

OAC Guidelines for Minimal Level MARC Records

Maintained by the California Digital Library

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1. Introduction

The guidelines below are intended for repositories that are contributing MARC21 collection guide records to the Online Archive of California (OAC) and Melvyl® catalog. The guidelines should ultimately be interpreted as *recommendations*, and are not intended to modify practices in OAC participating repositories already producing standard MARC records for their archival materials. Such repositories may benefit, however, from adopting some of these specifications.

The guidelines comprise only the very most essential information about the creation, topicality, physical extent, and location of an archival collection. It includes access points for a collection's creator(s) or donor(s), title, restrictions when applicable, three to four broad topical headings, and a heading for the OAC, the last designed to retrieve in the CDL catalog all bibliographic records for archival materials described by finding aids in the OAC.

Besides the access points just listed, each minimal level record should also contain a link (field 856 \$u) to the online finding aid for the collection, if one exists either in the OAC database or on a local server.

At the end of each field listed in the guideline below, it is indicated if the field is required in all instances (**R**), required only when applicable (**M**), or optional (**O**). For instance, the 555 finding aids note is required only when an online finding aid exists, whereas the 300 physical description is always required.

The data values in the guidelines and the example records at the end of it are only suggestions for how a repository might wish to construct its cataloging data: however, data values should be formulated according to *Describing Archives: a Content Standard* (DACs), the current U.S. data content standard for archival description. Some of the data elements, such as the 245 title statement, allow little latitude for variation, whereas other fields do, such as the 524 preferred citation note. It is important that each repository decide how it wants to construct its preferred citation statement, restriction statements, etc. and then do it consistently for all of its MARC records for archival materials.

Each cataloging repository may supplement their minimal level records in any way the repository finds useful and permitted by general cataloging practice.

Finally, the minimal level OAC MARC record Best Practice Guideline described here complies with the *Standard for Minimal Level MARC Bibliographic Records for University of California Libraries*, which is maintained by the University of California Heads of Technical Services.

References:

Describing Archives: a Content Standard. Society of American Archivists (DACS)

OAC Best Practice Guidelines for Encoded Archival Description
(http://www.cdlib.org/services/dsc/contribute/docs/oacbpgoad_v2-0.pdf)

Standard for Minimal Level MARC Bibliographic Records for University of California Libraries.
University of California Heads of Technical Services
(http://libraries.universityofcalifornia.edu/hots/minimal_marc_std.doc)

Nomenclature (following the MARC field number)

R Required in all instances.

M Required when applicable, e.g. make a 555 finding aid note only when a finding aid is available.

O Optional.

2. Guidelines

Format:

Code all OAC minimal level records in the format most appropriate to the predominant nature of the collection, for example:

wfm for textual materials

wfmg for visual materials

wfmj for audio materials

wfmp for mixed materials (no single characteristic predominates)

Leader and Fixed Length Fields:

Code the Leader 06: Type of record with the value most appropriate for character of the collections, for example:

"t" for manuscript language material (on the **wfm** format)

"k" for two dimensional, non-projected graphics (on the **wfmg** format)

"i" for nonmusical sound recording (on the **wfmj** format)

"p" for mixed materials (on the **wfmp** format)

Code the Leader 07: Bibliographic Level as "c"

Code the Leader 08 : Archival Control as "a"

Code the Leader 17: Encoding Level as "K"

Code the Leader 18: Descriptive Cataloging Form as "a"

Code the Fixed Length Field 008, 06: Date type as inclusive ("i") except when bulk dates ("k") are clearly presented in a finding aid as the dates for a collection.

Code the Fixed Length Field 008, 15-17: Country of Publication with the appropriate value for the place of publication named in the 260 field and as "xx_" when no data is given in the 260.

Code the Fixed Length Field 008, 35-37: Language according to the predominant language of the collection, e.g.. "spa" for an item or collection predominantly Spanish.

Variable Fields:

(Blank indicator values are denoted by "b")

040 (R) Cataloging Source

Encode subfield \$a using the OCLC symbol, MARC code (NUC), or name of your institution. Encode subfield \$e with "dacs", which refers to DACS.

040 bb \$a [Original cataloging agency] \$e dacs

099 (O) Local Call Number

Enter the local collection number or ID.

099 bb MSS-2001-012

1xx (M) Main Entry

Enter the established heading for the primary originator of the item or collection. (Enter a 7xx heading for each additional originator of the item or collection.) Do not enter a 1xx for a collection created by the repository.

100 10 \$a Horvath, Michael W. \$q (Michael Ward) (for the papers of the physiologist and mountain climber Michael Horvath.)

