Karl E. Germeck. On the Road Again: Planning the Transfer of an Academic Transportation Research Library's Archival Collection to University Archives. A Master's paper for the M.S. in L.S degree. December, 2016. 54 pages. Advisor: Rebecca Vargha

So much of project planning is circumstantial. Even after the approval of a formal project proposal or plan, an unsuspecting shift in environmental factors can often alter or redirect a project's original objectives, goals, and purpose. In the face of such change it is not uncommon for members of a project team to find themselves, in a sense, "on the road again," re-evaluating and perhaps even re-envisioning the course and direction of a project. Project planning practiced in this way—as a continuous process as opposed to a single, linear stage completed prior to a project's launch—provided the small, one-person transportation research library at the University of North Carolina Highway Safety Research Center (HSRC) with a manageable way to plan and keep project documentation during a three-year period, from 2013 to 2016, that saw tremendous change to the library and its larger role at HSRC. This report documents the process of composing a project plan for transferring HSRC Library's archival collection of original research manuscripts, publications, and ephemera to UNC-CH University Archives and illustrates one way a project planner might create and keep project plan documentation within small and single-librarian environments.

Headings:

Libraries

Archives

Project management

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Small libraries

Library special collections -- Manuscripts

ON THE ROAD AGAIN: PLANNING THE TRANSFER OF AN ACADEMIC
TRANSPORTATION RESEARCH LIBRARY'S ARCHIVAL COLLECTION TO
UNIVERSITY ARCHIVES

by
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of the School of Information and Library Science
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Approved by

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We're the best of friends, insisting that the world be runnin' our way.
And our way is on the road again. [1]

—Willie Nelson, "On the Road Again"

Introduction: Project Planning as a Continuous Process

So much of project planning is circumstantial. Even after the approval of a formal project proposal or plan, an unsuspecting shift in internal or external environmental factors—such as changes in the fiscal or project budgets, personnel, the organizational structure of the larger institution, project partners, and/or leadership roles of project team members, etc.—can often alter or redirect a project's original objectives, goals, and purpose. In the face of such change it is not uncommon for members of a project team to find themselves, in a sense, "on the road again," re-evaluating and perhaps even re-envisioning the course and direction of a project. As a way to adapt to and consistently document unanticipated circumstances, Carpenter (2011) has suggested periodically revisiting and revising project plan documentation throughout the life of a project. "An effective project plan," she has written, "should become a working document, kept under review and updated in response to change" (Carpenter, 2011, p. 23). Project planning practiced in this way becomes a continuous process, as opposed to a single, linear stage completed prior to a project's launch. This recursive approach to project planning, in particular, provided the small, one-person transportation research library at the University of North Carolina Highway Safety Research Center (HSRC) with an incremental and manageable way to plan and keep project documentation during a three-year period, from 2013 to 2016, that saw tremendous change to the library and its larger role at HSRC.

Established in 1965 by the North Carolina Legislature and located on the University of North Carolina at Chapel Hill campus, HSRC is home to an interdisciplinary team of more than forty transportation safety researchers and staff whose mission is to "improve the safety, sustainability, and efficiency of all surface transportation modes".[2] The HSRC Library, since its inception in 1971 as a repository for HSRC's research publications, has operated under the direction of a full-time, professionally trained solo-librarian and has often employed a part-time assistant or Graduate Student Assistant from UNC-CH's School of Information and Library Science. It is a member of the National Transportation Library's Eastern Transportation Knowledge Network and provides in-house library services to HSRC's staff, including access to the library's transportation research collection, reference and research assistance, instruction, interlibrary loan, and document delivery.

A Library in Transition

In 2013, after conducting an initial user-needs survey and focus group with its researchers and staff, HSRC began the process of better adapting its library services to the current needs of its researchers by shifting the main responsibilities of the Librarian position from traditional collection management and reference activities to an immerging emphasis on embedded research support and electronic resource/data management. HSRC and the HSRC Library took two strategies to achieve this goal:

A. Shrink the physical footprint of the library collection, (thereby reducing the amount of time spent on traditional collection management activities and freeing up physical room for a potential collaborative space such as a Makerspace or reading room), and

B. Draft the main responsibilities of a new Embedded Research Librarian position to replace the original Librarian position.

Following an additional assessment of the library collection in the summer and fall of 2014, the HSRC Library conceived two projects that aimed to reduce the library's physical space by at least 85%: 1) the consolidation and transfer of its circulating materials to UNC-CH's University Libraries, and 2) the transfer of its archival materials, consisting of original research manuscripts, HSRC publications, and ephemera, to UNC-CH University Archives. The first of these two projects, The Library Consolidation (LC) project, was launched in September of 2014 and involved a collaborative effort with UNC-CH University Libraries to aggressively weed HSRC Library's 10,000-volume circulating collection and then transfer the remaining materials not selected for weeding to off-site storage at Triangle Research Library Network's (TRLN) Library Service Center.[3] Planning for the second project, the On the Road Again (OTRA) project, to transfer HSRC Library's archival collection to UNC-CH University Archives began a year later in the fall of 2015.

Though, by that time, the library work environment had shifted unexpectedly into a transitional state. The HSRC Librarian position became vacant, and the search for the new Embedded Research Librarian position began. A temporary, one-year Project Librarian position was approved to carry out a reduced set of daily library operations, manage the completion of the LC project, and plan the OTRA project. In addition, a Graduate Student position to assist with the completion of the LC project was approved for a six-month, non-renewable term. The conclusion of the LC project and the one-year, temporary Project Librarian position, in which the author of this paper served, coincided with the start-date of HSRC's new Embedded Research Librarian position in May of 2016. An overlap of one week between the two positions was planned but would depend

on the actual hire date. However, because the Project Librarian position held a fixed end-date, there was the possibility that there would be no overlap but, instead, a gap between when the Project position ended and the new Embedded Research position began. The opportunity to pass off and/or discuss the completed OTRA project plan and its context with the new librarian could very well not occur.

Under these tenuous circumstances, consistent and concise project documentation, or a lack there of, would have a significant impact on the eventual launch and execution of the OTRA project as well as on the success of the forthcoming transition in HSRC Library leadership. Allan (2004) has written that creating and maintaining up-to-date project documentation serves as a mechanism of accountability between project stakeholders and the project team as well as a day-to-day project management tool (p. 57). Yet, for the solo-librarian managing a major project and also responsible for overseeing daily library operations, the thought of writing and keeping formal project documentation may seem overwhelming, if not impractical. As Carty (2014) wrote, in an article appearing in a special project management issue of *Catalogue and Index*:

> It can be all too appealing to skip the [project] documentation stage. Especially when you start doing some research and see examples such as the "Project Initiation Document" in the Jisc Project Management Infokit, which includes 33 headings and is 11 pages long just as a template. (p. 18)

Selecting and adapting a project plan template appropriate to the reasons for creating the plan, the size of the project team, and the scale of the project (i.e., the number project stages, milestones, or deliverables) increases the likelihood that the process of documenting the project plan and, once launched, the progress of the project will be manageable. This report documents the process of composing a project plan for transferring HSRC Library's archival collection of original research manuscripts,

publications, and ephemera to UNC-CH University Archives and illustrates one way a

project planner might create and keep project plan documentation within small and

single-librarian environments. The literature review provides a discussion on current

project planning methods and practices within libraries, followed by a brief reflection of

the process of creating the OTRA project plan. Appendix A contains a complete copy of

the OTRA project plan.

Literature Review: Project Planning Methods and Practices in Libraries

There a number of previous reviews of the literature on project management practices within libraries. Early reviews by Winston and Hoffman (2005) and Kinkus (2007) have provided background information about project management as a discipline and, in general, investigated literature about the skills and training needed to become a successful project manager. Winston and Hoffman (2005) observed that much of the early library literature concerning project management relates to managing large-scale implementations of digital library, web-based, and information-systems projects (p. 55). More recently, Feeney and Sult (2011) and Horwath (2012) categorized the increasing body of library literature about project management into the following three areas of study:

A. Project management skills and training/education for ILS professionals
B. Project management tools and techniques, and
C. Project management methods and best practices for specific types of library projects

Horwath (2012), in her review, also confirmed that most of the literature tends to address the project management processes of large-scale, multi-team projects at large academic libraries (p. 3). "Little," she wrote, "is written about [project management] methodologies used at smaller libraries or the appropriate PM tools to use for small library projects" (Horwath, 2012, p. 29). In addition to her own study, which investigated project management practices across a variety of library environments, Horwath has suggested

that future investigations could more directly explore the practices of specific project management processes within libraries, such as monitoring and controlling a project (p. 30). This literature review, in taking Horwath's suggestion to focus on one specific project management process, first provides a short comparison of the two predominant project management methodological frameworks often applied to library projects and then examines specific processes and documentation libraries commonly use to plan projects discussed within the literature.

