



InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

TEAM Korea

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Kyungpook National University
Archives & Records Service Center**

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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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URL:

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Case Study Report

A. Overview

The InterPARES 3 Team Korea case study 01 was proposed to study Kyungpook National University Archives and Records Service Center (hereinafter “KNU-ARSC”), located on the first floor of the University Library building. The policies and procedures for ensuring preservation of authentic documents in storage was examined. Since KNU-ARSC was established on August 5, 2000, the center has been responsible for collecting, arranging, describing, managing, preserving and providing access to the administrative, historical and academic records generated and transferred by Kyungpook National University (KNU) in Daegu, Korea. In order to keep and manage official records and historical documents associated with the university, KNU-ARSC has developed its own policies, guidelines and procedures according to relevant acts and regulations through two electronic records management systems. Recently, the center has initiated a digitization project for paper records of permanent value.

Since June 2008, KNU-ARSC has participated in the InterPARES 3 Project as a test-bed partner, providing information related to the following research questions that this study intended to examine:

1. To investigate the type and impact of policies, guidelines and procedures developed for the management and preservation of university records.
2. To examine the characteristics of current recordkeeping systems.
3. To identify the archival procedures for managing records at the center.

B. Statement of Methodology

According to the procedures of the InterPARES 3 Project, the various interviews undertaken regarding the three case study survey questions – related to policy, records and systems - have been completed by the center’s archivist to construct the contextual and diplomatic analyses in the final report. Not only did KNU-ARSC give permission to two graduate research assistants to gather information by conducting interviews several times, but it also responded to the additional research questions through emails. During the interviews, the archivist provided the research team with relevant information about the policies, guidelines and procedures KNU-ARSC uses to answer survey questions.

After the information was collected, researchers consulted the acts and regulations pertaining to the operations of KNU-ARSC. These documents include: *the Public Records Management Act*; *the Enforcement Ordinances of Public Records Management Act*; *the Enforcement Ordinances of Public Records Management Act*; and *the Regulations on Business Management* that the National Archives of Korea (NAK) enacted, and *the Regulation on KNU-ARSC* that defines the governance and operation of KNU-ARSC. In addition, researchers referred to *the Detailed Regulation on KNU-ARSC* that deals with the detailed regulations and procedures with regard to the center's operation in order to manage the university's administrative, historical and academic records more efficiently. Finally, the team analyzed and reported on the results of interviews and relevant documents using contextual and diplomatic analysis methods.

C. Description of Context

1. Provenancial:

Since KNU began collecting internal and external records in March 1998, it needed archives in order to keep and manage official records and historical documents associated with the university. As the NAK enacted *the Public Records Management Act* regulating the management and preservation of official records to ensure transparent and responsible administration in all public organizations, KNU-ARSC was established in 2000 to preserve the university's records and has been subject to the act. Therefore, all kinds of documents and records created and transferred by all the departments and units at KNU must comply with *the Public Records Management Act* as well as *the Regulations on Business Management*, which the Korean government enacted for managing offices in government agencies and public institutions.

KNU-ARSC is directly governed by the President of KNU (See Figure 1) and currently consists of one director (who is concurrently the director of the KNU library), one archivist and one administrative assistant. The director of KNU-ARSC is responsible for securing its operational budget, supervising members of KNU-ARSC and establishing its own policies and regulations. Additionally, the archivist is responsible for establishing and revising *the regulation on KNU-ARSC* and *the detailed regulation on KNU-ARSC*, communicating these policies across the university and providing necessary training for administrative staff internally.

KNU-ARSC is overseen by a Management Committee that makes decisions on matters related to the records management and operations of KNU-ARSC, such as the establishment of its policies, revision of regulations and deliberation on the budget. Based on *the Detailed Regulation on KNU-ARSC*, the Management Committee follows internal policies and procedures regarding the collection, preservation and retention of KNU's records. KNU-ARSC is responsible for reporting directly to the President of KNU.

