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September 23, 2002

Mark Conrad, Director for Technology Initiatives  
NHPRC  
National Archives & Records Administration  
700 Pennsylvania Avenue, NW  
Washington, DC 20408-0001

Dear Mr. Conrad:

This letter presents our progress to date on the "Managing the Digital University Desktop" desktop project at the University of North Carolina at Chapel Hill and Duke University.

1. Immediately upon word from you that the project was definitely funded for the first year (notification letter of 3/7/02) we set to work to establish the Assistant Project Manager position. This requires approval by UNC Human Resources and is generally a lengthy process but poor economic conditions seemed to expedite matters. We were able to advertise the position in May and June and received 43 applications from individuals located in North Carolina and several who were planning to relocate here.
2. We interviewed five excellent candidates.
3. Our top candidate, Kimberly Peters, accepted our offer and re-located from Baltimore in mid-July and began work on August 1<sup>st</sup>. Kim has an MLS, has worked with electronic resources in public libraries, has strong experience with high technology companies and information architecture, and has done a good deal of consumer research interviewing. We are getting a real bargain in Kim as her qualifications far exceed what we asked for in our position statement. Her presence on this project already has greatly facilitated our work.
4. We had a personnel change since the proposal submission in May 2001. Meredith Evans left the project. In June we requested in a letter to acting Director Burns that Ruth Monnig be appointed as Project Manager. He granted this change and Ruth started work on August 1<sup>st</sup>. She is a Ph.D. student who is focusing on medical and scientific electronic records preservation issues for her dissertation research. I believe this is an excellent selection both for the project and for Ruth as her personal research interests are very much in line. Ruth's experience in university development, both at UNC and Duke, along with her research interest in electronic records, should be strong assets for this project and give her credibility when talking with faculty and administrators both here and at Duke. Ruth and Kim (the APM) have very complementary skills and are working well together.
5. The working group overseeing the day-to-day grant activity met on May 30<sup>th</sup>, June 26<sup>th</sup>, and August 16<sup>th</sup>. It presently consists of the following individuals: Helen Tibbo, chair; Paul Conway, Tim Pyatt; Ruth Monnig; Kim Peters, Frank Holt; and Susan Ballinger, the acting University Archivist. Roslyn Holdzkom, curator of the Southern Historical Collection was also involved in these initial meetings. Our goal is to meet once a month, although many of us will be working together on a daily basis. We are meeting again next Monday, September 30<sup>th</sup>.

6. We have established a separate advisory committee that will oversee the larger picture of the grant and its impact within the state. We plan the first meeting of the board for late October or early November. This group currently consists of the above listed individuals along with:
  1. Debbie Barreau, SILS faculty (has conducted research on how people organize office files)
  2. Michel Bezy, IBM, WebSphere Strategy, Program Director
  3. Elizabeth Bunting, UNC System, Office of the President, Associate Vice Provost for Legal Affairs
  4. Mark Crowell, UNC-CH, Office of Technology Development, Associate Vice Chancellor, tentative
  5. Charles Dollar, Dollar Consulting
  6. Joel Dunn, UNC-CH, Administrative Information Services, Director for Systems and Communications
  7. Kelly Eubanks, NC Department of Cultural Resources, Government Records Branch, Electronic Records Archivist
  8. Lynn Holdzkom, UNC-CH, Interim Curator of Manuscripts and Director of the Southern Historical Collection
  9. Russell Koontz, North Carolina State University, Assistant Head, Special Collections (active archivist in NC)
  10. Eric Myln, UNC-CH, Director of Robinson Scholars Program, a program that supports and facilitates inter-institutional projects and education between UNC-CH and Duke University.
  11. Madeline Perez, University of North Carolina at Charlotte, University Archivist
  12. Benjamin Speller, North Carolina Central University, School of Library and Information Science, Dean (HBCU)
  13. Johanna Carey Smith, UNC Associate University Counsel
  14. Jeanne Smythe, UNC-CH, Academic Technology and Computing, Director of Computing Policy

We selected the above individuals for several reasons:

- a. Koontz, Perez, and Speller are from other UNC Systems schools where we will probably collect data
  - b. Bunting and Smith are from the UNC-CH and UNC System legal offices
  - c. Dunn and Smythe represent information technology departments on campus
  - d. Barreau has conducted extensive research into how people organize their office files (in corporate settings)
  - e. Myln heads the program that promotes research across UNC-CH and Duke.
  - f. Eubanks, DCR staff; DRC oversees NC Public Records Act
  - g. Bezy and Crowell, technology development and connection to industry
  - h. Dollar, international expert on electronic records
  - i. Holdzkom, director of unit in which UNC-CH Archives and Records resides
7. We have mounted a project website at: <http://www.ils.unc.edu/digitaldesktop>
  8. We have updated the bibliography (and will continue to do so) that we submitted as part of our original proposal.
  9. During August we finalized the questions for a brief survey of all faculty and staff on the UNC-CH and Duke campuses regarding email, attachments, and file management. We had the survey approved by both UNC and Duke IRBs and received permission to send it to the campuses via campus-wide email. Respondents could reply by either email or a web form. Web form replies were dropped into an Excel spreadsheet.
  10. We administered the survey on the UNC campus during the second week of September and will do so on September 26<sup>th</sup> at Duke.
  11. We already have approximately a 15 % response rate at UNC without sending a reminder that may go out the end of the month. We expect all responses to be in for both campuses by October 11. We

envison this to be a brief survey that will help us strategically select individuals for the interview phase of this project. Much of the first year of the project will be spent with the interviews.