Project Management Methodological Frameworks

The two predominant project management methodological frameworks discussed in the library literature are the U.S. based Project Management Institute's *Project Management Body of Knowledge* (PMBOK) and Great Britain Office of Government Commerce's *PRojects IN Controlled Environments* (PRINCE2). Horwath (2012) has provided an excellent review of past library projects and studies making use of either PMBOK or PRINCE2. Black (1996), Winston and Hoffman (2005), Riggs (2006), Kinkus (2007), Cervone (2007), Marill and Lesher (2007), and Revels (2010) have provided introductions to PMBOK, while Dickson et al. (2003), Allan (2004), and Carpenter (2011) have discussed PRINCE2. Although these articles provide background information about either PMBOK or PRINCE2, none discuss the details of each method together. It is worthwhile, then, to provide a short synopsis of both frameworks as they relate to the project planning process and the creation of project planning documentation.

PMBOK consists of five project management process groups: Initiation, Planning, Execution, Monitoring/Controlling, and Closing (Cervone, 2007; Greene, 2010; Riggs, 2006; Marill and Lesher, 2007; Revels, 2010). There are forty-four sub-processes divided

amongst these five process groups, and twenty of these sub-processes, as shown in fig. 1, are dedicated to the project planning process. The Planning process group is defined in the PMBOK guide as "those processes required to establish the scope of the project, refine the objectives, and define the course of action required to attain the objectives that the project was undertaken to achieve"; together, these twenty planning processes produce "the project management plan and the project documents that will be used to carry out the project" (Project Management Institute, p. 39, 46). The PRINCE2

PMBOK – Project Management Processes

1. Initiation
2. Planning
3. Execution
4. Monitoring/Controlling
5. Closing

PMBOK – Project Planning Process Group [Subprocesses]

1. Develop Project Management Plan
2. Collect Requirements
3. Define Scope
4. Create Work Breakdown Structure (WBS)
5. Define Activities
6. Sequence Activities
7. Estimate Activity Resources
8. Estimate Activity Duration
9. Develop Schedule
10. Estimate Costs
11. Determine Budget
12. Plan Quality
13. Develop Human Resources Plan
14. Plan Communications
15. Plan Risk Management
16. Identify Risks
17. Perform Qualitative Risk Analysis
18. Perform Quantitative Risk Analysis
19. Plan Risk Responses
20. Plan Procurements

Figure 1. PMBOK PM Processes and Project Planning Process Group.

PRINCE2 – Project Management Processes

1. Directing a Project
2. Starting up a Project
3. Initiating a Project
4. Controlling a Project Stage
5. Managing Product Delivery
6. Managing Project Stage Boundaries
7. Closing a Project
8. Planning

PRINCE2 – Project Planning Process Group [Subprocesses]

1. Designing a Plan
2. Defining and Analyzing Products
3. Identifying Activities and Dependencies
4. Estimating
5. Scheduling
6. Analysing Risks
7. Completing a Plan

Figure 2. PRINCE2 PM Processes and Project Planning Process Group.

framework, more so than PMBOK, places importance on the products produced by a project. As Dickson et al. (2003) have written: "PRINCE2 is end-product-based, which means the project process focuses on the delivery of results – not simply on planning when the various activities in the project will be completed" (p. 71). PRINCE2 consists of eight project management processes and seven planning sub-processes, as shown in fig. 2 (Bentley, 2006, p. 3-7). Cervone (2007) and Bentley (2006) both advise that any methodology used should be adapted to the project's environment and goals.

Project Planning Processes

Horwath's (2012) observation that formal project management methodologies are adapted and practiced informally within libraries is echoed in the projects discussed by Greene (2010) and by Mair and Shrauger (2014). Although Greene (2010) stated that the initiation and establishment of an institutional repository at the University College Dublin Libraries was not explicitly planned using a standard methodology, he did demonstrate how the five PMBOK process groups "were at work [during the project], even if implicitly" (p. 103). Mair and Shrauger (2014), in developing a plan for their project at the University of Florida, relied primarily on the use of project management tools to consider the project's internal/external environment, goals, staffing, cost, and implementation logistics (p. 6). For example, they discussed the results of a user needs assessment, stakeholder analysis, scalability action plan, and Gnatt chart. They did not, however, mention creating a formal project plan document. Similarly, Weaver and Stanning (2007) described using techniques and tools such as creating a business case, a project definition matrix, and conducting a stakeholder analysis in planning a large-scale, multi-project team reclassification project at St. Martin's College. While not given in

great detail, project plans for each of the project groups were created prior to the implementation of the project (Weaver & Stanning, 2007, p. 65).

Barba and Perrin (2010) emphasized the importance of communication during the development and implementation of a project. "The most important part of project planning," they wrote, "is the people" (Barba & Perrin, 2010, p. 19). They have identified the project sponsor, project manager, and stakeholders as primary facilitators of the project planning process. The project sponsor is a "super customer" who acts as the champion for a project and "is guardian of expectations and defines the parameters of [project] success or failure" (Barba & Perrin, 2010, p. 19). The project manager, on the other hand, is responsible for realizing and executing the purpose and goals of a project— as envisioned by the sponsor. The project planning processes starts by assigning a project sponsor and project manager; a project team is formed and communication occurs between the sponsor and the project manager about the purpose and goals of the project. An initial project team meeting is then held in which the project team begins the process of developing three official planning documents: a) a *definition document* containing a description of project goals, completion criteria, limitations, and deliverables/outcomes, b) an *estimation of work or timeline* outlining tasks and specific task-responsibilities held by each project team member, and c) a *risk management plan* establishing a strategy for minimizing project risks (Barba & Perrin, 2010, p. 19).

Feeney and Sult (2011) discussed the University of Arizona (UA) Libraries' adoption of the PMBOK framework and appropriation of Brigham Young University's (BYU) Project Management Process Guide as a model for implementing system-wide portfolio and project management procedures. Similar to the process described by Barba

and Perrin (2010), UA Libraries begin the planning process by assigning a project

sponsor who appoints a project manager. The project manager forms a project team and,

together, the team creates a definition document addressing the project's objectives,

deliverables, and constraints relating to scope, schedule, and resources (Feeney & Sult,

2011, p. 752). Once the definition document is completed, the team holds an open

meeting with project stakeholders to discuss and refine the project deliverables. The team

then creates a Work Breakdown Structure (WBS), "[identifying] the specific tasks that

need to be accomplished to complete each of the project's deliverable" (Feeney & Sult,

2011, p. 753). Feeney and Sult reported that the WBS can be created by writing out a

simple list; through UA's own experience, though, they found project management

software (e.g., Microsoft Project) very helpful in creating the WBS (p. 753). A list form

of these same steps is as follows (Feeney & Sult, 2011, p. 756):

1. Validate the project's scope and approach
2. Create a work breakdown structure for the expected outputs that were given to the team in the project charge
3. Create a preliminary resource schedule
4. Create an implementation plan (with timelines and deliverables embedded in the work breakdown structure)
5. Create a risk management plan
6. Hand the implementation plan off to an implementation team

Kass (2003) applied an Agile approach to the project planning process, in which

the project plan is developed by the project team over numerous project planning

sessions. Kass's (2003) suggestions for project planning are specific to IT contract

situations, where an organization hires a third-party consulting team to plan and

implement a project. Kass (2003) has outlined four steps in planning a project (p. 52):

1. Understand the requirements
2. Define the project
3. Plan the high level
4. Plan the detail level

Instead of beginning the process by forming a project team, Kass (2003) has

recommended creating a *Statement of Requirements* document; this involves

communicating with the management, business, technical units within the organization to

come to a formal agreement with the contracting firm on the goals and end-product of the

project (p. 53). Kass (2003) argued that creating this document allows the contracting

firm to better understand how adjustments in time, cost, and scope impacts the proposed

requirements. He wrote: "Increase any one [of these factors—time, cost, or scope] and

you probably have to decrease another" (Kass, 2003, p. 53). It is in the second, *define the*

project, stage that Kass (2003) has suggested assigning a project manager and

establishing a project team. The *plan the high level* step involves holding project planning

sessions and composing a project plan, which consists of major milestones (i.e., project

start/end dates, project deliverable specifications). A copy of the project plan is then sent

to all the project stakeholders. In the last step of planning, *plan the detail level*, the

project plan is extended to include the step-by-step milestones for project implementation

and risks related to the project are considered. A final planning session is held in which

task responsibility is assigned. Lastly, a detailed estimate of the project's cost is

produced, a cost summary is sent to stakeholders, and project resources are purchased

(Kass, 2003, p. 53).