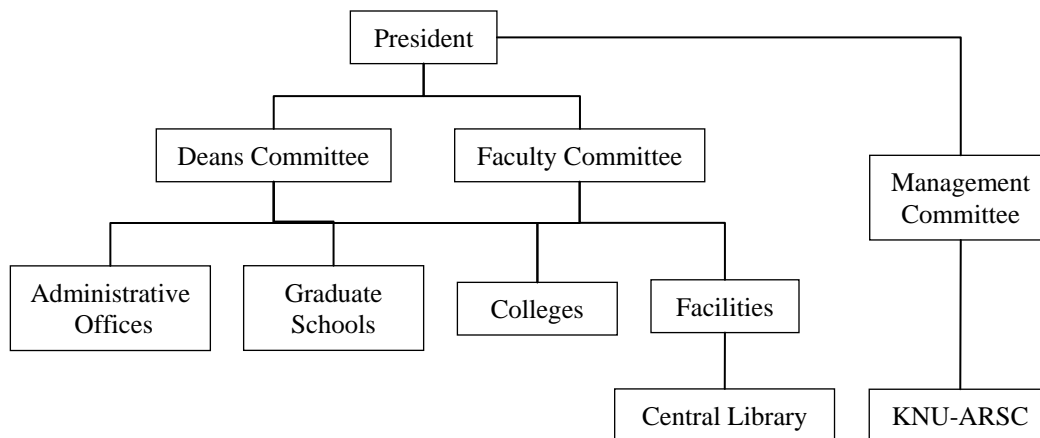


Figure 1. Organization Chart of KNU (Adopted from CS01 Contextual Analysis)

In order to support and improve educational systems and academic research at KNU, KNU-ARSC abides by the following values, as they serve a variety of users including KNU's staff members, alumni and local residents under the vision of KNU. The major responsibilities of KNU-ARSC are collecting, transferring, arranging, classifying, organizing, describing, managing and preserving all types of official administrative, historical and academic records that are generated by all the departments in KNU. KNU is committed to providing ongoing access to the records of KNU-ARSC for KNU's internal and external users, including alumni and local residents.

To fulfill its mandate, mission and policy, and to serve its users, KNU-ARSC:

- Collects, describes, preserves and provides access to KNU's records;
- Arranges the retained records at KNU-ARSC;
- Develops and controls KNU's records classification scheme;

- Develops records inventory created and transferred by all KNU units;
- Manages electronic records management systems (ERMS) at KNU-ARSC;
- Digitizes paper-based records for retrieval and browsing;
- Offers various publications in accordance with the collections and holdings of KNU;
- Manages the retention and/or disposal of the retained records at KNU-ARSC; and
- Provides training sessions on ERMS.

2. Juridical-Administrative:

In January 1999, the NAK enacted *the Public Records Management Act*, which led all public organizations to establish their own archives. According to the act, as a national university, KNU established and announced *the Regulation on KNU-ARSC* and then founded KNU-ARSC in 2000 to preserve the university's records. KNU-ARSC adheres to *the Regulation on KNU-ARSC* and *the Detailed Regulation on KNU-ARSC* in regard to governing overall management of the KNU's records and in covering the detailed policies and procedures of its operation.

In terms of creating, storing, preserving and using records, KNU-ARSC is subject to *the Regulations on Business Management* that the Korean government enacted. It is especially imperative for the university archives including KNU-ARSC to securely manage research output, to which access is restricted, and to in-progress dissertations that are in the process of patent applications, with regard to *the Copyright Act*. All private information of students and university employees that KNU-ARSC holds should be securely managed according to *the Privacy Act*. However, other official records that do not contain personal information can be made available to the public on a case-by-case basis according to *the Public Information Disclosure Act*.

3. Procedural and Documentary:

The president of KNU ensures that all concerned members of KNU are aware of records/archives policy in order to manage and preserve all administrative, academic and historical records created at KNU. Based on *the Detailed Regulation on KNU-ARSC*, KNU-ARSC enforces that each university office assigns the role of records manager to one member of its staff for the purpose of ensuring records management standards on every recordkeeping activity throughout the entire organization at KNU (article 6, *the Detailed Regulation on KNU-ARSC*).

Moreover, KNU-ARSC implements several strategies which have all the concerned parties aware of records/archives policy: by offering regular or irregular training sessions, by spreading official documents and emails, and by informing external users of records/archives policy with regard to gathering the historical records of KNU.

As the records creators, all university offices must be responsible for creating, keeping and transferring all documents and records from the planning stage to the end (to disposition). These documents and records should be classified in accordance with the standard classification scheme set by KNU-ARSC in order to ensure consistency in records management throughout all the KNU offices. KNU-ARSC has created a document classification scheme through Electronic Document System (EDS), which was developed and approved by NAK. KNU-ARSC also uses University Archives System (UAS), a standard electronic records management system in which semi-active digital documents reside. The structure and functions of UAS is standardized by government regulations so that UAS guarantees secure preservation of authentic records based on their disposition schedule and promotes efficiency in the center's records management performance.

