

# **MARC Record Guide for Monograph Aggregator Vendors**

**2<sup>nd</sup> Edition**

Includes revisions to September 2011

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Washington, D.C., 2009

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# 1. Introduction

## 1.1 Rationale for Revision

The *MARC Record Guide for Monograph Aggregator Vendors*, published by the Program for Cooperative Cataloging in 2006, was based on previous monographic cataloging practice in the Anglo-American world. The Guide instructed vendors to create new bibliographic records with details specific to their version of an electronic resource for each new collection rather than to use existing records. As a result, many duplicative MARC records for online resources have been created in shared cataloging systems such as OCLC. The amount of record duplication has become unsustainable. Catalog users have difficulty understanding the rationale or the subtle differences between multiple records when searching through a cluster of very similar electronic resource records. Acquisitions librarians have difficulty managing and differentiating record loads of nearly identical records. The creation of one record that can be used for as many aggregations as possible will improve search and retrieval and record management in online catalogs.

The *Provider-Neutral E-Monograph MARC Record Guide* was approved by the Program for Cooperative Cataloging and OCLC in 2009. The provider-neutral record is defined as a single bibliographic record that covers all equivalent manifestations of an online monograph. Manifestations are considered equivalent if their content is essentially the same, based on clues from the author, title, edition, publishing information, and physical description. Moving to the provider-neutral model puts the emphasis on the content of the resource. Other information such as individual database names, individual e-package names, publishers or third party aggregators that had formerly been entered into the bibliographic records to distinguish different versions should be coded only in appropriate fields in the local version of the record following the guidelines below.

## 1.2 Audience

The primary audience for this guide is the community of publishers and vendors who make aggregations of monographs available to libraries. Frequently these aggregations are accompanied by bibliographic records for the monographs. The purpose of this guide is to provide vendors, who do not usually create records on OCLC, with information for producing high quality MARC record sets acceptable to libraries.



### 1.3 Purpose

Librarians consider several factors when deciding to purchase a database. The most important consideration is the quality and relevance of the content for library users. The second factor librarians consider is how their users will actually use the database. Librarians realize that user discovery is enhanced by accurate bibliographic descriptions for the individual monographs in a database. To enhance user discovery, many libraries choose to load MARC records into their local online catalogs. Vendors can add substantial value to the databases they sell by providing records for the individual titles in the databases.

Ideally bibliographic records should be created in MARC 21 format. Short of that, they should be created in a format that is easily convertible to MARC so that the records can be loaded into library catalogs. Most libraries endorse the “one stop shopping” for students and faculty that results when 1) all records reside in a single catalog and 2) all records display bibliographic information consistently. Following cataloging standards such as MARC 21 and this guide ensures that records will integrate successfully with existing records in the library’s catalog. Another important consideration is interoperability. Records should be created in such a way that they can be readily exchanged between libraries and bibliographic utilities if the license permits.

### 1.4 Scope

This guide includes references to resources that a vendor may wish to consult prior to undertaking a MARC record creation project. It does not attempt to provide detailed implementation guidelines for commercial ventures. Partnering with a knowledgeable professional cataloging librarian is recommended. The guide also contains specifications for MARC records as recommended by the Program for Cooperative Cataloging (PCC). The PCC is an international cooperative program sponsored by the Library of Congress aimed at expanding access to library collections by providing standards for useful, timely, and cost-effective cataloging.

The Library of Congress has also prepared an excellent guide containing essential information about MARC bibliographic records: <<http://www.loc.gov/marc/umb/um01to06.html>>

Vendors preparing catalog records may also wish to consult the Provider-Neutral E-Monograph MARC Record Guide at <<http://www.loc.gov/catdir/pcc/bibco/PN-Guide.pdf>>

## **2. Record Categories for E-Monographs**

The vendor determines the titles to be included in an e-monograph collection. Frequently the vendor may also decide to provide accompanying bibliographic records for each title in the collection. E-content types include: “born digital” when there is no counterpart in a physical format; resources simultaneously issued in physical format and online; digital reproductions of resources in physical format; or portions of existing publications such as a chapter, or even an individual poem or story.

### **2.1 Born Digital**

An e-monograph is born digital if it has not existed previously in physical format or any other format. In some cases, the collection may consist of resources that exist as manuscripts but have never been published.

### **2.2 New Edition of a Physical Format Publication (including resources simultaneously issued in two or more formats).**

An e-monograph may be a new edition of a physical format publication if the vendor has substantially altered it by the addition, change, or subtraction of content. For example, an electronic edition of *Gone with the Wind* that includes film clips and other value added features and new commentary is a new edition.

### **2.3 Reproduction of an Existing Publication or Manuscript**

An e-monograph may be a reproduction of an existing publication or manuscript in another format by a mechanical process (not an intellectual process). The format and content of the original version is preserved. Examples of electronic reproductions are PDF files and scanned page images. One “cross-over” variety which can occur are databases consisting of titles that are SGML-encoded but manually keyed. Consultation with an experienced librarian in cases of doubt is recommended.

### **3. How are MARC Records Created?**

There is no one single way to create a MARC record for a monograph. The method used will depend on the skills of the vendor's staff and whether or not a library partner is involved in the process. Emphasis should be placed on a bibliographic description of the monograph that is consistent, accurate, well-formed, and follows standard library practice as far as possible.

#### **3.1 MARC Records Created Directly in MARC 21 Format**

The vendor may have the ability to create MARC records directly in MARC 21 format either by using a library cataloging system, through arrangement with a partner library, a third party subcontractor, or a bibliographic utility. For further information on how to format such records, see section 4 below.

