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PROCESSING COLLECTIONS

What is Processing?
According to the “Glossary of Archival and Records Terminology” published by the Society of American Archivists, archival processing is “the arrangement, description and housing of archival materials for storage and use by patrons.”

Archival processing has two functions: 1) to prepare material for long-term storage and 2) to create access tools that allow patrons to discover and use archival materials.

Levels of Processing
There are three levels of processing granularity in the Perry Special Collections. They are: Basic Processing, Value-Added Processing, and Item-level Processing.

Basic Processing
Basic processing is the creation of aggregate-level descriptions for collections. It involves limited physical arrangement of materials and is largely intellectual in nature. All collections acquired by the Perry Special Collections must be basically processed.

Value-Added Processing
Value-Added Processing is the creation of subseries-, file-, or item-level descriptions for collections. It involves the physical arrangement of materials according to their value. It allows varying depths of description within collections. For example, a value-added processed collection could be comprised of four series and two of those series might be processed to a series level and the other two might be processed to a file level. Generally value-added processing is done at the file level but, in rare cases, it can be done at the item-level with appropriate approvals.

Item-Level Processing
Item-level processing is an extension of full processing. It is the description of all materials in a collection at the item-level. Item-level processing can only be done with the approval of the Perry Special Collections Board of Curators.
Physical Processing

Preliminary Work
Always work with only one collection at a time, no matter how large or small. Your supervisor will determine which collection you will work on. Put the entire collection in an area with adequate shelf and table space, where other materials will not become intermingled. Briefly examine all the materials carefully, without trying to arrange them—be careful to note the creator’s arrangement. With more recent Records Management Transfer Sheets, the transfer sheet itself can be your main source of information. Material accompanied by older Transfer Sheets or not received from Records Management (any other archival or manuscript material) needs to be examined using the following procedure:

- Physically examine the collection.
- Try to identify any distinct record groups and series, a logical and valid original order, and any series or filing arrangement.
- Take notes about any record groups or series you identify, any filing order you determine, and any decisions you make or questions you have about the records.
- Record information useful for describing the records, such as important subjects, significant events, or well-known people.
- Try to gain an understanding of the creator(s) of the records: what they did, what activities they were involved in, how much material was created, and how much of it is valuable.

Once this preliminary investigation is done, research the history of the collection: its provenance; any legal restrictions or donor concerns, which may affect it; any information on its original arrangement or organization; and any information on the creator.

Preparing a Processing Plan
Once the preliminary work is done, processing begins. The first step in processing is to make sure that you have all the component parts of the collection. You will have already searched the Accessions section in the Archivists’ Toolkit to determine if you have a new collection or an addendum. Also look in the leads files and the case files—your supervisor can tell you where these are located. Also ask your supervisor if they are aware of any other parts of the collection besides what you have accessioned.

After completing the preliminary work, it is time to prepare a processing plan. The detail and complexity of the processing plan will vary depending on the size of the collection to be processed. The processing plan should contain the following information: a brief summary of the components of the collection, suggestions for background research, donor information, collection information, existence of related materials, original order, a proposed order, and specific processing instructions—all of this information should have been gathered during your preliminary work. This information will be entered in the Processing Plan form in ProcessMaker.

Unlike library books, which can be classified by subject, given a number, and stored on a shelf in a specified order, archival and manuscript materials contain information about numerous diverse subjects.
and cannot be physically organized by subject. Whenever possible, the records in each accession are arranged and filed in the order in which they were originally created, maintained, and used, not according to any artificial or arbitrary arrangement. The two most important principles of archival arrangement are provenance and original order.

Provenance is the fundamental principle of modern archival practice. It simply means that “archives of a given records creator must not be intermingled with those of other records creators.” Records about athletics from the Ernest L. Wilkinson presidency should not be filed with records about athletics from the presidency of Rex E. Lee. The records creator is the individual or organization that accumulated or produced the records. Under the former provision, letters sent by John Farnsworth belong to the recipient and do not get moved into Farnsworth’s collection. Provenance is identified primarily with the creator of a collection rather than the person who donates the collection to an archival repository.

Original order refers to the order and organization in which the documents were created and/or stored by the creator or office of origin. Try to maintain this order when organizing records. Unfortunately, not every collection will have a recognizable order and you will often have to impose order out of chaos. Do not begin organizing a collection until you have a good grasp of its contents and their natural order. Try to establish a natural order based on the material at hand. When dealing with these types of collections, remember that your ultimate goal is to establish a usable working order.

**Establishing Context**

Determine who the donor of the collection is and what connection there is between the donor and the materials in the collection. Often a basic biography or department history is adequate.

If you are unfamiliar with what appears to be the general subject matter of the collection, read enough in the field to have a general understanding of the subject. A search on the Brigham Young University Library Catalog will give you the names of authors writing in the field and titles of important works. Ask your supervisor for suggestions. A basic understanding is adequate; weeks of research are not required.

**Name the Collection**

The majority of the titles that you will work with will be supplied titles. This has to do with the nature of archival materials. Archival materials are typically arranged and described at the aggregate level, and supplied titles are most often needed for aggregations.

There are three possible segments to a supplied title:

1. Name of the creator (strongly recommended)
2. Nature of the materials (required)
3. Topic of the archival unit (optional)

**How to Record Names of Creators:**

DACS 2.3.4 states that for the name segment of the title you should “record the names(s), family (families), or the corporate body predominantly responsible for the creation, assembly, accumulation, and/or maintenance of the materials.”
The first step in identifying the names segment is to determine which creators have the most important relationships with the materials. Who was primarily responsible for the creation of the materials in front of you? Once you have identified the appropriate creator, then you should record the name by which the creator is most commonly known. This should be the same name you recorded in the Archivists' Toolkit, or it should be the form of the name that you discovered in the Library of Congress name authority file.

If the creator name is unknown, then you should not record anything. You should also not record a name in the name segment if the repository is the collector of the materials.

Rules for people are:

1. If there is only one creator, then you record that creator’s name.
2. If there are two or three creators, then you record all the names in the order of their predominance. (Predominance is determined by the amount of material that they have contributed to the materials in front of you.)
3. If there are more than three creators, then you record only the name of the most predominant creator.

Rules for families:

1. If there is only one family, then you record the family name.
2. If there is one family with two surnames, then you record both individual names followed by the word “family”.
3. If there are two or three families, record all of the family names followed by the word “families”.
4. If there are more than three families, then you record only the name of the most predominant family. (Predominance is determined by the amount of material that they have contributed to the materials in front of you.)

Rules for Corporate Bodies: (you can only select one name for corporate bodies)

1. You can only record one name for corporate bodies
2. The name chosen should accurately reflect the administrative unit having the most direct responsibility for the creation and provenance of the materials described.

While there can only be one name for corporate bodies, there are other places in the descriptive record that you can list other names the corporation has had.

When the name of a corporate body has changed, DACS requires you to use the most recent version of the name of the corporation represented in the materials.

**For example:**

Previous names and companies associated with Geneva Steel Holding Corporation

- a. Colombia Steel Company
- b. Geneva Steel Company
- c. United States Steel Company
- d. Basic Manufacturing and Technologies Company of Utah
- e. Geneva Steel
How to Record the Nature of an Archival Unit:
One or two forms
1. Record both form(s) in the order of predominance

Three or more forms
1. for personal papers—“Papers”
2. for family materials—“Papers”
3. for corporate body materials—“Records”
4. for intentionally assembled materials—“Collection”

Optionally when one or two forms predominate, record one or two forms with the phrase “and other material”.

For example: letters, diaries, and other material.

The additional forms should be recorded in the scope and content note.

How to Record the Topic of the Archival Unit:
Topic includes-
1. Function
2. Activity
3. Transaction
4. Subject
5. Individuals
6. Organizations

Example of an individual as a topic: Madaline B. Stern papers on Louisa May Alcott.

The topic selected should reflect the basis of creation or use of the materials. If there is no name segment, it needs to be very clear that the topic is not the creator of the materials.

DACS rules are supplemented by the Oral History Cataloging Manual rules when it comes to the construction of titles for oral histories.

“Oral history interview with [name of interviewee].”

Physical Processing of the Records
Once the collection has been identified and named, it is time to perform an in-depth physical examination of the materials. During this examination you should evaluate the physical condition of the collection and determine which elements of the collection need to be separated out. The amount of time spent during this examination will depend on whether you are doing basic processing or value-
added processing. Basic processing involves limited rehousing and other activities. Value-added processing is more intensive. During value-added processing you should begin to re-folder and re-box the collection. It is also during value-added processing that you will remove paper clips, pins, string, rubber bands, or other harmful items. Replace metal paper clips with plastic clips if necessary. Whenever possible and practical replace newspaper clippings with photocopies. Unfold and uncurl pages and make sure all the material is as neat and flat as possible without changing the original order. Identify any items that need special care, so that they can be removed at a later date. Identify media items that will be stored separately, according to their physical needs. These usually include books and periodicals, photographic material, oversized material (maps, architectural drawings, posters, etc.), film and videotape, audio recordings, and artifacts. Also identify restricted material and material of value that needs to be removed from the collection for protection. Each of these items will be briefly discussed below.

**Books and Periodicals**
Books and periodicals (magazines, printed reports, and similar publications) found with a collection should be transferred to the print collections after consultation with the appropriate book curator. However, if they are annotated or are critical to an understanding of the collection (e.g., they are with the papers of the author, and the ability to make a comparison with his research notes and early drafts will be important to researchers), they should be kept with the collection. A catalog entry may be made for published work(s) if needed, with the location given within the manuscript collection.

To transfer published materials, note the donor name and accession number associated with the items. Obtain and fill out a manuscripts transfer form, and review the materials and form with your supervisor.

**Photographs**
Whenever you come across photographs in a manuscript collection, consult with the Photo Archivist. Together you will draw up a plan to determine the best approach to the particular set of photographs you are working with. Photographic materials require special storage, access, and reprographic conditions. On rare occasions photographs will be physically separated from the originating collection in order to best care for them. This is the exception rather than the rule. Generally photographs can be kept with the originating collection as long as they are properly housed.

**Oversized Materials**
Store oversized materials flat. If the material is too large for a box or flat file drawer, roll and store in a map tube, or in some cases, fold the item just enough to fit into the container. Items that arrive rolled may need to be flattened (relaxed) by a conservator, or might best be left rolled. Do not fold items that have intrinsic or exhibit value. Consult with your supervisor and the Collections Manager before determining a course of action with oversized materials.

In general, you should enclose oversized material in folders the same size as the box in which they are stored. Mark each folder with the call number, collection name, descriptive phrase, inclusive dates, and
box and folder number. It may be necessary to cut folders to size. The Collections Manager can help you with the housing of oversize materials.

Place ten to twenty items in one folder, making adjustments depending on the fragility, weight, and size of the item; put no more folders in a box than you can easily lift. Do not overload a box. You may separate delicate items with sheets of acid free paper or have them encapsulated for protection from handling.

*Motion Picture Film, Audiotapes, Videotape, Phonograph Records, CD disks, etc.*
Discuss the disposition of electronic storage materials, phonograph records, audio recordings, and moving image media with your supervisor. These media need special care and protection that is not available in typical manuscript storage.

*Works of Art, Artifacts*
Discuss the disposition of works of art and three-dimensional artifacts with your supervisor. Examples of such materials often found in manuscript collections include banners, political buttons, diplomas, plaques, framed photographs and paintings, wallets and pocketbooks, and odd bits of clothing. Only artifacts and works of art that are integral to the understanding of the manuscript collection will be kept. Discuss your recommendations with your supervisor.

*Restricted Material*
Material may be withheld from use for a number of different reasons. You should have determined any donor restrictions from the initial review of the documentation accompanying the collection. In addition, during processing you may discover materials that you feel would be damaging or distressing to the creator or others mentioned in the collection. Be particularly alert for material about persons other than the donor; e. g., physicians’ or lawyers’ case files, student records, etc. Also look for correspondence or reports that are marked confidential or seem to have been written with the understanding that they would be kept confidential, especially if written by someone other than the donor. Use good judgment and do not spend too much time hunting for things to restrict.

