Best Practice Guidelines: Creating MARC Records for Archives and Manuscripts

Orbis Cascade Alliance, Unique and Local Content Program

Unique Materials in the SILS Standing Group[1]

Introduction

These guidelines provide direction to Alliance institutions for the creation of MARC collection-level records for archival and manuscript collections. While more robust descriptions for collections should be formalized in a finding aid made available through Archives West, the MARC collection-level record exposes collections in the SILS as well as within OCLC's WorldCat.

These guidelines are intended to:

- Ensure a basic level of uniformity in the structure and presentation of archival and manuscript collections in MARC format, whether records are input by hand or added through an automated process
- Ensure functionality and consistency of records across the Alliance
- Provide guidance and support to library staff who may not have deep familiarity with MARC cataloging
- Facilitate and strengthen access to and provide context for archival and manuscript collections in the SILS

Context

These guidelines are in part, based on and fully compliant with *Describing Archives: A Content Standard* (DACS)[2] (in particular, the *DACS to EAD and MARC* crosswalk table in Appendix C), and reflect and support decisions made in the Alliance's *Encoded Archival Description (EAD)*

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[1] Version 1 drafted by UMSILS Standing Group members Ryan Hildebrand, Crystal Rodgers, and Philip Vue in 2019-2020

[2] *Describing Archives: A Content Standard*. Second ed. Chicago, IL: Society of American Archivists, 2013.

Best Practice Guidelines.[3] When appropriate, they allow for an amount of latitude currently observed in Alliance MARC practices. The guidelines also reflect and make thorough reference to OCLC's *Bibliographic Formats and Standards*.[4] The guidelines adhere to the *BIBCO Standard Record (BSR) for Archival Collections Metadata Application Profiles (MAP)*[5] wherever possible, and in doing so acknowledge and adhere to the Alliance's policy on Floor Bibliographic Standards.

How This Document Should Be Used

While these guidelines include a fairly exhaustive range of MARC fields relevant to archives and manuscripts, they focus on general issues. The intention is to acknowledge the presence of relevant fields, as well as the fact that at least some Alliance institutions use them.

- Some fields will be described as "required when applicable." These fields are required in order to ensure a basic level of description, as well as optimal functionality of records in the SILS.
- Some fields are "recommended when applicable." These recommendations intend to leverage currently existing finding aid data to its fullest potential in the SILS.
- The designation of some elements as optional is not meant to imply that they are unimportant, but rather that including them may be a matter of institutional descriptive policy or a cataloger's judgement.
- This best practice is not intended to govern the creation of brief or in-process MARC records for archival collections. In such cases it is understood that numerous recommended fields will not be used, although the document should be adhered to whenever possible.
- Not every EAD element has a MARC counterpart, so these guidelines do not address all EAD elements.

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[3] *Encoded Archival Description (EAD) Best Practice Guidelines (BPG) Version 3.9*. Orbis Cascade Alliance Unique & Local Content Program, Archives & Manuscripts Collections Service, 2018.
[4] *Bibliographic Formats and Standards.* Fourth ed. OCLC, 2019.
[5] *BIBCO Standard Record (BSR) for Archival Collections Metadata Application Profiles (MAP).* Program for Cooperative Cataloging, Library of Congress, September 2011.