#### **3.2 Non-MARC Records Created Using Dublin Core**

Dublin Core (DC) is a simple, effective element set that is highly compatible with MARC 21. The Program for Cooperative Cataloging endorses DC for use by vendors for monographic material if it is not possible to work directly in MARC 21. Documents relating to Dublin Core may be found at <<http://dublincore.org/documents/>>

The Library of Congress has developed extensive documentation describing the crosswalk from Dublin Core to MARC 21: <<http://www.loc.gov/marc/dccross.html>>

#### **3.3 Non-MARC Records Created Using MODS, XML, HTML, EXCEL, etc.**

It is highly recommended that vendors first become familiar with the general guiding principles and best practices set forth by the Library of Congress and the Digital Library Federation (DLF) in order to create MODS, XML, HTML, EXCEL, etc. records that are compatible with MARC 21:

<<http://www.loc.gov/standards/mods/>>

<<http://webservices.its.umich.edu/mediawiki/oaibp/index.php/DataProviderPractices>>



<[https://wiki.dlib.indiana.edu/confluence/download/attachments/24288/DLFMODS\\_ImplementationGuidelines.pdf](https://wiki.dlib.indiana.edu/confluence/download/attachments/24288/DLFMODS_ImplementationGuidelines.pdf)>

<<http://www.diglib.org/aquifer/df110.pdf>>

As long as the bibliographic description is coded consistently in tab-delimited files, vendors may use in-house programming (or ask a library partner for assistance) to create MARC records. Library systems, often in conjunction with MARC editors or other programs, can convert properly constructed Excel spreadsheets into MARC records. Columbia University, for example, uses PERL and MARC-related PERL modules to generate MARC records from user input. The Program for Cooperative Cataloging can be consulted on use of this and other freely available programs. A promising new prospect is the ability to convert ONIX records into MARC records. The crosswalk is available at <<http://www.loc.gov/marc/onix2marc.html>>

## 4. MARC Data Specifications

The Metadata Application Profile (MAP) below should be used in conjunction with *MARC 21 Format for Bibliographic Data* available at <<http://www.loc.gov/marc/bibliographic/>>. If using another “source” MARC record to create a record for the online resource, the following fields should be copied:

Leader\*, 008\*, 020\*, 024\*, 027, 028\*, 033, 041\*, 043\*, 044, 045, 046, 050\*, 052, 055, 060\*, 066, 070, 072, 074, 080, 082\*, 084, 086\*, 088, 100\*, 110\*, 111\*, 130\*, 240\*, 245\*, 246\*, 250\*, 260\*, 300\*, 490\*, 500\*, 501, 502, 504, 505, 513, 520, 521, 522, 526, 536, 546, 585, 586, 600\*, 610\*, 611\*, 630\*, 650\*, 651\*, 655\*, 700\*, 710\*, 711\*, 730\*, 740\*, 800\*, 810\*, 811\*, 830\*.

\* Tags with an asterisk are also included in the MAP below.

### Provider-Neutral Record Metadata Application Profile (MAP) for Vendors

M=Mandatory A=Mandatory if applicable O=Optional X=Do not use (R)=Repeatable (NR)=Not Repeatable					
MARC Tag	Ind.	Position/ Description	Value	Vendor Action	M/A/O/X
Leader				System supplied except as below	
<a href="#">Leader</a> (NR)		06 Type of Record	<a href="#">[06]</a>	Supply or retain from source record the code appropriate to the type of material, according to the <a href="#">MARC 21 guidelines for the 06 type of record</a> (language material and manuscripts published online should be coded type “a”; musical sound recording should be coded type “j”, etc.)	M
		07 Bibliographic Level	m or c	Use “m” for monographs and “c” for collections	M
		17 Encoding Level	[**]	See chart below ** for encoding level differences. Use “3” unless you know the record has been constructed according to AACR2	M
		18 Descriptive Cataloging Form	u	“u” is minimum; use “a” if descriptive cataloging is AACR2	M
<a href="#">001</a> (NR)		Control Number		Supply unique alpha-numeric or numeric control number. Do not reuse an existing control number, even if it is for the source in another format. If not cataloging in OCLC, do not put OCLC control number into this field. Instead, put it in a local field, e.g., 035. See *** below for more guidance	M
<a href="#">003</a> (NR)		Control Number Identifier		Supply; presence of an identifier guarantees uniqueness of control number	M

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<b>MARC Tag</b>	<b>Ind.</b>	<b>Position/ Description</b>	<b>Value</b>	<b>Vendor Action</b>	<b>M/A/O/X</b>
<a href="#">006</a> (R)		Fixed-Length Data Elements – Additional Material Characteristics		Supply codes specified below; codes for other bytes may be supplied or retained from source record. Optionally, add an additional 006 field with the appropriate first byte value when the resource is an online reproduction of a manuscript in any format. The code used will vary according to the type of reproduction (“t” for a reproduction of manuscript language material, “a” for notated music manuscript, and “f” for manuscript cartographic materials)	O
		00 Form of Material	m	Supply	M
		09 Type of Computer File	See →	Supply the code appropriate to the type of material, according to the MARC 21 guidelines (e.g., language material and manuscripts published online should be coded “d”)	M
<a href="#">007</a> (R)		Physical Description Fixed Field – Electronic Resource		Supply only codes specified below. Use fill character for all other bytes.  Supply one Electronic Resource 007 field coded as: 007/00=c, 007/01=r  In addition, supply one or more of the following 007 fields as applicable:	A