Project Planning Documentation

Allan (2004) in *Project Management: Tools and Techniques for Today's ILS*

Professionals, discussed two types of project plans: a Project Specification, for large

projects, and a Simple Project Plan for small projects. A project specification is a multi-

page document often used for large projects "involving different units, departments or organizations" and may include the following twenty-one headings (Allan, 2004, p. 56):

- Introduction
- Purpose
- Background
- Goals and objectives
- Strategy
- Description of main activities
- Project schedule
- Resources
- Finance
- List of staff and their involvement
- Connections to other activities
- Transitional arrangements
- Communication strategy
- Management structure
- Reporting schedule
- Risks
- Quality standards, processes and procedures
- Intellectual property, patents and licenses
- Insurance
- Distribution list
- Formal approval (signature, name, date)

For smaller projects, Allan (2004) has recommended a one- to two-page simple project plan consisting of a project brief, which serves as a project proposal during the project initiation stage, and the following additional headings (p. 33-34):

- Project brief
  - *Title of project*
  - *Aim of project*
  - *Main project outcomes*
  - *Rationale of project*
  - *Project stakeholders and how they will benefit from project*
  - *The scale of the project: time period, number of staff, resource requirements*
  - *Project milestones (key stages in the project process)*
- Project brief, continued
  - *Potential risks and how they may be managed*
  - *Proposed project team*
  - *Relationship between this project and other projects*
- Action plan
- Details of staffing implications
- Financial requirements
- Risk analysis

Black (1996) and Webb (2001) provided a comparable, but slightly smaller list of required project plan elements (p. 38; p. 17-18):

- Definition document with names, aims, objectives and scope
- Lists of tasks descriptions and deliverables
- Project schedule – one or all of Gantt chart, CPA network diagram, Pert Chart

- Critical path of tasks showing duration of individual tasks and the entire project List of staff to be involved in the project work and the amount of input they have
- Other resources such as equipment
- Cogent financial estimates
- Management structure
- Reporting schedule

In this case, the first heading, "project definition document," functions very similar to Allan's (2004) project brief.

Atkins and Kruger (2005) reported in a book-length, Association of Research Libraries (ARL) SPEC Kit on the results of a survey that investigated project management processes and activities of large, system-wide projects undertaken at ARL-member libraries. 73 % of the survey's respondents (thirty-six of fifty-five ARL-member organizations) claimed to have created and documented formal project plans/proposals, which commonly included the following sections (Atkins & Kruger, 2005, p. 10):

- project definition and scope
- goals and objectives
- resources
- project timeline

- project budget
- expected outcomes
- necessary tasks
- implementation strategy

In addition to the survey results, the SPEC Kit also includes samples of official project documentation (i.e., planning, implementation, and assessment reports) submitted by the respondents as well a very helpful appendices, which includes a bibliography and helpful online resource related to project management within libraries (Atkins & Kruger, 2005).

Thomas et al. (2000) presented their project proposal for the development of a pilot electronic reserve services program at Virginia Commonwealth University. Although they did not mention employing a specific methodology to guide the creation of

the proposal, they did include the following headings within their proposal: a) background, b) objectives, c) scope, d) and budget (Thomas et al., 2000). Thomas et al. (2000) also added a few project-specific headings and sub-headings within their proposal: a section covering intellectual property management and a "royalties" sub-section under the budget heading.

German (2009) has provided general PMBOK guidelines for developing a project plan and breaks the process of creating the plan into two steps: 1) conceptualizing the project, and 2) composing the project charter. But, before beginning this process, she has first suggested considering how closely aligned the proposed project is to the larger organization's mission statement/strategic plan and how the priority level of the proposed project compares to the level of priority of current and other possible projects (German, 2009, p. 7). German (2009) stated that during the conceptualization phase one formulates the project's purpose and recommended asking why-based questions. "It is in this phase," she wrote, "that you examine what you are trying to achieve or what problem you are trying to solve. Is there a new service you want to implement? Why?" (German, 2009, p. 8). The next step is to compose the project plan, which German (2009) has referred to as the "project charter." She has defined the charter as a document that "details the definition, scope, and resources needed to carry out the project" (German, 2009, p. 8). German (2009) has also suggested, like Allan (2004), that a project charter for a small project may not need to exceed more than a page or two, while charters for large projects are often longer, multipage documents. And like Cervone (2012a), German (2009) has emphasized that the charter can be shaped to meet the individual needs of a project.

German's Project Charter

Purpose: A high-level definition of the
  project.

Overview: The rationale for the project, the
  project's goals, and a high-level
  description of project objectives.

Scope: Additional details about specific goals
  and objectives and a definition of what is
  out of scope for the project.

Specific Statements of Work: What needs to
  be done when and by whom.

Communication Plan: The mechanism for
  updating people on project progress (i.e.
  who needs to be updated and how).

Project Deliverables: The key milestones of
  the project and key delivered products
  that confirm achievement of those
  milestones.

Project Schedule: A timeline of the overall
  project, including dependencies.

Project Budget: How much the project will
  cost and when the costs will be incurred.

Project Risks: Constraints or risks that may
  affect project completion.

Figure 3. L. German's (2009) Project Charter Template.

German (2009) provided a list of major components of a project charter, as shown in fig.

3, which include the following: purpose, overview, scope, specific statements of work,

communication plan, project deliverables, project schedule, project budget, and project

risks (p. 8).

Cervone (2012a; 2012b; 2012c), in a series of three articles, has provided the

most comprehensive discussion about the components of a project plan. He has

maintained that regardless of the project management methodological framework one

chooses to use during implementation, a project plan should at the minimum contain the

following five primary headings (Cervone, 2012a):

1. Purpose, goals, and objectives
2. Scope and risk assessment
3. Project products and deliverables
4. Assumptions and constraints
5. Project methodology and management

Cervone (2012a) pointed out, though, that specific project management methodologies

may impact the level of detail for each section of the project plan (p. 76).

The *purpose, goals, and objectives* section functions as the project plan's

introduction and explains the motivations for initiating the project, articulates the

project's aims and objectives (Cervone, 2012a). The goals and objectives of the project

should be written so that they complement those expressed within the larger

organization's strategic plan. "Making this connection," wrote Cervone (2012a), "is a

critical component in selling the plan to the institution as a whole because if this

connection cannot be made, it makes it difficult to justify the institutional investment in

the project" (p. 76). Cervone (2012a) has also recommended that the *purpose, goals, and*

objectives section begin with background information addressing the environmental

changes within the organization that have influenced project initiation and of any prior or

current initiatives related to the proposed project. "By including these elements," he has

written, "the project plan may more effectively explain the rational and reasoning for

engaging in the project, especially to constituencies that are not as intimately familiar

with these issues as the project team and sponsor may be" (Cervone, 2012a, p. 76).

The *scope and risk assessment* section outlines the work (stages and tasks)

required to complete the project, which may include explicitly describing the tasks and

activities that fall "out of scope" and thus excluded from the project (Cervone, 2012a).

Cervone (2012a) wrote, "defining the work to be done during the project is the main

focus of the scope statement. In some cases, it may make sense for the scope definition to

define what is not included in the project" (p. 77). This section also often includes an

estimated cost of the project (i.e., materials, staffing hours) as well as a risk assessment

statement. The *project products and deliverables* section includes descriptions of

products produced during the project. These items may either take the form of a tangible

object or intangible result, and should be the direct end result of a project's goals and

objectives (Cervone, 2012b). "Making this connection [between a project's

goals/objectives and a project deliverable]," wrote Cervone (2012b), "is a critical

component because if this connection cannot be made, it is difficult to justify institutional

investment in the project" (p. 126). In addition, each deliverable described in a project

plan should have a corresponding milestone date attached to it. Cervone (2012b) has

defined milestones as "checkpoints for measuring the progression of a project as they are

the points in a project where a significant product or result can be demonstrated" (p. 126).

Milestones are also helpful in tracking project cost estimates and project completion

(Cervone, 2012b).

The *assumptions and constraints* section addresses the contextual factors (i.e.,

internal and external work environment) that shape the parameters of a project's purpose,

scope, deliverables, and outcomes (Cervone, 2012b). Cervone (2012b) has recommended

considering how such factors and assumptive decisions impact the development of work

schedules and deliverable timelines, project funding, resource availability in relation to

other projects and regular business processes (p. 128-29). The last section of the project

plan, *methodology and management*, provides context to any methodological frameworks or tools being used to monitor quality assurance (Cervone, 2012c). Cervone (2012c) has encouraged the creation of a schedule for reviewing project progression, endorsed the use of such traditional project management tools as a Work Breakdown Structure (WBS) to help ensure quality assurance, and suggested assigning quality management roles and outlining the inclusion of performance/quality standards and necessary staff training (p. 177-78).

Carty (2014), in one of the very few articles from the library literature addressing documentation for small projects, provided an example template for a one-page project summary document. She has asserted that limiting the document to one page "offers an opportunity to really think about the purpose of the project" (Carty, 2014, p. 19). Carty wrote:

> The process of distilling down the essence of the project into a simple, short (ideally one-sentence) objective statement is incredibly helpful. By removing the local shorthand and jargon, this statement can become a powerful tool in communicating to management or colleagues about what you are trying to achieve. (p. 19)

Carty's (2014) template—based on an excellent slideshare presentation presented at the 2011 Digital Library Federation Forum by Tito Sierra[4]—includes six headings: a) project name, b) project objective, c) project deliverables, d) scope, e) milestones, and f) team (p. 18).

