Note: Any date-bound collection management information should be expressed as event records (see Event specification.) Included in this list are:

- Acknowledgment sent (single date)
- Agreement sent (single date)
- Agreement received (single date)
- Cataloged (single date)
- Processed (start/end dates or single date; can assign processors)
- Transferred to preservation repository (start/end dates or single dates)

CollMgmt—1: Scope / Purpose

The collection management module is designed to support description, tracking, and reporting of tasks associated with the management of archival materials.

The collection management module is comprised of fields that are assumed to have general utility to archives administrators. These fields include a set of user-defined fields that repositories can configure to reflect tasks not covered by the default fields. Finally, the module is designed to allow for addition of other tasks, as they became requested and demonstrated to have general utility.

CollMgmt—2: Record / template description

No data fields are required for a collection management record to be created. However, a collection management record must be linked to an accession, a resource, or a digital object record. Collection management records cannot link to resource component or digital object component records.

Other, optional elements available on the collection management record template are:

2) Optional fields
   - Cataloged Note
   - Processing hours per foot estimate
- Processing total extent
- Processing total extent type
- Processing hours total
- Processing Plan
- Processing Priority
- Processing Status
- Processing Funding Source
- Processors
- Processed
- Rights Determined

3) User defined fields
   - User defined Boolean 1
   - User defined Boolean 2
   - User defined integer 1
   - User defined integer 2
   - User defined real 1
   - User defined real 2
   - User defined string 1
   - User defined string 2
   - User defined string 3
   - User defined text 1
   - User defined text 2
   - User defined text 3
   - User defined text 4

4) System Control Data (generated by application and not editable by operator)
   - Record Created Timestamp
   - Last Modified Timestamp
   - Record Created Staff Name
   - Last Modified Staff Name

CollMgmt—3: Linking

A collection management record may link to

- One accession record, or
- One resource record, or
- One digital object record.
A collection management record may not link to resource component or digital object component records.

A collection management record may not link to any other records or be linked to by any other records.

**CollMgmt—4: Listing / Browsing**

Users will be able to list all collection management data in the system by navigating to the collection management module.

The default browse list will be comprised of the following data elements, arranged left to right across the browse screen.

- Collection Management record ID (internal record number)
- Linked Archival Unit ID (Accession ID, Resource ID, Digital Object IDs)
- Processing Priority
- Processing Status
- Processed (extracted from event data if present)
- Cataloged (extracted from event data if present)
- Processing Hours Total

The browse screen shall be configurable with the exception that Collection Management record ID (internal record number) must always be present in the Collection Management browse list.

The browse / list screen shall support primary and secondary sorting.

The browse screen will also include the following command options:

- Add a new collection management record
- Delete / remove one or more collection management record
- Search collection management records
- Generate collection management reports

The browse screen will also be supplemented with a set of right-click commands that include:
- Add (create a new collections management record)
- Edit (open a record selected in the list of collection management records)
- Remove (delete one or more records selected in the list of collection management records)
- Search (search for a value in one of the collection management data fields)
- List all (list all the collection management records created by a repository)
- List Selected (list in the collection management browse screen only the collection management records selected)
- Omit Selected (list in the collection management browse screen only the collection management records NOT selected)

### CollMgmt—5: Business rules

1. A collection management record may be created by any member of a repository assigned permission to create collection management records. If a staff user does not have such permission, the option to create collection management records shall not be functional.

2. Collection management records viewable only to members of the creating repository that have permission to view them. Collection management records are not viewable by other repositories.

3. Collection management records are NEVER disseminated to the public view.

4. A valid collection management record must link to either
   a. One accession record, or
   b. One resource record, or
   c. One digital object record

5. A collection management record may not link to any other record types in the system.

6. A collection management record may not be linked to by any record types in the system.
7. One or more of the optional data fields in a collection record may be completed. The data value pertains to the link context.