12. We are using the survey data to create interview protocols for faculty and staff at UNC-CH and Duke. Based on the distribution of responses and an analysis of our institutional structure, we will also be conducting interviews at some of the other campuses in the UNC System.

Here is a summary of what we said we would have accomplished by this time and where we are:

Original Objectives	Progress to Date
<b><i>Phase 0 (time after announcement of funding but prior to funding period)</i></b>	
<p><b>A. Developing the project team.</b> During this time we will advertise the position of Assistant Project Manager (APM) and select this person</p>	Done. We actually hired someone with qualifications that far exceed our position posting.
<p><b>B. Development of the sampling frame and solicitation of participants from the UNC-System and Duke.</b></p> <p>In the time before actual funding, we will also compile updated lists of UNC-CH offices, records management liaisons, and records schedules for each records unit. (Monnig &amp; Holt); analyze the lists to see what types of units/records do not exist at UNC-CH that may exist on other UNC-System campuses (Monnig &amp; Holt); and issue invitations to other UNC-System institutions, including General Administration, and specific units therein to become involved with this project.</p>	<p>We are compiling and updating the UNC-CH Lists.</p> <p>Tim Pyatt is soliciting interest and participation for the interviews across a wide range of offices at Duke. We are waiting to assess the results of the initial survey before contacting other UNC System schools for survey/interview participation but have strong support from the archives/records management programs on several campuses and have 3 members of the Advisory Board who are from other UNC-CH campuses and one from General Administration.</p>
<b><i>Phase I (months 1-11; July 2002-May 2003).</i></b>	
1. Update literature review on e-mail and desktop records management (Peters & Monnig)	Done and ongoing as new materials arise.
2. Arrange with units for participation. (Peters, Monnig, Holt, & Pyatt)	Ongoing.
3. Develop the final survey to send to study participants to ask specific questions regarding their management of e-mail and desktop electronic documents & records. (Monnig, Conway, & Tibbo; reviewed by entire Grant Advisory Committee).	Done; survey sent at UNC-CH 9/12/02; To be sent at Duke 9/26/02.
4. Develop web-based survey form that will dump responses into a database. (Peters, Monnig & Tibbo)	Done. Duke University Library IT staff produced this for us and dropped data into spreadsheet.
5. Collection of data from the survey. (Peters, Monnig, & Tibbo)	Underway.
6. Analysis of the survey results. (Monnig, Holt, Pyatt, Tibbo, & UNC UA)	Will begin once all data are entered into spreadsheet.

<p>7. Finalization of interview protocols for in-depth data collection from a subsample of the survey domain. We will do two types of interviewing – one concerning computing practices (see Appendix G) and one wherein we look at subjects’ electronic and print file folder arrangements. This is to minimize subjects’ time commitment. (Conway, Monnig, Peters, &amp; Tibbo; reviewed by entire Grant Advisory Committee)</p>	<p>Underway. We hope to start interviews in early November.</p>
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In addition to the above activities, Tim Pyatt and I have submitted a session proposal to the 2003 SAA meeting in which I will present the preliminary findings for the survey we are conducting this fall.

We are all very busy here and the project has created a good deal of interest at both UNC and Duke. For example, in reviewing our IRB proposal, the UNC-CH AA-IRB director commented, “This is going to be so important!” Other comments included:

I just read the below email about managing the information on our computers research... It really interest me... I consider myself to be an extremely organized person but do get overwhelmed with the amount of digital information I receive and process. I am just recently out of school (May 2001) and have been thinking about getting involved in some type of school work or research to keep challenging my mind. (I get bored easily) I was going to see if I could hook up with a professor over at the business school when I found a project that caught my interest.... and I saw your email. I was thinking there might be a way I could participate/help.... As far as time... I have my lunch hour and wouldn't mind staying late/coming in early/working at home one or two days a week..... Thoughts....

I am very interested in your project! The public records law for NC requires that we keep records of correspondence...and, since the Botanical Garden just went on the fiber optic system of the University, we have just in the last year seen a huge movement from paper correspondence to electronic. We desperately need a way of automatically building an archive of important correspondence and satisfying the state public records law!

this is an elegant study. Website is beautiful, well organized, and high in info content. You're off to a great start!

Please let me know if there is anything else we can send you at this time.

Sincerely,

Helen R. Tibbo