Restrictions should be clearly indicated in the finding aid as well as on the individual folders or boxes. They should also be indicated on the corresponding catalog record. Be as descriptive as possible when creating restriction notices. A restriction note should include the following information: why the material is restricted, how long it is restricted and the appropriate curator to talk about the restriction.

*Valuable or Fragile Material*
Material that has monetary value (e. g., photographs of famous people) or unusual historic significance should be removed from the collection and transferred to the manuscript vault. This holds true for material that is extremely fragile and has intrinsic value necessary to understanding the collection. If enough valuable material is present, the entire collection should be placed in the manuscript vault. Follow these steps when removing material from a collection:
1. Photocopy the item and mark the photocopy clearly as being a “preservation copy.” Place this copy in the folder that originally held the item.

2. Put the originals in Mylar or enclose them between sheets of acid free paper, if necessary, and put them in folders. Mark the folder with the location from which the original document was removed.

3. Prepare a list of material removed from the collection to add to the inventory. Title the list clearly to indicate that the originals are in the manuscript vault and list each item that was removed. State that the originals were removed for preservation and security. Also state that copies are available in the collection for the researchers to consult.

4. Have the Collections Manager place the materials in the manuscript vault.

Often fragile material can be retained in the collection if it is encapsulated or otherwise protected. Consult with your supervisor about items that you feel should be encapsulated or otherwise protected and then fill out a conservation worksheet if necessary. (see Appendix F, Conservation worksheet and instructions)

**Material to be Deaccessioned**

Often collections contain materials that should not be kept. These materials include duplicate or redundant items, items in extremely poor physical condition and items that fall outside the collecting area that the collection fits in. If you believe that an item should not be kept, fill out a deaccession form in the Archivists’ Toolkit and discuss your recommendation with your supervisor.

**Organizing and Re-housing the Collection**

During the physical examination of the collection, you will identify the series that will compose the collection. The depth of the work that you will do on the collection will depend on whether you are doing basic or value-added processing.

For basic processing, you will physically rearrange the materials into appropriate series. You will not arrange material within series. Materials that are being basic processed will typically be housed in records center cartons and will remain in their original folders. If the materials are not foldered, then you will place them in manila folders that you can obtain from receiving. Label the folders with short descriptive phrases. Do not include box and folder numbers.

For value-added processing, you will determine which series you are going to work on and then you will re-house the materials according to the following guidelines. You will also do arrangement work within the selected series. Hopefully you will not have to do much rearrangement, but that is not always the case. It is during value-added processing that materials will be moved to archival boxes and folders.

Follow these guidelines when organizing and re-housing the material found in the collection:

1. Replace original file folders with archival folders and box all manuscript material in legal size Hollinger document boxes. The boxes should be full enough so that material does not sag, but not so full that it is difficult to remove and replace folders within the box.
2. Package oversize material in appropriately sized folders and boxes.

3. Label all the folders. The completed folder labeling should be in pencil and contain the following information in this order: Manuscript call number (either UA # or MSS #), brief collection name (e.g., Clay Myers papers becomes Myers, Clay), folder title (Correspondence, 1994-1995), box number (Box 1), and folder number (Folder 1). The label on the folder should look something like this:

MSS 2017 Lee, Rex E. Correspondence, 1992-1993 Box 24 Folder 3

During the physical examination, materials should be re-housed and re-boxed in the order that they are found originally. Of course, the corresponding box and folder numbers will not be assigned at this time. The rest of the information may be noted on the folder as follows:

MSS 2017 Lee, Rex E. Correspondence, 1995-1996 Box Folder

The box and folder numbers will be filled in once the collection has been physically arranged.

4. Mentally arrange the folders in their appropriate order and then physically rearrange them into the correct box order.

5. Number the folders, starting each box with folder number 1. The first folder in Box 1 would be labeled: Box 1 Folder 1. The second folder: Box 1 Folder 2.
CASE FILES

Case files should be maintained by curators and their processing students. These files should be available for Collection Management students to pick up with the collection.

Case files must include:

- Processing Case File Checklist (these orange checklists are available by the copy machine)
  - While this is no longer the primary record used to assist in processing, it is still useful to track what has been done and who has worked on a collection.
- Instrument of Gift or Records Management transfer sheet
- Accession Records
  - These are printed from the Accessions module of Archivists’ Toolkit. To print this record, enter the Accession record in Archivists’ Toolkit, select “Reports” on the bottom of the record. This will bring up a new window where you can select the appropriate report (in this case, “Accession Records”) and allow you to print it.

Case files may include:

- Correspondence with the donor
- Older print finding aids
- Other paper work associated with the collection
ProcessMaker: BASIC PROCESSING

Student Processor

While doing the basic processing of a collection you will use the ProcessMaker website to coordinate your activities with your curator and collections management. The website is found at http://pmos.lib.byu.edu. The following login page will appear. Fill out the login page with your username and password and then click login. If you don’t have a username or password, talk to your curator to receive one.

Once you are logged in, the following ProcessMaker homepage will appear.

In the upper left hand corner of the homepage select New case.
You will then be given the option to select basic processing or value-added processing. Select **Basic Processing and Collection Management (Enter acquisition information)**. The Process Information form on the right side of the page should be blank at this point.

When you select Basic Processing and Collection Management the Process Information box on the right side of the page will fill in automatically. When it does, select **Start Case**.
Start Case will generate the following Acquisition Information form. Fill out the form with the information you have about the collection. If you have entered the information into Archivists’ Toolkit, select Yes in the scroll down menu Data entered into Archivists’ Toolkit and then Submit. If the collection’s information has not been entered into Archivists’ Toolkit, do so now. After you have completed entering the information into Archivists’ Toolkit, return to Process Maker, select Yes from the scroll down menu and then Submit.

After submitting, the following window will appear notifying you what the next task is and to whom it was assigned. After reading the information click Continue.
As shown above, the information you entered will be sent to your curator’s Process Maker for approval. You will not continue with this collection until your curator completes their review.

**Curator**

Once a student processor has started a case and entered the Acquisition Information Form, the collection will be sent to you for review through ProcessMaker. You will begin the review process by logging in to Process Maker at the site address [http://pmos.lib.byu.edu](http://pmos.lib.byu.edu), entering your username and password and clicking **Login**.

Once logged in, the home page will appear. If there are any tasks assigned to you, they will appear in your Inbox. To review Jane Doe papers double click on the item **Basic processing of Jane Doe papers**.

Review the contents entered by the student processor into the Acquisition Information Form. If everything is correct, select **Yes** from the Approve Acquisition Information drop down menu and **Submit**.
If you find errors in the data entered, select No from the drop down menu Approve Acquisition Information and then in the Supervisor comment box write what inaccuracies were found. Click Submit and your comments will be sent to the student processor to be changed.
Student Processor

If a collection is returned to you with comments, when you log in to your homepage, the collection will be listed there again with the same task as before. The comments entered by your supervisor will be sent to you via e-mail. Make the suggested changes. If you need clarification or you don’t feel the changes are necessary, talk to your supervisor. Once the changes are made, or the concerns resolved, Submit the form again to the curator for review.

After the curator has approved the Acquisition Information Form the collection will be returned to you and you will fill out the Processing Plan Form. When you log in to ProcessMaker the collection will appear in your Inbox. To view the Processing Plan Form double click on Basic processing of Jane Doe papers. Fill out all the information you have available into the Processing Plan Form. Submit.
Curator

When the student processor has finished entering the Processing Plan Form it will be sent to your ProcessMaker for review. Once again, double click on the collection to view the Processing Plan Form.

Review the information entered into the Processing Plan Form by the student processor. If there are no changes you feel should be made select Yes in the drop down menu Approve Processing Plan and select Submit.
If you do find changes to be made, select No from the Approve Processing Plan drop down menu and specify the corrections you would like to see made to the Processing Plan Form in the Comments on Processing Plan box. Then click Submit.
**Student Processor**

If a collection is returned to you with comments, when you log in to your homepage, the collection will be listed there again with the same task as before. The comments entered by your supervisor will be sent to you via e-mail. Make the suggested changes. If you need clarification or you don’t feel the changes are necessary, talk to your supervisor. Once the changes are made, or the concerns resolved, **Submit** the form again to the curator for review.

Once the Processing Plan has been approved you will physically arrange the collection and enter the description details into Archivists’ Toolkit. When that has been completed, fill out the Arrangement and Description Confirmation Form in ProcessMaker. Many of the fields will be
automatically filled out. Make sure you enter the location of materials for Collections Management to use later. When you have completed the form submit it to your curator for review.

**Curator**

When the student processor has finished entering the Arrangement and Description Confirmation Form it will be sent to your ProcessMaker for review. Double click on the collection in your Inbox to view the Arrangement and Description Confirmation Form.

Review the information entered into the Arrangement and Description Confirmation Form and Archivists’ Toolkit by the student processor. If there are no changes you feel should be made select Yes in the drop down menu Approve Arrangement and Description Confirmation Form and select Submit.
If you do find changes to be made, select No from the Supervisor Approval drop down menu and specify the corrections you would like to see made to the Processing Plan Form in the Comments on Processing Plan box. Then click Submit.

**Student Processor**

Once the Arrangement and Description Confirmation Form has been approved, this will begin a series of reviews that will ensure that the descriptive information is compliant with departmental standards including *Describing Archives: A Content Standard* (DACS).

**Collections Management**

Once the student processor finishes the basic processing and enters the information into Archivists’ Toolkit the collection will be sent to you for review through ProcessMaker. You will begin the review process by logging in to Process Maker at the site address [http://pmos.lib.byu.edu](http://pmos.lib.byu.edu), entering your username and password and clicking Login.

Once logged in, the home page will appear. Tasks that are assigned to you will be listed in your ProcessMaker Inbox. To review Jane Doe papers double click on the item Basic processing of Jane Doe papers.

Review the information entered into Archivists’ Toolkit by the student processor verifying that there have been no errors made and that everything entered is compliant with departmental standards including *Describing Archives: A Content Standard* (DACS). If there are no mistakes or changes you feel should be made select Yes in the drop down menu Collection Management Approval and select Submit.
If you do find changes to be made, select No from the Collection Management Approval drop down menu and specify the corrections you would like to see made to the Archivists’ Toolkit record in the Collection Management Comments box. Then click Submit. It will be returned to the student processor to make the required changes.
Student Processor

If the collection is returned to you from Collection Management, when you login to your homepage the collection will be listed with the task Arrangement and Description Confirmation Form again. The comments entered by Collection Management will be sent to you via e-mail. Make the suggested changes in Archivists’ Toolkit. If you need clarification or you don’t feel like the changes are necessary, talk to Collection Management. Once the concerns are resolved, submit the form again for review. It will be sent back to your curator and then Collection
Management. This process will be repeated until Collection Management approves the collection.

**Collection Management**

Once the Arrangement and Description Confirmation Form is approved, Collection Management pick up the collection. This task will show up in the Inbox of your ProcessMaker when you login. **Double click** on the task to view the location of the materials. Before going to collect the materials, look up the collection in Archivists’ Toolkit to see how many boxes or folders you will be picking up.

![Collection Pick-up Confirmation Form](image.jpg)

Go to the Pickup Location and request the materials, picking up the case file along with the collection. Relocate the materials to a shelf in Workflows (HBLL 1191). Make sure you change the location in the location guide in Archivists’ Toolkit. Once that has been completed re-file the case file, and then return to ProcessMaker’s Collection Pick-up Confirmation Form, select **Yes** and **Submit**.

**Cataloger**

When the collection has gone through basic processing by the student processor, been reviewed by the curator and collection management, and moved to Workflows it will then be sent to a cataloger for a last review. You will begin the review process by logging in to ProcessMaker at the site address [http://pmos.lib.byu.edu](http://pmos.lib.byu.edu), entering your username and password and clicking **Login**.
Once logged in, the home page will appear. If any collections have been sent to you for review they will be listed in your Inbox. To review Jane Doe papers double click on the item **Basic processing of Jane Doe papers**.

Review the information entered into Archivists’ Toolkit by the student processor, verifying that there have been no errors made and that everything entered is compliant with departmental standards including *Describing Archives: A Content Standard* (DACS). If there are changes you feel should be made select **Yes** in the drop down menu Catalog Review Approval at the bottom of the page and select **Submit**.

