

# Detailed Implementing Rules of Records Management

Established Nov.9, 2016

## Chapter 1 General Provisions

**Article 1 (Purpose)** The purpose of these detailed implementing rules is to stipulate the details regarding the implementation of the ‘Regulation on Records Management’ in order to facilitate the work of records management here at Pohang University of Science and Technology (hereinafter referred to as “POSTECH”)

**Article 2 (Qualifications and Duties of the Record Manager)** ① The head of the Processing Department shall designate and appoint the person to be in charge of records management (hereinafter referred to as “Record Manager”) for the purpose of facilitating the registration, classification, arrangement, storage and transfer of the departmental records concerned.

② The Records Manager shall perform the following duties through collaboration with the department in charge of records management, in accordance with the University’s regulation on records management.

1. Matters concerning production, dispatch, reception and registration of records
2. Matters concerning management of the Records Management Standard Chart of the Processing Department
3. Matters concerning the establishment of the recording standards for categories per unit work and their registration
4. Matters regarding organization, preservation and relocation of records
5. Other matters regarding the records management of the Processing Department

## Chapter 2 Production and Registration of Mandatory Records

**Article 3 (Survey, Research Reports, and Review Reports)** ① The Processing Department must prepare a survey, research or review report in advance if it intends to perform any of the following below. However, in cases where the relevant records are produced and managed along the course of performing their duties, the survey, research or review reports need not be separately prepared.

1. The establishment or amendment of the regulation or making decision or change to the major policy equivalent thereto
2. Making agreements with other universities or institutions domestic or abroad
3. Implementation of the business included in the main management plans of the Processing Department
4. Establishment of organizations such as academic departments

5. Other matters that the Records Management Committee finds necessary to prepare the survey/research/planning/review reports.

② The survey/research/planning/review reports must be registered in the electronic records production system such as the electronic approval system.

**Article 4 (Minutes)** ① The Processing Department must take minutes when they hold the conference that falls under any of the following:

1. Conferences organized by the committee composed in accordance with the regulation
2. Other conferences that were designated as in need of minutes production

② Where it is deemed necessary, an audio recording may also be produced along with the minutes.

③ Minutes must include the name of the conference, host institution, date, time and location of the conference, list of participants and attendees, order of proceedings, items on agenda, the topic of speech, and matters regarding decisions and voting.

④ The minutes must be electronically produced or registered in the Electronic Records Production Systems such as the Electronic Approval System.

**Article 5 (Audiovisual Records)** ① The Processing Department shall produce audiovisual records for the matters that falls under any of the following.

1. The President's work-related activities and the portraits
2. Major events of the University
3. Activities regarding major agreements with the universities, governments, organizations, and institutions, etc. at home or abroad
4. Things whose original forms will get lost due to civil engineering or construction work
5. Various forms of architectures or structures of high historical value that are to be destroyed due to demolition or reconstruction which therefore need to be preserved as audiovisual records
6. Major events or incidents that become of interest to the University's members and which the head of the Records Managing Department or the head of the Processing Department considers necessary to have them made into or preserved as audiovisual records.
7. Other matters whose forms or sites need to be preserved as audiovisual records because of their very high evidential values.

② Video recordings must be produced for each of the followings:

1. The President's inauguration and farewell ceremonies
2. Major events and international conferences promoted by the University
3. Other matters considered necessary for producing video recordings

③ The filmed or recorded audiovisual records must be produced by the department in charge of the concerned activities, events or businesses and must then be registered in the Electronic Records Production System or the Records Management System as prescribed.

## **Chapter 3 Classification, Binding and Organization of Records**

**Article 6 (Records Management Standard Chart)** ① The Records Management Standard Chart shall include the Processing Department, functional classification of tasks, preservation classification standard, designation of handy records, and the matters regarding disclosure and accessibility of the records.

② The Records Management Standard Chart must be managed with the Records Management System and its data must be managed through a connection with the Electronic Records Production System.

