



InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

TEAM Korea

Team KOREA Final Report

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Author: The InterPARES 3 Project, TEAM Korea

Writer(s): Eun G. Park
School of Information Studies,
McGill University, Montréal, Québec

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1. Team Participants

Director:

- Sam Gyun Oh, Department of Library and Information Science, Sungkyunkwan University

Researchers:

- Heesop Kim, Department of Library and Information Science, Kyungpook National University
- Eun G. Park, School of Information Studies, McGill University

Collaborators:

- Myungdae Cho, Department of Library and Information Science, Sungkyunkwan University
- Myung Ho Kim, Microsoft Korea
- Kyu-Chul Lee, Department of Computer Engineering, Chungnam National University
- DongSun Nam, Haansoft Inc.

Test-bed partners

- University Archives of Kyungpook National University
- Samsung SDS, LGCNS

Research assistants

- Inho Chang, Department of Library and Information Science, Sungkyunkwan University
- Namdo Cho, School of Information Studies, McGill University
- Jaehyuck Choi, Graduate School of Archves, Kyungpook National University
- Dongwook Kim, School of Information Studies, McGill University
- Seyoung Kim, Department of Library and Information Science, Sungkyunkwan University
- Jaehyun Kwak, Department of Library and Information Science, Sungkyunkwan University
- Doyoon Kwon, Graduate School of Archves, Kyungpook National University
- Jongwhi Park, School of Information Studies, McGill University
- SunMin Won, Department of Library and Information Science, Sungkyunkwan University
- Yeohyun Yoon, School of Library, Archives, and Information Studies, University of British Columbia

2. Team Activities

Case Study

- CS01 Records Management Policies, Procedures and Systems at Kyungpook National University, Archives & Records Service Center [\[ADD LINK\]](#)
- CS02 Certified e-Document Authority (CeDA): Policies, Procedures and Systems for Trusted Third Party Certification Authorities of Electronic Documents http://www.interpares.org/rws/display_file.cfm?doc=ip3_korea_cs02_finale_report-v4f.pdf
- CS03 Ministry of Land, Transport, and Maritime Affairs – merged with CS02 because unavailability of the site and cancelled.

General Study

- GS01 Examining the Criteria for Open Standard File Formats [\[ADD LINK\]](#)

3. Summary of Case Studies

3.1 CS01 Records Management Policies, Procedures and Systems at Kyungpook National University (KNU) Archives & Records Service Center (ARSC)

[\[if you post a new version, please add a link to the final report\]](#)

The objectives of this case study are to: 1) investigate the type and impact of policies and guidelines in managing university records; 2) examine the characteristics of recordkeeping systems that are currently in operation; and 3) identify the archival procedures for managing records at the center.

Findings

KNU-ARSC is governed by the Public Records Management Act as a national university and operates the standard records management system that Korean government agencies use in its business activities. The responsibility of KNU-ARSC is to preserve semi-active and inactive documents in its custody, which relies upon multiple accessions. All administrative staff members of each unit at KNU should fulfill requirements that address the registration, transfer and disposal of records in daily activities. All digital documents and their attachments generated by the university are supposed to be transferred to University Archival Systems within 2 years of their date of creation, including theses, periodicals, brochures and pamphlets. Paper documents of permanent or semi-permanent value are meant to be digitized according to *the Public Records Management Act*.

Recommendations

Due to the lack of budget and low priority of KNU's strategic plan, KNU-ARSC operates with minimal staff to cover activities pertaining to records management within the university. It is recommended to secure a budget in order to improve the efficiency of records management in order to better serve the users.

Since there is a significant relationship between KNU-ARSC and all units of KNU generating the records regarding the creation, transfer and collection of records, all the documents and records should be classified using the same standard classification scheme. KNU-ARSC needs to develop one standard classification scheme.

The Enforcement Ordinances of Public Records Management Act regulates that a Records Center System can retain documents no longer than 2014 after their date of creation. KNU-ARSC needs to develop specific procedures for long-term preservation by 2014. To do so, it is recommended that KNU-ARSC be equipped with an electronic system that ensures the long-term preservation of digital documents.

3.2 CS02 Policies, Procedures and Systems for Trusted Third Party Certification Authorities of Electronic Documents

http://www.interpares.org/rws/display_file.cfm?doc=ip3_korea_cs02_finale_report-v4f.pdf

The purposes of this case study are to examine the policies and procedures of ensuring the authenticity of electronic documents in Certified e-Document Authority (CeDA) and to investigate the functions of the systems and relevant tools that are used to preserve authentic records in storage.

Findings

This case study focuses on reviewing how trusted third-party certification authorities have been processed in the Korean context and how they have been implemented in electronic records systems in three repositories that are currently in operation. CeDA's main role is to enhance national e-document management capacity and to enable business firms to innovate their digital processes. The CeDA was established to provide secure infrastructure for retaining e-documents and to promote e-business by offering a transparent and reliable environment for e-document retention and exchange. To create trustworthiness for the retained e-documents, the Korean government developed acts, regulations, and technical standards that specify policies, processes, organizational and technical requirements of the CeDA facilities, work processes, and operations.

Recommendation

Since CeDA service is offered by private IT companies that need to comply with their rules and regulations, it is important to check and control if they ensure service quality as required in the rules and regulations. The Korean government needs to regulate the annual and additional regular auditing of service quality and the soundness of each operation.

3.3 GS01 GS01 Examining the Criteria for Open Standard File Formats

[ADD a LINK. I sent the final report of this general study on Feb 15]

Findings

This general study intends to examine the various criteria described in the literature in the major families in order to identify the basic requirements of appropriate file formats for long-term preservation and to access and help select the best file formats. We conducted literature review on existing studies that deal with file formats with their own criteria, including journal articles, reports, and grey literature. Identified criteria were grouped into the major four families by their commonality: autonomy, interoperability, authenticity, and functionality.

Recommendation

An examination of the appropriateness of various standards will help determine the basic requirements for choosing file formats for the long term preservation of electronic documents. In addition, it is recommended that further study on examining the criteria of being open standard file formats needs to be conducted.