If you do find changes to be made, select **No** from the Cataloger Review Approval drop down menu and specify the corrections you would like to see made to the Archivists’ Toolkit record in the Catalog Review Comments box. Then click **Submit**. It will be returned to the student processor to make the required changes.
Collection Management

If a collection is sent back from the Cataloger with comments it will show up in your Inbox with the task Collection Management Review Form again and the comments will be sent to you via e-mail. Copy and paste the comments into the Collection Management Review Form Collection Management Comment box. Select No from the Collection Management Approval drop down menu and click Submit.

Student Processor

If the cataloger finds any errors in the Archivists’ Toolkit record they will send it to Collection Management who will forward it to you. When you log in to your homepage the collection will be listed there again with the task Arrangement and Description Confirmation Form. The comments entered by the Cataloger will be sent to you via e-mail. Make the suggested changes in Archivists’ Toolkit. If you need clarification or you don’t feel like the changes are necessary, talk the Cataloger. Once the changes are made, or the concerns resolved, Submit the form again for review. It will be sent back to your curator, Collection Management and the Cataloger. This process will be repeated until all parties approve the collection.

Collection Management

When you open the Collection Management Review Form comments from past reviews will be sent to you. When approving a collection after a round of reviews, delete the previous comments before you send it on to not confuse future reviewers.

It will send the task Pick-up Collection to you again even though the collection has already been picked up. You can double check whether a collection has already been picked up through
Manage Locations on Archivists’ Toolkit. If it has already been picked up, just **Submit** the collection.

**Cataloger**

Once the collection has been approved by all parties you will receive the Catalog Confirmation Form in your ProcessMaker. With the Archivists’ Toolkit record reviewed you can now catalog the collection. When you have completed that task, go to your ProcessMaker Inbox and open the Cataloging Confirmation Form. Select **Yes** and then **Submit**.

![Cataloging Confirmation Form](image1)

The next task will be two fold. While Collection Management labels the boxes the cataloger will upload the finding aid.

![Assign Task](image2)

When you’ve uploaded the finding aid open the Jane Doe papers task in you Inbox and fill out the Finding Aid Confirmation Form by selecting **Yes** next to Finding Aid Uploaded and **Submit**.
Collection Management

After the collection has been approved and cataloged, it will be sent to you to label. Once you have labeled the boxes and/or files, go to your Process Maker Inbox and open the task Collection Labeling Confirmation Form. Select Yes next to Labeling Done and Submit.

When the labeling is done, the next task is barcoding. After barcoding the box(es), once again return to your Process Maker Inbox and open the Collection Barcoding Confirmation Form. Click on Yes next to Barcoding Complete and Submit.
After labeling, the collection is ready to be put in the stacks. The task Assign Location will appear in your Inbox. Find a location for the collection and then change the location listed in Archivists’ Toolkit. Once that has been completed, return to ProcessMaker and open the Location Assignment Confirmation Form in your Inbox. Select Yes next to Location Assigned and then Submit.

That completes the process.
Process Maker: VALUE-ADDED PROCESSING

Most value-added processing is adding detail to a collection that was basic processed. In most cases you will be organizing the collection intellectually into series and then describing where the physical items within that intellectual series are found. In certain cases you will arrange the materials physically and create folders within the series, physically organizing the materials into these folders.

Curator or Reference Staff

Value-added processing is initiated by a curator or reference staff. You will begin by logging in to Process Maker at the site address http://pmos.lib.byu.edu, entering your username and password and clicking Login.

Once logged in, your homepage will appear.

In the upper left hand corner of the homepage select New case.
You will then be given the option to select basic processing or value-added processing. Select **Value added Processing and Collection Management** (Enter processing information). The Process Information form on the right side of the page should be blank at this point.
Select **Start Case.**

This will generate the Curator Request for Additional Processing Form.
Fill in the appropriate information and Submit.

Once Reference Staff or the Curator Submit the form, the collection will be sent to the Curator for review. You can access the collection through the Curator’s ProcessMaker Homepage.
Selecting the Collection will open the Request Review Form. Check the information and assign someone to enter the processing plan. In this case it will be one of the 19th Century Students.

Student Processor

After the curator has entered the request for additional processing the collection will be assigned to you to fill out the Processing Plan Form. When you log in to ProcessMaker the collection will appear in your Inbox. To view the Processing Plan Form double click on Value added processing of Sherlock Holmes case files.
This will bring up the Processing Plan form.

Fill out all the information you have available into the Processing Plan Form.
The Processing Plan Review Form will be sent to the curator. Once the form is open, there are three options in the Approve Processing Plan drop down menu.

Selecting Yes will send the collection on to be processed further.
Selecting **Revise** will send the collection back to the Student Processor for revision. Make sure to write comments outlining what you action you would like taken as part of the revisions.

Selecting **No** will end the process.
Student Processor

Once the Processing Plan has been approved you will request the materials from the stacks. This form will be sent via ProcessMaker. Indicate what part of the collection you need and select Submit.

Collections Management

Materials being value added processed have already been basic processed, and therefore, are already located in the stacks. In order to arrange the collection, the processor will need the materials. Direction to retrieve materials will appear in your ProcessMaker homepage when a processing plan is approved.
Once you have delivered the materials to the student processor, fill out the Materials Delivery Confirmation Form and select **Submit**.

**Student Processor**
When you have the collection, arrange the materials according to the approved processing plan. When this is complete, fill out the Arrangement and Description Confirmation Form and **Submit**.
Refer to the Basic Processing Guide from Arrangement and Description Confirmation Form onward to complete the process.
Process Maker: ITEM-LEVEL PROCESSING

Item level processing proceeds in the same way that Value-added Processing with the addition of being reviewed by the Board of Curators. Once item level processing has been approved, proceed like value-added processing.
GENERATING CALL NUMBERS AND ACCESSION NUMBERS USING Archival Identifiers

Generating a Call Number and Accession Number at the Same Time

If the collection you are processing does not yet have a call number or accession number you will need to use the Archival Identifiers website to generate them. The website is found at http://aid.lib.byu.edu. The first thing that will appear on the site is a login page.

After entering your BYU Net ID and password, the Automated Identifiers page will appear. Select the type of collection you are processing: MSS (manuscripts), FA (folklore), or UA (university archives). If you cannot logon to this site and need to, talk to your curator about gaining access.
When you click submit, an accession number and call number will be generated and listed below. Make sure you write these down to enter into ProcessMaker later.

AUTOMATED IDENTIFIERS

Next automated Call number to be added will be:
MSS 8029 or FA 26 or UA 5598

Next automated accession number to be added will be:
A2012-04-118

Submit

Numbers:
A2012-04-117
MSS 8028

If you have more call numbers and accession numbers to generate, you can repeat the process as many times as needed. If you have finished generating call numbers and accession numbers, select “Log Out” before exiting.
Generating a Call Number for an Already Existing Accession Number

If the collection you are processing does not yet have a call number but already has an accession number, you will need to use the Archival Identifiers website to generate one. The website is found at http://aid.lib.byu.edu. The first thing that will appear on the site is a log in page.

After entering your BYU Net ID and password the Automated Identifiers page will appear. Instead of selecting a collection type like before, you will click on Enter Legacy.

Although there are more collection types listed as options on the Legacy page, only select MSS (manuscripts), FA (folklore), or UA (university archives). Then enter the existing accession number below.
After submitting, a call number will be generated and listed below. Make sure you write the number down to enter into Process Maker later.

If you have more call numbers and accession numbers to generate, you can repeat the process as many times as is needed. If you have finished generating call numbers and accession numbers, select “Log Out” before exiting.
Generating an Accession Number for an Already Existing Call Number

If the accession you are processing does not yet have an accession number, but already has a call number, you will need to use the Archival identifiers website to generate an accession number. The website is found at http://aid.lib.byu.edu. A login page will come up on the screen.

After entering your BYU Net ID and password the automated identifiers page will come up. Instead of selecting a collection type, you will click on Enter Legacy.

Although there are more collection types listed as options on the Legacy page, only select MSS (manuscripts), FA (folklore), or UA (university archives). Then enter the existing call number below.
After submitting, an accession number will be generated and listed below. Make sure you write the number down to enter into ProcessMaker later.

If you have more call numbers and accession numbers to generate, you can repeat the process as many times as is needed. If you have finished generating call numbers and accession numbers, select log out before exiting.
ENTERING DESCRIPTIONS INTO THE Archivists’ Toolkit

Once an accession and call number have been generated, it is time to create a record for that collection in Archivists’ Toolkit.

Accessions

If the material you are processing is either a new collection or an addendum to an existing collection, you will need to create an accession record in Archivists’ Toolkit. To do this, open AT and click on the Accessions link on the left hand side of the screen. From there, click on the New Record button at the top of the screen. This will open a blank accessions record.

There are five tabs on the top of accessions record window: Basic Information, Accessions Notes, User defined fields, Names and Subjects, and Acknowledgments, Restrictions, and Processing Tasks. This guide will cover each tab in turn.

Basic Information

The Basic Information window is used to record the core elements of the new accession. These include:

- the Accession number*  
- the Accession date*  
- Resources linked to the accession (i.e. the collection(s) this accession will be/is a part of)
• Resource type (collection, papers, or records)*
• the Title*
• Physical Descriptions*
• The Repository (i.e. the collecting area)*
• Dates*
• Deaccessions
• Locations
• General Accession Note

While all of these elements are important and useful, the L. Tom Perry Special Collections only requires those with an asterisk. The other details may be recorded if necessary. This guide will cover each required element in turn:

**Accession Number and Date**

<table>
<thead>
<tr>
<th>Accession Number</th>
<th>A2011</th>
<th>11</th>
<th>400</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accession Date</td>
<td>11/18/2011</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Each component of the accession number generated by the Archival Identifiers webpage is recorded in separate fields. The first component is the letter “A” followed by the year, the second is the month of the accession, and the last is the sequential number of the accession. The accession date is recorded in the lower field in the MM/DD/YYYY format.

**Resource Type**
The resource type allows you to designate whether your new accession represents a Collection, Papers, or Records. Collection is used for a group of materials that has been intentionally aggregated together, Papers is used for materials created or donated by an individual or a family, and Records is used for materials donated by a corporation or government entity.

**Title**
Create a title for this material compliant with the standards found in DACS 2.3. The title is composed of up to three segments: the creator, the documentary form, and occasionally the topic. These three segments are joined together to form a specific title (e.g., Jeffrey Mahas papers on archival theory).
**Physical Description**
At least one physical description must be recorded for each accession. To add this element, click on the “Add Description” button. This will bring up the “Physical Description” window. For accession records, you must first calculate the size of the collection in linear feet, then enter that number into the “Extent Number” field, and lastly select “linear ft.” from the dropdown menu.

**Repository**
For most users, the repository field will be locked into the processor’s collecting area. If you need to change the repository of an accession, please contact the Collection Management staff.

**Dates**
At least one date must be recorded for each accession. The “Dates” window is opened by clicking on the “Add Date” button. Enter the date range as you wish it to be viewed in the “Date Expression” field, and record the beginning and ending dates in the “Iso Date” fields. Finally, select the “Date Type”, the “Era”, and the “Calendar”. Fill the remaining fields, such as bulk dates and certainty, as needed. Remember to make sure your dates are DACS compliant.

**Deaccessions**
When a curator determines that material from an unprocessed collection should be removed from that collection, you will need to add a deaccession to the associated accession record. To create a Deaccessions record, click on the “Add Deaccession” button. Once the “Deaccessions” window opens, you will need to fill in a number of data fields:
The date
- A detailed description of what was removed
- Why this material was removed
- How large is the deaccession
- Where this material was deaccessioned to (i.e. destroyed, transferred to the Americana collection, etc.)

Locations
See the Locations Management section of this manual.

Accession Notes

Only two fields are required in the Accession Notes tab: “Acquisition Type” and “Description”.

Acquisition Type
This field describes how we received the new Acquisition. Simply select whether this collection was a deposit, gift, purchase, transfer, or other if none of those terms fit.

Description
For the “Description” box fill out a brief description of the acquisition (such as the name of the collection and a summary of its contents).
User Defined Fields
The User Defined Fields tab is not currently used by the L. Tom Perry Special Collections.