③ The Records Managing Department must establish the guidelines for the creation of the Records Management Standard Chart in [Table 1], have each department prepare and submit them, then collect and share them, as well as annually disclosing and sharing the Records Management Standard Chart including both the new individual roles and the individual roles with the preservation period changed.

④ The Records Classification Standard must be maintained in accordance with the Records Management Standard Chart's preparation method. However, in cases of establishment, modification, or abolition of tasks, the concerned Processing Department must fill in the 'Modification Application for the Records Management' (found in Attachment 1) Standard Chart and submit it to the Records Managing Department.

**Article 7 (Classification and Binding of Records)** ① At least one or more category shall be produced per all unit-tasks and shall be given the classification numbers which consist of the department code, unit-task code, the year of production, and the registration number.

② In cases where there is a large amount of records, the category shall be divided and bound into two or more books, yet the binding method based on the types of records shall be separately determined by a guideline.

③ The classification and binding of records must be done simultaneously with the registration of the records.

**Article 8 (Setting the Preservation Period)** ① The preservation period for all records shall be determined per unit projects by the department that produced the records in accordance with the standard set forth in the regulation. However, a different preservation period may be arranged for the same unit-tasks if necessary.

② the measuring date of the preservation period shall be set to January 1<sup>st</sup> of the subsequent year after the processing of the concerned document is complete.

**Article 9 (Organization and Production-Status Notification of the Records)** The Records Managing Department shall establish the guidelines for record organization and notify all processing departments 2 months before the records' production-status notification time.

## **Chapter 4 The Transfer, Collection, Preservation, Disposal of, and Access to the Records**

**Article 10 (Presentation of the Produced Publications)** ① The following publications produced by the Processing Department must be presented to the Records Managing Department within a specified period.

1. Booklets, handbooks, annual reports or annals
2. Brochures, Pamphlets, leaflets or posters
3. Regular or irregular publications
4. Books
5. Any other publications that are valuable as historical records

② The Producing Department must register publications' bibliographical information and/or contextual information in the Records Managing System before they are presented to the Records Managing Department.

③ If the records are produced as electronic files, they must be registered in the system along with the publication's electronic files, and at the same time register the information stated in Clause ②. If the records were published in the form of prints, three copies of each shall be submitted to the Records Managing Department.

④ The presented publications shall be excluded from the list of records to be transferred.

**Article 11 (Transfer of Records)** The Records Managing Department must perform the inspection of the records transferred by the Processing Department such as verifying their originality and checking for any discordance in the list, and must notify the Processing Department immediately as soon as errors are found during the inspection. The concerned Processing Department must then revise the matter and retransfer to the Records Managing Department.

**Article 12 (Management of Administrative Artifacts)** ① The range of administrative artifacts to be managed by our University is as follows:

1. Seals: seals/stamps of the heads of institutes
2. Samples or designs: stamps, medals/badges, decorations, etc.
3. Emblems: signboards, flags/ensigns, paintings, ectypes, clothing, goods, etc. that symbolize the University and its works
4. Souvenirs: promotional materials or souvenirs produced during the major promotions, events, and activities of the University
5. Awards or medals: awards or medals awarded by the University or academic or administrative departments
6. Office appliances: office appliances that were used by the President

② When the Processing Department produces, accepts or acquires administrative artifacts of Clause ①, it must produce and manage the management number and registration information as specified, and submit the concerned list and registration information when notifying the production status.

③ Among the administrative artifacts whose production statuses were reported, those with a high preservation value shall be designated and managed as the targets of management, but the procedures and methods for the management of general administrative artifacts shall be in accordance with the guidelines set separately.

**Article 13 (Preserving Method of Records)** The preserving method of records with a preservation period of 30 years or more is as follows, and the classification criteria per each preserving method is shown in [Table 2].

1. Preserve both the original and its preservation medium: Combined Preservation
2. Disposing the original and preserving only its preservation medium: Medium Preservation
3. Preserving only the original: Original Preservation

**Article 14 (Disposal of Records)** ① Among the records preserved in the Records Center, those whose preservation period has expired must be dealt with by the Head of the Records Center such as he or she reclassifying, disposing or reserving them through inquiring opinions of the Production Department, or through examination of the Records Managing Specialist or deliberation by the Records Evaluation Council.