110 20 \$a University of California, Merced. \$b Office of the Dean of Arts and Humanities. (for records from UCM Dean of Arts and Humanities)

245 (R) Title Statement

Construct a title using the name of the primary originator and a generic term best reflecting the nature of the collection. Transcribe the single or inclusive dates at the end of the title statement.

245 10 \$a Michael W. Horvath papers, \$f 1957-1995.

245 10 \$a Dean of Arts and Humanities correspondence, \$f 2000-2001

300 (R) Physical Description

Enter the number of items for a small collection or the linear or cubic footage for a large collection. If the linear or cubic footage is not known, enter the number of containers.

300 bb 56 linear ft. (for a large multi-faceted collection such as the Michael Horvath papers).

300 bb 13 items (for a small collection of correspondence such as the correspondence of the Merced Dean of Arts and Humanities).

300 bb 18 boxes

506 (M) Restrictions on Access Note

Construct a restriction note if the creator or donor of the item or collection has restricted some portion of the collection, or if state or federal statutes require that some part of the collection be restricted (e.g., student or medical records are retained), or if the collection is unprocessed

Include in the restriction note a generic descriptor of the material being restricted (e.g., notebooks, medical records, student papers, etc.), the authority of the restriction (donor, statute, or repository), and the length of restriction (e.g., until 2010, five years after donor's death, etc.).

506 bb Medical records contained in the collection are not available to researchers.

506 bb The author's journals are not available for research until five years after her death.

506 bb The collection is unprocessed and can only be used after consultation with the librarian.

520 (R) Summary, Etc.

Construct a very brief scope and content note that indicates the contents of the collection, as well as its background.

520 bb (Michael W. Horvath papers): Correspondence, journals, research data, grant proposals, and drafts and manuscripts of published articles documenting the academic and research career of physiologist and mountain climber Michael W. Horvath.

520 bb (Dean of Arts and Humanities correspondence:) Outgoing and incoming correspondence for Sally M. Roth, the Dean of Arts and Humanities, for 2000-20001. Correspondence largely pertains to recruiting faculty for arts and humanities departments.

541 (O) Immediate Source of Acquisition Note

Record the year the item or collection was acquired if the information is known.

541 bb Acquired: 1995.

555 (M) Cumulative Index / Finding Aids Note

Indicate the availability of the finding aid.

555 bb Finding aid \$b available in the library and online

Do not make a 555 note if an associated finding aid does not yet exist.

524 (R) Preferred Citation of Described Materials Note

Indicate the repository's preferred form of citation using the repository's preferred style for citation.

524 8b Michael W. Horvath Papers. MSS 444. Mountainside Special Collections Library. UC, Merced.

524 8b Dean of Arts and Humanities Correspondence. Record Series 534. Mountainside Special Collections Library. UC, Merced.

6xx (R) Subject Access Fields

Enter a heading for each originator represented in a 1xx or 7xx field. Follow the heading with the "\$v Archives".

600 10 Horvath, Michael W. \$q (Michael Ward) \$v Archives.

610 20 University of California, Merced. \$b Office of the Dean of Arts and Humanities \$v Archives.

65x (R) Enter one or more subject headings that reflect broad topics or characteristics represented by the item or collection.

7xx (O) Added Entry Fields

Enter headings for any co-originators.

700 1b Roth, Sally M., \$d 1944- (for the personal name of the Dean of Arts and Humanities at UC, Merced)

Enter when names of additional creators are likely search terms

710 2 (R) Added Entry--Corporate Name

Enter a heading for the "Online Archive of California."

710 2b Online Archive of California.

856 42 (M) Electronic Location and Access

Indicate the availability and link to an online version of the finding aid. Use this field in cases where a MARC record is being contributed to the Melvyl® catalog, where a finding aid is available in the OAC or on a local server.

If linking to a finding aid in the OAC, enter the Archival Resource Key (ARK)-based URL for the finding aid. ARKs can be located by viewing your finding aid via the OAC list of contributing institution pages.

856 42 \$3 OAC finding aid \$u <http://www.oac.cdlib.org/findaid/ark:/13030/tf0779n3nm>

856 42 \$3 OAC finding aid \$u <http://www.oac.cdlib.org/findaid/ark:/13030/tf1z09n7nf>

(Use the label "OAC finding aid" when linking to a finding aid in the OAC)

If linking to a finding aid on your repository's local server, enter the URL for the finding aid.