Names & Subjects
For accessions, you need to link the donor’s name to the record. To do this, click Add Name Link, select the name from the list, select Source in the function field, and then click Link. If you know the creator of the material, go through this same process, but select Creator in the function field. This will display another field labeled Role. This field allows you to further specify the role of the person who created the records (author, photographer, etc.).

See the “Names” section of this manual if you have to create a new name record for the donor or author.

Acknowledgements, Restrictions & Processing Tasks
The only required fields in the Acknowledgements, Restrictions & Processing Tasks tab relate to restrictions on the new accession. If there is a restriction on the accession you are processing, check the Restrictions Apply box and then specify whether it is an access restriction or a use restriction by checking the appropriate box. Finally, describe the restriction in the appropriate note box.
Resources Linked to this Accession: The Next Step

After you have finished creating the accession record you need to link the accession record to a resource record. This is done by going to the basic information tab and clicking on the Link Resource button under Resources Linked to this Accession. If you are processing an accession to an already existing collection, you may link that record by searching in the filter box, selecting the record, and clicking link.

If however, you are creating a new collection, select Create Resource. This will transfer your accession information into a Resource record that will be automatically linked to the accession. You can then proceed to edit your resource record.
Resources
The Resources module of Archivists’ Toolkit is where finding aids are created. A new resource record can either be created from the accession record, in which case it will transfer over all of the accession data, or from scratch by opening AT, selecting the Resource link on the left hand side of the screen, and then clicking on the New Record button at the top of the screen. Regardless of whether or not you have transferred the data from the accession record, the resource record will need to be revised and expanded.

There are three tabs on the top of the Resource record window: Basic Information, Names & Subjects, Notes Etc. & Deaccessions, and Finding Aid Data. This guide will cover each tab in turn. The first three tabs will appear at every level of the collection (i.e. series, subseries, file, and item) but the Finding Aid Data tab will only appear at the collection level.

Basic Information
The Basic Information window is used to record the core elements of the new accession. These include:

- Level
- Title
- Dates
- Language
- Repository
- Resource identifier
- Accessions
- Physical Description
- Instances

All of these elements are required by the L. Tom Perry Special Collections with some minor variations.

Level

The Level field is a drop down menu that allows you to choose the level of description this record represents. You will primarily use just five of the supplied levels: collection, file, item, series, and subseries. Of these, collection level records should be set to collection, unless the collection you are processing consists of only a single item. In that case item would be appropriate.
**Title**
Create a title for this material compliant with the standards found in DACS 2.3. The title is composed of up to three segments: the creator, the documentary form, and occasionally the topic. These three segments are joined together to form a specific title (e.g., Kay Amert research notes on sixteenth-century printing).

**Dates**
The Dates window is opened by clicking on the Add Date button. Enter the date range as you wish it to be viewed in the Date Expression field, and record the beginning and ending dates in the Iso Date fields. Finally, select the Date Type, the Era, and the Calendar. Fill the remaining fields, such as bulk dates and certainty, as needed. Remember to make sure your dates are DACS compliant.

If there are significant gaps in the dates, for example if your collection contains materials from 1820 to 1850 and then again from 1900 to 1905, you can add two separate date ranges to represent this gap in the records.

**Language**
The Language field allows you to record the language of your collection. If your collection consists of a single language, you simply select that language from the drop down menu. If, however, there are multiple languages represented, select “multiple languages” and then record what those languages are in a “Language of Material” note in the “Notes Etc. & Deaccessions” tab.

**Repository**
For most users, the repository field will be locked into the processor’s collecting area. If you need to change the repository of a resource record, please contact the Collection Management staff.

**Resource Identifier**
The Resource Identifier field is where the call number of the collection is recorded. Although there are four possible text boxes for you to enter information, only use the first.
Accessions linked to this Resource ID

Accession and resource records can be linked to each other through the Accessions module of Archivists’ Toolkit. A resource record can have multiple accessions linked to it. If you have questions on how to do this, please consult the accessions portion of this manual.

Physical Description

At least one physical description must be recorded for each resource record. To add this element, click on the “Add Description” button. This will bring up the “Physical Description” window. This window allows you to choose the type of container in a drop down menu and enter the number of containers. On the collection level you should also fill in the Container Summary field with the extent in linear ft. recorded in parenthesis (a chart for conversion is available in Appendix A).

Instances

Instances should only be entered at the lowest level of description. If your collection is being processed to the series level or lower, you should not place instances on the collection level. To add an instance, click “Add Instance” and select what type of material is found in the collection from the drop down menu. This will bring up a window that allows you to select the type of container the material is located in, the indicator (or box or folder number), and barcode. Processors need only enter the first two fields: the type and indicator. Workflows staff will enter the barcode information later. For instances below the collection level, more information may be required.

Names & Subjects

The Names & Subjects tab allows you to link collections to access points that will help future researchers find and navigate between related collections.
Names
Unless the creator of the materials is unknown, every resource record should have at least one creator linked to that record. To do this, click Add Name Link, select the name from the list, select creator in the function field, and then click Link. This will display another field labeled Role. This allows you to further specify the role of the person who created the records (author, photographer, etc.). If a significant portion of the collection focuses on an individual or corporate body, you should also add them as a subject.

See the “Names” section of this manual if you have to create a new name record for the author.

Subjects
Subjects are linked in the field beneath the names. To open the Subject Term Lookup window, click Add Subject Link. This pop-up window allows you to search for the appropriate subject or to arrange subject terms alphabetically, by type, or by source as needed. Once you select the appropriate subject, click Link to attach it to your collection.

See the Subject section of this manual if you have to create a new subject term. Also see Processing Standards to know what subjects are required at various levels in the collection.

Notes Etc. & Deaccessions
Notes
The notes field is where most of the descriptive information about a collection is recorded. To add a new note select the appropriate note in the “Add note etc.” drop-down box and an empty note field will open for you to enter your text. **DO NOT** copy and paste your text from Microsoft Word or other similar word processors. There are some characters in word processors that cannot be correctly rendered in Archivists’ Toolkit.

See the “Processing Standards” section of this manual for advice on what notes are required for your collection.
Deaccessions
When a curator determines that material from a processed collection should be removed from that collection, you will need to add a deaccession to the associated resource record. To create a Deaccessions record, click on the “Add Deaccession” button. Once the “Deaccessions” window opens, you will need to fill in a number of data fields:

- The date
- A detailed description of what was removed
- Why this material was removed
- How large is the deaccession
- Where this material was deaccessioned to (i.e., destroyed, transferred to the Americana collection, etc.)

Finding Aid Data
The “Finding Aid Data” tab is used to record administrative data. This includes:

- EAD FA Unique Identifier*
- EAD FA Location
- Finding Aid Title*
- Finding Aid Subtitle
- Finding Aid Filing Title*
- Finding Aid Date*
- Author*
- Description Rules*
- Language of Finding Aid*
- Sponsor Note
- Edition Statement
- Series
- Revision Date**
- Revision Description**
- Finding Aid Status*
- Finding Aid Note

Items with one asterisk are required, while items with two asterisks are required when you have changed an already existing finding aid. This guide will cover each required element in turn:

EAD FA Unique Identifier
This field is used to record a unique identifier for the collection. This is
generated by taking the MARC repository code for Brigham Young University (UPB) and adding the call number. For example the unique identifier for MSS 6804 would be UPB_MSS6804.

**Finding Aid Title**
The Finding Aid Title is recorded as “Register of” and then the name of the collection (e.g. “Register of Kay Amert research papers”).

**Finding Aid Filing Title**
To form the Finding Aid Filing Title take the name of the creator reflected in the title and transpose the first and last names, with the first name in parenthesis and then add the rest of the title (e.g. “Amert (Kay) research papers” for the Kay Amert research papers). If the creator of the collection was a corporate body or the collection has a formal title then the filing title is identical to the title of the collection.

**Finding Aid Date**
This field is used to record the date the finding aid was created. This should be formatted YEAR MONTH DAY (e.g. “2011 April 6”).

**Author**
Here you record who created the finding aid. Some curators have you include their names and titles in this field. Check with your curator for special instructions.

**Description Rules**
This drop-down menu allows you to select the appropriate descriptive standards for the collection. For all new collections that should be *Describing Archives: A Content Standard* (dacs).

**Language of Finding Aid**
Simply enter “English” in the text box. Use other languages if it is appropriate.

**Finding Aid Status**
This drop-down menu is used to designate when a collection is being worked on or is ready to be uploaded into the Finding Aids website. If you start working on an existing collection please change the status from Completed to In Process. Collection Management staff will change it to Completed once it has passed inspection.

**May Be Required**

**Revision Date**
If you reprocess, add material, or otherwise change an existing finding aid, please note the date of your change here. If you are working on a finding aid that has been revised previously, replace that earlier date with the date of your changes. This should be formatted YEAR MONTH DAY (e.g. “2011 April 6”).
Revision Description
If you reprocess, add material, or otherwise change an existing finding aid, please write a brief description of what you did, your name, and the date (e.g. “Addition to collection processed by Jeffrey Mahas, 2012 August.”). If you are working on a finding aid that has been revised previously, record what you did at the end of the previous note.

Names
Once you have found the authorized name in the Library of Congress Authorities webpage you need to enter it into the Names module of Archivists’ Toolkit. To do this, open AT and click on the Names link on the left hand side of the screen. From there, click on the New Record button at the top of the screen. This can also be accessed from the resource or accession record on the Names & Subjects tab. After clicking Add Name Link you then select Create Name. A box will pop up asking you to choose one of three different types of name records, Person, Corporate body, or Family.

There are three tabs on the top of Names record window: Details, Non-preferred Forms, Accessions, Resources & Digital Objects, and Contact info. This guide will cover each tab in turn.

Details
The Details window has three features: it allows you to record the authorized form of the name, the Biographical or Administrative history, and the citations for that history. The format of the Details window is the only difference between the three types of name records in Archivists’ Toolkit (i.e. Person, Corporate body, and Family).

Details – Person
The first section of the Details window allows you to enter the authorized form of the name you found on the Library of Congress Authorities webpage. To do this you will need to divide the name into its appropriate fields. For example, the authorized heading for President Joseph F. Smith is “Smith, Joseph F. (Joseph Fielding), 1838-1918.” This would be entered as follows:

![Names Module Screenshot]

- **Prefix:** Smith
- **Rest of Name:** Joseph F.
- **Fuller Form:** Joseph Fielding
- **Dates:** 1838-1918

The “Sort Name” field will automatically fill in based on the information provided in the Details section.
Note that the Primary Name field is for the last name and that the Rest of Name field is for the first and middle names. If you have questions about the other fields consult with the Workflows staff.

For names found on the Authorities webpage the Source field should be set to “NACO Authority File (lcnaf)” and the Rules field left blank. However, if no authorized form of that name exists the Source field should be set to “ingest” and the Rules field set to “Describing Archives: A Content Standard (dacs).”

The name entered into the Sort Name field should be identical to that found on the Authorities webpage.

Details – Corporate body
Entering corporate names is typically less complicated than personal names. For example the authorized heading for Brigham Young University is “Brigham Young University.” This would be entered as follows:

If, however, your collection is from a subdivision of BYU, such as the Department of History, the authorized heading for that is “Brigham Young University. Department of History”.

Again, for names found on the Authorities webpage the Source field should be set to “NACO Authority File (lcnaf)” and the Rules field left blank. However, if no authorized form of that name exists the Source field should be set to “ingest” and the Rules field set to “Describing Archives: A Content Standard (dacs).”
The name entered into the Sort Name field should be identical to that found on the Authorities webpage.

**Details – Family**
The format for a family name is NAME (TYPE OF FAMILY : PLACE, TIME, OR PROMINENT INDIVIDUAL), for example, Weir (Family : Weir, Robert Walter, 1803-1889). This format is manually entered into the Sort Name field and then divided into the Family Name and Qualifier fields as so:

As with personal and corporate names, the Source field for names found on the Authorities webpage should be set to “NACO Authority File (lcnaf)” and the Rules field left blank. However, if no authorized form of that name exists the Source field should be set to “ingest” and the Rules field set to “Describing Archives: A Content Standard (dacs).”