② After the consultation with the related departments, the Records Center may selectively preserve the originals with a high preservation value out of those that are to be disposed.

③ For administrative artifacts, it may be disposed if it falls under any of the reasons below:

1. The need for permanent preservation has been lost due to changes in administrative, historical, cultural or artistic values
2. In the case of serious physical damage which could not be restored

④ The enforcement of record disposal can be entrusted to an external professional company. In this case, necessary measures must be taken to prevent the records from being leaked, such as by the person in charge of record management attending and supervising the disposal until it is complete.

**Article 15 (Record Evaluation Committee)** ① Record Evaluation Committee (hereinafter referred to as “REC”) shall exist under the Records Management Committee in order to deliberate on the evaluation and disposal of records. The Head of REC shall be the same person as the Head of the Records Center, and the REC shall consist of 5 or less members including the Head of the REC.

② Two of the members shall be appointed as external experts; their term of office shall be two years and may be renewed.

③ The REC shall deliberate on each of the following matters:

1. Whether or not the screening results for the to-be-disposed records are appropriate
2. Adjustment of the preservation period for records (readjustment, hold off, disposal)
3. Other matters necessary for the disposal of preserved records

④ The REC must fill out the Record Evaluation Review Form of [Attachment 1] and the Evaluation Review Decision Form of [Attachment 2] as well as write and manage the minutes of the REC.

## **Chapter 5 Rent, View and Disclosure of Records**

**Article 16 (Categorization of Records for Disclosure)** ① When the Processing Department, prior to transferring them, categorizes records into whether or not they should be made public, such categorization must be made for each and every case of the records; and the non-public records must be submitted together with the reasons for non-disclosure.

② If the extension of the non-disclosure period is necessary, the Head of the Processing Department must submit the desired extension period and the reason of extension to the Records Managing Department before the end of the 30<sup>th</sup> year since the measuring date of the concerned preservation period.

**Article 17 (View and Rent of Records)** ① View of records whose preservation period is longer than 30 years and which were not produced in electronic forms must only be granted through the use of preservation medium containing those records. When viewing original records is inevitable, the person in charge of the access to records must continue to be present.

② In principle, records should only be viewed inside the Records Center. However, if renting records is necessary due to special reasons, it is only possible confined to the Production Department of the concerned records, in which case the Head of the Records Managing Department shall judge whether or not the record could be rented. He or she could limit the viewing to only inside the Records Center, or allow the concerned records to be copied or photographed if necessary.

#### Addendum

These detailed rules were established on November 9<sup>th</sup> 2016 and will take effect since this date.

[Table 1]

## Records Management Standard Chart

Processing Department Code	Function Classification						Preservation Classification Standard		Handy Records			Public (Yes/No)		Access Authority
	Major Function	Medium Function	Minor Function	Name of Ind. Role	Description of Tasks	Task Classification	Preservation Period	Preservation Method	Designation (Yes/No)	Equipping Period	Reason	(Yes/No)	Reason	
				/	/	/	/	/	/	/	/	/	/	/
				/	/	/	/	/	/	/	/	/	/	/

※ The Processing Department shall fill out the boxes with diagonal lines and submit this table to the Records Managing Department

[Table 2]

Classification Standard for Preserving Method of Records

<b>Classification</b>	<b>Records</b>
<p>Combined Preservation</p>	<ol style="list-style-type: none"> <li>1. Records whose historical worth is valued</li> <li>2. Records that have high preservation value as reference documents to duties or as evidentiary proofs, and that are expected to be viewed highly frequently</li> <li>3. Other records whose originals and preservation media are considered to be in need of duplicate preservation</li> </ol>
<p>Medium Preservation</p>	<ol style="list-style-type: none"> <li>1. Records with moderate preservation value and which are expected to have a low viewing frequency</li> <li>2. Records whose preservation purpose is deemed achievable even if their original copies are not preserved and only their contents are preserved</li> </ol>
<p>Original Preservation</p>	<ol style="list-style-type: none"> <li>1. Records with high preservation values but which are not expected to be viewed frequently</li> <li>2. Other records whose suspension on determination of preserving method for a certain period of time would be considered valid</li> </ol>