CollMgmt—6: Required task sequence

1. Open a new collection management record
2. Link it to an accession record, a resource record, or one or more digital object records
3. Save the collection management record

CollMgmt—7: Optional task sequence

1. Complete one or more of the optional data fields
<table>
<thead>
<tr>
<th>Element</th>
<th>Definition</th>
<th>Type</th>
<th>Default Values</th>
<th>Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>collMgmtCatalogedNote</td>
<td>A note about cataloging of the archival unit (accession, resource, digital object), including provision of catalog record identifiers.</td>
<td>Text &gt; 256</td>
<td></td>
<td></td>
</tr>
<tr>
<td>collMgmtProcessingHoursPerFootEstimate</td>
<td>The time a repository estimates that is required to process a unit of archival materials (e.g. a linear foot or an item in the case of digital objects). The estimate may factor in, or not, the production of finding aids, catalog records, and other access products.</td>
<td>Decimal (9, 2)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>collMgmtProcessingTotalExtent</td>
<td>A numerical expression for the total extent (cubic feet, linear feet, items, etc) processed</td>
<td>Decimal (9, 2)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>collMgmtProcessingTotalExtentType</td>
<td>The type for the numerical expression in “Processing total extent.” May be cubic feet or linear feet for accessions or items for digital objects.</td>
<td>Config. List</td>
<td>Values should be adapted from same list available from extent sub-records.</td>
<td></td>
</tr>
<tr>
<td>collMgmtProcessingHoursTotal</td>
<td>The numerical result of multiplying “Processing hours per foot estimate” by “Processing total extent”</td>
<td>Decimal (9, 2)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>-----------------------------</td>
<td>------------------------------------------------------------------------------------------------</td>
<td>----------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>collMgmtProcessingPlan</td>
<td>For recording a plan for processing of an archival unit (accession, resource, digital object). The plan may include an outline of the arrangement for the archival unit, as well as instructions for how to treat particular objects in the archival unit. The plan might also specify different assignments for different repository staff.</td>
<td>Text &gt; 256</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| collMgmtProcessingPriority  | For indicating the priority assigned to processing of an archival unit (accession, resource, digital object) | • High  
|                             |                                                                                                 | • Medium  
|                             |                                                                                                 | • Low      |
| **collMgmtProcessingStatus** | For indicating the current status of processing for an archival unit (accession, resource, or digital object) | Config. list | • New  
• In Progress  
• Completed |
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>collMgmtProcessors</strong></td>
<td>For listing staff to whom processing of the archival unit (accession, resource, or digital objects) has been assigned</td>
<td>Text &gt; 256</td>
<td></td>
</tr>
<tr>
<td><strong>collMgmtRightsDetermined</strong></td>
<td>A checkbox for indicating the rights for an archival unit (accession, resource, or digital object) have been determined and a rights record created and linked to the archival unit</td>
<td>Boolean</td>
<td>False</td>
</tr>
<tr>
<td><strong>collMgmtUserBoolean1</strong></td>
<td></td>
<td>Boolean</td>
<td></td>
</tr>
<tr>
<td><strong>collMgmtUserBoolean2</strong></td>
<td></td>
<td>Boolean</td>
<td></td>
</tr>
<tr>
<td><strong>collMgmtUserInteger1</strong></td>
<td></td>
<td>Integer</td>
<td></td>
</tr>
<tr>
<td><strong>collMgmtUserInteger2</strong></td>
<td></td>
<td>Integer</td>
<td></td>
</tr>
<tr>
<td>Field</td>
<td>Type</td>
<td>Description</td>
<td></td>
</tr>
<tr>
<td>-------------------------------</td>
<td>---------------------</td>
<td>--------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>collMgmtUserReal1</td>
<td>Decimal (9, 2)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>collMgmtUserReal2</td>
<td>Decimal (9, 2)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>collMgmtUserString1</td>
<td>String</td>
<td></td>
<td></td>
</tr>
<tr>
<td>collMgmtUserString2</td>
<td>String</td>
<td></td>
<td></td>
</tr>
<tr>
<td>collMgmtUserString3</td>
<td>String</td>
<td></td>
<td></td>
</tr>
<tr>
<td>collMgmtUserText1</td>
<td>Text &gt; 256</td>
<td></td>
<td></td>
</tr>
<tr>
<td>collMgmtUserText2</td>
<td>Text &gt; 256</td>
<td></td>
<td></td>
</tr>
<tr>
<td>collMgmtUserText3</td>
<td>Text &gt; 256</td>
<td></td>
<td></td>
</tr>
<tr>
<td>collMgmtUserText4</td>
<td>Text &gt; 256</td>
<td></td>
<td></td>
</tr>
<tr>
<td>collMgmtRecordCreatedTimestamp</td>
<td>Timestamp</td>
<td>Automatically generated when record is created</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Field</td>
<td>Type</td>
<td>Description</td>
<td>Required</td>
</tr>
<tr>
<td>------------------------------</td>
<td>------------</td>
<td>------------------------------------------------------------------------------</td>
<td>----------</td>
</tr>
<tr>
<td>collMgmtLastModifiedTimestamp</td>
<td>Timestamp</td>
<td>Automatically updated when record is saved.</td>
<td>Yes</td>
</tr>
<tr>
<td>collMgmtRecordCreatedStaff</td>
<td>String</td>
<td>Automatically insert lookup of staff name from user tables</td>
<td>Yes</td>
</tr>
<tr>
<td>collMgmtLastModifiedStaff</td>
<td>String</td>
<td>Automatically insert lookup of staff name from user tables</td>
<td>Yes</td>
</tr>
</tbody>
</table>
Specifications for Collection Management Records

