



PLANNING FOR THE FUTURE BY PRESERVING OUR PAST



**The Strategic Plan of the
Caltrans History Preservation Committee**

2007

CONTRIBUTORS

Jerold L. Peterson

HQ – Division of Project Management
Chair, Caltrans History Preservation Committee (CHPC)

Gregory Ratliff

HQ – Division of Environmental Analysis
Co-chair, Strategic Planning Subcommittee

Susan Haake

HQ – Transportation Library & History Center
Co-chair, Strategic Planning Subcommittee

Deborah Cismowski

HQ – Transportation Library & History Center
Historical Records Officer, CHPC

Greg King

HQ – Division of Environmental Analysis
Division Representative, CHPC

Bob Pavlik

District 5 – Division of Environmental Analysis
District Representative, CHPC

Ralph Ricketson

District 7 – Division of Design
District Representative, CHPC

Norman Root

HQ – Division of Engineering Services (Retired)
Founding Member, CHPC

Lyle Stockton

District 3 – Division of Design
District Representative, CHPC

TABLE OF CONTENTS

Introduction	4
Background	5
Mission and Vision	6
Goals and Objectives	7
Appendices	
I. Areas of Concern and Recommendations	9
II. Policy and Procedure 84-5 (P&P 84-5): <i>Preservation of Department's Historical Materials</i>	11
III. Deputy Directive 58 (DD-58): <i>Preservation of Department's Historical Materials</i>	12
IV. <i>Guide to the Selection Criteria, Procedures, and Management of the Caltrans Transportation Library Historical Collection</i>	13

INTRODUCTION

During the Fall of 2006, Chairman Jerold Peterson named a Strategic Planning Subcommittee to develop a strategic plan for the Caltrans History Preservation Committee. Before a prioritized focus and direction of action could be recommended, the Strategic Planning Subcommittee found it necessary to first determine and articulate why we exist and what we want to accomplish. Even though the Committee has been acting under the authority of former Policy and Procedure 84-5 and now Deputy Directive 58, it has been nearly 25 years since an in-depth look at our statement of purpose has been undertaken. This document presents the results of that effort and the goals and objectives for which the Caltrans History Program exists.

The goals and objectives of the History Program are grouped into six broad categories:

- I. Strengthen, elevate, and expand the Committee
- II. Promote awareness of the Committee and the Department's history policies
- III. Promote retention and preservation of historically significant materials
- IV. Ensure adequate facilities for storage and access to historical materials
- V. Ensure financial stability for the History Program
- VI. Promote outreach with external history partners

BACKGROUND

For nearly 25 years, the Caltrans History Preservation Committee (CHPC) has played a critical role in preserving the Department's past.

Serving as an advisory body to the Director, the CHPC was formally established in 1984 as part of the Caltrans History Program. The History Program was created in 1984 by Policy and Procedure 84-5, *Preservation of Department's Historical Materials*; P&P 84-5 was updated and reissued in 1999 as Deputy Directive 58 (DD-58). The History Program's primary focus is to preserve and ensure access to selected historical materials such as records, photographs, maps, artifacts and equipment that document the history of the Department.

Although the CHPC has been in existence for almost 25 years, there was no formal strategic plan to guide its operation. In September of 2006, CHPC Chair Jerold Peterson convened the first meeting of the Strategic Planning Subcommittee. He directed the Subcommittee members to develop a solid, credible plan that would meet the mandate of DD-58, revitalize executive sponsorship, and serve as an action guide for CHPC officers and members.

Passionate and proactive about history-related issues, the Subcommittee met for the next eight months and crafted a strategic plan that answered these fundamental questions: Who are we? Why are we here? Where do we go from here? After much discussion and debate, the eight members, including representatives from both Headquarters and the Districts, developed mission and vision statements, goals and objectives for the CHPC.

The CHPC's Mission statement expands the Department's strategic goal of stewardship to include preserving and enhancing the Department's historical resources and assets: *The Caltrans History Preservation Committee fosters stewardship of our Department's past.* The CHPC's Vision statements reflect core values of the Committee and emphasize its commitment to elevating and advancing the role of history: *In pursuit of our mission, we actively preserve, promote, and ensure access to the Department's historical materials, thereby celebrating California's rich transportation heritage. Our efforts will inspire a sense of purpose, accomplishment, and pride in the Department, and encourage an understanding of the value of the past in providing context for informed decision making.*

The Subcommittee then identified six goals, with objectives, that will form the basis for the CHPC's action items for the next one to three years. The strategic plan will periodically be reviewed and reassessed for relevancy. The success of the plan lies in Caltrans' continuing commitment to stewardship of the Department's, and the State's, rich transportation heritage.

