, they should be converted into a medium that can be preserved for a long term as prescribed by law, and must also be protected from any arbitrary modification, deletion, forgery, alteration, etc.

**Article 20 (Management of Access Rights)** Records must be managed in a manner that classifies the scope of access for the purpose of ensuring integrity and systematic management of non-public records. In order to achieve this, the Record Managing Department must establish and implement the necessary measures so that the information on access attempts and the records history can be managed.

## Chapter 4 Management of the University's Data

**Article 21 (Collection of the University's Data)** ① The Record Managing Department must endeavor to collect all kinds of records about the institutions, organizations, people, etc. related to our University. Also, in order to collect records from our University's self-governing organizations such as the Faculty Senate, Alumni Association, and Student Senate, an active records collecting activities must be carried out such as discussing records collection before the term of office for the organization's representative is over.

② The University's data can be collected by means of donation, loan, consignment, purchase, etc. However, collecting through illegal methods is prohibited.

③ Among the Administrative Artifacts that were produced or acquired during the course of task performances, those that are recognized to be of worth in proving our University's history shall be managed and transferred to the Record Managing Department by the Processing Department, in accordance with the rules the Record Managing Department has made.

**Article 22 (Issuance of Donation Certificate)** The head of the Record Managing Department must issue a Records Donation Certificate [Attachment 3] to the donor of the records including the list of the donated records, and the information on the ownership and the restriction of use.

## Chapter 5 Records Center

**Article 23 (Construction of the Records Center)** For efficient management of the records, the Records Center shall be constructed and operated in accordance with the law.

**Article 24 (Securing Preservation Facilities and Equipment)** ① The Records Center must have appropriate storage rooms, work space, reading space, and office space for efficient management and utilization of the records.

② The Records Center must have proper preservation facilities, equipment and environmental standards in accordance with the standards set by the law in order to ensure a safe preservation and management of records.

③ The Records Center not only has to establish and implement the security measures, but also establish and implement disaster plans against fire or natural disasters, and take necessary measures such as conducting periodic inspections or regular check-ups on the conditions of records.

**Article 25 (Establishment of Records Management System)** A Records Management System and related equipment must be established in the Records Center in order to efficiently manage all types of records.

**Article 26 (Accessibility and Utilization of Records)** The Records Center must provide the users with accessibility to the public records when the user wishes to use the records for the following purposes:

1. Promotion of the University's history and/or technologies
2. Access or copying by the University faculty
3. Limited access for individuals or organizations with a research purpose
4. Display of records (only the copies should be used in principle)
5. Other activities that the Record Managing Department has approved

**Article 27 (Security Management)** ① The Records Center must designate the storage rooms and the equipment rooms as the restricted area, as well as thoroughly performing security management in accordance with security regulations such as overseeing entries and exits into and out of the Records Center in order to prevent unauthorized removal of records.

② The Records Center shall be provided with a person who has been granted a secret treatment in order to ensure a safe preservation and management of the secret records received, as well as securing a space with double locks for them.

## **Chapter 6 Supplementary Rules**

**Article 28 (Detailed Rules for Management)** Other detailed matters necessary for records management shall be set forth separately in a different regulation such as the Detailed Rules for Management.

**Article 29 (Cross Reference)** The matters related to the official documents shall be cross-referenced with the 'Regulations on Documentation.'

## **Addenda**

**Article 1 (Date of Implementation)** This regulation was established on November 9, 2016 and will take effect from this date.

**Article 2 (Interim Measures)** ① The matters approved prior to the enforcement of this regulation shall be deemed in accordance with this regulation.

② Notwithstanding this regulation, for matters that are not applicable to this regulation due to incomplete establishment of the record-managing equipment, facilities, or system, this regulation shall be applied after acquiring personnel, equipment, facilities and system for Record Managing Department is complete.

[Attachment 1] List of records to be transferred

### List of records to be transferred

#### 1. Records to be transferred into categories

Name of Department:

Name and Title of the Transferor:

Date of Transfer:

Name and Title of the Recipient:

No.	Name/title of Category	Reason for Transfer	Transferring Department	Receiving Department	Quantity	Note

#### 2. Records to be transferred as individual records

Name of Department:

Name and Title of the Transferor:

Date of Transfer:

Name and Title of the Recipient:

No.	Name/Title	Reason for Transfer	Transferring Department	Receiving Department	Public Visibility	Limit to Public Visibility	Note

※ Can be made with Excel

※ Transferring department refers to the department that hands over the records, and receiving department refers to the department that receives the records

210 mm×297 mm [Plain Paper 60g/m<sup>2</sup>(Recycled Paper)]

[Attachment 2] Transfer of Records

## Transfer of Records

Date of Transfer:

Date of Receiving:

<b>Serial Number</b>	<b>Production Year</b>	<b>Preservation Period</b>	<b>Unit Business</b>	<b>Name/Title of Category</b>	<b>Quantity</b>	<b>Shape/Form</b>

I have verified the records listed above and have received them.

I understand that the Receiving Department is responsible for the management of the records once the transfer is complete.

20 (Year) (Month) (Day)

Transferring Department:

Transferor:

(Signature)

Receiving Department:

Recipient:

(Signature)

210 mm×297 mm [Plain Paper 60g/m<sup>2</sup> (Recycled Paper)]



## Certificate of Records Donation

**Article 1 (Purpose)** The purpose of this certificate is to stipulate the necessary matters regarding the functions of records between Pohang University of Science and Technology (POSTECH) and the person who wishes to donate records to POSTECH (hereinafter referred to as 'donor') in accordance with POSTECH's Record Management Plans.