Reflection: Facilitating a Culture of Documentation at HSRC Library

As a young librarian, the opportunity to plan a future project while at the same time manage the completion of a current project reinforced, for me, the circular nature of project management and project planning processes. Specifically, the process of designing and composing a project plan template for the On the Road Again (OTRA) project greatly influenced how I chose to keep and update the existing project documentation for the HSRC Library Consolidation (LC) project. Over the course of planning the OTRA project and completing the LC project, the LC project document underwent numerous revisions and updates in response to progress in reaching project milestones, time constraints, and changes to members of the project team, project partners, and requirements for completing specific milestones. By the time the LC project was completed and the OTRA project plan approved in May of 2016, the LC project's original, one-page project brief had expanded into an eleven-page, hyper-linked document, its organizational structure corresponding to that of the OTRA project plan. Together, both project documents serve as one potential model for organizing and keeping future documentation at HSRC Library.

The Planning Process

The OTRA project plan was composed and compiled over a four-month period, from October 2015 to January 2016. Its proposed project team consists of two primary

members: the HSRC Embedded Research Librarian, as the project manager, and a part-

time Graduate Student Assistant as the primary executioner of the project; the team also

includes two internal HSRC project sponsors and one project coordinator from UNC

University Archives. Consultations with both the project sponsors and UNC-CH

University Archives occurred prior to composing the plan. After the plan was reviewed

by UNC University Archives in April of 2016, the plan underwent a second revision

process followed by its preliminary approval by the HSRC OTRA project sponsors in

May of 2016. Initially, the plan had one primary function: as a traditional project

document, outlining and detailing the steps necessary to meet the project's purpose,

complete its milestones, and ensure quality insurance of project deliverables. As the

project plan developed and took shape, it also became a place (mainly in the form of

footnotes and hyperlinks) for documenting the recent institutional memory of the library

and the major transition the library and the librarian-role were undergoing. In preparation

for drafting the plan, I first weighed and considered the following series of questions

related to a) the plan's methodology and template design, b) work plans and project-

tracking tools, and c) project- and milestone-specific documentation, and then, in

considering each, I created an Environmental Factors Decision Chart (as seen in fig. 4) to

guide the design of the plan:

- Template Design
    - *How closely should the plan correspond (in methodology and template design) to the project plan for the Consolidation project?*
    - *Are there project plan templates specifically suited for small projects?*
    - *What headings or sections should be included—which seem most appropriate to the On the Road Again project?*
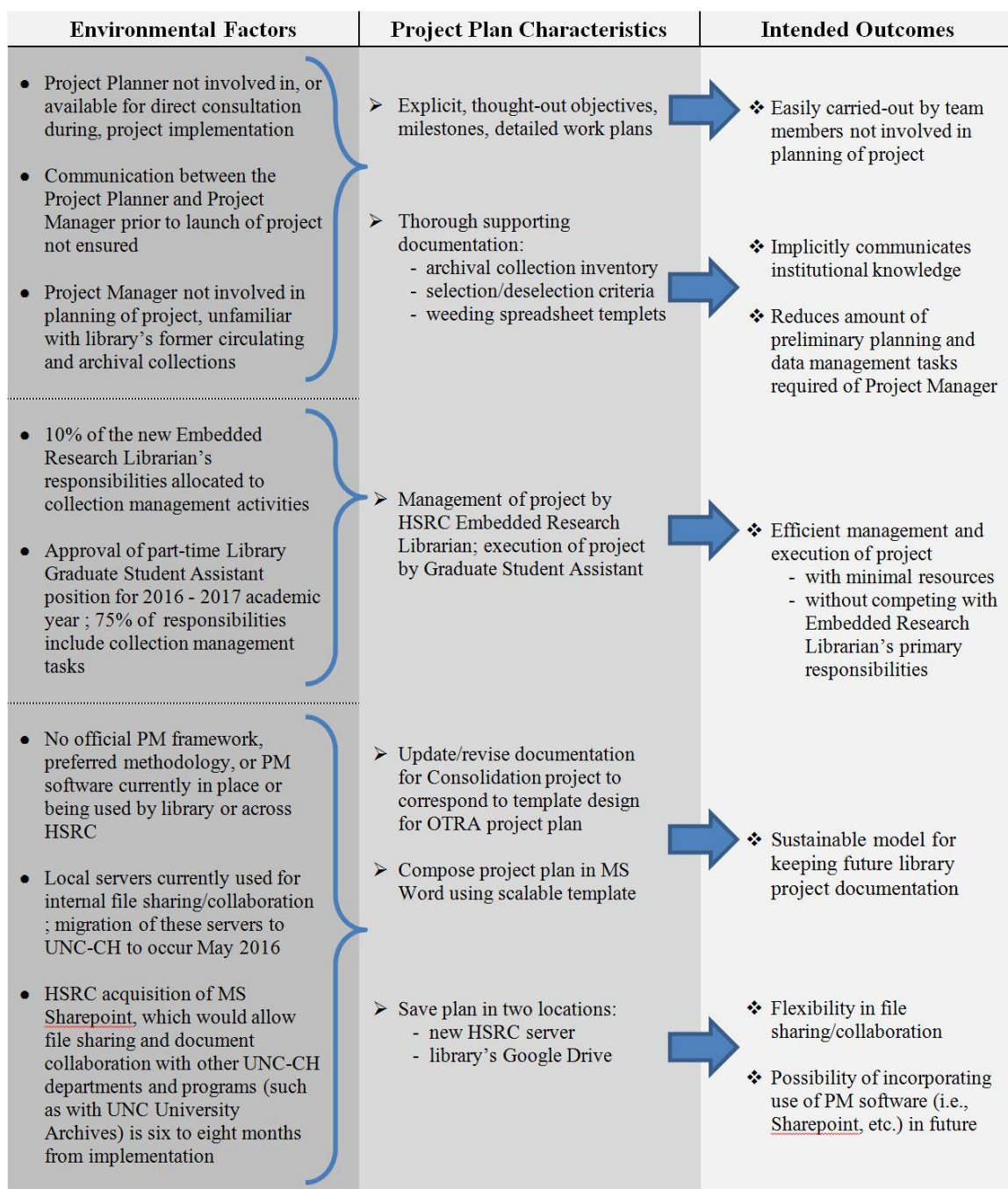
Environmental Factors	Project Plan Characteristics	Intended Outcomes

• Project Planner not involved in, or available for direct consultation during, project implementation
 	
• Communication between the Project Planner and Project Manager prior to launch of project not ensured
 	
• Project Manager not involved in planning of project, unfamiliar with library's former circulating and archival collections
	➢ Explicit, thought-out objectives, milestones, detailed work plans
	
	➢ Thorough supporting documentation:
	  - archival collection inventory
	  - selection/deselection criteria
	  - weeding spreadsheet templets
		❖ Easily carried-out by team members not involved in planning of project
		
		❖ Implicitly communicates institutional knowledge
		
		❖ Reduces amount of preliminary planning and data management tasks required of Project Manager

• 10% of the new Embedded Research Librarian's responsibilities allocated to collection management activities
 	
• Approval of part-time Library Graduate Student Assistant position for 2016 - 2017 academic year ; 75% of responsibilities include collection management tasks
	➢ Management of project by HSRC Embedded Research Librarian; execution of project by Graduate Student Assistant	❖ Efficient management and execution of project
		  - with minimal resources
		  - without competing with Embedded Research Librarian's primary responsibilities

• No official PM framework, preferred methodology, or PM software currently in place or being used by library or across HSRC
 	
• Local servers currently used for internal file sharing/collaboration ; migration of these servers to UNC-CH to occur May 2016
 	
• HSRC acquisition of MS Sharepoint, which would allow file sharing and document collaboration with other UNC-CH departments and programs (such as with UNC University Archives) is six to eight months from implementation
	➢ Update/revise documentation for Consolidation project to correspond to template design for OTRA project plan
	
	➢ Compose project plan in MS Word using scalable template
	
	➢ Save plan in two locations:
	  - new HSRC server
	  - library's Google Drive
		❖ Sustainable model for keeping future library project documentation
		
		❖ Flexibility in file sharing/collaboration
		
		❖ Possibility of incorporating use of PM software (i.e., Sharepoint, etc.) in future

Figure 4. OTRA Project Plan Environmental Factors Decision Chart.

- Work Plans, Project Communication, and Project-tracking Tools
  - *Should I consider using Project Management software?*
  - *How will project communication occur within the project team? With project partners (i.e., with UNC University Archives Transfer Coordinator)?*
  - *Should I include a formal Gantt chart, Work Breakdown Structure (WBS), workflow diagrams, and/or other organization, team management, and project-tracking tools?*
  - *How extensive and detailed should the work plans be? Should they be described How detailed should the descriptive steps for each major milestone be—at a very basic, high level or described at a low level?*

- Project- and Milestone-specific Documentation
  - *Are there parts of the project (such as spreadsheet templates, selection/weeding criteria) that I can complete and include within a set of appendices as a part of the plan?*

Planning Methodology, Design, & Template

While the planning of the OTRA project did not follow a formal methodological framework, the environmental factors outlined in fig. 4 heavily influenced the shape of the project and the components of the project plan. For comparison, because the planning of the LC project took place within a relatively stable work environment, the LC project team adopted an informal, plan-as-you-go method for managing the project.[5] In contrast, due to the shifting priorities and practices of the HSRC Library at the time of planning the OTRA project, the temporary nature of the Interim Librarian position, and the project management resources available, all of the components of the OTRA project plan were completed prior to the project's proposed approval date and compiled together into a single document. Project milestones are clearly defined and work plans for completing each milestone are detailed and descriptive.