MISSION AND VISION

Mission

The Caltrans History Preservation Committee fosters stewardship of our Department's past.

Vision

In pursuit of our mission, we actively preserve, promote, and ensure access to the Department's historical materials, thereby celebrating California's rich transportation heritage.

Our efforts will inspire a sense of purpose, accomplishment, and pride in the Department, and encourage an understanding of the value of the past in providing context for informed decision making.

GOALS AND OBJECTIVES

Goal I. Formalize, strengthen, and expand participation in the Caltrans History Preservation Committee

Objectives:

- A. Develop bylaws for the Committee
- B. Formalize time-charging practices for committee business
- C. Support, update, and have knowledge of all Deputy Directives and former Department policies relating to the Committee, and revise and reissue Deputy Directive 58 as necessary
- D. Develop and implement a recruitment plan, ensuring appointment of both Headquarters and District representatives to the Committee
- E. Build and maintain ongoing management support
- F. Encourage training opportunities for Committee members
- G. Develop Committee operational procedures

Goal II. Promote awareness of the Department's policies and procedures relating to historical materials

Objectives:

- A. Prepare articles for publication
- B. Create displays and exhibits
- C. Sponsor events
- D. Participate in events sponsored by others
- E. Formalize a speakers' program
- F. Develop historical awareness training, including an online tutorial
- G. Enhance design and content of the Committee's Web site¹

Goal III. Promote retention and preservation of Department records and institutional memory

Objectives:

- A. Serve as the point of contact for all questions about preservation of historical materials
- B. Support the Department's records management program which includes records of administrative, legal, fiscal, historical, and archival value, as well as vital records (records essential for the continuation of Departmental business)
- C. Establish specific protocols and criteria to help divisions and districts to identify and preserve other historically significant records
- D. Support historic records management training for Committee members, volunteers, records management staff, and other employees
- E. Advocate the Departmental publishing of an Annual Report, statistical compendiums, and other publications that preserve/capture historical data, trends, and events
- F. Conduct Oral History program

Goal IV. Ensure adequate facilities for, and access to, the Department's historical materials

Objectives:

- A. Identify, develop, and maintain artifacts and equipment inventory/database
- B. Support the Library's History Center program to collect, preserve, and make accessible historically significant materials
- C. Review, revise as necessary, and implement plan for statewide Headquarters and District museum consortium

Goal V. Ensure the financial stability of the Caltrans History Preservation program

Objectives:

- A. Secure dedicated funding from the Department
- B. Pursue grant opportunities
- C. Cultivate souvenir sales

Goal VI. Promote collaboration with and outreach to external history partners

Objectives:

- A. Maintain membership in historic route associations
- B. Develop partnerships with governmental agencies, organizations, and individuals
- C. Share resources
- D. Develop and implement a comprehensive public outreach plan

Footnotes:

Goal II – G

¹ Link to CHPC Internet Web site: <http://www.dot.ca.gov/hq/esc/CHPC/index.html>

Identifying Historically Significant Records

Concern: Determining and identifying historical significance or historical value of materials and artifacts is a critical step in the preservation process. Historically significant materials are disposed of and destroyed on a daily basis. Most employees are not attuned to, or aware of, items of historical significance nor can they identify same.

Recommendation: Guidelines to help employees determine and identify historically significant materials are needed. A system needs to be developed that helps people determine what is or may become historically significant. Criteria include documentation stating why and when there are changes in policy; controversial issues; the beginning and discontinuing of activities; Bridge Inspection Books; and agreements. Such information often is used for creating the Department's Planning, Design, Construction, Traffic, and Maintenance manuals.

Increasing Awareness of the Records Management Program

Concern: Although there is a Records Management Program at Caltrans, and at all state agencies as required by law, Department staff may be unaware that this program exists, or unsure how to comply. Consequently, valuable records, including those with historical or archival significance, may be lost or destroyed.