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MARC Tag	Ind.	Position/ Description	Value	Vendor Action	M/A/O/X
<a href="#">007</a> (R) (cont.)				Map: 007/00=a, 007/01=z Non-projected graphic: 007/00=k, 007/01=z Projected graphic: 007/00=g, 007/01=z, 007/07=z Remote-sensing image: 007/00=r, 007/01=u Sound recording: 007/00=s, 007/01=z, 007/04=u, 007/06=n, 007/07=n, 007/08=n Visual materials (motion picture): 007/00=m, 007/01=z, 007/07=z Visual materials (videorecording): 007/00=v, 007/01=z, 007/07=z  Do not include any Microform 007 fields.	
		00 Category of Material	a, c, g, k, m, r, s, v	Supply	M
		01 Specific Material Designation	r, u, z	Supply	M
		04 Configuration of Playback Channels: (For 007/00=s)	u	Value is currently mandatory for validation purposes in OCLC	M
		06 Dimensions: (For 007/00=s)	n	Value is currently mandatory for validation purposes in OCLC	M

<b>M=Mandatory A=Mandatory if applicable O=Optional X=Do not use (R)=Repeatable (NR)=Not Repeatable</b>					
<b>MARC Tag</b>	<b>Ind.</b>	<b>Position/ Description</b>	<b>Value</b>	<b>Vendor Action</b>	<b>M/A/O/X</b>
<a href="#">007</a> (R) (cont.)		07 Dimensions: (For 007/00=g, 007/00=m, and 007/00=v)	z	Value is currently mandatory for validation purposes in OCLC	M
		07 Tape Width: (For 007/00=v)	n	Value is currently mandatory for validation purposes in OCLC	M
		08 Tape Configuration: (For 007/00=s)	n	Value is currently mandatory for validation purposes in OCLC	M
008 Subfields for the 008 field below apply to all formats unless otherwise noted by indicating (06=[format])					
<a href="#">008</a> (NR)		Fixed-Length Data Elements – General Information		In addition to required bytes specified below, codes for other bytes may be supplied or retained from source record. Note that all publication-related coding for reproductions (e.g., Type of date, Date 1 and Date 2, place of publication) is based on the original publication and is taken from the source record	M
		06 Type of Date/ Publication Status	See →	Supply or retain from source record	M
		07-10 Date 1	See →	Supply or retain from source record	M
		11-14 Date 2	See →	Supply if applicable or retain from source record	M
		15-17 Place of Publication	See →	Supply code from MARC Country Code List < <a href="http://www.loc.gov/marc/countries/cou_home.html">http://www.loc.gov/marc/countries/cou_home.html</a> > or retain from source record	M
		18-20 Time (06=g) Running Time for Motion Pictures and Videorecordings		Supply or retain from source record for motion pictures and videorecordings only; all other visual materials use “nnn.” The default is three fill characters	M

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<b>MARC Tag</b>	<b>Ind.</b>	<b>Position/ Description</b>	<b>Value</b>	<b>Vendor Action</b>	<b>M/A/O/X</b>
<a href="#">008</a> (NR) (cont.)		23 Form of Item	o	Supply. (For Cartographic and Visual materials use byte 008/29)	M
		28 Government Publication (06=a; 06=g/k; 06=e; 06=m)	blank	Supply if applicable. The default is blank	M
		29 Conference Publication (06=a)	0	Supply "1" if applicable. The default is zero	M
		33 Type of Material (06=g/k)		Supply for visual materials. The code should correspond to the general material designation in the title and to Type of format. The default is one fill character	M
		33-34 Special Format Characteristics (06=e)	blank/ blank	Up to two, one-character codes. The default is blank	M
		35-37 Language	See →	Supply code from MARC Language Code List < <a href="http://www.loc.gov/marc/languages/langhome.html">http://www.loc.gov/marc/languages/langhome.html</a> > or retain from source record	M
		39 Cataloging Source	d	Supply	M
<a href="#">010</a> (NR)		LC Control Number (LCCN)		Do not include physical format LCCN here but move to field 776 \$w (DLC) instead	A

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<b>MARC Tag</b>	<b>Ind.</b>	<b>Position/ Description</b>	<b>Value</b>	<b>Vendor Action</b>	<b>M/A/O/X</b>
<a href="#">020</a> (R)		International Standard Book Number (ISBN)	a or z	Record each e-version ISBN in a separate 020 \$a; record other ISBNs in 020 \$z (preferably in separate fields); copy the physical format ISBN to field 776 \$z. If it is unclear which format the ISBN represents—as often occurs with simultaneously issued versions—use \$z for the ISBNs being added for the online version	A
<a href="#">024</a> (R)		Other Standard Identifier		Record other standard identifies, such as International Standard Music Numbers (ISMNs), UPCs, EANs, IRSCs, etc., for the resource in its online format, in separate 024 fields, in \$a. Record other standard identifiers for the resource in its physical format version in separate 024 fields, in \$z	A
<a href="#">028</a> (R)		Publisher Number		Record any relevant publisher/plate/issue numbers in \$a and \$b without special coding. Each 028 field should exactly match its counterpart field in the record for the physical format version	A
<a href="#">035</a> (R)		System Control Number		Supply the MARC code (enclosed in parentheses) of the organization originating the system control number, followed immediately by the number control number for the e-resource. <i>Example: (OCoLC)12345</i>	O
<a href="#">040</a> (NR)		Cataloging Source (Vendor NUC Code)		Use the MARC code for the original/transcribing cataloging agency creating the e-resource record in \$a. Do not retain the MARC code from the 040 \$a of the physical format source record	M