856 42 \$3 Local online finding aid \$u www.library.ucm.edu/msc/mss444.sgml

856 42 \$3 Local online finding aid \$u www.library.ucm.edu/msc/rss1045.sgml

Use of the 856 field to link to online finding aids will become obsolete in the near future. The means for linking to online finding aids will be \$u in the 555 field once recommendations by MARBI (see Proposal No. 99-08) are implemented in bibliographic utilities.

Do not use the 856 field if an online finding aid is not yet available.

Examples

1) Papers of a scientist and UC Merced faculty member

OCLC: NEW Rec stat: n
Entered: 20001207 Replaced: 20001207 Used: 20001207
Type: p ELvl: K Srce: d Ctrl: Lang: eng
BLvl: c Form: MRec: Ctry: cau
Desc: a DtSt: i Dates: 1957,1995

1 040 CUS \$c CUS \$e appm

2 049 CUSL

3 100 1 Horvath, Michael W. \$q (Michael Ward).

4 245 10 Michael W. Horvath papers, \$f 1957-1995.

5 300 56 linear ft.

6 506 Laboratory books for hypoxia studies are restricted until 2045.

7 541 Acquired: 1995.

8 555 Finding aid \$b available in the library and online.

9 524 Preferred citation: Michael W. Horvath Papers. MSS 444. Mountainside Special Collections Library. UC Merced.

10 600 10 Horvath, Michael W. \$q (Michael Ward) \$v Archives.

11 610 20 University of California, Merced \$x Faculty \$v Archival resources.

12 650 0 Altitude, Influence of.

13 710 2 Online Archive of California.

14 856 42 \$3 OAC finding aid \$u <http://www.oac.cdlib.org/findaid/ark:/13030/um938nc278>

2) Correspondence of the UC Merced Dean of Arts and Humanities

Type: p ELvl: K Srce: d Ctrl: Lang: eng
BLvl: c Form: MRec: Ctry: cau
Desc: a DtSt: i Dates: 2000,2001

1 040 CUS \$c CUS \$e appm

2 099 RSS 1045

3 049 CUSL

4 110 2 University of California, Merced. \$b Office of the Dean of Arts and Humanities.

5 245 10 Dean of Arts and Humanities correspondence, \$f 2000-2001.

6 300 13 items.

7 520 Outgoing and incoming correspondence for Sally M. Roth, the Dean of Arts and Humanities, beginning in 2000. The correspondence largely pertains to recruiting faculty for arts and humanities departments at UC Merced.

8 541 Acquired: 2001.

9 555 Finding aid \$b available in the library and online.

10 600 10 Roth, Sally M. \$v Archives.

11 610 20 University of California, Merced. \$b Office of the Dean of Arts and Humanities \$v Correspondence.

12 610 20 University of California, Merced \$x Faculty.

13 700 1 Roth, Sally M.

14 710 2 Online Archive of California.

15 856 42 \$3 OAC finding aid \$u <http://www.oac.cdlib.org/findaid/ark:/13030/jz2p3002b5>

3) A collection of photographs created by the UC Merced special collections library

Type: p ELvl: K Srce: d Ctrl: Lang: N/A

BLvl: c Form: MRec: Ctry: cau

Desc: a DtSt: i Dates: 1920,1973

1 040 \$c CUS \$e appm

2 090 MSS 5

3 049 CUSL

4 245 10 Merced historical photograph collection, \$f 1920-1973.

5 300 7 linear ft.

6 555 Finding aid \$b available in the library and online.

7 524 Merced Historical Photograph Collection. MSS 5. Mountainside Special Collections Library. UC Merced.

8 651 0 Merced (Calif.) \$v Pictorial works.

9 710 2 Online Archive of California.

10 856 42 \$3 OAC finding aid \$u <http://www.oac.cdlib.org/findaid/ark:/13030/qt987013wk>

4) A collection of unprocessed family papers

Type: p ELvl: K Srce: d Ctrl: Lang: eng

BLvl: c Form: MRec: Ctry: cau

Desc: a DtSt: i Dates: 1953,1985

1 040 CUS \$c CUS

2 099 MSS 24

3 049 CUSL

4 100 3 Rice family.

5 245 10 Rice family papers, \$f 1953-1985

6 300 35 linear ft.

7 506 Unprocessed collection. Researchers must first consult with the librarian.

8 541 Acquired: 1999.

9 524 Preferred citation: Rice Family Papers. MSS 24. Mountainside Special Collections Library. UC Merced.

10 600 30 Rice family \$v Archives.

11 600 10 Rice, Glenn \$v Archives.

12 650 0 Agriculture \$z California \$z Merced \$x History.

13 651 0 Merced (Calif.) \$x History.

14 700 1 Rice, Glenn.