Recommendation: The Headquarters Records Coordinator and the Division Records Officers are responsible for making sure that Caltrans staff follow formal processes and procedures such as completing Records Retention Schedules (RRS) to ensure that Department records are systematically identified, retained, and made accessible. These schedules indicate what records should be retained, for how long, and their disposition at the end of the retention period. The Records Officers should be trained to identify records of historical or archival value and report this information on the RRS. The Department should also promote awareness of the Records Management Program by publicizing the Program, providing training to all Caltrans staff and managers, and encouraging staff to contact the Records Coordinator and Records Officers for assistance in handling records.

Planning for Acceptance and Disposition of Historical Materials

Concern: It is easy to accumulate materials that eventually exceed storage capacity. Disposition becomes especially painful to people who have donated what they had valued as their priceless possessions.

Recommendation: Policies and procedures need to be developed on why and how to accept, store and dispose of historical materials. Materials chosen to be accepted should fit in with the Committee's reason for existence as stated in the Goals and Objectives. Eventually, storage capacity is met and it becomes necessary to dispose of lesser value materials. Provisions need to be in place ahead of time so that disposition will be less painful to all concerned.

Managing Mechanical Equipment

Concern: Caltrans has a restored Sno-Go that at one time was removed from the State inventory so that it wouldn't be disposed of due to its old age. Now that it needs some minor work, it cannot be moved into the shop or worked on because it is no longer a piece of State equipment. Furthermore, there is no EA to charge for the work that needs to be done. In another instance, a 1932 Austin grader was donated to Caltrans, but it could not be moved into the shop for restoration because it was not on the inventory. The solution was to assign it an inventory number. Now there are two pieces of equipment – one taken off of the inventory to make it legal and another put into the inventory to make it legal. These examples illustrate the inconsistencies and frustrations in managing mechanical equipment.

Recommendation: There needs to be a system for identifying historical equipment, a system for working on historical equipment with State resources, and places to store such equipment where it is accessible. Examples of successful storage, restoration, and maintenance efforts include META's (Maintenance Equipment Training Academy) use of Camp San Luis Obispo, and at the District level, a Sno Go that was stored in District 03 and a second Sno Go stored in District 08. A complete inventory of historical equipment, current storage facilities, and resources for long-term storage and maintenance is needed.

Conducting Oral Histories

Concern: Oral histories are a vital aspect of preserving the Department's institutional memory.

Recommendation: Oral history is the practice of interviewing and recording on audio or video tape the memories of individuals who were participants and witnesses to important historical events. Oral histories often contain information not available in other historical forms, thereby serving to enrich our understanding of the past. Audio recordings, video recordings and/or transcripts are the result of a planned oral interview (or series of interviews) with willing participants. Although subject to the vagaries of time and place, oral histories offer researchers and historians a unique and personal glimpse into the past.

Implementing Knowledge Management Practices

Concern: Preserving institutional memory and recognizing knowledge management as a critical business process is essential to the success of the Department.

Recommendation: Recognizing that knowledge is a valuable and strategically important business asset is critical to preserving the past. The Department recognized the importance of preserving historical materials by formally establishing the History Program in 1984, which created the CHPC and the Transportation Library's History Center. However, it is essential to continue to receive executive support and endorsement of the entire History Program. Support includes ensuring that management at all levels is aware of the value of knowledge and of the commitment of the CHPC, History Center, and Records Management staff to provide direction in managing our historical assets. Management must also be responsible for encouraging and educating staff at all levels to engage in stewardship of these assets, and most particularly, to allow appointed members of the Caltrans History Preservation Committee the time and resources to participate fully in committee activities.

Appendix II : POLICY AND PROCEDURE 84-5 (P&P 84-5)

Policy and Procedure 84-5: *Preservation of Department's Historical Materials*, 1984.

policy & procedure

P84-5

TITLE Preservation of Department's Historical Materials	APPROVED BY <i>Pat Reames</i> Pat Reames	DATE ISSUED: 7-09-84 PAGE 1 OF 3
SUBJECT AREA Caltrans' History	ISSUING UNIT Office of Business Management Division of Administrative Services	
APPROVED	DISTRIBUTION Deputy Directors, District Directors, Division Chiefs, Chief Counsel, and Public Affairs	

I. PURPOSE:

This memorandum establishes a Department of Transportation History Program.