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<b>MARC Tag</b>	<b>Ind.</b>	<b>Position/ Description</b>	<b>Value</b>	<b>Vendor Action</b>	<b>M/A/O/X</b>
<a href="#">041</a> (NR)		Language Code		Supply code from MARC Language Code List < <a href="http://www.loc.gov/marc/languages/langhome.html">http://www.loc.gov/marc/languages/langhome.html</a> > or retain from source record. Note that although field 041 is not repeatable, \$a within is repeatable	O
<a href="#">043</a> (NR)		Geographic Area Code		Supply code from MARC Geographic Code List < <a href="http://www.loc.gov/marc/geoareas/">http://www.loc.gov/marc/geoareas/</a> > or retain from source record. Note that although the whole field 043 is not repeatable, \$a within the field is repeatable. <i>Example:</i> 043 n-us--- \$a n-mx--- \$a n-ca---	O
<a href="#">050/060/082/086</a> (R)	[*][*]	Classification Number		Use of classification numbers strongly encouraged but not required. If using 050/060, set first indicator to blank and second indicator to 4. Retain all classification numbers from source record	O
<a href="#">100/110/111</a> (NR)	[*]#	Personal/ Corporate/ Meeting Name		Use LC Name Authority File to establish form of Personal/Corporate/Meeting names. < <a href="http://authorities.loc.gov/">http://authorities.loc.gov/</a> > or retain from source record. Verifying forms of names in LC Name Authority File is not required but is strongly encouraged	A
<a href="#">130</a> (NR) <a href="#">240</a> (NR)	[*][*]	Uniform Title		Use of uniform titles (if applicable) is encouraged but not required. Use the LC Name Authority file (or work with authority control vendor) to establish this field or retain from source record	O



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<b>MARC Tag</b>	<b>Ind.</b>	<b>Position/ Description</b>	<b>Value</b>	<b>Vendor Action</b>	<b>M/A/O/X</b>
<a href="#">245</a> (NR)	[*][*]	Title Statement			M
		\$h Medium (NR)		Use \$h [electronic resource] after \$a, \$n, and \$p (or \$f and \$g for archival collections), if the latter subfields are recorded from the resource or are retained from the source record. If source record has other format in \$h, replace the format information given there with \$h [electronic resource]	M
		\$b Remainder of Title (NR)		Record if applicable or retain from source record	A
		\$c Statement of Responsibility (NR)		Record if applicable or retain from source record	A
<a href="#">246</a> (R)	[*][*]	Varying Form of Title		Retain from source record or record provider-specific title variants if deemed important, with or without an explanatory note, e.g., 246 1_ \$i Available from some providers with title: \$a <title> 246 1_ \$a <title>	A
<a href="#">250</a> (NR)		Edition Statement		Record or retain from source record only edition statements originating from the original publisher/society; ignore statements that pertain to specific provider versions	A
<a href="#">256</a>		Computer File Characteristics		Do not use	X

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<b>MARC Tag</b>	<b>Ind.</b>	<b>Position/ Description</b>	<b>Value</b>	<b>Vendor Action</b>	<b>M/A/O/X</b>
<a href="#">260</a> (NR)		Place of Publication, Publisher or Distributor, and Date of Publication		All online resources are considered published. Record first named publication information that applies to all known iterations of the online resource. If the e-resource being cataloged is an online reproduction of a physical format monograph, retain the publication information from the source record. Generally do not give details about the aggregator/digitizer/distributor in the publication field except in the case of a born digital publication where there is no other publication information	M
<a href="#">300</a> (R)		“Physical” Description		Use “1 online resource” in \$a (if desired, add other indications of the extent in a parenthetical qualifier). Exclude the original \$c. Examine any \$e in the record in order to make sure it is still applicable <i>Examples:</i> 300 \$a 1 online resource (25 p.) : \$b ill. 300 \$a 1 online resource (36 charts on 18 leaves) 300 \$a 1 online resource (1 sound file (30 min.)) 300 \$a 1 online resource (1 score (32 p.) + 1 part (19 p.)) 300 \$a 1 online resource (1 video file (30 min.)) : \$b sd., col. with b&w sequences 300 \$a 1 online resource (6 maps) : \$b col.	M
<a href="#">400/410/411/440</a> (obsolete)		Series Statement		When retaining the series statement from the source record, change the tag from 400/410/411/440 to 490 first indicator 1 and use an 8XX to record the authorized form of the heading	X

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<b>MARC Tag</b>	<b>Ind.</b>	<b>Position/ Description</b>	<b>Value</b>	<b>Vendor Action</b>	<b>M/A/O/X</b>
<a href="#">490</a> (R)	0 #	Series Statement – Series Not Traced		Record or retain from source record series as it applies to all known iterations of the online resource.	A
<a href="#">490</a> (R)	1 #	Series Statement – Series Traced in 8XX			
		\$x ISSN (NR)		When the e-version is being used as the basis of the description and only one ISSN appears in the resource being described, record that ISSN in the 490 field. If both a physical format ISSN (p-ISSN) and an electronic ISSN (e-ISSN) appear in the resource being described, transcribe the e-ISSN. When the physical format version is being used as the basis of the description, use whatever ISSN appears on that record. If no ISSN appears in the existing record, do not add any ISSN to the 490 field	A
<a href="#">5XX</a> (R)		Notes		Supply fields specified below. Retain from source record except as specified below	M
500 (R)		Source of Title Note		See 588 field	
<a href="#">500/550</a>		Issuing Body Note		Do not use for package/provider names. If desired by customer, use local fields for this information.	X
<a href="#">505</a> (R)	[*][*]	Formatted Contents Note		Use of contents notes strongly encouraged but not required. Retain from source record	O