The rules at the KNU-ARSC also regulate that the transfer and disposal of all documents and records that reach the inactive stage should immediately be transferred to the KNU-ARSC, and no that offices are entitled to dispose of any documents or records without the agreement of the KNU-ARSC. For instance, research materials should be submitted to KNU-ARSC within 2 years of their creation and documents related to university events such as pamphlets and handouts should be submitted to KNU-ARSC after the events as well.

Overall, *the Regulation on KNU-ARSC* has defined the following four general stages of records management: 1) accession, 2) arrangement and description, 3) preservation and 4) access.

- 1) In the accession stage, each university unit selects documents to be preserved and submits them to the KNU-ARSC. Each office must submit the records and documents immediately when each record reaches its inactive stage. Submitted documents are evaluated and screened by the archivist in KNU-ARSC. Documents that have preservation value will be registered in UAS.

- 2) In the arrangement and description stage, KNU-ARSC creates records groups and sub-groups according to the classification scheme approved by NAK. KNU-ARSC then describes each records group and develops finding-aids.
- 3) In the preservation stage, arranged records and documents are securely preserved in the KNU-ARSC repository. Electronic records are stored in UAS, and non-digital records are kept in the stack room. All the lists and status of retained e-records and paper records are maintained by UAS.
- 4) In the access stage, preserved records and documents are accessed and used by faculty members and students. These records and documents are also open to researchers.

4. Technological:

From a technological point of view, all the official administrative records that are created through EDS, including notices, plans, approvals, enrolment data, course data, student information, and employee information, are stored in the EDS database during their active period. When records become inactive according to retention schedule, the records are immediately transferred to UAS placed in KNU-ARSC. EDS is originally commercial software. The brand '*Handysoft*' is used by all government offices and is one of the leading electronic document management software in Korea. A UAS called '*AnyArchive*' that is purchased from a Korean software company.

On the other hand, non-digital documents including books and paper documents that need to be preserved should be submitted to KNU-ARSC, and these documents are digitized and preserved in UAS as well. From the library system to UAS, the lists of books and documents are transferred and managed in UAS. In addition, historical photographs are transferred from photo database system of the library to UAS, and then preserved in UAS. There is no question that all electronic records in UAS have metadata, which is created in either an automatic or manual way from the original contents. For instance, the document creation date, title, identification number, and the number of pages are created automatically, while publicity option and indexes are created manually (See Figure 2).

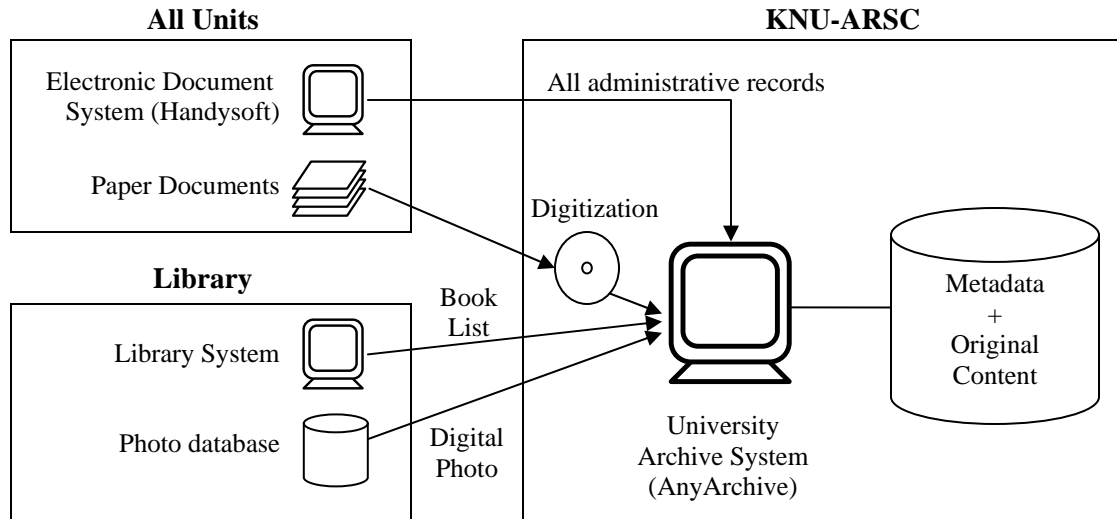


Figure.2 System architecture related to records management in the KNU (Adopted from CS01 Contextual Analysis)