Name	MARC field	Value	Status (req'd; repeatable, etc.)	Comments/Application notes	OCLC reference
Type of Record	Type	p	req	Mixed materials. While collections consisting of a single material type could be described on a record format representing that type (e.g., a collection of photographs could be coded "k" for two-dimensional nonprojected graphic) it is strongly recommended that type "p" be used, as Primo display and functionality for archival materials sometimes relies on this value.	https://www.oclc.org/bibformats/en/fixedfield/type.html
Bibliographic record	BLvl	c; d	req	c - Collection; d - Subunit. Value will usually will be "c".	https://www.oclc.org/bibformats/en/fixedfield/blvl.html
Descriptive Cataloging Form	Desc	i; a	req	i - DACS compliant RDA; a - DACS or APPM compliant AACR2. New records should be "i" for DACS compliant RDA.	https://www.oclc.org/bibformats/en/fixedfield/desc.html
Encoding level	Elvl	I; K	req as applicable	I - Full level input by OCLC participants; K - Minimal level input by OCLC participants.	https://www.oclc.org/bibformats/en/fixedfield/elvl.html
Form of the Item	Form	blank	req	None of the codes corresponding to this field are appropriate for archival collections.	https://www.oclc.org/bibformats/en/fixedfield/form.html
Cataloging Source	Srce	d; c	req	d - Source of cataloging data is an organization other than a national bibliographic agency or a participant in a cooperative cataloging program. PCC participants may choose to use code "c," in which case field 042 must be coded "pcc".	https://www.oclc.org/bibformats/en/fixedfield/srce.html
Type of Date	DtSt	i; k	req	Collections or multipart items complete in more than one year: i - inclusive dates; k - range (bulk dates). For both i and k, if a single year represents the inclusive dates, enter that year in both Date 1 and Date 2.	https://www.oclc.org/bibformats/en/fixedfield/dtst.html
Type of Control	Ctrl	a	req	A value of "a" indicates material is described according to archival descriptive rules. The specific set of rules for description should be indicated in field 040 subfield e.	https://www.oclc.org/bibformats/en/fixedfield/ctrl.html
Modified Record	Mrec	blank	req	Blank indicates data was not modified for entry into machine-readable f	https://www.oclc.org/bibformats/en/fixedfield/mrec.html
Date 1 and Date 2	Dates	based on collection	req	Dates of creation; two years are always entered, even if they are the same year (see DtSt). See OCLC documentation for instruction on entering unknown dates. Note: Faceting and date limit functionality in Primo operates on these fields, not 245 $f and $g or 26x $c.	https://www.oclc.org/bibformats/en/fixedfield/dates.html
Language	Lang	based on collection	req	See OCLC documentation for collections consisting of material in more than one language.	https://www.oclc.org/bibformats/en/fixedfield/lang.html
Country of Publication, etc.	Ctry	based on location of repository	req	Code represents the location of the repository.	https://www.oclc.org/bibformats/en/fixedfield/ctry.html

Name	MARC field	Indicator 1	Indicator 2	Status (req'd; repeatable, etc.)	Comments/Application notes	OCLC reference	EAD counterpart	UMSILS resolve
Physical Description Fixed Field- General Information	007	undefined	undefined	Optional if applicable; repeatable	May be used to encode characteristics of visual resources, media, and moving images contained in collections	https://www.oclc.org/bibformats/en/0xx.html	<physdesc>	
Cataloging Source	040	undefined	undefined	Required	$a and $d are system supplied based on OCLC login. Subfield b should be encoded "eng" to reflect language of cataloging (not language of the collection materials). $e should be coded based on descriptive conventions used in the processing of the collection; "dacs" and "appm" are both appropriate values.	https://www.oclc.org/bibformats/en/0xx/040.html	<descrules>	
Language code	041	0 - Item not a translation/does not include a translation 1 - Item is or includes a translation	blank	Optional	A blank second indicator means that the language code entered in $a is taken from the MARC code list for languages: http://www.loc.gov/marc/languages/	https://www.oclc.org/bibformats/en/0xx/041.html	<language> LANGCODE attribute	
Geographic Area Code	043	undefined	undefined	Optional; non-repeatable	Subfields are repeatable. Subfield a is typically used. Codes come from the MARC Code List for Geographic Areas: http://www.loc.gov/marc/geoareas/ and should correspond to geographic subject indexing terms used in the record.	https://www.oclc.org/bibformats/en/0xx/043.html	<unitid> COUNTRYCODE attribute [DACS notes that "MARC21 format does not contain a straightforward mapping for this DACS subelement value"]	
Local Holdings	049	undefined	undefined	required; not repeatable	System supplied based on OCLC login.	https://www.oclc.org/bibformats/en/0xx/049.html		
Main Entry- Personal Name	100	0 - Forename 1 - Surname 3 - Family name	undefined	Required if applicable; not repeatable. Numerous subfield codes available. See OCLC documentation; see especially $e Relator term (relationship designator)	Use authorized forms when available, preferring those found in the Library of Congress' Name Authority File. Numerous subfields are available; see OCLC documentation. Add $e creator if the person is responsible for the creation of the materials within the collection. A more specific term (e.g., $e photographer may be used if applicable and desired).	https://www.oclc.org/bibformats/en/1xx/100.html	<origination><persname>/<famname>	