The name entered into the Sort Name field should be identical to that found on the Authorities webpage.

**Details – Biographical or Administrative Histories**
Name records for creators of material should have a biographical or administrative history associated with that individual. This is recorded on the Details page of the name record.

You will need to specify what type of history you are recording in the Description Type drop-down menu (Biography for individuals and families or Administrative for corporations). The history itself belongs in the Description Note field, while the sources you used to compile the history should be recorded in the Citation field. **DO NOT** simply copy and paste your text from Microsoft Word or other similar word processors. There are some characters in word processors that cannot be correctly rendered in Archivists’ Toolkit.
See the Processing Standards section of this manual for instructions on how to form a biographical or administrative history or cite your sources.

**Non-Preferred Forms, Accessions, Resources & Digital Objects**

The Non-Preferred Forms, Accessions, Resources & Digital Objects tab is mostly for record keeping purposes and requires little input. If the name is authorized by the Library of Congress, you should only include the Non-Preferred Forms listed in the authority record. If you are creating the name record and you find variations in spelling, the most common name will be used for the name record, but the other forms you found will be included in this field. For example, Julia A. Ritchie was the most common form of this woman’s name, but in some census records she was known as Julia A. Richey, Julia Richie, or Julia A. Follansbee. These last three would be listed as non-preferred forms of her name.

The Accessions, Resources, and Digital Objects fields are automatically filled in when the name record is linked to one of those record types. This allows you to see all of the Resource records linked to an individual or corporate body from their name record.

**Contact Info**

The Contact Info window is primarily used to record the contact information of donors. The page automatically copies the authorized name from the Details window into the Salutation field. Further details, such as their address, telephone number, or email address, can be added in the appropriate field.
Subjects
Many of the subjects you will need to use have already been entered into the Archivists’ Toolkit. If you need to add a subject, make sure it is accurately described in the Scope and Content Note and contact the Manuscripts Cataloger.

There are only three fields necessary for creating a Subject record:

- Subject Term
- Type
- Source

The other fields are filled in automatically when a collection is linked to that subject.

**Subject Term**
Here you enter the Subject heading as you found it on the Authorities webpage.

**Type**
Select the type of subject in the drop-down menu (Topical Term, Geographical Term, Function, etc.).

**Source**
Identify where you found the subject heading in the drop-down menu. This should usually be set to Library of Congress Subject Headings (lcsh).
PROCESSING STANDARDS

Names

Authorized Names
The starting place for every name record should be the Library of Congress Authorities webpage. This page contains the controlled vocabulary authorities maintained by the Library of Congress, including names and subjects. You can access the Library of Congress Authorities page at the following website: http://authorities.loc.gov/.

Once at the site, select the Search Authorities link.

Enter the name of the individual, family, or corporate body that you are looking for.

For corporations, be sure to include the hierarchical structure. For example, if you are looking for Intercollegiate Athletics at Brigham Young University your search would be “Brigham Young University. Intercollegiate Athletics”.

For individuals, search by LAST NAME, FIRST NAME. For example, if you are looking for Joseph F. Smith, the sixth president of the Church of Jesus Christ of Latter-day Saints, you should search for “Smith, Joseph F.”
Be sure to browse the search results to ensure you find the correct heading.

Searching for Joseph F. Smith gives the following results:

<table>
<thead>
<tr>
<th>#</th>
<th>Bib Records</th>
<th>select icon in first column to...</th>
<th>Type of Heading</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>0</td>
<td>Smith, Joseph F.</td>
<td>personal name</td>
</tr>
<tr>
<td>2</td>
<td>6</td>
<td>Smith, Joseph F. (Joseph Fielding), 1838-1918</td>
<td>personal name</td>
</tr>
<tr>
<td>3</td>
<td>2</td>
<td>Smith, Joseph F. (Joseph Fielding), 1899-</td>
<td>personal name</td>
</tr>
<tr>
<td>4</td>
<td>0</td>
<td>Smith, Joseph F. (Joseph Fielding), 1899-1964</td>
<td>personal name</td>
</tr>
<tr>
<td>5</td>
<td>0</td>
<td>Smith, Joseph F. (Joseph Fielding), 1838-1918</td>
<td>personal name</td>
</tr>
<tr>
<td>6</td>
<td>18</td>
<td>Smith, Joseph Fielding, 1876-1972</td>
<td>personal name</td>
</tr>
<tr>
<td>7</td>
<td>2</td>
<td>Smith, Joseph Fielding, Jr., 1913-1974</td>
<td>personal name</td>
</tr>
<tr>
<td>8</td>
<td>1</td>
<td>Smith, Joseph, fl. 1705-1748.</td>
<td>personal name</td>
</tr>
<tr>
<td>9</td>
<td>0</td>
<td>Smith, Joseph, fl. 1715-1735</td>
<td>personal name</td>
</tr>
<tr>
<td>10</td>
<td>0</td>
<td>Smith, Joseph, fl. 1790-1793</td>
<td>personal name</td>
</tr>
<tr>
<td>11</td>
<td>0</td>
<td>Smith, Joseph, fl. 1819</td>
<td>personal name</td>
</tr>
<tr>
<td>12</td>
<td>1</td>
<td>Smith, Joseph, fl. 1847</td>
<td>personal name</td>
</tr>
<tr>
<td>13</td>
<td>1</td>
<td>Smith, Joseph Francis.</td>
<td>personal name</td>
</tr>
<tr>
<td>14</td>
<td>0</td>
<td>Smith, Joseph Frazer, 1897-1957</td>
<td>personal name</td>
</tr>
<tr>
<td>15</td>
<td>2</td>
<td>Smith, Joseph. [from old catalog]</td>
<td>personal name</td>
</tr>
<tr>
<td>16</td>
<td>1</td>
<td>Smith, Joseph G.</td>
<td>personal name</td>
</tr>
<tr>
<td>17</td>
<td>1</td>
<td>Smith, Joseph G., 1912-</td>
<td>personal name</td>
</tr>
<tr>
<td>18</td>
<td>0</td>
<td>Smith, Joseph G. (Joseph Gordon), b. 1888</td>
<td>personal name</td>
</tr>
</tbody>
</table>

This is where it can be useful to know more information about the creator than just a name. In this case, for example, you are looking for Joseph F. Smith, the sixth president of the Church of Jesus Christ of Latter-day Saints, and his name record reflects his fuller name and lifespan, “Smith, Joseph F. (Joseph Fielding), 1838-1918”.

By following the “Authorized Heading” links you come to his authorized name record.
Non-Authorized Names

Often the creator of the collections you are working with will not have an authorized name in the Library of Congress Name Authorities. In these situations it is your responsibility to create a name record that will be used by our cataloging staff to create an authorized name for that creator. The name record should represent the most common iteration of the creator’s name. If the creator has published any material, that should be the source of the name. If not, use reference sources (such as biographical encyclopedias), contemporary official documents (such as census records), and the materials in your collection to determine the most common iteration of the creator’s name.

Along with the most common iteration of the name, also look for supplemental data that will help to generate a unique name record. These can include fuller forms of the name and lifespan dates.

For information on organizations at Brigham Young University, one of the most useful resources is the University Organizational History Project wiki which can be found at http://lib.byu.edu/byuorg/. This resource was created by Special Collections to gather information on Brigham Young University for use in authorizing names and creating Administrative histories.
Biographical/Administrative Histories

There should be only one history note for each creator. Corporate bodies that change their name only have one creator listed in the title; however, all contributors to the collection (i.e., older versions of the company) are listed in the Names & Subjects tab and should be given Administrative history notes. Biographical histories are should be found in the Archivists’ Toolkit name file. If a history is there, copy the history in the name file into the biographical history note of your collection. If it does not exist, you will need to research and write a biographical history.

When writing a history, remember the text should be in Turabian style. The first paragraph is a one- or two-sentence biographical abstract that gives the name, dates, function/occupation, and geographic location of the person, family, or body being described. Then one to two paragraphs can be taken to give a more comprehensive description of the person/organization being described. Sources for the biographical history should be cited in the appropriate format in the names file. For any questions, please consult DACS chapter 10.

Example of a biographical history: Rose Marie Reid (1906-1978) was a Mormon swimwear designer.

Rose Marie Reid was born on September 12, 1906 to Elvie and Marie Yancey in Cardston, Alberta, Canada. She learned beauty work in Boise, Idaho. She was married three times and had three children. In the 1930s she started Reid’s Holiday Togs, Ltd. Interested in growing her business, she moved to California. By 1956, the business had five regional offices, 1,200 employees, and was very profitable. She designed numerous swimsuits, including a sequined one to help fund the Los Angeles Temple. Reid died on December 19, 1978 in Provo, Utah.

Example of an administrative history: The CAM Software Research Center (1976-1995) functioned to investigate methods of applying advanced technology to improve industrial productivity.

The CAM Software Research Center was established in 1976 as one of the BYU Centennial year projects approved by the Board of Directors. Eventually the center was awarded Computer Integrated Manufacturing (CIM) Center of Excellence status by the state of Utah. The center was aimed at becoming self-sustaining within five years, but unable to commercialize its research in such a short time, it was closed in 1995. The CAM Software Research Center was administrated by co-directors Dell K. Allen and Ron Millet, and later Kay Brown and Dell K. Allen as directors. The laboratory integrated computer-aided design, process planning and control, and automated production and materials handling for demonstration, research, and instructional purposes.
**Citing in Name Files**

If you have to create a name file for a collection you are working on, you will need to cite the information you include in the biographical history. The following are citation formats conforming to NACO. If you have any questions please consult the NACO participants manual pg. 46-60 at http://www.loc.gov/aba/pcc/naco/documents/npm3rd.pdf.

**In-House Files**

This is for citing collections as a source of information. You format the citation: UPB files, date accessed (data). Do not give local call numbers in citation.

**Example:** UPB files, Oct. 18, 2012 (currently lives in Salt Lake City; husband died June 12, 2010)

**Internet Resources**

When information gathered for the biographical information listed in the name file is found on the internet, citations should be in the following form.

[Title or name of the internet resources], [date of search]: [location] ([information])

**Example:** FamilySearch, via WWW, July 28, 2010 (Max Hoover Fussel; b. Mar. 8, 1912; d. Mar. 31, 1993)

**Other Sources**

Use abbreviations for publication. Describe location of data (ex. Page number) unless the source is alphabetized such as a dictionary or encyclopedia.

**Example:** Webster’s New Biog. Dict., 1988: p.998 (Marcus Ulpius Traianus; Roman Emperor A.D. 98-117)
Subjects

What Is a Subject?

Keyword searches are based on any term included in a Web document from the header, body, or metadata. In order to improve the quality of search results libraries and archives also include access points in their descriptive records. These access points include terms taken from indices or controlled vocabularies, such as the Library of Congress Subject Headings or the Getty’s Art and Architecture Thesaurus.

Types of Subject Access Points

- Subjects (people, places, things or ideas)
- Documentary Forms (genres and forms OR genre/forms)
- Occupations
- Functions

Access points should be recorded at the collection, series, and subseries levels. These terms are inherited from higher to lower levels, and should not be repeated unless they are different at the lower level.

File and Item level only require genre/form access points.

Subjects

A certain amount of analysis must be done in determining which and how many subjects to use to describe a body of materials. Your role is to determine what the material is about or whether it has a subject focus. These foci can include: concepts, ideas, people, companies, time periods, locations, resources.

A good rule of thumb: any access points provided should be found in your scope and content note. If it was not worth mentioning in the scope and content note, it probably does not merit an access point.

Because many different words can be used to describe a single idea, you will use controlled vocabulary lists, such as the Library of Congress Subject Headings search, in order to provide continuity between collections.

Five Main Points about Subjects
1. Remember the need to be objective when selecting terms

   You are representing the intention and the audience of the creator. You should not let your own values be represented. This is especially important for controversial subjects, concepts or practices whose meanings have shifted over time.

2. Use the syndetic structure of the controlled vocabulary to help you find the correct terms

   Review the references to determine whether the term fits, or if there is a broader or narrower term that might be more appropriate

3. Terms used should be specific to level.

   At the collection level, access points should be specific to the collection and at the subseries level access points should be specific to the subseries.