The official records created by administrative staff are mostly in HWP files created with Haansoft Hangul software, which is the Korean word processing software. It was developed by Haansoft, one of Korea's leading electronic document software companies. The file formats of the electronic records created by the Microsoft Office software include MS-Word, MS-PowerPoint and MS-Excel. Paper documents created by each unit are transferred to KNU-ARSC. Various files in several formats (i.e. JPEG image or PDF) are digitized and archived. Also, digital videotapes are created through digital filming. The main digital components of the electronic records of KNU-ARSC include textual and/or graphic components created in a variety of formats as shown above. In order to prevent technological obsolescence, KNU-ARSC is doing migration on a regular basis.

D. Narrative Answers to the Applicable Set of Questions for Researchers

N/A

E. Narrative Answers to the Project's Applicable Research Questions

Since KNU-ARSC is governed by *the Public Records Management Act*, the NAK has been responsible for issuing a standard records/archives policy that regulates the management and preservation of official records for administering government agencies and public

institutions including university archives. Accordingly, KNU-ARSC is responsible for implementing the records/archives policies.

Following the Act mentioned above, KNU established and announced *the Regulation on KNU-ARSC* that defines the governance and operation of KNU-ARSC to preserve the university's records that are subject to complying with the act. *The Detailed Regulation on KNU-ARSC* deals with the detailed regulations, records management procedures, and roles and responsibilities of records managers in order to manage all the university's administrative, historical and academic records efficiently.

All of the administrative records are created through EDS that was introduced to implement standard policy and procedure established by NAK. Thus, all administrative staff members of each unit at KNU should follow and implement this policy that addresses the registration, transfer and disposal of records in daily activities. In the meantime, the archivist is responsible for communicating these policies across university units and providing necessary training and education university staff regarding records management. In case of teaching materials that are unique for the university, KNU-ARSC has established its own policies that contain general procedures similar to those of KNU.

In terms of external auditing NAK is responsible for auditing the implementation of standard records/archives policies. Internally, the general affairs section at KNU audits by its own policies periodically.

There is a significant relationship between KNU-ARSC and the records creators that are all units of KNU in regards to the creation, transfer and collection of records. According to *the Regulation on KNU-ARSC* and *the Detailed Regulation on KNU-ARSC*, all university offices must create and keep all documents and records from the planning stage to the end. These documents and records should be classified in accordance with the standard classification scheme set by KNU-ARSC to ensure consistency in records management.

KNU-ARSC operates the standard records management system (EDS) that Korean government agencies use in their business activities. All the official administrative records are created by units of KNU through the EDS, and then stored in the EDS database during the active period. When records are inactive according to the retention schedule, the records are transferred to the UAS at KNU-ARSC. Therefore, EDS and UAS have a close relationship in terms of storing, classifying, transferring and managing the records. EDS's document classification was

developed in relation to UAS's archival arrangement scheme, which was developed by KNU-ARSC and approved by NAK. In addition, both EDS and UAS share a standard metadata schema that is approved by NAK.

The intended users of all the records of KNU-ARSC are KNU's faculty members, staff, and students as well as external users, including alumni and local residents. In accordance with *the Public Records Management Act*, KNU-ARSC is committed to preserving the University's administrative, historical and academic records and to providing access to the records for the university members and local community.

The acts of creating, storing, transferring, preserving, and providing access to the university's administrative, historical and academic records are governed by *the Public Records Management Act* and *the Copyright Act*. Therefore, KNU-ARSC has custody of all KNU's records from their creation, according to the acts. In the case of a donation, KNU-ARSC needs to get permission from the donors to use the. Because of this, there is a specific form that describes the transfer of all kinds of rights and permission to use the records between donors and KNU-ARSC. KNU-ARSC pays attention to specific issues related to personal information as well. In addition, all private information of both students and university employees should be securely managed according to *the Privacy Act*. It is especially critical to securely manage the research that is in the process of a patent application.

