

Arrangement and Description Guidelines

BRIGHAM YOUNG UNIVERSITY: Processing Case File Checklist

L. Tom Perry Special Collections (02/2008)
Processing Case File Checklist

- Primary Checklist
 Installment / add.

Call Number

Creator (include birth and death dates): _____
 Title: _____
 Dates: _____

Accession Number(s)

Pre-Processing

Initials	Date	
		Dept. record search conducted
		Entry in INDI accession log
		Instrument of gift and/or invoice and correspondence
		Thank-you letter & certificate sent to donor

Other Media Consultation (photographs, film, electronic media, etc.)

		Processing plan & supplies reviewed
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Physical Processing of Collection (Preliminary or Final)

		Materials rehoused/numerated (preliminary or complete)
		Finding Aid created in XMetaL M:\scmshare\grpdata\ _____
		Name Authority worksheet(s) drafted M:\scmshare\grpdata\ _____
		Finding Aid run through validator
		Digitization request form filled out
		Items to go to vault (attach description of items to be sent to the vault)

WorkFlow (Hand case file with checklist, INDI accession log printout, name authority worksheet(s), and EAD)

		Case file reviewed and collection picked up by Workflow
		DACS compliance
		CCLA EAD BPG Compliance

Cataloging

		First edit and catalog record entered into online catalog by manuscript cataloger SIRSI Number: _____
		Edit Finding Aid

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Digitizing

		Item sent to digitizing
		Item digitized
		Physical item returned to WorkFlow & placed with collection
		Address for digital object added to XML finding aid
		Metadata worksheet completed: <input type="checkbox"/> Correspondence <input type="checkbox"/> Diary <input type="checkbox"/> Photograph <input type="checkbox"/> Reports <input type="checkbox"/> Graphic <input type="checkbox"/> Saved to O: drive / Special Collections Metadata Worksheets folder

Metadata

		Load/Metadata Digital object address: _____ Thumbnail address: _____
		Additional metadata added

WorkFlow – Physical Processing and Register Workflow

		2 nd edit of finding aids & catalog record (grammar & spelling); finding aid edited in XMetaL
		Labeling and bar coding completed (boxes & folders)
		Location assigned by Collections Manager, entered into Location Guide and collection placed in stacks
		Copy of XML finding aid to disk archive
		Finding aid printed (and bound if more than 20 pages) and placed in Reference Room
		Finding Aid uploaded to database
		URL of Finding Aid added to catalog record

Patron Notification

		Email URL of online finding aid or send a hard copy to the donor
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Conservation

		Item sent to WorkFlow with a completed Conservation Worksheet
		Item reviewed by the Diagnostic Committee
		Originals checked out to Conservation through circulation system and taken to lab
		Conservation work completed; material returned to WorkFlow and checked back into the circ. system
		Conservation treatment(s) described in the 590 or 583 tag in catalog record

Microfilming

		Curator's microfilm review (<input type="checkbox"/> yes –OR– <input type="checkbox"/> no)
		Microfilming targets are made and the collection is checked out to 6 th floor microforms
		Microfilm and original materials returned and checked back into circulation system
		Microfilm holding added to catalog record. Finding aid updated with reel numbers

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is a division or branch. If you are describing the contents of a series, put that information at the series level, not at the accession level above it or the file level below it.

III. Workflows

A. An Overview of the Accessioning Workflow

1. A Curator brings in a collection and fills out an accession worksheet (<http://www.lib.washington.edu/specialcoll/test/mail/accessioning/intake.html>) to alert the Accessioning Specialist that material has arrived.
2. The Accessioning Specialist records the collection in the accession register database.
3. The Curator and Accessioning Specialist discuss the amount of work to be performed on a collection to make it minimally useable to or adequately prepared for processing.
4. The Accessioning Specialist and Accessioning Student Assistants rehouse materials (if necessary), review materials for restricted information, and create an inventory.
5. The Accessioning Specialist and Accessioning Student Assistants create an EAD finding aid for the materials.
6. The Curator reviews the EAD finding aid.
7. The Accessioning Specialist creates an accession record in Millennium. He also creates or modifies the electronic resource record and the public bibliographic record in Millennium.
8. The Accessioning Specialist links the EAD finding aid to the bibliographic record in Millennium, posts the EAD finding aid to the web, and prints and files the finding aid at the reference desk and the workbook.
9. The Curator handles further contact with the donor: acknowledgement, forwarding the finding aid to the donor, etc.