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<a href="#">506</a>		Restrictions on Access Note		If desired by customer, use 856 \$z for restrictions on access information. (Field 506 is used only in conjunction with \$5 by libraries creating records for the Registry of Digital Masters, HathiTrust, or other digital preservation projects)	X
<a href="#">516</a>		Type of Computer File or Data Note		Generally do not use unless e-resource has unusual properties	O
<a href="#">520</a> (R)	[*] #	Summary, etc.		Use of summary notes encouraged but not required. Retain from source record	O
<a href="#">530</a>		Additional Physical Form Note		Do not use. Prefer 776 field instead	X
<a href="#">533</a>		Reproduction Note		Do not use. If desired by customer, use local fields for this information. (Field 533 is only used in conjunction with \$5 by libraries creating records for the Registry of Digital Masters, HathiTrust, or other digital preservation projects)	X
<a href="#">534</a>		Original Version Note		Do not use, unless the e-resource being described is contained in a larger original resource but is sufficiently different to warrant a separate record. (e.g., the e-resource is one poem scanned from a book of poems). In this case, record the provider information in the 260 and 008/7-10 fields, and record the information of the original resource in the 534 field	X

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<b>M=Mandatory A=Mandatory if applicable O=Optional X=Do not use</b> <b>(R)=Repeatable (NR)=Not Repeatable</b>					
<b>MARC Tag</b>	<b>Ind.</b>	<b>Position/ Description</b>	<b>Value</b>	<b>Vendor Action</b>	<b>M/A/O/X</b>
<a href="#">538</a> (R)		System Details Note		<p>Mode of access: use only if the resource is accessed by means other than the World Wide Web.</p> <p>System requirements: make a systems detail note only if unusual software is needed to access/use the resource</p>	A
<a href="#">540</a>		Terms Governing Use and Reproduction Note		Do not use. Prefer to keep this information at the resource or vendor website where it can more easily be maintained	X

MARC Record Guide for Monograph Aggregator Vendors, 2nd ed.

<b>M=Mandatory A=Mandatory if applicable O=Optional X=Do not use</b> <b>(R)=Repeatable (NR)=Not Repeatable</b>					
MARC Tag	Ind.	Position/ Description	Value	Vendor Action	M/A/O/X
<a href="#">588</a> (R)		Source of Description Note/Source of Title Note		<p>If the description is based on a single online resource, use Source of description note combined with Source of title note</p> <p><i>Example:</i> 588 \$a Description based on online resource; title from PDF title page (ACM, viewed May 26, 2011).</p> <p>If the description is based on part of a multipart resource, include that information in Source of description note</p> <p><i>Example:</i> 588 \$a Description based on online resource, vol. 2; title from PDF title page (ACM, viewed May 26, 2011).</p> <p>If the description is based on a record for the physical format, use the following phrase without additional information: Description based on [physical format] version record</p> <p><i>Examples:</i> 588 \$a Description based on print version record. 588 \$a Description based on CD-ROM version record.</p>	M
<a href="#">600/610/611/630/650/651</a> (R)	[*][*]	Subject Access		Use of subject headings strongly encouraged but not required. Retain from source record	O
<a href="#">653</a> (R)	[*]#	Uncontrolled Subject Term		Prefer to use 600/610/611/630/650/651 if possible	O
<a href="#">655</a> (R)	[*][*]	Genre/Form Term		Use of LC genre/form terms is encouraged. For other terms, consult with customer	O

MARC Record Guide for Monograph Aggregator Vendors, 2nd ed.

<b>M=Mandatory A=Mandatory if applicable O=Optional X=Do not use</b> <b>(R)=Repeatable (NR)=Not Repeatable</b>					
<b>MARC Tag</b>	<b>Ind.</b>	<b>Position/ Description</b>	<b>Value</b>	<b>Vendor Action</b>	<b>M/A/O/X</b>
<a href="#">700/710/711/ 730/740</a> (R)	[*][*]	Added Entry Fields		Supply or retain from source record if applicable to all known instances of the online resource. Do not use for package/provider names. If desired by customer, use local fields for package/provider names.	A
<a href="#">773</a>		Host Item Entry		Do not use	X
<a href="#">776</a> (R)	0 8	Additional Physical Form Entry		Often used in conjunction with a 588 "Description based on [physical format] version record" note. This field can be recorded either as explained below with \$a, \$t, and \$w, and, optionally, \$i, \$d, and \$z; or a briefer form that includes \$c (Original) and \$w	A
		\$i Display Text (NR)		Use 776 \$i rather than field 530 to describe the type of resource recorded in the 776 field, e.g., 776 08 \$i Print version: \$a ...	O
		\$a Author (NR)		Supply from source record 100/110/111	A
		\$c Qualifying Information		Supply only if 776 \$i is not used	A
		\$t Title (NR)		Supply from source record 245 \$a. Include \$n and \$p if applicable	A
		\$d Publication (NR)		Supply from source record 260 \$a \$b \$c	O
		\$z ISBN (R)		Supply from source record 020 \$a	O

MARC Record Guide for Monograph Aggregator Vendors, 2nd ed.

<b>M=Mandatory A=Mandatory if applicable O=Optional X=Do not use</b> <b>(R)=Repeatable (NR)=Not Repeatable</b>					
MARC Tag	Ind.	Position/ Description	Value	Vendor Action	M/A/O/X
<a href="#">776</a> (R) (cont.)		\$w Control Number(s) (R)		Supply from source record the OCLC number from field 001 and/or the LCCN from 010 \$a or \$b, correctly normalized See instructions at < <a href="http://www.oclc.org/bibformats/en/7xx/76x-78x.shtm">http://www.oclc.org/bibformats/en/7xx/76x-78x.shtm</a> > (scroll to the “Instructions for inputting the LCCN” under \$w Record control number)	A
<a href="#">800/810/811/830</a> (R)	[*][*]	Series Added Entry		Use the authorized form of the heading for the physical format when providing an added entry for a series that exists in physical format as well as online. For series that exist only online, use the authorized form of the online series. Do not use for package/provider series. Use the print ISSN rather than the online ISSN for series that exist in print as well as online. Append the \$x to the end of the field as the final subfield. <i>Example:</i> 830 #0 \$a Proceedings of SPIE—the International Society for Optical Engineering ; \$v v. 7719. \$x 0277-786X	A
<a href="#">856</a> (R)	4 0	Electronic Location and Access		Supply appropriate URLs; institution-specific customization may be required. Do not retain 856 fields from source record	M
		\$z Restrictions on Access Note		If desired by customer, use 856 \$z for restrictions on access information.	O
<a href="#">9XX</a> (R)		Local Information		Consult with customer	A

\* For <http://www.loc.gov/marc/bibliographic/ecbdhome.html> indicator use not shown in this chart, consult *MARC 21 Format for Bibliographic Data* at <<http://www.loc.gov/marc/bibliographic/>>. # = Blank.