The nineteen-page OTRA project plan consists of two main sections: A) a two-page project brief and B) a set of appendices containing i.) a one-page list of the

OTRA Project Brief Template

1. **Project Name***
   Unique name describing the project

2. **Objectives***
   One-sentence description of the project's aim(s)

3. **Background**
   Multi-sentence, contextual description of the rationale of the project

4. **Assumptions**
   List of the contextual factors that shape the parameters of the project's purpose, scope, deliverables, and outcomes

5. **Requirements*** *[Milestones]*
   High-level outline of the steps required to complete the project

6. **Out of Scope***
   List of items the project will explicitly not achieve

7. **Materials**
   Items and resources (not allocated as part everyday operations) that are required to complete the project

8. **Project launch**
   The Proposed start date of the project

9. **Team***
   List of the project team members and the role each member fulfills

10. **Schedule*** *[Project Deliverables]*
    Timeline of proposed deadlines for completing each project milestone, with fields for proposed start date, proposed end date, and duration

11. **Project Tracking Sheet**
    List of the steps required to complete each of the project's milestones, with fields for tracking the status, start date, end date, and duration of each step

12. **Project Plan Appendices**
    Hyperlinked list of supporting documentation compiled with the plan but not included as a part of the two-page project brief

Fig. 5. OTRA Project Brief Template.

descriptive steps required to complete the project's three major milestones and related

deliverables (e.g., a Work Breakdown Structure), ii.) a preliminary inventory of HSRC

Library's archival collection, and iii.) a set of three descriptive and detailed work plans

for completing each of the project's three milestones. The project brief, modeled after

Carty's (2014) adaption of Sierra's (2011) "project one-pager," includes twelve headings,

as shown in fig. 5. [6] The *Background* and *Assumptions* sections were helpful in providing

contextual information related the project's partnership with UNC University Archives,

its relationship to the LC project, and the larger transition occurring with the HSRC

Library. The *Out of Scope* section aided in preventing "scope creep" and also became an

appropriate place to list tertiary activities that could potentially be small, one-off projects

in the future. Lastly, as a way to provide managerial space for tracking the progress of the

project and making revisions to the plan, I left a number of the headings less detailed than others. The *Project Launch, Team, Schedule,* and *Project Tracking Sheet* headings, for example, have been left for the project team to monitor and fill in.

Notes

[1] From "On the Road Again" by Nelson, W. (1980). On *Honeysuckle Rose: Music from the Original Soundtrack*. Columbia.

[2] See HSRC's website at http://www.hsrc.unc.edu/ to learn more about its mission, programs, and research.

[3] The HSRC Library Consolidation (LC) project was launched in September of 2014 and completed in May of 2016. The two primary members of the LC project team consisted of the HSRC Librarian (as the project manager) and a part-time Graduate Student Assistant; the team also included two internal HSRC project sponsors and four external project coordinators from UNC-CH University Libraries. From September 2014 to May 2015, the author served on the LC project team as the part-time Graduate Student Assistant; then, as HSRC's Project Librarian, the author managed the LC project from June 2015 to its completion in May of 2016.

[4] See Sierra (2011).

[5] The original, one-page (front-to-back) Library Consolidation project brief contained five headings: a multi-sentence project *Objective*, a list of *Requirements*, items identified as *Out of Scope* for the project, a list of *Team* members, and a *Schedule* of project deadlines. Project milestones were loosely defined; descriptive work plans and workflow/decision diagrams were drafted just prior to the launch of each milestone.

[6] Asterisks indicate headings adapted/re-named from Carty (2014).

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Appendix A: On the Road Again Project Plan

On the Road Again:

The Transfer of HSRC Library's Archival Collection to UNC-CH University Archives

Project Documentation

May 20, 2016

Prepared by:
Karl Germeck, Project Librarian

Contents

On the Road Again Project Brief

Objectives

The transfer of HSRC Library's archival collection (HSRC research publications, annual reports, scrapbooks) to UNC-CH University Archives aims to ensure the collection's long-term preservation and will improve the awareness of and access to HSRC's scholarly legacy in highway safety research.

Background

The motivation for initiating the transfer of HSRC Library's archival collection to UNC-CH University Archives originated during the recently completed Library Consolidation Project, which has resulted in a 97% reduction of the library's physical footprint. The archival collection was marked out of scope for the Consolidation Project. However, transferring the archival collection to an appropriate UNC-affiliated repository for long-term care and access remains a high-priority.

Assumptions

a) A records management liaison relationship between HSRC library and University Archives has been recently established.
b) There is a current and accurate folder- and box-level inventory of the archival collection's three principal sub-collections (publications, annual reports, scrapbooks).
c) The collection has been appraised and pre-approved for transfer by the UNC-CH University Archives Records Services Archivist.
d) UNC-CH University Archives has an access policy and procedures in place for retrieving and accessing items (which includes services such as making and requesting copies of an item).
e) No formal library policy outlining the criteria and procedures for transferring research publications to, or retrieving/accessing HSRC material from, University Archives currently exists.

Requirements

1. **Develop a decision tree** (informed by selection criteria) that guides weeding and location decisions for all items in collection.
2. **Weed the HSRC Manuscripts & Publications series and assign future location of each item** (either to be transferred to UNC-CH University Archives, included with the consolidated items sent to LSC, or retained and kept within HSRC's future reading room).
3. **Properly prepare HSRC Library's Archival collection for transfer to UNC-CH University Archives.**

Out of Scope
- Weeding and transferring HSRC's photographic collection
- Appraising and weeding HSRC Library's media materials (35mm film, CDs, VHS)
- Revising and updating citations to the HSRC Research Bibliography
- Creating an official policy for transferring future HSRC publications to UNC-CH University Archives

Materials
- Banker's Boxes, 12″ x 15″ x 10″ (Staples Item # 825695)
- (Non-hanging) file folders

Project Launch: TBA

Team

Member	Position	E-Mail	Project Role
	HSRC Head of Communications		Project Sponsor
	HSRC Director		Project Sponsor
	HSRC Embedded Research Librarian		Project Manager
	HSRC Library Graduate Assistant		Project Assistant
	UNC-CH University Archives Records Services Archivist		Transfer Coordinator

Schedule

Milestone #	Milestone	Prop. Start Date	Prop. End Date	Duration
Milestone 1	Create Decision Tree Diagram			
Milestone 2	Weed Publications series			
Milestone 3	Prepare collection for transfer			

Project Tracking Sheet

On The Road Again Project Tracking Sheet								
Milestone #	**Milestone**	**Step #**	**Step Name**		**Step Satus**	**Start Date**	**End Date**	**Duration**
Milestone 1	Create Decision Tree Diagram	1.1	Create a list of selection/deselection criteria		Completed	6/1/2015	6/8/2015	1 week
		1.2	Create a decision tree digram					
Milestone 2	Weed Publications Series	2.1	Create Excel workbook for tracking weeding process		Completed	10/2/2015	10/7/2015	1 week
		2.2	Deselect items that do not qualify as HSRC publications					
		2.3	Consider deselected items for bibliography collection					
		2.4	Discard remaining deselected items					
Milestone 3	Prepare Collection for Transfer	3.1	Record archive inventory on University Archives transfer sheet					
		3.2	Weed copies of items that have 3 or more duplicates					
		3.3	Re-folder, box, and label collection with apprpriate series titles					

Project Plan Appendices

Appendix A – Milestones & Work Requirements
Appendix B – HSRC Library Archival Collection Inventory
Appendix C – Milestone 1: Decision Tree Diagram & Selection/De-Selection Criteria
Appendix D – Milestone 2: Manuscripts & Publications Series Weeding Workflow
Appendix E – Milestone 3: Transferring HSRC Library's Archival Collection to UNC-CH
　　　　　University Archives

Appendix A – Milestones & Work Requirements

Milestone 1. Create Decision Tree Diagram

Step 1. Create a list of criteria for selecting items for transfer.
Step 2. Create a decision tree diagram that illustrates the step-by-step process for weeding the publication collection.

Milestone 2. Weed HSRC Manuscripts & Publications Series

Step 1. Create a master Excel workbook containing two spreadsheets for tracking the selection, de-selection, and final location decisions of items identified as a) HSRC publications and b) publications authored by current or previous HSRC researchers.
Step 2. Using the recommended HSRC Publication Selection/De-selection Criteria in Appendix C, separate out those items that do not qualify as HSRC publications from the hanging folders and the un-inventoried items.
Step 3. If the deselected items qualify as HSRC researcher publications, consider adding them to the HSRC Research Bibliography collection.
Step 4. Discard items that do not meet either selection criteria as an HSRC publication or as an HSRC researcher publication.