Name	MARC field	Indicator 1	Indicator 2	Status (req'd; repeatable, etc.)	Comments/Application notes	OCLC reference	EAD counterpart	UMSILS resolve
Main Entry-Corporate Name	110	0 - Inverted name 1 - Jurisdiction name 2 - Name in direct order	undefined	Required if applicable; not repeatable. Numerous subfield codes available. See OCLC documentation; see especially $e Relator term (relationship designator)	Use authorized forms when available, preferring those found in the Library of Congress' Name Authority File. Numerous subfields are available; see OCLC documentation. Add $e creator if the body is responsible for the creation of the materials within the collection. A more specific term (e.g., $e photographer may be used if applicable and desired).	https://www.oclc.org/bibformats/en/1xx/110.html	<origination><corpname>	
Title statement	245	0, 1	0; 1-9	Required; not repeatable	Use 1st indicator "0" for collections for which no creator can be named in the 100 field. Use 1st indicator of "1" when a creator is named in the 100 field. A numeric 2nd indicator indicates the number of non-filing characters, including spaces. See OCLC documentation for examples. Institutions may develop their own policies on use of subfields $f (inclusive dates) and $g (bulk dates). However, institutions should be aware that dates entered in MARC 245 are not used for sorting or faceting.	https://www.oclc.org/bibformats/en/2xx/245.html	<unittitle>	
Varying Form of Title	246	Numerous subfield codes available. See OCLC documentation.	Numerous subfield codes available. See OCLC documentation	Optional	Assign varying titles that are required by DACS and titles that cover variations deemed important to assist users. The inclusion of varying title information is intended to reflect individual cataloger's judgment and/or local policy.	https://www.oclc.org/bibformats/en/2xx/246.html	<note>	
Production Date	264	none applicable to archival material	0; others n/a	Repeatable	2nd indicator of 0 indicates date of production (other indicators pertain to published material).	https://www.oclc.org/bibformats/en/2xx/264.html	<unitdate>	
Physical Description	300	undefined	undefined	Required; repeatable.	Typically used subfields will be $a (extent) $f (type of unit, e.g., linear feet)	www.loc.gov/marc/bibliographic/bd300.html	<physdesc><extent>/<dimensions>	

Name	MARC field	Indicator 1	Indicator 2	Status (req'd; repeatable, etc.)	Comments/Application notes	OCLC reference	EAD counterpart	UMSILS resolve
Content type	336	undefined	undefined	Required; repeatable.	$a (term) $b (code) $2 (vocabulary source code). Take values from: https://www.loc.gov/standards/valuelist/rdacontent.html. Field may be repeated to reflect major content types within a single collection.	https://www.oclc.org/bibformats/en/3xx/336.html	<genreform>	
Media Type	337	undefined	undefined	Required; repeatable.	$a (term) $b (code) $2 (vocabulary source code). Take values from: https://www.loc.gov/standards/valuelist/rdamedia.html. Field may be repeated to reflect major media types within a single collection.	https://www.oclc.org/bibformats/en/3xx/337.html	<phystech>	
Carrier Type	338	undefined	undefined	Required; repeatable.	$a (term) $b (code) $2 (vocabulary source code). Take values from: https://www.loc.gov/standards/valuelist/rdacarrier.html. Field may be repeated to reflect major carrier types within a single collection.	https://www.oclc.org/bibformats/en/3xx/338.html	<phystech>	
Organization and Arrangement of Materials	351	undefined	undefined	Optional	May be used to describe series, subdivisions, and other aspects of arrangement.	https://www.oclc.org/bibformats/en/3xx/351.html	<arrangement>	
Creator Characteristics	386	undefined	undefined	Optional	May be used to describe characteristics of the creator named in the 1xx field. Use terms from a controlled vocabulary. See OCLC documentation for details and examples.	https://www.oclc.org/bibformats/en/3xx/386.html		
General Note	500	undefined	undefined	Optional; repeatable	May be used to record notes that are not more appropriately recorded in another field.	https://www.oclc.org/bibformats/en/5xx/500.html	<odd>, <note>	
Restrictions on Access Note	506	0, 1	undefined	Required; repeatable	0 - No restrictions; 1 - Restrictions apply. Record here any restrictions, or lack of restrictions on access to the collection.	https://www.oclc.org/bibformats/en/5xx/506.html	<accessrestrict>	
Summary, etc.	520	2 - Scope and content 3 - Abstract	undefined	Required; repeatable	First indicator of "2" generates the display constant in Primo: Scope and content. First indicator of 3 generates the display constant in Primo: Abstract.	https://www.oclc.org/bibformats/en/5xx/520.html	<scopecontent>,	Request that NRSG add display label for first indicator 3 "Abstract"