**\*\* Source record encoding level equivalencies**

If Source record code value is “blank”, use “1” in new record

If Source record code value is “1”, use “1” in new record

If Source record code value is “2”, use “1” in new record

If Source record code value is “3”, use “3” in new record

If Source record code value is “4”, use “3” in new record

If Source record code value is “5”, use “7” in new record

If Source record code value is “7”, use “7” in new record

If Source record code value is “8”, use “1” in new record

If Source record code value is “I” (from OCLC record), use “1” in new record

If Source record code value is “J” (from OCLC record), use “7” in new record

If Source record code value is “K”(from OCLC record), use “7” in new record

If Source record code value is “L” (from OCLC record), use “1” in new record

If Source record code value is “M” (from OCLC record), use “7” in new record

**\*\*\* See the following OCLC Guidelines:**

**GUIDELINES FOR USE OF OCLC CONTROL NUMBERS**

The Vendor may do the following:

- Print the OCLC Control Number of a record associated with an item in print catalogs of library materials sold by the Vendor. If printed, it must be cited in one of the following forms:
  - OCLC#xxxxxx
  - OCLCxxxxxx
  - OCoLC#xxxxxx
  - OCoLCxxxxxx
  - (OCoLC)ocmxxxxxx
  - (OCoLC)xxxxxx

where xxxxx is the numeric component of the OCLC Control Number.

- Provide the OCLC Control Number associated with an item, cited in the same manner as noted above for print catalogs, in online catalogs.
- Provide a list of OCLC Control Numbers in a spreadsheet or in a similar consistent file to library customers for titles they purchase from that vendor.

**GUIDELINES FOR USE OF OCLC CONTROL NUMBERS (cont.)**

- Return the OCLC Control Number to OCLC in WorldCat Cataloging Partner manifests for exact matching purposes.
- Store the OCLC Control Number in internal Vendor database(s).
  - Add the OCLC Control Number to a MARC record in a field defined to contain local data (never the 001 field). It must be cited as: “(OCoLC)xxxxx” where xxxxx is the numeric component of the OCLC Control Number. Examples:
    - 590 (OCoLC)56789403
    - 945 \$c (OcoLC)61756948

The Vendor may not:

- Enter or add the OCLC Control Number to the 001 field in any MARC records.
- Sell the OCLC Control Numbers in list form or any other form to any party. The OCLC Control Number may be included in MARC records in a local field, as noted above, and those (non-OCLC) MARC records may be sold, but the Control Number in and of itself or in any compilation may not be sold.

If the Vendor wishes to use the OCLC Control Number in a manner not specifically allowed in this document, the Vendor must make a prior written request to OCLC. OCLC will respond in a timely manner to all such requests. Requests may be addressed to:

WorldCat Quality Management Division  
Attn: Cynthia M. Whitacre  
OCLC  
6565 Kilgour Place  
Dublin, Ohio 43017

## 5. Tips for Vendors

1. In leader byte 17, use Encoding Level “3, unless it is known that the record has been constructed according to AACR2. The value of “3” makes it clear to customers that the records are not full catalog records. The encoding level could also be used by customers to identify records for in-house upgrade.
2. In leader byte 18, use value “u” (descriptive catalog form unknown) unless it is known that AACR (Anglo-American Cataloguing Rules) has been used (in which case, use value “a”).
3. Consult with the customer to determine where information about access restrictions should be recorded locally. Variations exist in library practices and public catalog displays. Example: 856 \$z Access restricted to [Library XYZ]; authentication may be required \$u [URL].<http://.../>
4. Note that certain local fields (e.g., 506, 533), that are not appropriate for use by vendors, are used by libraries creating records for the Registry of Digital Masters or other digital preservation projects. These fields include a \$5 and the code of the institution that holds the copy to which the field applies.
5. Your U.S. library customers value MARC records that have headings (such as author’s names or subject terms) in a form that corresponds with the forms “established” by the Library of Congress. This will make the headings on your records consistent with the headings on records for other titles that a library may already have in its catalog. A good practice would be to either pre-process the bibliographic records by an authority control vendor (preferred) or to search the Library of Congress Authorities (freely available at <http://authorities.loc.gov>) for established headings. Examples of authority control vendors may be found at <http://www.loc.gov/marc/marcrcsvrs.html>.
6. It is preferable to provide a single record for a multi-volume set published as one unit (e.g., a multi-volume encyclopedia).
7. It is preferable to provide a single record for a multipart monograph that has individual volumes with both a common title and an individual title on each volume, but we realize this is not always possible. If you are providing a bibliographic record for an individual volume of a multipart monograph, and the individual volume lacks a distinctive title of its

own, add the volume designation after the common title using \$n (number of part) and \$p (name of part) in the form as it appears on the title page of the volume.