Milestone 3. Prepare HSRC Library's Archival Collection for Transfer to UNC-CH University Archives

Step 1. Record the inventories of each of the three series within HSRC Library's archival collection on UNC-CH University Archives transfer sheet.
Step 2. Weed contents of more than two duplicates of each item.
Step 3. Re-folder and box collection according University Archives transfer guidelines.

Appendix B – HSRC Library Archival Holdings Inventory[1]

The HSRC Library's archival holdings consist of three distinct series[2]:

Series I.   Re-print and final copies of HSRC and HSRC researcher publications, 1966 – present.

Series II. Publication copies of center-published newsletters, annual reports and ephemera (i.e. press-kit items such as phamplets, posters, bumper stickers).

Series III. 12 scrapbooks (mid-1970s – mid-1980s) containing newspaper clippings and articles related to HSRC history, research activities, and public initiatives.

The manuscript/publications and newsletter collections are located in HSRC's library room and are housed within the hanging file system installed along the room's back wall. The scrapbook collection is housed within oversize, archival boxes, which are shelved next to the hanging files. Three Excel spreadsheets inventory the contents of each of the collection's sub-series.

Series I.   HSRC Manuscripts & Publications – Shelf-Level Inventory
   12 Rows of vertical hanging files located against the back wall on the right-side of the library room. (Columns 1 and 2 each contain five rows of hanging files; column 3 contains two rows of hanging files). Files arranged alphabetically by title.

   A. Hanging Folders (Row-Level Inventory)
      - 707 Total hanging folders[3]
      - 3 folders are empty/missing content

   The hanging folders contain pre-prints, reprints, photocopies and, at times, final publication copies of HSRC and HSRC researcher publications dating from 1966 to the mid-1990s.

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[1] This inventory was created in October of 2014 by Karl Germeck. It was last updated in October of 2015. The Google Sheets version of the inventory is located here. The Excel series-level spreadsheets that record the inventory of HSRC Library's archival collection are also located on HSRC common drive M:\Library And Archives\Current Library Documentation\Archival Processes.

[2] There is an additional series of archival material containing photographic items, which document past HSRC research projects and public relations events; it is located in a single five-drawer filing cabinet in the lobby of office suite 208 on the second the floor of HSRC's office building. Because this series originated from HSRC's Communications Department and was not included in the original archival inventory, it has been identified as out of scope for the proposed project to transfer the library's archival material to UNC-CH University Archives.

[3] Note: one additional unlabeled folder on column 3, row 3 contains information about the manufacturer of the physical hanging file system.

- *The pre-prints*: printed on normal copy paper and typically belong to publications sponsored by government agencies; content tends to be the same but in some cases that is not always the case.
- *The reprints*: usually printed on glossy, publication-quality paper and mounted (individual sheet by individual sheet) with scotch taped onto an 8.5 x 11 sheet of printer/copier paper. These reprints are bulky and have been housed inside of a box, which then is held within the hanging file.
- *Photocopies*: belong mostly to publications that appeared within a larger work, such as an edited collection.
- *Bound, publication copies*: a copy (or sometimes even 2 or 3 copies) of the actual bound publication is found within a hanging file. Some of these copies have been previously cataloged and were a part of the HSRC library collection and other copies appear to have never been cataloged at all.

	HSRC Hanging Folders_Manuscript Publications (Row-level Inventory)_October 2, 2014				
(C)olumn #, (R)ow #	Range ("first title" to "last title")	# of Folders	# of empty Folders	Tittles of Empty Folders	
C1, R1	"Accident – 94/6/3" to "An Assessment – 90/4/2"	62	1	"An Assessment – 1994"	
C1, R2	"An Assessment – 1990" to "Comparison of – 84/10/6"	61	0		
C1, R3	"Manual For Rapid -78/2/1" to "Driver Improvem – 76/2/1"	62	1	"Manual For Rapid – 78/2/1"	
C1, R4	"Driver License – 1975" to "Estimation of T – 85/8/2"	59	0		
C1, R5	"Evaluating The – 87/8/9" to "An Exposure Su – 81/10/2"	49	0		
C2, R1	"A Fact Book: A Su – 76/5/1" to "HSRC AudioVisua – 90/7/1"	54	0		
C2, R2	"Identification – 80/10/1" to "Large Truck Safe – 89/1/2"	58	0		
C2, R3	"Large Truck Safe – 84/2/1" to "Operation Dry R – 95/4/2"	66	1	"The National Bic - 94/6/1	
C2, R4	"The Operation O – 86/7/2" to "The Relationship – 86/6/3"	67	0		
C2, R5	"The Relationship – 87/6/1" to "Single Variable – 75/6/5"	72	0		
C3, R1	"Single Variable – 77/6/3" to "Truck Driver – 86/10/2"	63	0		
C3, R2	"Truck Driver – 79/12/6" to "Youthful Driver – 70/9/1"	34	0		
	Total # of Hanging Folders	707		Total # of Empty Folders	3

B. Un-Foldered HSRC/HSRC Researcher Publications[4]
  i. *Inventoried items*
      These are the items which were identified as HSRC publications during the HSRC Library Consolidation Project and which have already gone through the HSRC publications selection/weeding process. These items are located on a library shelf directly across from the HSRC publications Hanging Folder collection labeled with a sign which reads: "Inventoried HSRC Publications."
  ii. *Un-inventoried items*
      These items, which include approximately 140 items, were originally set aside by HSRC's previous Librarian, Mary Ellen Tucker, and were labeled as HSRC/HSRC researcher publications that had yet to be incorporated within the HSRC Publication Hanging Folders Collection. These items have not gone through the HSRC publications selection/weeding process and are located together on the shelf directly below the HSRC Publication Hanging

---

[4] Recommendations for compiling all of the information about the inventoried HSRC publications into a single spreadsheet and instructions for incorporating the un-inventoried items within the workflow for selecting/weeding items as HSRC publications from the HSRC publication hanging folders is included in *Appendix D - Milestone 2: Manuscripts & Publications Series Weeding Workflow*.

Folders Collection labeled with a sign which reads: "Un-inventoried HSRC/HSRC Research Publications."

C. Digitized HSRC Publications
- HSRC Common Drive Location: **P:\ProjectsSwitchAvol (V)\HSRCWEB\www_new\PDFs**
- Folder Size: **697 MB**
- # of digital files: **376**
- # of estimated digitized publications: **294**

Digital surrogates of items from the HSRC Library's Manuscripts/Publication hanging files are located on the HSRC network common drive P. The file-naming scheme for the digitized publications is the first word (or in some cases, the first two words) appearing in the title of the publication + a 2-digit or 4-digit year. For example: *Analysis1978.pdf* or *Community84.pdf*. Most of the time, each individual file corresponds to one single publication. But, in some cases, larger publications (especially those appearing within a series) have been given their own sub-folders and the publication has been split into multiple pdf documents.

Series II.   HSRC Newsletters/Ephemera - Folder-Level Inventory
Two Rows of unlabeled vertical hanging files located on the left-center side of the back wall in the library room.

**HSRC Hanging Folders_Newsletters (Folder-level Inventory)_October 7th, 2014**	
(R)ow #, (F)older #	**Contents**
R1, F1	The Accident Reporter (Nov.1980-Jan.1981); Better Driving (Jan. 1975- June 1975); Highway Safety Highlights (Aug. 1970-Dec. 1975)
R1, F2	Highway Safety Highlights (mid 1970s-mid-1980s)
R1, F3	Highway Safety Highlights with 3 copies of publication index (mid-1970s-1979)
R1, F4	The Accident Reporter (1970s)
R1, F5	The University of North Carolina Highway Safety Research Center Bulletin (late 1960s-early 1970s)
R1, F6	Highway Safety Directions (fall 1987-spring 2002)
R1, F7	Highway Safety Directions (late 1980s-2000)
R1, F8	Tot Line, published copy and photocopy (1980s)
R1, F9	Better Driving (Jan. 1974- Dec. 1974)
R1, F10	North Carolina Symposium on Highway Safety, volume two, six, and ten (1972)
R2, F1	The Accident Reporter (1970s-1980s)
R2, F2	Highway Safety Highlights with one copy of index (Aug. 1970-Dec. 1975)
R2, F3	Highway Safety Research Center Annual Reports (1970s, 80s, 90s)
R2, F4	Highway Safety Research Center Annual Reports (1970s and 1980s)
R2, F5	Highway Safety Research Center Annual Reports (1990s)
R2, F6	Three-ring binder containing information about the history, purpose, activities, and procedures of the center. Includes employee biographies and their publication bibliographies, descriptive inventories of center holdings, and memorandums. (late 1970s--employee manual/handbook?)
R2, F7	Public relations kits, pamphlets, and publications; conference programs; memorandums about HSRC library collection development activities. (1970s)

Series III. **HSRC Scrapbooks -** Box-Level Inventory
12 oversize archival boxes, inventoried from the top box (b1) to the bottom box (B12).