   For example: Civil War at the collection level and Battle of Gettysburg at the series level.

4. Access points that you select should be adequately represented in the work

   If the subject term represents 20% of the material in the subseries then it should be listed at the subseries level. But if it does not constitute 20% of the collection level, then it should not be included as an access point at the collection level.

5. Subjects should be specific to a given level, but not overly so.

   When describing a body of materials that deals with multiple aspects of a single topic, if there are three or less, you may enter each of these aspects, or subtopics, separately. If there are more than three, round up.

   For example: If there are only three battles as subjects, you can have three separate access points for them. But if there are four then you would use the access point for the broader concept of Civil War.

   When rounding up be sure you use the appropriate broader term, so that it doesn’t include any other concepts.

**Two Types of Subject Access Points**
CCLA EAD Browse Terms

At the top level of a descriptive record, you are required to enter at least one broad term and one narrower term from this list.

The list can be accessed in Appendix B or at http://cclaead.lib.byu.edu/

At this site you will click on the CCLA subject browse terms link which will load the following list.
Library of Congress Subject Headings
This is used for all topical entries. It also includes a name authority file for all personal and corporate body name entries. You can access the Library of Congress Authorities page at the following website: http://authorities.loc.gov/.

Once at the site, select the **Search Authorities** link.

Enter the subject you have determined into the Search Text field. Make sure **Subject Authority Headings** is highlighted under Search Type and then select Begin Search.

This will generate a list of Authority Headings and References like the one below. Assuming you wanted to describe the American Civil War, it quickly becomes apparent that just Civil war isn't a narrow enough term to describe the collection. It appears that Civil War America might be the correct term.
Clicking on the Authority Heading will lead to a list of associated headings.

Looking at the information in the Authority Record there are some hints that maybe this subject term isn’t broad enough.
These include the reference to University of North Carolina Press and the name Silber, N. When put into a Google search, we learn that this is actually a series title and not the proper subject heading.

Returning back to the original search, select the first entry: Civil War.
This will list several associated pages. Select **Authority Record**.

**SOURCE OF HEADINGS:** Library of Congress Online Catalog

**INFORMATION FOR:** Civil war.

**Please note:** Broader Terms are not currently available

<table>
<thead>
<tr>
<th>#</th>
<th>Bib Records</th>
<th>select icon in first column to...</th>
<th>Type of Heading</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>175 Civil war.</td>
<td>View Authority Headings/References</td>
<td>LC subject headings</td>
</tr>
<tr>
<td>1</td>
<td>0 Civil War, a nation divided</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>2</td>
<td>0 Civil War (ABDO Publishing Company)</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>2</td>
<td>15 Civil war–Africa</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>3</td>
<td>4 Civil war–Africa–Case studies</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>4</td>
<td>3 Civil war–Africa–Congress</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>6</td>
<td>3 Civil war–Africa–Eastern–History–20th century</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>7</td>
<td>4 Civil war–Africa–Fiction</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>8</td>
<td>3 Civil war–Africa–History</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>9</td>
<td>1 Civil war–Africa–Northeast</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>10</td>
<td>1 Civil war–Africa–Prevention</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>11</td>
<td>1 Civil war–Africa–Southern–Fiction</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>12</td>
<td>6 Civil war–Africa, Sub-Saharan</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>13</td>
<td>1 Civil war–Africa, Sub-Saharan–Case studies</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>14</td>
<td>1 Civil war–Africa, Sub-Saharan–Congress</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>15</td>
<td>1 Civil war–Africa, Sub-Saharan–History–20th century</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>16</td>
<td>3 Civil war–Africa, Sub-Saharan–History–20th century–Congress</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>17</td>
<td>1 Civil war–Africa, West</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>18</td>
<td>1 Civil war–Africa, West–Congress</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>19</td>
<td>0 Civil War America</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>20</td>
<td>0 Civil War and Reconstruction, 1836-1877</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>21</td>
<td>0 Civil war–Argentina–History–19th century</td>
<td></td>
<td>LC subject headings</td>
</tr>
<tr>
<td>22</td>
<td>0 Civil War Balloon Corps</td>
<td></td>
<td>LC subject headings</td>
</tr>
</tbody>
</table>

Select the second Civil War heading in this case.
**SOURCE OF HEADINGS:** Library of Congress Online Catalog

**INFORMATION FOR:** Civil war.

<table>
<thead>
<tr>
<th>FIELD</th>
<th>Select a Link to View the Authority Record</th>
</tr>
</thead>
<tbody>
<tr>
<td>Heading (1XX)</td>
<td>Civil war.</td>
</tr>
<tr>
<td>Heading (1XX)</td>
<td>Civil war.</td>
</tr>
<tr>
<td>Search Also Under (3XX)</td>
<td>Insurgency.</td>
</tr>
</tbody>
</table>

As you look at this Authority Record the narrow term you’re looking for appears: United States--History--Civil War, 1861-1865.

If you are unable to find the correct term at the Library of Congress site, please consult with your cataloger.

**Documentary Form Access Points (Genre/Forms)**

These index terms allow users to search for items by type, rather than subject content. In essence, they describe what an item is, not what it is about.
**Occupations**

Access points for occupations play the same role as functions for personal papers. You are describing the occupation that generated the materials.

For example: artists, teachers, judges.

**Functional Terms**

When selecting functional terms, document the functions that generated a body of the material.

For example: A collection of business or financial records might have function access points for accounting or auditing.

Our institutional guidelines require that genre/form terms be used at all levels of description.

- Use the library catalog to select documentary form terms.
- Run an alphabetical search for the appropriate genre form.
- If the term you enter is a non-preferred term, then follow the links until you find the correct access point.
- If you are unable to find the term needed please consult with the manuscripts cataloger.
**Dates**

There are four types of dates that you will use during processing:

- **Date of Creation**
- **Date of Record-Keeping Activity**
- **Date of Publication**
- **Date of Broadcast**

**Date of Creation**

Date of creation is used to describe when the item was created or when an event or image was captured. Often manuscript materials use this date form.

**Date of Record-Keeping Activity**

Date of record-keeping activity describes when an item was created, assembled, accumulated, and/or maintained and used. When the Date of Creation and Date of Record-Keeping Activity are the same, record only the Date of Creation.

**Date of Publication**

Date of Publication is used if items are commercially issued or mass produced.

**Date of Broadcast**

Date of Broadcast is for sound or moving image materials which were broadcast on television or radio.

Publication and Broadcast are most often used at the item level.

**Guidelines**

If the date you are recording is not Gregorian or Julian, record the date as found and follow it with the year(s) of the Gregorian or Julian calendar in parentheses. Specify the name of the calendar in a note. Make sure you use western style Arabic numbers when recording dates.

**Example:**

2628 (1968)

Note: Date in accordance with the Chinese Calendar.

The recorded date may be a single date or range of dates.

The dates of component parts of a collection must fall within the date range of the collection to which it pertains. This means that series date ranges should fall within collection date ranges, file date ranges should fall within the series date ranges, etc.
Inclusive dates are comprised of the earliest and latest dates of the materials that have already been donated.

**Example:**
Correct: 1973-2012
Incorrect: 1973-ongoing

When the majority of the materials in a collection fall within a date range that differs significantly from the inclusive dates of the collection, you will need to record bulk dates.

**Example:**
John Adams Squire papers, 1783-1875, bulk 1861-1862.
You will never have bulk dates by themselves. They must always be preceded by inclusive dates.

Multi-year date spans should include only the year.

**Example:**
Correct: 1975-2008
Incorrect: June 1975-August 2008

Multi-month spans within the same year should include the months and the year.

**Example:**
Correct: June-August 1975
Incorrect: June 1975-August 1975

When no date can be found either in the resource or any other source, you must estimate the date to the nearest year, decade or century as precisely as possible.

**Example:**
approximately 1871
Also acceptable:
probably 1871
before 1871

When no date is available:

**Example:**
Correct: date of production not identified
Incorrect: undated

Exact dates recorded in the finding aid should be recorded as follows

**Example:**
YYYY Month DD
1972 September 21

Significant gaps in the record should be shown as separate date entries:

**Example:**
1871, 1909-1991

Date Normalization Forms

Single years YYYY
Years with months: YYYY-MM
Exact dates: YYYY-MM-DD
**Titles**

The purpose of the title is to identify the materials being described. Titles are also often used to describe the nature and content of the materials in the place of a scope and content note.

DACS allows for two types of titles:
- 1. Formal Titles
- 2. Supplied Titles

For the most part, a processor should use their best judgment to decide which type of title to use.

As shown above, if the series, file, or item appear to have a title, then it is likely a formal title that can be transcribed. If the series, file or item does not appear to have a title, then a supplied title should be provided.

**Formal Titles**

Formal titles are generally prominently displayed on the materials, such as on the title page of a book or the header of a map. Formal titles may also be found in manuscript materials. Determining formal titles at the item level is not as straightforward as the aggregate level. Part of the difficulty is that there are different rules for determining formal titles for different formats.
Resource Description and Access (RDA) provides rules for determining whether or not an item has a formal title. It also indicates where the source of a formal title should be taken from. You can access the RDA Toolkit at http://access.rdatoolkit.org/.

When transcribing a formal title you will most often refer to Resource Description and Access, or RDA. RDA divides titles into three areas:

1. Title proper
2. Other title information
3. Statement of responsibility

Title proper: Subtitle or other title information/ statement of responsibility

Rules of Transcribing Formal Titles

1. Transcribe the title information exactly as it appears. (Although you may adjust punctuation and capitalization as necessary)
2. If the title is extremely long you may abridge it.
3. Typically only the first word and proper nouns are capitalized in a title.

RDA provides complete rules on capitalization in Appendix A. These rules should also be followed with supplied titles.

The source of formal title information varies with medium.

For example: Books
1. The title page
2. Other parts of the item (such as the cover, caption, masthead, or colophon)
3. Other parts of the book
If the title is not found in the preferred source, then you will have to consult the hierarchical rules outlined in RDA for each different medium to determine what the title is.

If after following this list you cannot find a title, then you will need to create a supplied title.

**Supplied Title**

All materials that do not have a formal title will receive a DACS formatted supplied title. In cases where the formal title is misleading or inadequate, processors may also use a supplied title. Your goal in creating a supplied title is to create a unique title.

The decision to use a supplied title can be a difficult one to make. Often it requires specialized knowledge of the materials at hand to reach an adequate decision.

**Example:** When making such a decision for the above item ask yourself questions like:

Is the label on the lower left hand side a formal title?
If it is a formal title, does it describe the image in a completely unambiguous way?
Would it be better to use a supplied title? Why?
It is up to the processor to answer these questions.

The majority of the titles that you will work with will be supplied titles. This has to do with the nature of archival materials. Archival materials are typically arranged and described at the aggregate level, and supplied titles are most often needed for aggregations.

There are three possible segments to a supplied title:
4. Name of the creator (strongly recommended)
5. Nature of the materials (required)
6. Topic of the archival unit (optional)

**How to Record Names of Creators**

DACS 2.3.4 states that for the name segment of the title you should “record the names(s), family (families), or the corporate body predominantly responsible for the creation, assembly, accumulation, and/or maintenance of the materials.”

The first step in identifying the names segment is to determine which creators have the most important relationships with the materials. Who was primarily responsible for the creation of the materials in front of you? Once you have identified the appropriate creator, then you should record the name by which the creator is most commonly known. This should be the same name you selected on your name authority worksheet or it should be the form of the name that you discovered in the Library of Congress name authority file.

If the creator name is unknown, then you should not record anything. You should also not record a name in the name segment if the repository is the collector of the materials.

Rules for people are:

5. If there is only one creator, then you record that creator’s name.
6. If there are two or three creators, then you record all the names in the order of their predominance. (Predominance is determined by the amount of material that they have contributed to the materials in front of you.)
7. If there are more than three creators, then you record only the name of the most predominant creator.

Rules for families:

4. If there is only one family, then you record the family name.
5. If there is one family with two surnames, then you record both individual names followed by the word “family”.
6. If there are two or three families, record all of the family names followed by the word “families”.
8. If there are more than three families, then you record only the name of the most predominant family. (Predominance is determined by the amount of material that they have contributed to the materials in front of you.)