B. An Overview of Processing Workflow

1. The Head of Technical Services, Curator, and Processing Supervisor select the collection to be processed.
2. Once assigned and work begins, the processing supervisor adds a standard 506 Access Restriction note to the Millennium accession records to alert Public Services staff and others to the fact that the collection is being processed. The note should read: "Collection is being processed. Research use may require advance notice."
3. The Processing Supervisor establishes the processing file. This file includes documentation from donor files, accession records, collection surveys, other locally published sources (guides, exhibit catalogs, etc.), additional notes, and other basic historical or biographical data relating to the

collection.

4. The Processing Supervisor locates all component parts of the collection to be processed.
5. The Processing Supervisor or Advanced Processor becomes familiar with the history of the organization, unit, or people who created the papers; the background of the collection; and the papers themselves. The Processing Supervisor may also identify materials for the processor to read to become familiar with the creator and the materials.
6. The Processing Supervisor or Advanced Processor surveys the collection, noting existing arrangement, prominent series, prominent correspondents, inclusive dates, bulk dates, topics covered in the papers, locations of histories or other useful information in the collection itself, preservation problems, and the like.
7. The Processing Supervisor or Advanced Processor prepares a processing proposal. A processing proposal describes proposed arrangement schemes, amounts and kinds of major preservation work, description strategies, tasks for students, treatment of confidential or sensitive material, suggested treatment of media materials (e.g. potential relocation to separate photograph or film collections) and other specific aspects of processing the collection. This is discussed with the Head of Technical Services and the curator, if needed. Smaller collections or training projects may require less discussion. These discussions provide an opportunity to note additional information that may be important or useful, and to suggest alternative strategies for organizing and arranging the material.
8. The collection is processed and housed, and the finding aid is drafted by the processor. For examples of finding aids, see <http://www.lib.washington.edu/specialcoll/findaids/>.
 - a. The finding aid should be created during processing.
 - i. Processors may wish to compose historical notes and scope and content notes as they work.
 - ii. As they work through collections, Processors should find an image to scan and use in the finding aid.
 - iii. Folder labels are generated automatically from the finding aid after processing is done. Processors should compose folder descriptions in the finding aid as they work, but put temporary notes on folders and use flags in order to keep track of work.
 - b. Processors should identify major correspondents as they work through a collection, check those names in the Special Collections Name Authority Database, and forward a request for name authorization to the Description Specialist, for those which have not been formally established. Significant changes in processing strategy should be discussed before they are implemented.
9. A finding aid is submitted to the Processing Supervisor for review. The finding aid is passed back for revision, if necessary.
10. A finding aid is submitted to the Head of Technical Services for review. The finding aid is passed back for revision, if necessary.
11. Once revised, the draft is submitted to the Curator for review. Revision continues until the finding aid receives final approval from the Curator.

12. After the finding aid is reviewed...
 - a. folder numbering macros are run,
 - b. folder labels are printed out and applied,
 - c. finding aid is printed and filed,
 - d. Millennium records are updated, and
 - e. relocation issues are resolved.
13. The finding aid is then submitted to the Head of Technical Services for review of EAD encoding.
14. After the EAD review, the finding aid and the case file of names go to the Special Collections Cataloger. The collection will be cataloged in OCLC and the local OPAC.
15. The Special Collections Cataloger notifies the Special Collections computer specialist to post the finding aid to the UW website and the NWDA website.

IV. PLANNING

Plans are created by the accessioning or processing supervisor, or by advanced students. If you are just learning how to process or to accession materials, you will be implementing the plan created by your supervisor.

The amount of planning done before accessioning or processing should be relative to how much total attention a collection will receive. When accessioning, plans may be cursory and informal, relative to the amount of work that will be performed. When processing, plans should be more detailed to guide decisions at more granular levels of control. Processing plans will be distributed and discussed with the Head of Technical Services and appropriate Curators. Although every collection is different, creating a processing plan for a medium-size collection (10 to 12 record center cartons) should not take more than 15 hours. Surveys of larger collections will take longer; how long will depend on the complexity of the collection.

A. Background research

Before you perform any work on a collection, it is first necessary to understand the context of its creation. Familiarize yourself with the major events, features, and activities of the creator. When processing, you will often need to do more research. Some of this information may be provided in the processing file. You might also need to consult the Pacific Northwest Regional Index; conduct an Internet search; check basic biographical sources such as Who's Who and the Social Security Death Index; and check published histories. You may also find this information in the collection itself, such as in a person's resume or an organization's mission, by-laws, or reports. At times, it may be necessary to conduct research on the subject matter of the collection and the history and methodology of specific disciplines that produced the records. All of this information will be useful for determining relevant series, making other arrangement decisions, supplying titles, and writing biographical/historical notes and scope and content notes.

B. Surveying the collection

The second step in creating a plan is to survey the collection. Open all the boxes. If possible, spread the boxes out on a table and open them all at once. Scan the collection to get a feeling for the subject