

○ Kobe University Rules for the Management of Corporate Documents

(Established on March 31, 2011)

Revised on:	June 30, 2011	March 21, 2012
	March 27, 2013	June 25, 2013
	September 27, 2013	March 27, 2014
	March 31, 2015	September 30, 2015

(Purpose)

Article 1 The purpose of these Rules is to provide for necessary matters concerning the appropriate management of corporate documents at Kobe University (hereinafter referred to as "University") under the provisions of Article 13, paragraph 1 of the Public Records and Archives Management Act (Act No. 66 of 2009. Hereinafter referred to as "Archives Management Act").

(Definitions)

Article 2 In these Rules, the definition of the following terms shall be provided by the said items.

- (1) Corporate Documents: A document (including a picture and electromagnetic record (a record created by electronic, magnetic or other means not open to human sensory perception.) The same applies hereinafter) created or obtained by executive staff or staff members (hereinafter referred to as "Staff Member") of the university in the course of their duties that is held by the University for organizational use by its staff members. However, this excludes the items listed on Article 2, paragraph 5 of the Archives Management Act.
- (2) Education and Research-Related Documents: Corporate Documents as provided in the preceding item held by teachers or teacher organizations.
- (3) Corporate Documents File, etc.: Refers to Corporate Documents that have a mutually close relationship (limited to documents that are appropriate to be given the same retention period) and have been combined into a single collection (hereinafter referred to as "Corporate Documents File") and can be managed individually in order to contribute to the efficient processing of affairs or business and the appropriate preservation of Corporate Documents at the University.
- (4) Corporate Documents File Management Register: Refers to a book recording the classification of Corporate Documents File, etc., titles, retention period, the expiration date of the retention period, the measures to take when the retention period expires, the storage location and other necessary matters for the purpose of appropriately managing the corporate documents file, etc. at the University.
- (5) Department: Refers to each institute, each faculty, each graduate school, Organization of Advanced Science and Technology, Research Institute for Economics and Business Administration, university library system, University Hospital attached to the School of Medicine, Attached Schools' Department, The Kobe University Interfaculty Initiative in the Social Sciences, Kobe University Integrated Research Center, Center for EU-Japan Collaborative Education, Information Science and Technology Center, Center for Collaborative Research and Technology Development, International Student Center, Center for Supports to Research and Education Activities, Center for Environmental Management, Education Center on Computational Science and Engineering, Kobe Ocean-Bottom Exploration Center, Medical Center for Student Health, and other offices and secretariats established under the provisions of paragraph 1 of Article 18 of the Rules of the National University Corporation Kobe University (established on April 1, 2004)

(Management System)

Article 3 The University shall have a general document manager and the head of office shall serve this role.

2 The general document manager shall perform the duties listed below:

- (1) Preparation of Corporate Documents File Management Register;
- (2) Preparation of the Corporate Documents File Transfer and Disposal Register as prescribed in Article 10, paragraph 6 (hereinafter referred to as "Transfer and Disposal Book");
- (3) Implementation of necessary improvements concerning the management of Corporate Documents;
- (4) Implementation of job training concerning the management of Corporate Documents;
- (5) Necessary measures accompanying the new establishment, reformation or abolition of the organization;
- (6) Preparation of necessary guidelines for the Corporate Documents File retention procedure and the implementation of other Rules;
- (7) Summary of matters concerning the management of other Corporate Documents.

3 The University shall have a deputy general document manager and the Head of General Affairs Department shall serve this role.

4 The deputy general document manager shall assist the general document manager with work prescribed in paragraph 2.

5 The University shall have a document manager and a person in charge of document management as listed in Appended Table 1.

6 The document manager shall perform the duties listed below in respect of the Corporate Documents to be managed:

- (1) Retention;
- (2) Setting of measures for when the retention period expires;
- (3) Recording entries in the Corporate Document File Management Register;
- (4) Transfer, Disposal (including recording entries in the Transfer and Disposal Book), etc.;
- (5) Inspection etc. of the State of Management;
- (6) Guidance for Staff Members pertaining to the preparation of Corporate Documents based on the creation of the corporate documents as prescribed in Article 5, the creation of standard documents retention period criteria as prescribed in Article 7, paragraph 1, etc. and the management of other corporate documents.

7 The person in charge of document management shall assist the document manager.

8 Notwithstanding the provisions of paragraph 5, the head of Department shall be the document manager and the teachers at the said Department shall be the persons in charge of document management for the management of Education and Research-Related Documents.

9 The University shall have a document inspector and the chief of the general affairs department shall serve this role.

10 The document inspector shall conduct inspections on the state of the Corporate Documents management.

(Responsibilities of Staff Members)

Article 4 Staff Members must manage Corporate Documents properly pursuant to the relevant laws and regulations, etc., these Rules and the instructions of the general documents manager and the documents manager in accordance with the objective of the Archives Management Act.

(Creation)

Article 5 Staff Members must prepare documents in accordance with the instructions of the document manager and pursuant to the provisions of Article 4 of the Archives Management Act for the purpose of contributing to the achievement of the purpose specified in Article 1 of the same Act so as to enable a decision-making process

including the background in the University and performance of affairs and business of the University to be traced or verified reasonably, except when a case pertaining to processing is minor.