HSRC Scrapbooks (Box-level Inventory)_October 7th, 2014			
Box #	**Box Label**	**Contents**	**Notes**
1	"February 1973 - September 1974"	Highway-safety-related newspaper articles (clippings and photocopies).	Contents pasted on individual scrapbook mounting leaves. The mounting leaves are not contained within any binding and are loose within the box. Twenty-three leaves contain material and some of the individual articles have lost their adhesive and come loose from the mounting-leaves. Some contents contain handwritten citations (i.e. which newspaper it was published in or what pages have significance to HSRC)
2	"September 1980 - September 1982"	A beige-colored, three-ring binder of highway-safety-related newspaper articles (clippings and photocopies).	Contents are housed on two-sided, photo album mounting sheets and are bound within a three-ring binder. Some contents contain handwritten citations (i.e. which newspaper it was published in or what pages have significance to HSRC).
3	"15th Anniversary Celebration - Photos-Letters-Remarks"	A blue-colored photo album containing photos, correspondence, event programs, RSVP invitations to, and clippings about, the center's "Open House" celebration of its 15th-year anniversary--November 11, 1980.	Contents are housed on two-sided, photo-album mounting sheets and are bound within the photo album. Some contents are loose.
4	"October 1969 - September 1972"	A turquoise-colored scrapbook documenting the 1969 North Carolina Symposium on Highway Safety. The album contains photographs, cut-out clippings from symposia programs, and individual publications by the symposium.	Many items within the scrapbook have lost their adhesive.
5	"April 1972 - November 1978"	A blue-colored photo album of newspaper clippings and University of North Carolina press releases related to highway safety and/or the HSRC.	At the front of the album is a HSRC envelope marked "Misc. Magazine Articles, 1975," which contains a single article torn out of the september 1975 issue of Woman's Day(?)
6	"September 1980 - May 1983"	A blue-colored University of North Carolina photo album containing HSRC-related newspaper clippings	Some of the sheets within the photo album have come loose; also contained loose within the middle of the album is a single UNC press release.

Box #	Box Label	Contents	Notes
HSRC Scrapbooks (Box-level Inventory)_October 7th, 2014			
7	"HSRC Archival Scrapbooks - April 1965-June 1972"	A green-colored scrapbook documenting major HSRC activities and achievements. Contains cut-outs from photographs, center publications, conference programs, as well as newspaper clippings.	A few loose items at the back of the scrapbook.
8	"April 1983-"	A blue-colored scrapbook documenting the HSRC Child Restraint Program. Contains cut-outs from photocopied newspaper articles, pamphlets, conference programs, news releases.	Some of the protective film on the albums mounting sheets is torn and peeling off.
9	"HSRC Archival Scrapbooks - May 1970-October 1971"	A blue-colored University of North Carolina scrapbook album containing original and photocopied newspaper clippings and a few memorandums.	items are scotch-taped to the mounting sheets; some items are paperclipped or loose.
10	"HSRC Archival Scrapbooks - August 1980-October 1984"	A green-colored photo album and some loose items. The photo album documents the "Seat belts Pay-off Campaign" and contains original and photocopied newspaper clippings and a few UNC press releases. The loose items include: two HSRC staff photographs, one dating from 1983 and other from 2003; a posted note about an upcoming center anniversary; a copy of the publication UNC and Highway Safety; a HSRC envelop containing a one-page, 1984 article removed from an issue of Perspective: a Magazine for Volvo Dealers.	
11	"HSRC Archival Scrapbooks - August 1965-October 1969"	Highway-safety-related newspaper clippings, photocopies, and news releases (a good portion of the clippings are related to B.J. Campbell); certificates awarded to B.J. Campbell; a HSRC envelope containing two articles, one from an April 8, 1966 issue of Time and the other from a May 18, 1965 issue of Look.	Many of the newspaper clippings have lost their adhesive to the scrapbook mounting leaves. The mounting leaves are not contained within any binding and are loose within the box.
12	"HSRC Archival Scrapbooks - January 1970-'Fall' 1972"	Highway-safety-related newspaper clippings and photocopies.	Many of the newspaper clippings have lost their adhesive to the scrapbook mounting leaves. The mounting leaves are not contained within any binding and are loose within the box.

Appendix C – Milestone 1: Decision Tree Diagram & Selection/De-Selection Criteria

I. General Appraisal/Weeding Recommendations & Drafting the Decision Tree Diagram

The following recommended criteria for weeding the Manuscripts & Publications series are based on a meeting, held on May 28, 2015 at HSRC, with the UNC-CH University Archives Records Services Archivist. After inventorying the collection and consulting with the Records Services Archivist, it was determined that all three series within HSRC Library's archival collection are acceptable for transfer. The Scrapbook series and the Newsletters/Ephemera series need to be weeded of duplicates; University Archives will accept up to two copies of an item within these two series.

The Manuscripts & Publications series requires a more intensive weeding process. All items that are not deemed HSRC publications must be removed from the series before they can be transferred to University Archives. In addition, University Archives has agreed to take up to two final copies (or a re-printed copy when a final copy does not exist) of each publication.

Follow the below recommendations to create the Decision Tree Diagram for the HSRC Manuscripts & Publications selection/deselection process. (A sample Decision Tree Diagram, which was originally created for the HSRC Library Consolidation project, may be found in Section III of Appendix C).

II. HSRC Manuscripts & Publications Series Selection/Deselection Recommendations

➤ **Selection Criteria**
1. Select an item to be included with the Manuscripts & Publications series if HSRC is at least one of the following:
   a) The principal publishing agency, or
   b) The principal performing agency (of a publication's content)
      - The publication explicitly states (on the cover or title/report page) that HSRC is the principal performing agency, or
      - The principal research team consists of two or more HSRC researchers
   c) The principal subcontracting agency
2. Weed items from consideration for transfer to UNC-CH University Archives if the item is:
   a) A final publication copy of a serial/journal issue or a published conference proceeding which contains an article/report written by an HSRC researcher or research team

    b) A pre-print or reprint of a work principally authored by HSRC that later appears within a ***readily-available***[5] journal, report, conference proceeding, or book

    c) A photocopy

3. When presented with multiple versions of an item meeting the selection criteria (a pre-print, reprint, final publication, or photocopy), show preference for the final publication. *Where there is no final publication, show preference for the reprint. All photocopies are to be weeded and removed*[6].

4. When presented with multiple copies of an item meeting the selection criteria, include up to two copies of a publication.

5. Examples of items that meet the selection criteria:

- A report/white paper, or study published by HSRC (this includes the Pedestrian and Bicycle Information Center, Safe Routes to Schools, or any other HSRC-managed program)

- A government document whose sole or principal performing agency is HSRC (this includes the Pedestrian and Bicycle Information Center, Safe Routes to Schools, or any other HSRC-managed organization)

- A government document whose sole or principal author(s) is an HSRC researcher ("HSRC" is printed next to the author's name)

- A report/white paper published by an independent publisher whose sole or principal author(s) is an HSRC researcher ("HSRC" is printed next to the author's name)

- A report/white paper published by an independent publisher whose sole or principal performing agency is HSRC (this includes the Pedestrian and Bicycle Information Center, Safe Routes to Schools, or any other HSRC-managed organization and is especially the case if it appears that HSRC may have printed the item)

- A pre-print or reprint of a work principally authored by HSRC that later appears within a ***hard-to-find***[7] journal, report, conference proceeding, or book

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[5] A *readily-available* item is defined as one that is easily accessible online in digital format, available in print or electronic form at UNC-CH Libraries, or available for request through UNC-CH Libraries Interlibrary Loan.

[6] In the event that a photocopy is the only version of an HSRC publication found with the hanging folders, remove the photocopy (and the labeled folder containing it) from the Manuscripts & Publications series and add it to the HSRC Research Bibliography collection.

[7] A *hard-to-find* item is defined as one that is not easily accessible online in a digital format, available in print or electronic form at UNC-CH Libraries, or available for request through UNC-CH Libraries Interlibrary Loan.

➢ **Deselection Criteria**

    Note: If an item does not meet at least one of the above Manuscripts & Publications series selection criteria and/or does not easily fit within one of the provided examples above, remove it from the Manuscripts & Publications series and then consider including the item within HSRC's future reading room as part of the HSRC Research Bibliography collection.

1. Consider including items not qualifying as HSRC Manuscripts & Publications in the HSRC Research Bibliography collection, if the item is:
   a) Authored by an HSRC researcher/research team (during, prior to, or after their tenure at HSRC)
      - But where the item is not principally published by HSRC, or
      - Where the item does not contain textual evidence that the author's contribution to the publication was principally associated with HSRC
   b) A pre-print, reprint, or photocopy of an HSRC publication that was weeded and removed from the Manuscripts & Publications series
   c) A final publication copy of a serial/journal issue or a published conference proceeding which contains an article/report written by an HSRC researcher or research team

2. Items not meeting the selection criteria for either the Manuscripts & Publications series or the HSRC Reading Room Research Bibliography collection are to be discarded.