Name	MARC field	Indicator 1	Indicator 2	Status (req'd; repeatable, etc.)	Comments/Application notes	OCLC reference	EAD counterpart	UMSILS resolve
Preferred Citation of Described Materials Note	524	#; 8	undefined	Optional; repeatable	A blank first indicator generates the display constant: Cite as	https://www.oclc.org/bibformats/en/5xx/524.html	<prefercite>	
Additional Physical Form available Note	530	NA	NA	NA	Does not display in Alliance institutions, please use the 500 General Note field to capture this information	https://www.oclc.org/bibformats/en/5xx/530.html	<altformavail>	
Reproduction Note	533	NA	NA	NA	Does not display in Alliance institutions, please use the 500 General Note field to capture this information	https://www.oclc.org/bibformats/en/5xx/533.html	<altformavail>	
Original Version Note	534	NA	NA	NA	Does not display in Alliance institutions, please use the 500 General Note field to capture this information	https://www.oclc.org/bibformats/en/5xx/534.html	<originalsloc> <note>	
Location of Originals/Duplicates Note	535	NA	NA	NA	Does not display in Alliance institutions, please use the 500 General Note field to capture this information	https://www.oclc.org/bibformats/en/5xx/535.html	<originalsloc> (for first indicator); <altformavail> (for duplicates)	
Terms Governing Use and Reproduction Note	540	undefined	undefined	Required if applicable; repeatable	There are several subfields available relevant to archival and manuscript collections, but information may be entered solely in subfield a.	https://www.oclc.org/bibformats/en/5xx/540.html	<userestrict>	
Immediate Source of Acquisition Note	541	# - No information provided 0 - Private 1 - Not private	undefined	Optional; repeatable	Use to record donor/acquisition information. Subfields typically used include $c - Method of acquisition; $a - Source of acquisition; and $d - Date of acquisition. Other subfields available; see OCLC documentation.	https://www.oclc.org/bibformats/en/5xx/541.html	<acquinfo>	
Location of Other Archival Materials Note	544	# - No information provided 0 - Associated materials 1 - Related materials	undefined	Optional; repeatable	Notes related materials that are not part of the collection. Use first indicator of 0 for materials that have the same provenance but reside in a different repository. Use first indicator of 1 for materials that share the sphere of activity, reside in the same repository, but have different provenance.	https://www.oclc.org/bibformats/en/5xx/544.html	<relatedmaterial>; <separatedmaterial>	
Biographical or Historical Data	545	# - No information provided 0 - Biographical sketch 1 - Administrative history	undefined	Required if applicable; repeatable	Includes information from the historical note of the finding aid. Institutions may choose to truncate content in this area.	https://www.oclc.org/bibformats/en/5xx/545.html	<bioghist>	