Rules for Corporate Bodies: (you can only select one name for corporate bodies)

3. You can only record one name for corporate bodies
4. The name chosen should accurately reflect the administrative unit having the most direct responsibility for the creation and provenance of the materials described.
While there can only be one name for corporate bodies, there are other places in the descriptive record that you can list other names the corporation has had.

When the name of a corporate body has changed, DACS requires you to use the most recent version of the name of the corporation represented in the materials.

For example:
Previous names and companies associated with Geneva Steel Holding Corporation
   a. Colombia Steel Company
   b. Geneva Steel Company
   c. United States Steel Company
   d. Basic Manufacturing and Technologies Company of Utah
   e. Geneva Steel
   f. Geneva Steel Holding Corporation

How to Record the Nature of an Archival Unit
One or two forms
   2. Record both form(s) in the order of predominance

Three or more forms
   1. for personal papers—“Papers”
   2. for family materials—“Papers”
   3. for corporate body materials—“Records”
   4. for intentionally assembled materials—“Collection”

Optionally when one or two forms predominate, record one or two forms with the phrase “and other material”.

For example: letters, diaries, and other material.

The additional forms should be recorded in the scope and content note.

How to Record the Topic of the Archival Unit
Topic includes-

   7. Function
   8. Activity
   9. Transaction
   10. Subject
   11. Individuals
   12. Organizations

Example of an individual as a topic: Madaline B. Stern papers on Louisa May Alcott.
The topic selected should reflect the basis of creation or use of the materials. If there is no name segment, it needs to be very clear that the topic is not the creator of the materials.

DACS rules are supplemented by the Oral History Cataloging Manual rules when it comes to the construction of titles for oral histories.

“Oral history interview with [name of interviewee].”

**Final Notes**

Don’t try to make the title the whole description.

Don’t use brackets.

Use the RDA Appendix A for capitalization.

Make sure titles are unique.

Additional information can be found in section 2.3 of DACS.
PROCESSING STANDARDS: NOTES

Required Notes

Appraisal
Biographical/Administrative history
Conditions Governing Access
Conditions Governing Use
Custodial History
Immediate Source of Acquisition
Preferred Citation
Processing Information
Scope and Contents

Appraisal
An explanation of what collecting area the material fits and how. Consult with your curator for formatting instructions for your area.

Example: Utah and the American West and LDS cultural, social, and religious history (20th Century Western and Mormon Manuscripts collection development policy 5.V, August 2007.)

Biographical/Administrative History
There should be only one history note for each creator. Corporate bodies that change their name only have one creator listed in the title; however, all contributors to the collection (i.e., older versions of the company) are listed in the Names & Subjects tab and should be given Administrative history notes. Biographical histories are should be found in the Archivists’ Toolkit name file. If a history is there, copy the history in the name file into the biographical history note of your collection. If it does not exist, you will need to research and write a biographical history.

When writing a history, remember the text should be in Turabian style. The first paragraph is a one- or two-sentence biographical abstract that gives the name, dates, function/occupation, and geographic location of the person, family, or body being described. Then one to two paragraphs can be taken to give a more comprehensive description of the person/organization being described. Sources for the biographical history should be cited in the appropriate format in the names file. For any questions, please consult DACS chapter 10.

Example of a biographical history: Rose Marie Reid (1906-1978) was a Mormon swimwear designer.

Rose Marie Reid was born on September 12, 1906 to Elvie and Marie Yancey in Cardston, Alberta, Canada. She learned beauty work in Boise, Idaho. She was married three times and had three children. In the 1930s she started Reid's Holiday Togs, Ltd. Interested in growing her business, she moved to California. By 1956, the business had
five regional offices, 1,200 employees, and was very profitable. She designed numerous swimsuits, including a sequined one to help fund the Los Angeles Temple. Reid died on December 19, 1978 in Provo, Utah.

**Example of an administrative history:** The CAM Software Research Center (1976-1995) functioned to investigate methods of applying advanced technology to improve industrial productivity.

The CAM Software Research Center was established in 1976 as one of the BYU Centennial year projects approved by the Board of Directors. Eventually the center was awarded Computer Integrated Manufacturing (CIM) Center of Excellence status by the state of Utah. The center was aimed at becoming self-sustaining within five years, but unable to commercialize its research in such a short time, it was closed in 1995. The CAM Software Research Center was administrated by co-directors Dell K. Allen and Ron Millet, and later Kay Brown and Dell K. Allen as directors. The laboratory integrated computer-aided design, process planning and control, and automated production and materials handling for demonstration, research, and instructional purposes.

**Citing in Name Files**

If you have to create a name file for a collection you are working on, you will need to cite the information you include in the biographical history. The following are citation formats conforming to NACO. If you have any questions please consult the NACO participants manual pg. 46-60 at http://www.loc.gov/aba/pcc/naco/documents/npm3rd.pdf.

**In-House Files**

This is for citing collections as a source of information. You format the citation: UPB files, date accessed (data). Do not give local call numbers in citation.

**Example:** UPB files, Oct. 18, 2012 (currently lives in Salt Lake City; husband died June 12, 2010)

**Internet Resources**

When information gathered for the biographical information listed in the name file is found on the internet, citations should be in the following form.

[Title or name of the internet resources], [date of search]: [location] ([information])

**Example:** FamilySearch, July 28, 2010 (Max Hoover Fussel; b. Mar. 8, 1912; d. Mar. 31, 1993)

**Other Sources**

Use abbreviations for publication. Describe location of data (ex. Page number) unless the source is alphabetized such as a dictionary or encyclopedia.
Example: Webster’s New Biog. Dict., 1988: p.998 (Marcus Ulpius Traianus; Roman Emperor A.D. 98-117)

Conditions Governing Access
If there are no restrictions, write “Open for public research.”
Any restriction needs reason, duration, and instruction to contact the Supervisor of Reference Services for permission to access.

Example: Donor restricted until 2015 (Series 3 restricted until 2022). Permission to use materials must be obtained from the Supervisor of Reference Services.

Conditions Governing Use
Standard text. Only the title will differ.

Example: It is the responsibility of the researcher to obtain any necessary copyright clearances. Permission to publish material from the John Smith papers must be obtained from the Supervisor of Reference Services and/or the L. Tom Perry Special Collections Board of Curators.

Custodial History
Description about how the collection made it from the creator to us; who it passed down from, who bought it, their relation to the donor, etc.

Example: Donated by Tracy Allen, daughter of John Smith, in 2012.

Immediate Source of Acquisition
{what happened}; {who did it}; {when}.

Example: Donated; Tracy Allen; October 2012.
Purchased; Ken Sanders Rare Books; June 25, 2009.

Preferred Citation
Standard text. Check the call number, title, repository, and call number again (a second instance appears at the end of the note).

Example: Initial citation: MSS 1234; John Smith papers; 20th Century Western and Mormon Manuscripts; L. Tom Perry Special Collections, Harold B. Lee Library, Brigham Young University.
Following citations: MSS 1234, LTPSC.

Processing Information
{what happened}; {who did it}; {when}. 
There can be multiple lines in this note, reflecting multiple parts that have been processed.

Example: Processed; Jenny Jones, student manuscript processor, and John M. Murphy, curator; 2012.

Scope and Contents
All Scope and Content notes should include the following things, taken from DACS 3.1.

- The function(s), activity(ies), transactions(s), and process(es) that generated the materials being described
- Documentary form(s) or intellectual characteristics of the records being described (e.g. minutes, diaries, reports, watercolors, documentaries);
- The content dates, that is, the time period(s) covered by the intellectual content or subject of the unit being described;
- Geographic area(s) and places to which the records pertain
- Subject matter to which the records pertain, such as topics, events, people, and organizations; and
- Any other information that assists the user in evaluating the relevance of the materials, such as completeness, changes in location, ownership and custody while still in the possession of the creator, etc.

This note often requires the most thought to do well, and that is why it suffers in many descriptions. It should answer Who? What? Where? When? and Why? A list of documentary forms is nice, but not usually useful. Functions that created the materials and subjects of the collection are frequently omitted, and should be remembered. Scope and Content notes are written according to Turabian style.

Example: Collection contains materials pertaining to the life of Rose Marie Reid. Includes her personal and professional materials documenting the growth, popularity, and decline of her business in swimwear. Her professional materials contain advertisements, legal documents, and actual swimsuits designed by Reid. Her personal papers include her correspondence, both private and related to her designs, and several speeches she gave as her fame and renown grew. Her ecclesiastical papers discuss her missionary work, contribution to the construction of the Los Angeles Temple, and other church assignments. Dated circa 1899-2004.

Non-Required Notes
These are required if they apply to the collection.

Arrangement
There is a specific formula to use when describing subdivisions of an archival unit, including punctuation. Put just the series number followed by a period. Then put the series title followed by a comma, and then the series dates. The arrangement of the series can be added in parentheses after the dates. Separate series with periods (not semicolons). The last series does not take ‘and’ before it is listed.

**Language of Materials**
If the materials of the collection are in one language, select that language on the Basic Information tab and do not include a note. If there are multiple languages in the collection, you will select “Multiple Languages” on the Basic Information tab and create a Language of Materials note. Format a statement about the languages of the material. Either “Materials are in English and Spanish”, “Materials are in Finnish with and Swahili translation”, or “Materials are in English with some correspondence in Welsh with a translation in English”. You will need to look up the language codes at: www.loc.gov/marc/languages/language_code.html. Copy the appropriate language codes and insert them into the descriptive statement you have written. The note should be formatted as follows: Materials in `<language langcode="language code">language</language>` and `<language langcode="language code">language</language>`.

**Example:** Materials in `<language langcode="eng">English</language>` with some correspondence in `<language langcode="wel">Welsh</language>`, with a translation in `<language langcode="eng">English</language>`.

**Other Finding Aids**
This note usually points patrons to an older box or folder level inventory that is not compliant with governing standards. Such lists can still useful to patrons.

**Example:** A more detailed finding aid is available in print in the repository.

Occasionally you may need to link to older online finding aid records, known as EADs. In those cases you will need to include a hyperlink in the note.

**Example:** File-level inventory available online. `<extref actuate="onRequest" href="WEB ADDRESS" show="new" title="TITLE">WEB ADDRESS</extref>`

**Related Archival Material**
It is best to include the title and call number. The name of the repository should also be included if the material is found elsewhere. Remember that the note is for archival material only. It is not necessary to list collections that are easily found by using the creator as a search term.
Example: Additional information on Gordon Gray’s personal and professional life and on the development of the Consolidated University during his tenure as President may be found in the Gordon Gray papers (MSS 1234, Southern Historical Collection), the Records of the Board of Trustees (UA 12), the Records of the Vice President for Finance (UA 21), and the Records of the Vice President for Academic Affairs (UA 24).
ARCHIVISTS’ TOOLKIT DESCRIPTION CHECKLIST

Collection Level

**Basic Information Tab**
Call Number: The entire call number should be entered in the first box of the unique identifier.

DACS compliant title: {creator segment} {documentary form} [topical segment] (e.g., Sidney B. Sperry papers, Harry Walters photographs of national parks)

Dates: Date expression according to DACS 2.4, ISO dates appropriately reflect the date expression.

Language: Ordinarily there should be just one language selected. If multiple languages is selected there needs to be a “Language of Materials” note.

Repository: changed to correct repository.

Linked accessions: Should be linked to at least all the accessions on the orange processing checklist.

Physical Description: The number and type of containers are entered in the top field, linear ft. expressed in parentheses in the container summary.

Instances: These may be created at lower levels, click ‘Manage Locations’ to make sure all the boxes from the extent statement show up in location management. Instances should always be present at the lowest level of description.

**Names and Subjects Tab**
Names and Subjects: Creators; Genre/form terms; CCLA browse terms; other appropriate subject headings

Name records: Along with checking the names and subjects linked to this collection you should also review the name records of the creators in the names module of AT. Check to make sure the biographical/administrative history and its accompanying citations are present in the name record.

**Notes, Etc. and Deaccessions Tab**
General rules for note tags: Consult Turabian for style guide questions, such as grammar, punctuation, numbers, and dates. Dates in notes follow the format MONTH DD, YYYY (e.g., March 24, 2008). Abbreviations must be reestablished in every note (e.g. Mutual Improvement Association (MIA)). All notes end with periods. ‘Scope and Contents’ and ‘Biographical History’ will be the two that generally cause the most problems.