F. Bibliography of Relevant Material

Table 1. List of rules for KNU-ARSC (Adopted from CS01 Contextual Analysis)

Title (w/ Korean)	Description	Legislator	Category
<i>Public Records Management Act</i> (공공기관의 기록물 관리에 관한 법률)	The act that regulates the management and preservation of official records for transparent and responsible administration of government agencies and public institutions.	National Archives of Korea	Act
<i>Enforcement Ordinances of Public Records Management Act</i> (공공기관의 기록물 관리에 관한 법률 시행령)	The act that includes the required details regarding the management and preservation of official records.	National Archives of Korea	Act

Title (w/ Korean)	Description	Legislator	Category
<i>Enforcement Regulations of Public Records Management Act</i> (공공기관의 기록물 관리에 관한 법률 시행규칙)	The act that includes the required details regarding the management and preservation of official records.	National Archives of Korea	Act
<i>Regulations on Business Management</i> (공공기관의 사무관리규정)	The regulations on office management of government agencies and public institutions.	National Archives of Korea	Act
<i>Regulation on KNU-ARSC</i> (경북대학교 기록관 규정)	The regulations on the overall management of university records at the Kyungpook National University.	Kyungpook National University	Bylaw
<i>Detailed Regulation on KNU-ARSC</i> (경북대학교 기록관 운영세칙)	Detailed regulations and procedures regarding the operation and management of the university's administrative, historical and academic records.	Kyungpook National University	Bylaw

G. Glossary of terms

N/A

J. Findings, Recommendations and Products

This case study was completed with substantial support from KNU in order to examine their entire records management system, which includes EDS of KNU and UAS of KNU-ARSC. Moreover, KNU-ARSC was quite generous with researchers in terms of granting access to detailed information regarding its policies and procedures so that they have found sufficient answers to their research questions. There have been beneficial findings and recommendations in terms of implementing policies and procedures based on the related acts and regulations during the project.

1. Findings & Products

As discussed above and in the previous two reports including contextual analysis and diplomatic analysis, the NAK is responsible for establishing relevant acts and regulations that govern the management and preservation of official records in government agencies and public

institutions. As a national university, KNU and KNU-ARSC must comply with acts and regulations related to records management in order to implement their own policies, procedures and guidelines. These records and documents are created through EDS in KNU and UAS in KNU-ARSC. As a result, all administrative staff members of each unit at KNU should fulfill requirements that address the registration, transfer and disposal of records in daily activities. Specifically, there are teaching materials for the university so that KNU-ARSC has established its own policy that consists of procedures associated with teaching materials se of KNU. All digital documents and their attachments generated by the university are supposed to be transferred to UAS within 2 years of their date of creation. Transferred digital entities include theses, periodicals, brochures and pamphlets. Another type of digital entity stored in the system is digitized documents. Among KNU-ARSC's holdings, paper documents of permanent or semi-permanent value are meant to be digitized according to *the Public Records Management Act*. However, the act establishes mandates that the user makes a copy of documents and keeps them with the important documents that KNU-ARSC preserves permanently.

The responsibility of KNU-ARSC is to preserve semi-active and inactive documents in its custody, which relies upon multiple accessions. Once the custody of the documents is transferred to KNU-ARSC, digital documents are re-born as new entities in UAS. This re-creation occurs by the action of input and initiates following management activities.

In the meantime, the archivist plays an important role of communicating these policies and procedures across the university, managing all the records in the systems and providing services, necessary training and, often, education about records management for the university community.

2. 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. As a result, it has not fully implemented its policies and procedures of records management. As there are many similar situations in other university Korean archives, it is imperative for them to secure a budget that 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 created through EDS and UAS should be classified using the same standard classification scheme. This scheme is set up by KNU-ARSC to ensure consistency in records management throughout the university. It is important that EDS and UAS are closely connected in terms of storing, classifying, transferring and managing the records and that they share standard metadata schema approved by NAK.

According to *the Enforcement Ordinances of Public Records Management Act* section 40, KNU-ARSC is responsible for the long-term preservation of documents as a public educational service. However, UAS does not mandate the permanent preservation of digital documents since it was initially developed as a Records Center System. The act regulates that a Records Center System can retain documents no longer than 10 years after their date of creation. In other words, KNU-ARSC needs to develop procedures for long-term preservation before year 2014 because the university started creating official digital documents in 2004. It is recommended that KNU-ARSC be equipped with an electronic system that ensures the long-term preservation of digital documents.

Finally, it would be best if KNU-ARSC collaborates and communicates with the IT department of KNU to implement policies and procedures relevant to records management. They could mutually benefit from corporative digitization and migration projects.