CollMgmt—9: Reports

**Acquisitions:** Generates a list of all archival units acquired in a specified period of time. Report contains ID (accession, resource, digital object), title, creator, extent, accession date, processing priority, and processing status.

**Archival units managed:** Generates a list of all archival units linked to a collections management record. Report includes unit ID (accession, resource, digital object), title, creator, extent, processing priority, and processing status. Summary includes a total number of archival units under management and total extent represented by them.

**Cataloged:** Generates a list of all archival units cataloged in a specified period of time. Report includes ID (accession, resource, digital object), linked resources (accession, resource, digital object), title, creator, extent, cataloged, date cataloged. Summary consists of total number of archival units cataloged and the total extent presented by the cataloged records.

**Not Cataloged:** Generates a list of all archival units that are not cataloged. Report includes ID (accession, resource, digital object), linked resources (accession, resource, digital object), title, creator, extent, processing priority, and processing status. Summary consists of total number of archival units not cataloged and the total extent presented by the cataloged records.

**Processed:** Generates a list of all archival units (accessions, resources, digital objects) for which processing has been completed during a specified period of time. Report contains unit ID (accession ID, resource ID, digital object ID), linked IDs (accession, resources, digital objects), title, creator, extent, cataloged, date processed. Summary statement of number of archival units processed and total extent represented by them.

**Not Processed:** Generates a list of all archival units (accessions, resources, digital objects) that have not been processed. Report contains unit ID (accession ID, resource ID, digital object ID), linked IDs (accession, resources, digital objects), title, creator, extent, processing priority, and processing status. Summary statement of number of archival units not processed and total extent represented by them.

**Production report:** contains a list of archival units (accessions, resources, digital objects) that have been accessioned, processed, and cataloged during specified time. Produces a summary statement of the total number of archival units, the total extent of archival units, the total extent of archival extents processed, and the total extent of archival units cataloged within the specified date range. The report can be restricted to a one type of archive unit (e.g., accessions).
**Receipt:** Generates a receipt for an archival unit and includes accession number, accession date, repository, and, if assigned, title, creator, and extent.

**Transferred to preservation repository:** Generates a list of archival units (accessions, resources, digital objects) transferred (e.g., replicated) to a preservation repository within a specified period of time. Report includes unit ID (accession, resource, digital object), title, creator, extent, date transferred, and name of preservation repository. Summary statement consists of total number of units transferred and total extent represented by the items.

**Not Transferred to preservation repository:** Generates a list of archival units (accessions, resources, digital objects) that have NOT been transferred (e.g., replicated) to a preservation repository. Report includes unit ID (accession, resource, digital object), title, creator, and extent. Summary statement consists of total number of units NOT transferred and total extent represented by them.

**Note:** Repositories will need to configure the reports that are based on user defined fields.