**Article 2 (Confirmation of Records)** According to this confirmation, the records and their quantities that were donated to POSTECH by the donor are as follows:

- Name of Record
- Quantity: (total)

Serial Number	Name of Record	Class	Quantity	Production Year
1				
2				
3				
4				
5				

**Article 3 (Transfer of Rights and the Scope of Utilization)** Once the records have been donated, the right to ownership and all other rights concerning records of Clause 2 shall belong to POSTECH, and the donor automatically agrees to the records being subjected to the exhibitions, publications, release, disclosure to the internet, etc.

**Article 4 (Exchange of Certificate)** The donor and the POSTECH shall make two copies of this certificate and keep one copy for each other.

**20    (Year)    (Month)    (Day)**

**(Donor)**

Name of Donor: (Signature or Stamp)

Address:

**(Recipient) POSTECH**

Name of Institution: POSTECH, Office of Academic Information Affairs (Seal)

Address: 77 Jigok-ro, Nam-gu, Pohang-si, Gyeongsangbuk-do

**POSTECH Vice President of Academic Information Affairs**

[Asterisk 1] Classification Standard based on Preservation Period of Records

## Classification Standard based on Preservation Period of Records

Preservation Period	Records to be subject to this standard
<b>Permanent</b>	<ol style="list-style-type: none"> <li>1. Records documenting or describing the core work of the University</li> <li>2. Records documenting the status, identity, property, rights and obligation of the University and/or its members</li> <li>3. Records that document the history of the University and/or its members</li> <li>4. Records that relate to the policies, institutional decisions or changes that have important impact on the University and/or its members</li> <li>5. Records that have important impact on the University such as research achievements of various disciplines of the University members</li> <li>6. Records that relate to the changes in University's organizational structures or functions, changes in rights/authorities and liabilities, and appointment and dismissal of key positions such as the President of the University</li> <li>7. Records that relate to the businesses or construction that affect the natural environment of the local communities, or to the changes of the University environment</li> <li>8. Records that relate to agreements with domestic or overseas organizations, matters regarding the establishment or amendment of the University's regulations, matters regarding the decisions or changes in major policies, and the matters regarding large-scale business constructions</li> <li>9. All official press releases of the University such as the President's official speeches, articles, or interviews</li> <li>10. Official records that were exchanged with other universities, administrative agencies, and local organizations</li> <li>11. Major records regarding cooperative exchanges, negotiations, or academic activities with foreign universities, foreign international organizations, or foreign government organizations</li> <li>12. Records that were made for the purpose of external presentations or external reports such as the prospect of statistical settlement in the field of work that falls under the University's jurisdiction</li> <li>13. Records regarding the establishment of other operational systems such as the University's task-management systems, various administrative-information systems, and undergraduate-related systems.</li> <li>14. Any other documents that are worthy of permanent preservation</li> </ol>
<b>30 years</b>	<ol style="list-style-type: none"> <li>1. Records that do not need to be permanently nor semi-permanently preserved, but which relate to the major tasks of fulfilling the University's founding philosophy, and which could thus be used as references or proofs in the University's works or in proving the work performances of the institution for a period of 10 years or more</li> <li>2. Records of general matters requiring the approval of the President or the Vice-President</li> <li>3. Records that hold the criminal, civil, or administrative liabilities or prescriptions for a period of 10 to 30 years in accordance with relevant statutes, or the records that relate to matters that continue to be worthy as proofs or evidence</li> <li>4. Records that are required by the guidelines of the government agencies to be preserved for a period of 10 to 30 years</li> <li>5. Other records that are considered worthy of preservation for a period of 10 years or longer</li> </ol>

<b>10 years</b>	<ol style="list-style-type: none"> <li>1. Records about the University's major tasks such as documents on major business plans</li> <li>2. Important documents on various committee conferences</li> <li>3. Important documents on financial plans such as commercial books</li> <li>4. Important research and service contracts</li> <li>5. Records relating to general matters such as arbitrary decisions/affairs of the University headquarters, administrative divisions, and head professors of departments, which does not include major tasks</li> <li>6. Documents that are required by the guidelines of the government agencies to be preserved for a period of 10 years</li> </ol>
<b>5 years</b>	<ol style="list-style-type: none"> <li>1. Records that relate to major tasks at the level of the Processing Department</li> <li>2. Documents of important contents with instructions such as provisional instructions and the University procedures</li> <li>3. Normal contracts for purchase of consumables</li> <li>4. Records of budgets and accounting regarding general matters of operating and managing University (the preservation period for records of budgets and accounting on major businesses, which are normally subjected to the preservation period of 10 years or longer, shall depend on the preservation period of the unit work concerned)</li> <li>5. Other documents that need to be preserved for 5 years</li> </ol>
<b>3 years</b>	<ol style="list-style-type: none"> <li>1. Records that were produced during the course of performing daily tasks at the level of the Processing Department, or the records regarding the establishment of weekly, monthly and quarterly work plans</li> <li>2. Records regarding the issuance of various certificates (however, if the preservation period for records regarding issuance of certificates is separately defined in other statute, then that statute shall be followed)</li> <li>3. Other documents that need to be preserved for 3 years</li> </ol>
<b>1 year</b>	<ol style="list-style-type: none"> <li>1. Official documents of order whose purpose is to disseminate information regarding daily tasks which were received from other departments within the institution</li> <li>2. Records regarding simple data requests, work-related contacts, notifications, inquiries, etc. between administrative agencies or universities</li> <li>3. Records that simply report on the current status of departments, contents of the work performances, etc., upon the request from superior agencies/departments (The Collection Department must preserve them for the preservation period of the unit work concerned)</li> </ol>