III. Sample Decision Tree Diagram (Consolidation Project Weeding Diagram)
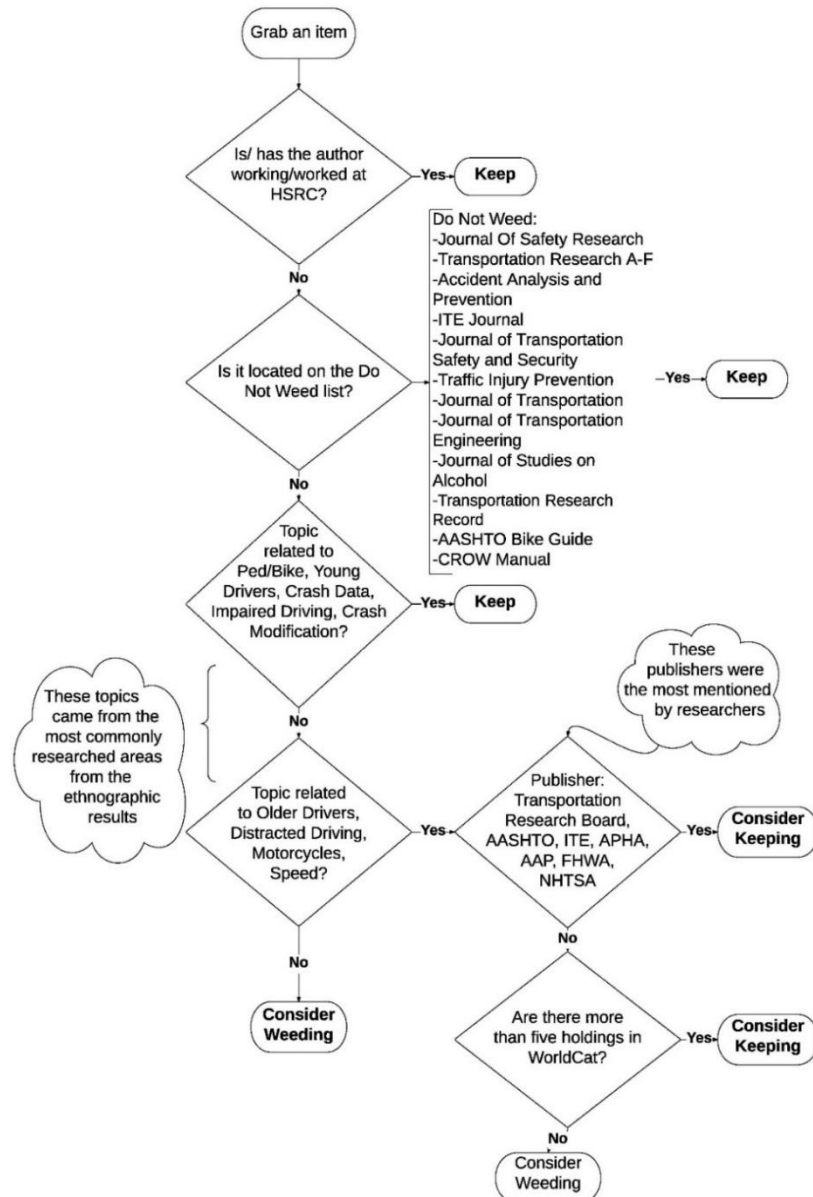
Appendix D – Milestone 2: Manuscripts & Publications Series Weeding Workflow

Start by weeding the items housed in the hanging folders and then move onto weeding the unfoldered items. Use the Hanging Folders_HSRC Publications spreadsheet to inventory the items located in the hanging folders. Use the Unfoldered_HSRC Publications spreadsheet to inventory the undfoldered items.

A. Hanging Folder Inventory/Weeding Workflow

> **Note:** There are often multiple items within a hanging folder. Inventory each item individually, so that each item has its own row within the spreadsheet.

1. Starting in shelf order, remove the first (or next available) folder and its contents from the Hanging Folders shelf and locate the folder's item within the Hanging Folders_HSRC Publications spreadsheet.
2. If the item is not found within the spreadsheet, insert a new row for the item at the point in the spreadsheet where it would fit alphabetically in order by title (A-Z) among the other entries.
3. Record the item's *Identification Information.*
4. Record the item's *Bibliographic Information.*
5. Record the item's *Access Information.*
6. Record the item's *Weeding Decision Information.*
7. Based on the weeding decision, place folder and its contents in the appropriate, designated pile.

B. Unfoldered Items Inventory/Weeding Workflow

1. Grabbing the first available unfoldered item from the shelf, locate the next available row within the Unfoldered_HSRC Publications spreadsheet.
2. Record the item's *Identification Information.*
3. Record the item's *Bibliographic Information.*
4. Record the item's *Access Information.*
5. Record the item's *Weeding Decision Information.*
6. Based on the weeding decision, place the item in the appropriate, designated pile.

Appendix E – Milestone 3: Transferring HSRC Library's Archival Collection to UNC-CH University Archives

I. UNC-CH University Archives Transfer Procedures

Note: The following instructions are adapted from UNC-CH University Archives' "How to Transfer Permanent Records" located at http://library.unc.edu/wilson/uarms/transfer/. Make sure to use boxes that measure 12″ x 15″ x 10″. (The HSRC Scrapbooks are already housed in archival boxes and do not need to be re-boxed).

1. **Box the HSRC Manuscripts & Publications and Newsletters/Ephemera**

   A. HSRC Manuscripts & Publications
      i. Once the weeding of the Manuscripts & Publications series is complete, remove the contents of each hanging folder selected for transfer and place them into new, non-hanging folders.
      ii. Starting in alphabetical order by title, take each new folder and its contents and place them into Banker's Boxes.
      iii. As a box becomes full, label the folders in each box numerically from front to back and then move onto the next box.
      iv. After all of the items in the hanging folders have been re-foldered and boxed, place the unfoldered items into regular folders and then into boxes.

   B. HSRC Newsletters/Ephemera
      i. Before boxing the HSRC Newsletters/Ephemera, go through the contents of each hanging folder within the series and remove duplicates of items so that there is no more than two copies of each item.
      ii. Once duplicates of more than two copies per item have been removed, re-folder the contents of each hanging folder into regular folders and place them into Banker's Boxes.
      iii. As a box becomes full, label the folders in each box numerically from front to back and then move onto the next box.
      iv. If necessary, update the Newsletter/Ephemera Inventory (Appendix B, Section II) to reflect any changes made to the collection.

2. **Prepare UNC-CH University Archives Records Transfer Form (Appendix E, Section II)**
      i. Fill out the *Records Transfer Form* cover page (page 18 of this document).
      ii. Identify the appropriate series identification number for each of the three series using UNC-CH University Archives' General Records Retention and Disposition Schedule. (According to the schedule, for example, the

series # for the first series, the HSRC Manuscripts & Publications, is "*1.37, Publications.")*

    iii. Record, at the minimum, the following fields for all three series being transferred to UNC-CH University Archives into the *List of Records Being Transferred* spreadsheet (page 19 of this document): B*ox #*, S*eries Identification #*, *Box Description, Inclusive Dates,* and, if applicable, *Folder #/Label*.

3. Send UNC-CH University Archives the Transfer Form

    i. Email the *Records Transfer Form* and the *List of Records Being Transferred* as an attachment to recman@unc.edu. (UNC-CH University Archives will review the form and list).

    ii. Once the records have been approved for transfer, UNC-CH University Archives will send HSRC Library a set of box labels.

4. Label Boxes with UNC-CH University Archives Box Labels

    i. Place the box labels sent by UNC-CH University Archives on the long side of each box. (Do not tape the boxes shut. If you must write on the boxes please use pencil).

5. Transport Boxes to UNC-CH University Archives

    i. Physically transfer all the boxes being transferred to UNC-CH University Archives to the loading dock of Wilson Library (accessible from South Road) by one of the following two methods:

        a) UNC-CH Facilities will transport boxes at a fee. To use this method, fill out the Online Request Form.

        b) Transport the boxes to University Archives in your own vehicle.

    ii. Contact UNC-CH University Archives to coordinate a date and time for the records to be delivered.

II. Records Transfer Form

Fill out and save this form. Using the template on the following page, create a detailed list of the records that you wish to transfer to University Archives. When complete, email the form as an attachment to recman@unc.edu. Once we have reviewed the form we will send it back to you with comments, any necessary changes, and further instructions. **Please do not send this form to us using campus mail.**

Name and Department Number of Unit Transferring Records:

Name of Person Submitting Form:

    Position Title:

    Email Address:

    Phone:

    Campus Box: **Building and Room:**

Name, Position, and/or Office of Records Creator:

Brief Description of Records:

Inclusive Dates (yyyy - yyyy):

Number of Boxes:

Does this transfer contain any confidential records?
    ☐ No   ☐ Yes

University Archives Use	
Date Approved for Transfer:	Approved by (signature):
Records Transfer #:	Collection #:
Date Records Received:	Received by (signature):
Processing Priority:	Shelf Location:

List of Records Being Transferred					
Box #	Series #	Box Description, Incl. Dates	Folder #/Label	Folder Description	Notes
1	1.37, Publications	Publications, 1968-1995	1	Accident analysis of older drivers on freeways. Task D working paper for FHWA subcontract DTFH61-92-C-00085. 1994.	