- It establishes policy.
- It assigns responsibility.
- It directs procedures to ensure access to and preservation of selected records, photographs, maps, and objects to document the history of the Department.

II. BACKGROUND:

Information about past decisions, policies, programs, and accomplishments of the Department is needed to:

- Explain the evolution of current practices and policies.
- Provide historical perspective in decision making in all areas of departmental activity.
- Assist the legal staff in supporting the Department's position in litigation.
- Aid in the preparation of environmental impact studies.
- Provide background for speeches and news releases.
- Encourage a sense of pride and loyalty in the Department's employees.
- Answer requests from students, researchers, the media, publications, and the general public concerning the history of highways and transportation in California.

A formal program to preserve the history of the Department, under professional direction, will ensure that materials of historical importance are not discarded, will decrease the time spent searching for needed information, will increase the likelihood of finding information, and will enhance the image of the Department.

III. POLICY:

Caltrans' policy shall be to preserve and make accessible selected records, photographs, maps, and objects which document the history of the Department.

IV. RESPONSIBILITY:

Division Chiefs and District Directors shall be responsible for the preservation of the Department's historical materials. They shall appoint members of their staff to serve in a collateral role as Division or District Historian to assist in locating and evaluating historical materials. These staff members should be selected on the basis of their interest in the program. They should understand organizational relationships, the programs of the Division or District, and the mission of the Department of Transportation. They should have access to all official files and records other than confidential records.

A Historical Records Officer, with professional training in the management of historical records, photographs, maps, and objects, and with the expertise to make information from them readily accessible, shall be employed by the Division of Administrative Services.

This person shall be responsible for the implementation of the program, including the functional supervision and training of the District and Division Historians.

The Division of Equipment Maintenance and Development will provide space for large articles, such as construction or maintenance equipment, judged to be of historical importance.

A History Committee, composed of at least a representative from each Division, a representative of the Office of Communications, the Office of Environmental Analysis, the

Records Manager, and the Supervising Librarian, shall act as an advisory body to the program. Division Chiefs shall appoint representatives to the Committee. Members of the Committee will elect a Chairman annually. The Historical Records Officer will act as Executive Secretary to the Committee.

V. PROCEDURE:

1. A working collection of selected records, maps, photographs, and historical objects will be organized, indexed, and preserved by the Historical Records Officer.
2. The Historical Records Officer shall have physical custody of these materials or shall assign custody to an appropriate office.
3. Records will be selected and appraised by the Historical Records Officer, with the aid of the Division and District Historians. (Criteria are outlined in the appendix to this document.) The Historical Records Officer will work with the departmental Records Manager to develop specific procedures.
4. The Historical Records Officer will create and maintain a referral directory to indicate the location in the Division and Districts of records, maps, photographs, and objects which are of historical interest.
5. A long-term project will be established to provide computerized subject indexing to historical materials held in the various Divisions and Districts of the Department.
6. The Historical Records Officer, the Division and District Historians, and the Office of Communications will cooperate to publish an annual summary of Division and District activities.
7. The oral history program will be continued, under the auspices of the History Committee. It will be supervised by the Historical Records Officer and staffed by volunteers.
8. Publications and reports which document the history of the Department should normally be preserved in the Transportation Library.

APPENDIX TO POLICY AND PROCEDURE #84-5 (HISTORICAL MATERIALS)

Criteria for the selection of materials to add to the historical collection.

1. The materials provide evidence of the organization or functioning of the Department, or they provide important information about the history of highways or transportation in California: The people, the places, the conditions, or the activities.
2. They are unique in that the information will not be readily accessible in other sources.

To save staff time, money, and space, it is important that the History program supplement, not duplicate the work of the Caltrans Library, the departmental files, the Records Center, or the State Archives. Material to be added to the collection should be evaluated critically.

Suggested procedures for the selection of records.

1. The Historical Records Officer, with the aid of the Records Manager, and the advice of the History Committee, will designate on the records retention schedules those record groups which are of potential interest.
2. Records will not be removed from the Record Center until the time for destruction. At that time, the designated records will be made available for the Historical Records Officer to decide which should be saved.

Appendix III : DEPUTY DIRECTIVE 58 (DD-58)

Deputy Directive 58: *Preservation of Department's Historical Materials*, 2000.