- 2 For duties given in Appended Table No.2, staff members shall refer to the types of Corporate Documents in the same table and create the documents in accordance with the history of the said duties.
- 3 Information such as forms and materials that can be used repeatedly in the creation of documents shall be provided for staff members' use by actively using the computer network.
- 4 For the creation of documents, staff members shall accurately and concisely record in easily understandable terms based on Table of Chinese Characters in Common Use (Public Notice of the Cabinet No. 2 of 2010), Modern Kana Usage (Public Notice of the Cabinet No. 1 of 1986) Usage of Declensional Kana endings (Public Notice of the Cabinet No. 2 of 1973) and Notation of foreign words (Public Notice of the Cabinet No. 2 of 1991), etc.

(Arrangements)

Article 6 Staff Members must make the following arrangements pursuant to provisions of the next paragraph.

- (1) Classify and title the Corporate Documents created or obtained, as well as set the retention period and an expiration date for the retention period;
 - (2) Combine Corporate Documents that have a mutually close relationship into a single collection (Corporate Documents File);
 - (3) Classify the Corporate Documents Files in the preceding item, title them, as well as set the retention period and an expiration date for the retention period.
- 2 Corporate Documents Files, etc. must be classified systematically according to the nature and contents of the University's administrative work or businesses (for the work listed in Appended Table 2, refer to the same table to classify), and given easy-to-understand titles.

(Retention Period)

Article 7 The document manager must create a standard document retention period criteria (Appended Form 1) based on Appended Table 2.

- 2 The retention period in paragraph 1, item (1) of the preceding Article shall be set by the standard documents retention period criteria in the preceding paragraph.
- 3 In the setting of the standard documents retention period criteria and the retention period in the preceding paragraph, the Corporate Documents to which the historical documents of Article 2, paragraph 6 of the Archive Management Act apply shall have a retention period of 1 year or more stipulated.
- 4 The start date for the retention period of Article 6, paragraph 1, item (1) shall be April 1 of the year following the year in which the day the corporate document was created or acquired (hereinafter referred to as "Document Creation or Acquisition Date") falls within. However, if the document manager approves a day other than April 1 within a year of the document creation or acquisition date as the start date for the purpose of the appropriate management of Corporate Documents, the start date can be that date.
- 5 The start date of the retention period in Article 6, paragraph 1, item (3) shall be the April 1 following the year the earliest day the Corporate Documents were compiled into a Corporate Document File (hereinafter referred to as "File Creation Date") falls within. However, if the document manager approves a day within a year of the file creation date other than April 1 as the start date for the purpose of the appropriate management of Corporate Documents, the start date can be that date.

6 The provisions of paragraph 4 and the preceding paragraph shall not apply to Corporate Documents that have uncertain retention periods on the Document Creation or Acquisition Dates and the Corporate Documents Files that compile the said Corporate Documents.

(Retention Guidelines)

Article 8 The general document manager shall create the corporate documents files retention guidelines in order to contribute to the appropriate retention of Corporate Documents Files, etc..

2 The following matters must be recorded in the corporate documents Files retention guidelines.

- (1) Storage location and method for paper documents;
- (2) Storage location and method for electronic documents;
- (3) Handover procedures pertaining to document management;
- (4) Other measures to ensure the appropriate storage.

3 The document manager must suitably retain the Corporate Document Files, etc. for the duration up to the expiration date of the retention period for the said corporate document files, etc. in accordance with the corporate documents files retention guidelines. However, this shall not apply if he or she is succeeded by another document manager, etc.

(Promotion of Centralized Management)

Article 9 The general document manager shall make an effort to take steps pertaining to the centralized management of Corporate Documents in the University in order to prevent the deterioration, and the scattering and loss of Corporate Documents, and to facilitate transfer operations.

(Corporate Documents File Management Registers)

Article 10 The general documents manager shall use a magnetic disk for the University's Corporate Documents File Management Register in accordance with the provisions of Article 15, paragraph 2 of the Order for Enforcement of the Public Records and Archives Management Act (Cabinet Order No. 250 of 2010. Hereinafter referred to as "Enforcement Order").

2 The form for the Corporate Documents File Management Register shall be the Appended Form 2.

3 Corporate Documents File Management Register shall be published on the Kobe University homepage, as well as be made available for general inspection at the General Affairs Department, General Affairs Division.

4 The document manager must record the items provided in each of the items in Article 15, paragraph 1 of the Enforcement Order in the Corporate Documents File Management Register regarding the current state of the Corporate Documents Files, etc. (limited to documents with a storage term of at least one year) being managed at least once a year.

5 If the entries in the Corporate Documents File Management Register fall under non-disclosure information as provided in each item of Article 5 of the Act on Access to Information Held by Independent Administrative Agencies (Act No. 140 of 2001. Hereinafter referred to as "Information Access Act"), the said non-disclosure information must not be disclosed.