8. Although "bound together" titles may also be scanned together, it is preferable not to catalog them as a unit since such treatment would necessarily be copy-specific and/or vendor-specific and would cease to be provider-neutral. It is best to catalog each title as a separate provider-neutral record and not include 501 "with" note fields for the other titles. If possible, each record should include an 856 URL link to the specific title covered by the record rather than a link to the "bound/scanned together" unit as a whole. If the only available link is to the unit, use an 856 \$3 to indicate the position of the title within the scanned image. (This tip was added Feb. 2010).
9. It is preferable to provide a single serial record for a resource published annually, but we realize this is not always possible. If individual annual volumes are treated as monographs with the year (or volume number) as part of the title, e.g., 2005 Annual report on operations evaluation, it would be very useful for collocation purposes to add an additional title field dropping the year, e.g., Annual report on operations evaluation. In this way, past/future years will be retrieved together.
10. It is no longer a part of standard cataloging practice to include information about a specific aggregator/publisher in the 533 field.
11. Consult with the customer to include provision for a unique identifier for each record. This will make it easier for your library customers to load, update, or, if necessary, remove your records from their catalogs. Use your unique system-generated number in the 001 field, and, optionally, your organization code in field 003. An alternative would be to have your unique number in field 035, prefaced by your organization code.  
Examples:  
  
Option #1  
001 ASP1000026352  
003 VaAIASP  
  
Option #2  
035 (VaAIASP)ASP1000026352
12. For customers that subscribe to OCLC WorldCat Local, it is very desirable to include the OCLC control number for the e-resource. The number should be included in a local field (e.g., 035), prefaced by (OCoLC). For more information on using OCLC control numbers, see above \*\*\* [GUIDELINES FOR USE OF OCLC CONTROL NUMBERS](#).
13. It is useful to identify the original format record in the newly created record. The 776 field is used for this purpose.
14. A classification number is highly desirable because it is used in many online faceted

catalogs as a way to retrieve all resources with the same subject. LC call numbers consist of two parts: the “classification” number and the “book number”. The first portion represents the subject (and can be exactly the same for a large number of resources, thus acting as a collocation device. The second part (following \$b in MARC records or a period in printed sources) usually represents the author of the work and is used for shelving purposes in libraries. If the record is either derived from a physical format record, or needs to have a call number assigned, only the first portion of the call number—the classification number— needs to be recorded. It is certainly permissible, however, to leave the full call number in the new record.

15. If you need to assign a classification number, use tools such as *Classification Web* to provide a classification (“call”) number. Access to *Classification Web* can be leased from the Library of Congress Catalog Distribution Service for a specified amount of time; see <<http://www.loc.gov/cds/classweb/>>. If the record has an LC subject heading, use the LC Class/Subject Correlations Search feature in *Classification Web*, to find an appropriate classification. The Library of Congress catalog can be accessed for free at <<http://catalog.loc.gov/>> or via Z39.50 at <<http://www.loc.gov/z3950/gateway.html#lc>> .
16. In order to obtain records that can be modified to describe the titles in your aggregation, consider harvesting records from the Library of Congress catalog using either Z39.50 protocol, or arrange to purchase records from the Library of Congress Cataloging Distribution Service <<http://www.loc.gov/cds/>>
17. Vendors are encouraged to supply summaries (field 520) and tables of contents (field 505).

## 6. Templates

The following templates can be used to create new provider-neutral MARC records. The templates are only a rough guide to MARC record creation. For additional information, see *MARC 21 Format for Bibliographic Data* at <http://www.loc.gov/marc/bibliographic/>

### 6.1 Template for Born-Digital Record

Required fields (if available) are in **BLACK and BOLDFACE**, and fields that are strongly encouraged but not required are in **BLUE and are UNBOLDED**. Information in **RED and ITALICS** is taken from the source record for physical format version.

<b>n</b>	=	<b>system supplied</b>	<b>#</b>	=	<b>blank/undefined</b>
<b> </b>	=	<b>no attempt to code</b>	<b>_ or &lt; &gt;</b>	=	<b>provide appropriate value</b>

**Leader**    **nnnnn\_am\_ \_22nnnnn\_ \_#4500**

**001**        **<Control number>**

**003**        **<Vendor MARC 21 code (control number identifier)>**

**006**        **m#### |###d# |##### (For material other than document, replace “d” in 06/09 with the appropriate value)**

**007**        **cr# |n| | | | | | | |**

**008**        **nnnnn<type of date><date 1><date 2>< place of publication>**  
**| | | | | o | | | | | | | | # | | <language code> | d**

**020 ##**     **\$a <e-ISBN>**

**035 ##**     **\$a <(OCoLC)xxxxxx> (OCLC control number for the e-resource, if available)**

**040 ##**     **\$a <Vendor MARC 21 code> \$c <Vendor MARC 21 code>**

**041 ##**     **\$a <Language code> (use, if applicable, for translations and multilingual items)**

**043 ##**     **\$a <Geographic area code> (if applicable)**

**050 #4**     **\$a <Library of Congress classification number>**

**060 #4**     **\$a <National Library of Medicine classification number> (if applicable)**

**082 04**    **\$a <Dewey Decimal classification number>**

**086 ##**     **\$a <Government Document classification number> (if applicable)**

**1xx ##**     **\$a <Personal/Corporate/Meeting name>.**

**130 ##**     **\$a <Uniform title> (if applicable. Use only in record without 1xx name field).**

**240 10**    **\$a <Uniform title> (if applicable. Use only in record with 1xx name field).**

**245 ##**     **\$a <Main title> \$h [electronic resource] : \$b <remainder of title> / \$c <statement of responsibility>.**