**Required**

**Appraisal:** an explanation of what collecting area the material fits and how.

**Biographical/Administrative history:** Check the names module for the biographical history and citations. There should be one history for each creator. Corporate bodies that change their name only
have one creator in the title, but all contributors to the collection (i.e., older versions of the company) are given Administrative histories. The first paragraph is a one- or two-sentence biographical abstract that gives at least the name, dates, function/occupation, and geographic location of the person, family, or body being described. Sources for the biographical history should be cited in the appropriate format in the names module (see the handout).

**Conditions Governing Access:** If there are no restrictions, write “Open for public research.” Any restriction needs reason, duration, and instruction to contact the Supervisor of Reference Services for permission to access.

**Conditions Governing Use:** Standard text. Only the title will differ.

**Custodial History:** Story (in prose) about how the collection made it from the creator to us; who it passed down from, who bought it, their relation to the donor, etc.

**Immediate Source of Acquisition:** {what happened}; {who did it}; {when}. (e.g., Donated; Sidney Wade; October 2008. Purchased; Ken Sanders Rare Books; June 25, 2009).

**Preferred Citation:** Standard text. Check the call number, title, repository, and call number again (a second instance appears at the end of the note).

**Processing Information:** {what happened}; {who did it}; {when}. There can be multiple lines in this note, reflecting multiple parts that have been processed.

**Scope and Contents:** Memorize the bullet points in DACS 3.1 that outline what a scope note should have. This should be the meatiest part of the collection. It should attempt to answer the five Ws about the collection and list the subjects pertaining to it. This note often requires the most thought to do well, and that is why it suffers in many descriptions. Help processors understand that a list of documentary forms is nice but not usually useful. Functions that created the materials and subjects of the collection are the data points most frequently omitted.

**Mandatory when Applicable**

**Arrangement:** There is a specific formula to use when describing subdivisions of an archival unit, including punctuation. Put just the series number followed by a period. Then put the series title followed by a comma, and then the series dates. The arrangement of the series can be added in parentheses after the dates. Separate series with periods (not semicolons). The last series does not take ‘and’ before it is listed.

The following is an example of a well-formed arrangement note with mistakes struck out:

Other Finding Aids: This note most commonly points patrons to a box list or folder list that is not compliant with a governing standard, either online or in print. Such lists are still useful to patrons.

Related Archival Material: It is best to include call number and title. Remember that the note is for archival material only. It is not necessary to list collections that are easily found by using the creator as a search term.

Language of Materials: This note should only be used if multiple languages are present in the collection and “Multiple Languages” is selected in the Language field of the Basic Information tab. The Format for this note is: Materials in <language langcode="language code">language</language> and <language langcode="language code">language</language>.

Finding Aid Data Tab
EAD FA Unique Identifier: UPB_{callnumber} the call number is written with no space between the letters and numbers in it.

Finding Aid Title: Register of {collection title}

Finding Aid Filing Title: For personal names in the title the name is inverted and written in the format {surname} {(forenames)} {rest of collection title}. Note that because the forenames are enclosed in parentheses, there is no comma after the surname to indicate inversion; that role is filled by the parentheses.

Finding Aid Date, Author, and Language: Keep in mind that the language field is asking in which language the finding aid is written and has no regard for which languages are present in the actual materials.

Revision Description: When someone modifies the finding aid after it has been made, they add a line to the revision description in the format {what was done}; {who did it}; {when}. (e.g., Updated for DACS compliance; Cory Nimer; March 2009.).

Series/Subseries Level

Basic Information Tab
Similarities to Collection Level: The rules for Titles, Dates, Language, and Instances are the same as the collection level.

Level: This should be set to “Series” or “Subseries” as appropriate.
**Component Unique Identifier:** This should give the level and number, (e.g., Series 1, Subseries 5, Series IV, etc.)

Physical Description: The extent, listed in number of boxes or containers, is all that is required at the series and subseries levels.

**Names and Subjects Tab**
Names and Subjects: Creators; Genre/form terms; other appropriate subject headings, unless these are exactly the same as the collection level, then they will inherit down automatically.

**Notes, Etc. and Deaccessions Tab**
General: The same rules as those at the collection level govern series and subseries notes. Only the notes required differ.

**Required**
**Scope and Content:** This is the only required note at the series and subseries levels.

**Mandatory when Applicable**
**Biographical history:** This note may be required if a different creator is listed at the series level than at the collection level.

**Arrangement:** If needed, this note should be added to describe subordinate levels or provide a general description of the arrangement (chronological, alphabetical, original order, etc.).

**Language of Materials:** Same as collection level.

**File/Item Level**

**Basic Information Tab**
Similarities to Collection Level: The rules for Titles, Dates, and Instances are the same as the collection level.

**Not Required:** Language and Component Unique Identifier.

**Level:** This should be set to “File” or “Item” as appropriate.

**Physical Description:** For files, the same rules apply as at the series and subseries levels. For items, a more complex description is necessary. You will probably have to check RDA or other specific style guides to insure the item descriptions are correct.

**Names and Subjects Tab**
Subjects: Genre form terms the only required subjects, unless these are inherited down from the upper levels exactly.
Notes Etc. and Deaccessions Tab

Not required
MANAGING LOCATIONS

Once a collection has been processed and catalogued, the Collection Management staff will assign it a permanent location in the stacks. Unlike the regular stacks, or the print collections maintained in Special Collections, we do not organize our manuscript collections by call number. Instead, we assign them a location in the stacks according to their size, type, expected use, and, occasionally, their collecting area. The following are a list of some of the general groupings we use when assigning a location to a collection:

- Small Collections – Bay 11, Ranges 1-2
- Folklore Archives – Bay 11, Ranges 7-8
- Oral Histories – Bay 11, Ranges 14-15
- Microfilm – Bay 11, Range 19 (found along the wall of the stacks by Bay 11)
- Oversize – Bays 13-14
- University Archives – Bays 17-19
- Music and Dance – Bays 9-10
- Vault Manuscript Collections – Bay 23, Ranges 1-2
- Vault Small Collections – Bay 23, Range 3
- Vault Oversize – Bay 23, Range 16

After a location has been assigned to a manuscript, it is imperative that the Collection Management staff record that location in the Archivists’ Toolkit immediately.

Locations in the Archivists’ Toolkit

The locations of all of our manuscript collections are recorded in the Archivists’ Toolkit. To view the locations assigned to a collection, double click on the “Resources” tab on the left side of the screen and search for the desired collection in the search box in the upper-right hand corner. Once you have selected and opened the record of the desired collection, click on the button which reads, “Manage Locations”.

![Image of Archivists' Toolkit](image-url)
This will open up a smaller window titled “Assign Locations”. In this window you can see at a glance the locations for all of the containers in the selected collection. The coordinates list the Bay, Range, Section, and Shelf where the collection is located. If a collection is located in Bay 99, that means it is being temporarily stored in Workflows. Some of these collections may be fully processed but if a patron requests a collection located in Workflows, the reference students should first consult with the Collection Management staff before allowing access to the collection.

The Collections Management staff should update the location information in Archivist’s Toolkit immediately after either picking up or assigning a permanent location to a manuscript collection. To add or edit a location, simply select the container(s) you wish to edit as well as the desired location, and click the button labeled “Add Location Link”. Be sure to save the collection’s record when you exit.

Exporting AT Location information
At the end of every year, the location information in Archivist’s Toolkit should be exported into a PDF document for backup purposes by the Collections Manager. To do this, click on the “Tools” drop down menu in the upper left hand corner and select “Locations”. This will open the Location Management pop-up window. Select “Reports” in the lower left hand corner to open another pop-up window. There, change the output to PDF file and select save. This will generate a PDF document containing all of the location information in AT. Because of the number of location records in AT it will take nearly an hour to create the document. This same process can be used to generate a report for any coordinates in AT, by first selecting the desired coordinates and then selecting “Reports”.

The Location Guide
Previously, the locations of manuscript collections were managed through an online database known as the Location Guide. Due to server issues, this database is being phased out and will be removed at some point in the future. Despite the fact that it is no longer kept up-to-date, the
Location Guide is still a useful resource for trying to find lost or unprocessed collections. As it contained location information for more than just manuscript collections, it is likewise useful for tracking down supplies and other items. Because of its usefulness, the data from Location Guide was exported to an Excel spreadsheet maintained by the Collection Management staff.
APPENDIX A: MEASUREMENTS IN LINEAR FEET FOR BOXES AND FOLDERS

Legal Box.................................................................0.5 linear ft.

Legal Half Box............................................................0.25 linear ft.

Carton.................................................................1 linear ft.

Ledger I.................................................................0.5 linear ft.

Ledger II.................................................................0.5 linear ft.

Quarto I.................................................................0.75 linear ft.

Quarto II.................................................................1 linear ft.

Folio I.................................................................1.33 linear ft.

Folio II.................................................................1.5 linear ft.

Oversize..............................................................1.66 linear ft.

Legal Folder...........................................................0.01 to 0.1 linear ft.

Ledger I Folder.......................................................0.1 linear ft.

Ledger II Folder.....................................................0.1 linear ft.

Quarto I Folder.......................................................0.1 linear ft.

Quarto II Folder.....................................................0.2 linear ft.

Folio I Folder........................................................0.2 linear ft.

Folio II Folder.......................................................0.3 linear ft.

Oversize Folder.....................................................0.3 linear ft.
APPENDIX B: CCLA EAD BROWSE TERMS

Agriculture and Natural Resources
   Agriculture
   Fisheries and Wildlife
   Forestry and Logging
   Mines and Mineral Resources
   Ranching
   Water and Water Rights

Arts, Humanities, and Social Sciences
   Anthropology
   Archaeology
   Architecture
   Fine Arts
   Journalism
   Language and Languages
   Literature
   Music
   Performing Arts

Business, Industry, Labor, and Commerce
   Advertising and Marketing
   Economics and Banking
   Labor History
   Labor Unions
   Publishers and Publishing
   Railroads
   Retail Trade
   Ships and Shipping
   Transportation

Education
   Colleges and Universities
   Elementary and Secondary Education
   Student Life

Environment and Conservation
   Environmental Activism
   Environmental Conditions
   Pollution
<table>
<thead>
<tr>
<th>Immigration and American Expansion</th>
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<tbody>
<tr>
<td>Expeditions and Adventure</td>
</tr>
<tr>
<td>Missionaries</td>
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<tr>
<td>Overland Journeys to the Western United States</td>
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<tr>
<td>Pioneers</td>
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<th>Politics, Government, and Law</th>
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<td>City Planning</td>
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<tr>
<td>Civic Activism</td>
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<tr>
<td>Civil Procedure and Courts</td>
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<td>Civil Rights</td>
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<td>International Relations</td>
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<td>Military</td>
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<td>Political Campaigns</td>
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<td>Public Finance</td>
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<td>Public Utilities</td>
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<td>Public Works</td>
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<td>Territorial Government</td>
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<th>Science, Technology, and Health</th>
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<td>Disease</td>
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<td>Medicine and Health</td>
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<td>Science</td>
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<td>Clubs and Societies</td>
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<td>Fashion</td>
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<td>Home and Family</td>
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<td>Media and Communication</td>
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<tr>
<td>Parks and Playgrounds</td>
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<td>Sexuality</td>
</tr>
<tr>
<td>Social Classes</td>
</tr>
<tr>
<td>Sports and Recreation</td>
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</tbody>
</table>
Religion
   Catholicism
   Protestantism
   Mormonism (Church of Jesus Christ of Latter-day Saints) USE equivalent broad category
   Judaism
   Islam

Church of Jesus Christ of Latter-day Saints
   Church Government
   Relief Society
   Youth Auxiliaries
   Primary
   Missions and Missionaries
   Church Educational System
   Seminaries and Institutes

Material Types
   Architectural Drawings
   Artifacts
   Correspondence
   Diaries
   Electronic Records
   Folklore
   Images
   Maps
   Moving Images
   Oral Histories
   Publications
   Sound Recordings
   Scrapbooks