Name	MARC field	Indicator 1	Indicator 2	Status (req'd; repeatable, etc.)	Comments/Application notes	OCLC reference	EAD counterpart	UMSILS resolve
Language Note	546	undefined	undefined	Required if applicable; repeatable	Language of material in the collection. Several subfields are available. Most pertinent is $a language note (not repeatable).	https://www.oclc.org/bibformats/en/5xx/546.html	<langmaterial><language>	
Cumulative Index/Finding Aids Note	555	# - Indexes 0 - Finding aids 8 - No display constant generated	undefined	Required if applicable; repeatable	Use for analog finding aids representing collections for which no electronic finding aid is available. First indicators will not generate a display constant in Primo. Numerous subfields are available, but only $a is typically used. Although a linking subfield is available, Alliance institutions should not use it. **Linking to finding aids is done using MARC 856**. See Reference: Policy: Finding Aids Links in MARC Record https://www.orbiscascade.org/finding-aids-links-in-marc-records/	https://www.oclc.org/bibformats/en/5xx/555.html	<otherfindaid>	
Ownership and Custodial History	561	# - No information provided 0 - Private 1 - Not private	undefined	Required if applicable; repeatable	Numerous subfields are available, but only $a is typically used.	https://www.oclc.org/bibformats/en/5xx/561.html	<custodhist>	
Subject Added Entry-Personal Name	600	0 - Forename 1 - Surname 3 - Family name	Numerous available. Typically used will be 0 - Library of Congress Subject Headings, or 7 - Source specified in subfield $2	Required if applicable; repeatable. See OCLC documentation; see especially $v Form subdivision.	Use authorized forms when available, preferring those found in the Library of Congress' Name Authority File. Add a subject heading for the creator with the form subdivision "$v Archives" unless a more specific term is appropriate, e.g., "$v Diaries." Institutions may develop their own policies regarding form subdivision for material types included in collections.	https://www.oclc.org/bibformats/en/6xx/600.html	<persname>	
Subject Added Entry-Corporate Name	610	0 - Inverted name 1 - Jurisdiction name 2 - Name in direct order	Numerous available. Typically used will be 0 - Library of Congress Subject Headings, or 7 - Source specified in subfield $2	Required if applicable; repeatable; See OCLC documentation; see especially $v Form subdivision.	Use authorized forms when available, preferring those found in the Library of Congress' Name Authority File. Add a subject heading for the creator with the form subdivision "$v Archives" unless a more specific term is appropriate. Institutions may develop their own policies regarding form subdivision for material types included in collections.	https://www.oclc.org/bibformats/en/6xx/610.html	<corpname>	

Name	MARC field	Indicator 1	Indicator 2	Status (req'd; repeatable, etc.)	Comments/Application notes	OCLC reference	EAD counterpart	UMSILS resolve
Subject Added Entry-Topical Term	650	Generally use # (blank) although other values are available	Numerous available. Typically used will be 0 - Library of Congress Subject Headings, or 7 - Source specified in subfield $2	Required if applicable; repeatable. See OCLC documentation; see especially $v Form subdivision.	Subjects indexed should be represented in the Scope and Content note. Use authorized forms when available, preferring those found in the Library of Congress Subject Headings. Institutions may develop their own policies regarding form subdivision for material types included in collections.	https://www.oclc.org/bibformats/en/6xx/650.html	<subject>	
Subject Added Entry-Geographic Name	651	undefined	Numerous available. Typically used will be 0 - Library of Congress Subject Headings, or 7 - Source specified in subfield $2	Required if applicable; repeatable. See OCLC documentation; see especially $v Form subdivision.	Use authorized forms when available, preferring those found in the Library of Congress Subject Headings. Institutions may develop their own policies regarding form subdivision for material types included in collections.	https://www.oclc.org/bibformats/en/6xx/651.html	<geogname>	
Index Term-Genre/Form	655	undefined	Numerous available. Typically used will be 0 - Library of Congress Subject Headings, or 7 - Source specified in subfield $2	Required if applicable; repeatable. Numerous subfield codes are available, see OCLC documentation as well as source vocabulary instructions.	Use authorized forms from a controlled vocabulary such as Library of Congress Genre Form Terms, Art and Architecture Thesaurus, and RBMS Controlled Vocabularies. Institutions may develop their own policies regarding application terms. They may also develop policies regarding subdivision when allowed by the specific vocabulary.	https://www.oclc.org/bibformats/en/6xx/655.html	<genreform>	
Added Entry-Personal Name	700	0 - Forename 1 - Surname 3 - Family name	undefined	Required if applicable; repeatable. See OCLC documentation; see especially $e Relator term (relationship designator)	Use for related personal names not recorded in MARC 100. Use authorized forms when available, preferring those found in the Library of Congress' Name Authority File. Numerous subfields are available; see OCLC documentation. Add $e creator if the person is responsible for the creation of the materials within the collection. A more specific term (e.g., $e photographer may be used if applicable and desired).	https://www.oclc.org/bibformats/en/7xx/700.html	<persname> (If the name relates to a secondary creator, <persname> is nested within the <origination> tag)	