6 When the documents manager transfers to the Kobe University Archives or disposes of Corporate Document Files, etc. whose retention period have expired, the general document manager must remove the record from the Corporate Document File Management Register pertaining to the said Corporate Document, etc., as well as record its title, transfer date or disposal date, etc. in the Transfer and Disposal Book according to Appended Form 2.

(Transfer, Disposal or Extension of Retention Period)

- Article 11 In respect of Corporate Documents Files, etc., the document manager shall, as soon as possible before expiration of the retention period, prescribe that measures should be taken for the transfer of important historical materials to the Kobe University Archives in accordance with Appended Table 2, and that measures for disposal should be taken in other cases, as measures to be taken when the retention periods have expired.
- 2 In respect of Corporate Document Files, etc. in paragraph 4 of the preceding Article, the document manager shall specify measures in the preceding paragraph by recording in the Corporate Document Files Management Register with the consent of the general document manager.
 - 3 The document manager shall, pursuant to the provision of paragraph 1, transfer to the Kobe University Archives or dispose of Corporate Document Files, etc. whose retention periods have expired in accordance with the instructions of the general document manager.
 - 4 Necessary matters concerning transfers of Corporate Documents to the Kobe University Archives shall be stipulated separately.
 - 5 The document manager shall, when finding it appropriate to restrict the use in the Kobe University Archives of Corporate Document Files, etc., which is to be transferred pursuant to the provision of the preceding paragraph, as those that fall under cases specified in Article 16, paragraph 1, item (2) of the Archives Management Act, attach his or her opinion to that effect to the Kobe University Archives with the consent of the general document manager.
 - 6 The document manager shall carry out the disposal of Corporate Documents using a method appropriate to the contents of the corporate documents to be disposed; if non-disclosure information pursuant to each item of Article 5 of the Information Access Act is recorded in the said corporate document, the said non-disclosure information must not be leaked.
 - 7 The document manager must extend the retention period for the following Corporate Documents according to the following classification and durations until which the respective stipulated periods have passed, even if the expiration date of the retention period has passed. In this case, if corporate documents that fall under one classification also fall under another classification, the documents must be retained until the later of the dates on which the respective periods have passed.
 - (1) Those that are actually subject to audit, inspection, etc.: The period until the said audit, inspection, etc. is completed
 - (2) Those required for the purpose of carrying out procedural acts in actual pending litigation proceedings: The period until the said litigation proceeding is concluded
 - (3) Those required for the purpose of carrying out procedural acts in actual pending filing of objections: 1 year starting from the day following the date of the ruling or decision with regards to the said filing of objections
 - (4) Those that had requests for disclosure: 1 year starting from the day following the date of the decision of each paragraph of Article 9 of the Information Access Act
 - 8 The document manager may extend for a set period within the necessary limits the said retention period for Corporate Documents Files, etc. whose retention period have expired when it is deemed necessary in the performance of duties. In this situation, the same will apply when further extending this after the retention period of the said extension has expired.
 - 9 The document manager shall report the period extended and its reason to the general documents manager when the retention period is extended in accordance with the provisions of the preceding 2 paragraphs.

(Inspection and Audit)

- Article 12 The document manager must conduct an inspection on the state of management of the Corporate Documents he or she is responsible for at least once a year and report the results to the general document manager.
- 2 The person in charge of the documents audit must conduct an audit on the state of management of the Corporate Documents he or she is responsible for at least once a year and report the results to the general document manager.
 - 3 The general document manager shall take necessary measures relating to the management of Corporate Documents based on the inspection and audit results.

(Handling of Losses, etc.)

- Article 13 The document manager must report directly to the general document manager if the loss and erroneous disposal of Corporate Documents Files, etc. became clear.
- 2 The general document manager shall promptly take necessary measures to prevent the damage from spreading after receiving the report in the preceding paragraph.

(Reports etc. on the State of Management)

- Article 14 The general document manager shall report to the Cabinet Office the state of entries in a Corporate Document File Management Register or other states of management of Corporate Documents under the provisions of Article 12, paragraph 1 of the Archives Management Act.

(Training)

- Article 15 The general document manager shall provide the Staff Members with training to acquire or improve knowledge and skills necessary for appropriate and effective management of Corporate Documents.
- 2 The document manager must get Staff Members to enthusiastically participate in training held by the general document manager, the Independent Administrative Institution, the National Archives of Japan, and other organizations.

(Adjustments with the Law, etc.)

- Article 16 Notwithstanding these Rules, in cases where special provisions are established for matters pertaining to the classification, creation, retention, disposal and other management of Corporate Documents under the law and the provisions of directions based on this law, the said matters shall be governed by the said law and directions based on this.

(Miscellaneous Provisions)

- Article 17 In addition to the matters provided for in these Rules, other necessary matters concerning the management of Corporate Documents shall be prescribed separately.

Supplementary Provisions

- 1 These Rules will come into effect from April 1, 2011.
- 2 Kobe University Regulations for the Management of Corporate Documents (established on September 30, 2004) shall be abolished.

Supplementary Provisions between the original and the latest are omitted.

Supplementary Provisions (September 30, 2015)

These rules come into effect on October 1, 2015.

Appended Tables 1 and 2 are omitted.

Appended Forms 1 and 2 are omitted.