DEPUTY DIRECTIVE

Number: DD-58

Refer to
Director's Policy: 02-Ethics
06-Caltrans Partnerships
17-Information Technology

Effective Date: 3-17-00

Supersedes: P&P 84-5

Title: Preservation of Department's
Historical Materials

POLICY

Caltrans preserves and ensures access to selected records, photographs, maps, audiovisual resources, objects, computer data files, and other materials that document the history of the Department. This policy encourages the consideration of historical values when reviewing the disposition of all materials.

Information about past decisions, agreements, policies, programs, and accomplishments of the Department is needed in order to:

- Explain the evolution of the current practices and policies.
- Provide historical perspective in decision-making in all areas of Departmental activity.
- Aid in the preparation of environmental documents.
- Assist the legal staff in supporting the Department's position in litigation.
- Provide background for speeches, articles and news releases.
- Answer requests from staff, the media, general public, researchers, and students concerning the history of highways and transportation in California.
- Advocate and publicize the importance of a historical perspective in Departmental activities.
- Encourage employees to have a sense of pride and loyalty in the Department.

BACKGROUND

Policy & Procedure P84-5, Preservation of Department's Historical Materials, established a formal program to preserve the history of the Department, under professional direction, to ensure that materials of historical importance were not discarded and would be easily accessible. This supplemented the Records Management Program that dictates how records are kept. For further clarification on records management see *Deputy Directive #55, Management of Caltrans Information Assets and Records*.

RESPONSIBILITIES

Deputy Directors and District Directors are responsible for the preservation of the Department's historical materials that are important to the Programs, Service Centers, or Districts, as well as to the Department overall. These materials include historical files of reports, records, and documents such as manuals, annual reports, handbooks, policy directives, etc.

The Directors appoint members of their staff to serve in a collateral and advisory role as Program, Service Center, or District History Preservation Committee Representative and to assist in locating, evaluating, and preserving historical materials. Staff members are selected on the basis of their interest in preserving the Department's history. They understand the organizational relationships of their Program and have access to all official files and records other than confidential records.

The Historical Records Officer:

- Is employed by the Administrative Service Center and positioned in the Caltrans Transportation Library. The Historical Records Officer has professional training in the management of historical records, photographs, maps, and objects, and has the expertise to make information from them readily accessible.
- Is responsible for the implementation of the policy and provides advisory support to the Program, Service Center, and District History Preservation Committee Representatives. *A Guide to the Selection Criteria, Procedures, and Management of the Caltrans Transportation Library Historical Collection* is issued by the Historical Records Officer and made available through the Transportation Library.

External Affairs and District Public Information Offices, in coordination with the History Preservation Committee and the District History Preservation Committee Representatives, assist the History Preservation Committee in their effort to publicize internally and externally various aspects of the Department's historical heritage consistent with Departmental goals and objectives.

The Equipment Service Center, after receiving approval from the History Preservation Committee, preserves and restores equipment judged to be of historical importance and provides storage space for large articles, such as construction or maintenance equipment.

The History Preservation Committee acts as an advisory body to the Department. It is composed of representatives from each Program and Service Center, External Affairs, Records Management, the Historical Records Officer, the Supervising Librarian, and others at the discretion of the Committee. Program and Service Center Chiefs appoint representatives to the Committee. Members of the Committee will elect a Chairperson annually. The Historical Records Officer acts as Executive Secretary to the Committee.

Employees maintain a historical awareness and, where applicable, integrate historical considerations into the Department's overall responsibilities.

APPLICABILITY

This Policy applies to all activities undertaken by the Department to develop, operate, and maintain the State's transportation system and the Department's internal operations.



TONY HARRIS
Chief Deputy Director

As referenced on page 2 of Deputy Directive 58 (DD-58)

Guide to the Selection Criteria, Procedures, and Management of the
Caltrans Transportation Library Historical Collection
(March 14, 2000)

The purpose of the historical collection is to document the history of the Department and the development of transportation in California. The collection consists of records, photographs, maps, and other materials of continuing value that are made accessible through a program of selection, acquisition, preservation, and organization. The Collection is housed in the Caltrans Transportation Library and is managed by the Historical Records Officer.