Name	MARC field	Indicator 1	Indicator 2	Status (req'd; repeatable, etc.)	Comments/Application notes	OCLC reference	EAD counterpart	UMSILS resolve
Added Entry-Corporate Name	710	0 - Inverted name 1 - Jurisdiction name 2 - Name in direct order	undefined	Required if applicable; repeatable. See OCLC documentation; see especially $e Relator term (relationship designator)	Use authorized forms when available, preferring those found in the Library of Congress' Name Authority File. Numerous subfields are available; see OCLC documentation. Add $e creator if the body is responsible for the creation of the materials within the collection. A more specific term (e.g., $e photographer may be used if applicable and desired).	https://www.oclc.org/bibformats/en/7xx/710.html	<corpname> (If the name relates to a secondary creator, <corpname> is nested within the <origination> tag)	
Physical Location	851	undefined	undefined	Required if applicable; repeatable	Identifies the repository holding the collection. Field has numerous subfield codes; see OCLC documentation.	https://www.oclc.org/bibformats/en/8xx/851.html	<repository>	
Electronic Location and Access	856	4	2	Required if applicable; repeatable	Use for finding aids available online. Use a first indicator of 4 and a second indicator of 2. In $u of the 856 field, enter the complete URL for the finding aid. For finding aids hosted on Archives West, enter the complete URL containing the finding aid's ARK ID. Add to the 856 field a $z or $3 that contains brief explanatory text for the user. The wording of the text may be determined by each institution, but must include the phrase "finding aid" (without quotes). See Reference: Policy: Finding Aids Links in MARC Record https://www.orbiscascade.org/finding-aids-links-in-marc-records/	https://www.oclc.org/bibformats/en/8xx/856.html	Although <altformavail> maps to other usages of the 856 field in a MARC record, it does not apply in this context for linking to online finding aids.	

Appendix A

Background for MARC for Archival Collections Best Practices

- In spring 2019, UMSILS sent out a survey to Alliance institutions asking if guidance was needed by members in creating MARC records for archival collections. The survey received a high response rate and a majority of respondents expressed a need for additional guidance. In addition, we asked survey respondents to share their own institutional best practices documentation. Several libraries, including WSU and UW, shared their documentation which UMSILS consulted prior to drafting.
- Ryan Hildebrand did the lionshare of the research and drafting of the best practices, creating a spreadsheet of fixed and variable fields used in MARC cataloging of archival collections, linking to OCLC standards and noting when fields are required or optional and if they are repeatable, leaving enough latitude for local practices and taking into consideration Alliance Bibliographic Mandates. Crystal Rodgers assisted in mapping to the relevant EAD tags and Philip Vue, Ryan and Crystal all met to review and fine tune before seeking feedback. An introduction to the best practices was also drafted.
- In Fall 2019, the best practices were first shared with members of the Cataloging Standing Group for feedback which was positive, several members expressing gratitude for this needed documentation, and provided no recommendations for changes.
- In Winter 2020, the draft was shared with members of the ULC Reps listserve to seek broader feedback. This yielded more substantial feedback and questions, helping UMSILS finetune the guidelines for several of the fields, including noting when certain MARC fields, such as the 530 field, are suppressed from view in Primo and the 500 general notes field should be used.
- This Spring 2020, we are seeking endorsement from the ULC Team, soliciting a final round of feedback before finalizing the document and working with the ULC Program Manager to post on the Alliance website and promote to member institutions.