**246 ##**     **\$a <Varying form of title>**

**246 1#**     **\$i Available from some providers with title: \$a <title>**

- 250 ## \$a <Edition statement> (if applicable).
- 260 ## \$a <Place of publication> : \$b <Name of publisher,> \$c <date of publication>.
- 300 ## \$a 1 online resource (<pagination, if available>) : \$b <ill.> (if applicable)
- 490 ## \$a <Series statement>
- 505 ## \$a <Contents note>.
- 520 ## \$a <Summary or abstract>.
- 588 ## \$a **Description based on online resource; title from <place>, (<where viewed, when viewed>).**
- 6xx #0 \$a <Subject added entry, as verified in the LC Name/Subject Authority File>.
- 655 ## \$a <Genre/form term. Assign the appropriate 2nd indicator for the thesaurus used (e.g., LC, Medical Subject Headings). If source not specified, use 2nd indicator "4">.
- 7xx ## \$a <Personal/Corporate/Meeting name + title, if applicable>.
- 8xx ## \$a <Series added entry from NAF>.
- 856 40 \$u<URL>

## 6.2 Template for Electronic Reproduction of Physical Format Version Record

Required fields (if available) are in **BLACK and BOLDFACE**, and fields that are strongly encouraged but not required are in **BLUE and are UNBOLDED**. Information in **RED and ITALICS** is taken from the source record for physical format version.

<b>n</b> = system supplied                    #           = blank/undefined <b> </b> = no attempt to code                _ or < > = provide appropriate value
--

- Leader    nnnnn am \_ \_22nnnnn\_ \_#4500
- 001       <Control number>
- 003       <Vendor MARC 21 code (control number identifier)>
- 006       m#### |###d# |##### (For material other than document, replace “d” in 06/09 with the appropriate value)
- 007       cr# |n | | | | | | | |
- 008       nnnnn<type of date><date 1><date 2> <place of publication> / | | | | | o | | | | | | | |  
          # | | <language code> | d
- 020 ##    \$a <e-ISBN> (if available)
- 020 ##    \$z <other ISBNs> (all ISBNs from the source record should be retained in 020 \$z. The first p-ISBN should also go to 776 \$z).
- 035 ##    \$a <(OCoLC)xxxxxx> (OCLC control number for the e-resource, if available)
- 040 ##    \$a <Vendor MARC 21 code> \$c <Vendor MARC 21 code>
- 041 ##    \$a <Language code> (use, if applicable, for translations and multilingual items)
- 043 ##    \$a <Geographic area code> (if applicable)
- 050 #4    \$a <Library of Congress classification number>
- 060 #4    \$a <National Library of Medicine classification number> (if applicable)
- 082 04    \$a <Dewey Decimal classification number>

- 086 ## \$a <*Government Document classification number*> (if applicable)
- 1xx ## \$a <*Personal/Corporate/Meeting name*>.
- 130 ## \$a <*Uniform title*> (if applicable. Use only in record without 1xx name field).
- 240 10 \$a <*Uniform title*>(if applicable. Use only in record with 1xx name field).
- 245 ## \$a <*Main title*> \$h [electronic resource] : \$b <*remainder of title*> / \$c <*statement of responsibility*>.
- 246 ## \$a <*Varying form of title*>
- 246 1# \$i Available from some providers with title: \$a <title>
- 250 ## \$a <*Edition statement*> (if applicable)>.
- 260 ## \$a <*Place of publication*> : \$b <*Name of publisher*>, \$c <*date of publication*>.
- 300 ## \$a 1 online resource (<*pagination, if available*>) : \$b <*ill.*> (if applicable)
- 490 ## \$a <*Series statement*>
- 505 ## \$a <*Contents note*>.
- 520 ## \$a <*Summary or abstract*>.
- 588 ## \$a Description based on print <or other format> version record
- 6xx #0 \$a <*Subject added entry, as verified in the LC Name/Subject Authority File*>.
- 655 ## \$a <Genre/form term. Assign the appropriate 2nd indicator for the thesaurus used (e.g., LC, Medical Subject Headings). If source not specified, use 2nd indicator "4".  
*Term can be taken from source record unless it is format-specific*>.
- 7xx ## \$a <*Personal/Corporate/Meeting name + title, if applicable*>.
- 776 08 **OPTION #1:** \$i Print <or other format> version: \$a <Name.>. \$t <Title> \$d <Place : publisher, date of publication> \$z <ISBN>\$w <(MARC 21 organization code) Record control number>
- 776 1# **OPTION #2:** \$c (Original) \$w <(MARC 21 organization code) Record control number>
- 8xx ## \$a <*Series added entry from NAF*>.
- 856 40 \$u <URL>



## 7. Example

E-Monograph with pre-existing print record

```

Leader  00912nam##22002413i#4500
001     ASP1000026352
003     VaAIASP
005     20090602181338.0
006     m####|###d#|#####
007     cr#|n| || || || || ||
008     820522s1981####idu| || || |o| || || |000#0#| |eng|d
020 ##  $z 0916272176
035 ##  $a (OCoLC)304154526
040 ##  $a VaAIASP $c VaAIASP
050 #4  $a PS3568.O5644
082 04  $a 811/.54 $2 19
100 1#  $a Romero, Leo.
245 10  $a Agua Negra $h[electronic resource] / $c by Leo Romero.
260 ##  $a Boise, Idaho : $b Ahsahta Press, $c c1981.
300 ##  $a 1 online resource (iv, 42 p.) : $b ill.
776 ##  $a Description based on print version record.
776 08  $i Print version: $a Romero, Leo. $t Agua Negra. $d Boise, Idaho : Ahsahta Press,
        c1981 $z 0916272176 $w(DLC) 81068459 $w(OCoLC)8145362
* 793 0#  $a Alexander Street Press. $p Latino literature online monographs.
856 40  $u http://www.aspresolver.com/aspresolver.asp?LAFI;1000026352 $z Latino
        literature via Alexander Street Press. Restricted to [institution]
    
```

\* Tag for locally designated package name, if desired, to be determined by the vendor and the customer