[Attachment 1]

## Record Evaluation Review

Serial Number ①	Production Year ②	Name of Category ③	Preservation Period Expiration Date ④	Department		Record Managing Specialist		Council Opinions ⑨	Note ⑩
				Opinions ⑤	Reason ⑥	Evaluation Opinions ⑦	Reason ⑧		

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

<How to write>

A Record Evaluation Review shall be written as follows:

- ① **Serial Number:** Write the numbers sequentially
- ② **Production Year:** Write the production year of the record. However, if the production year is longer than a year, enter both the starting year and the finished year (e.g. 2009-2011)
- ③ **Name of Category:** The name should be written the same as the category
- ④ **Expiration Date of the Preservation Period:** Write the preservation period expiration date for the records
- ⑤ **Result of the department's feedbacks:** Write the department's feedback results on the readjustment of the preservation period, disposal, suspension, etc.
- ⑥ **Department's reason for such feedbacks:** Write the reasons for making such feedbacks
- ⑦ **Record Managing Specialist's evaluation feedback:** Write the evaluation feedback on the readjustment of the preservation period, disposal, suspension, etc.
- ⑧ **Record Managing Specialist's reason for such feedbacks:** Write the reasons for making such feedbacks
- ⑨ **Feedback from the Council:** Write the screening results from the Council
- ⑩ **Note:** Write other necessary matters

※ This form may be written in Excel

[Attachment 2]

## Record Evaluation Review Report

<b>Date &amp; Time</b>					
<b>Location</b>					
<b>Agenda</b>					
<b>Resolution Order</b>					
<b>Committee Members for Review</b>	<b>Title</b>	<b>Name</b>	<b>Resolution</b>		<b>Signature</b>
			<b>Yes</b>	<b>No</b>	
Head of the Committee					
Committee Member					
Committee Member					

Committee Member					
Committee Member					
Secretary					

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

[Attachment 3]

## Record Management Standard Chart Change Application Form

1. Use this form if you only want to change the Processing Department code

(Date of Change : )

Original Processing Department Code	Newly Changed Processing Department Code	Reason for Change

2. Use this form if you only want to change the department in charge of individual roles due to organizational revision

(Date of Change : )

Before Change		Code of the Processing Department that received records	Reason for Change
Processing Department Code	Ind. Role Number		

Note: This form shall be filled out by the department whom received the task.

3. Use this form if you want to abolish the individual role

(Date of Change : )

Task to be abolished		Reason for Abolition
Processing Department Code	Ind. Role Number	

4. Use this form if you want to establish new individual role

(Date of Change : )

Processing Department Code		Name of the Newly Established Ind. Role	Alias of confidential Ind. Role	
(Description of individual role)				
Preservation Period	Reference Period for Administrative Duties ( )		(Reason for assigning such preservation period)	
	Time until Expiration as Evidential Document ( )			
	Obligatory Period regarding Relevant Statutes ( )			
	Preservation Period for Historical Values ( )			
	Comprehensive Conclusion for Preservation Period ( )			
Preserving Method		Preserving Location	Handy Records (Yes/No)	Transfer Date for Handy Records
Expected frequency of view after transfer ( )			Main Purpose of View	

5. Use this form if you want to modify partial content of the individual role

(Date of Change :                    )

Processing Department Code		Ind. Role Number	
Item	Before Change	After Change	Reason for Change
Name of Ind. Role			
Alias of Ind. Role			
Ind. Role Description			
Preservation Period			
Preservation Method			
Preserving Location			
Handy Records (Yes/No)			
Transfer Date of Handy Records			