Management of the Historical Program:

- 1.) A working collection of selected records, maps, photographs, and historical objects will be preserved, organized, and indexed by the Historical Records Officer.
- 2.) The Historical Records Officer shall have physical custody of these materials or shall assign custody to an appropriate office.
- 3.) The collection is primarily intended for use by Department staff, although service is extended to other researchers as time and resources permit. Service to non-Department researchers will usually require a prior appointment.
- 4.) Records will be selected and appraised by the Historical Records Officer with the aid of the Division and the District Historians, based on the criteria and specific subject scope outlined below. The Historical Records Officer will work with the Department Records Manager to develop specific selection procedures.
- 5.) The Historical Records Officer will create and maintain a referral directory to indicate the location in the Programs, Service Centers, and Districts of records, maps, photographs, and objects which are of historical interest.
- 6.) A computerized subject index to historical materials held in the various Programs, Service Centers, and Districts of the Department will be developed and maintained by the Historical Records Officer.
- 7.) The Historical Records Officer, the Program, Service Centers, and District Historians, and the Office of Public Affairs will cooperate to publish an annual summary of Program, Service Center, and District activities.
- 8.) The oral history program will be conducted under the auspices of the History Preservation Committee. It will be supervised by the Historical Records Officer and staffed by volunteers.

Selection Procedures for Historical Records:

- 1.) The Historical Records Officer, with the aid of the Records Manager and the advice of the History Preservation Committee, will review the records retention schedules and designate record groups which are of potential interest. These designations will supplement, not replace, those already made by the California State Archives.

- 2.) Records dated for destruction and not selected to go to the California State Archives will remain at the Records Center until the assigned date of their destruction. At that time, the designated records will be made available for the Historical Records Officer to decide which should be saved.
- 3.) Gifts that fit the scope of the collection will be accepted. A release form must be signed by the donor of any gifted materials to allow the Department to distribute them in the most expeditious manner. Duplicates or materials not appropriate to the Department may be given to other collections.

Selection Criteria for Materials to add to the Historical Collection:

- 1.) Historical materials added to the collection should provide documentation for events and/or decisions that make a significant impact on the history of the Caltrans predecessors, document the history of transportation in California, or record information about the people who were involved in these activities. Documentation of the following is of particular importance: Departmental "firsts", controversial issues, and changes in policy.
- 2.) The information shall be unique and not be readily accessible in other sources.
- 3.) The historical collection should supplement and not duplicate the work of the Caltrans Library, the Departmental files, the Records Center, or the State Archives. Published reports will generally be cataloged and added to the library collection rather than the historical collection. If frequently used for reference purposes, a duplicate copy may be added to the historical collection.
- 4.) Subject areas in the collection should reflect the programs of the Department and support the needs of the staff for historical information in the following subject areas:

Specific Subject Areas Included in the Collection:

- Department Administration, including Headquarters and Districts, and the Transportation Commission and its predecessors - financial, legislative, legal personnel, etc.
- Right-of-way
- Highways - planning, design, surveying, site conditions, construction, equipment, landscaping, maintenance, naming and numbering, alignments, additions to the system, etc.
- Structures - bridges, culverts, tunnels and tubes, buildings, roadside rests, maintenance stations, pedestrian facilities, etc.
- Traffic engineering and safety - traffic control devices, accidents, signage, traffic management and mitigation, etc.
- Transportation planning
- Non-highway modes - mass transit, aeronautics, bicycles, ferries, vanpools, etc.
- Employees
- Environmental issues - noise abatement, archeology, social, cultural, and biological impacts, hazardous materials, etc.
- Disasters and weather affecting highways and transportation - landslides, earthquakes, storms, floods, snow and ice, fog and dust, etc.
- Materials testing, patents, innovations, research, alternative transportation technologies

- Awards and honors
- Early trails and roads in California that show comparative locations with later highway development
- Automobile and truck development relevant to size, speed, weight, numbers, and legal considerations, etc. which affect the road system in California highway development
- Travel accounts that contain unique information about road conditions on California highways
- California rail and aeronautical history pertaining to vehicles, systems, or facilities operated, funded, designed or otherwise supported by the Department

Specific Subject Areas Excluded from the Collection:

- General histories not dealing primarily with transportation in California
- Highway development in other states or countries
- Maps of other states or countries
- Duplicate copies of maps or photographs
- General California railroad history
- Materials from series usually kept by the California State Archives and requested by them from the Caltrans records management lists