

Cataloging Archival Materials

Elliot Williams

OLAC 2020
October 14, 2020



Image source: [NARA](#)

Agenda

1. Basics of archival description
 - a) Crash-course in archival theory
 - b) Understanding finding aids
 - c) DACS & EAD
2. MARC records for archival collections
 - a) Why we make them
 - b) Specific fields and guidelines
3. Practice exercise

Poll!

How comfortable do you feel working with archival collections?

How much experience do you have creating MARC records for archival materials?



Image source: [University of Michigan](#)

DACS Statement of Principles

1. Archival description expresses professional ethics and values.
2. Users are the fundamental reason for archival description.
3. Because archival description privileges intellectual content in context, descriptive rules apply equally to all records, regardless of format or carrier type.
4. Records, agents, activities, and the relationship between them are the four fundamental concepts that constitute archival description.
5. Archival description must be clear about what archivists know, what they don't know, and how they know it.
6. Archivists must document and make discoverable the actions they take on records.
7. Archival description is accessible.
8. Archival description should be easy to use, re-use, and share.
9. Each collection within a repository must have an archival description.
10. Archivists must have a user-driven reason to enhance existing archival description.
11. Archival description is a continuous intellectual endeavor.

https://saa-ts-dacs.github.io/dacs/04_statement_of_principles.html

Context is everything.

“Good archival description cannot just depict the physical and intellectual characteristics of documents. It must communicate how the accumulation of documents in a collection represents and provides evidence of the major functions of an organization or individual.” (DACS, Statement of Principles)

Collective, hierarchical description

collective description

n.

1. A technique of cataloging related items as a unified whole in a single record.

Notes

Collective description is distinguished from item-level description, which attempts to describe materials individually. Given the size of archival collections, item-level description is impractical except for the most important materials. Collective description proceeds from the general to the specific, starting with the collection as a whole, then describing groups and subgroups, series and subseries, and sometimes folders within the collection.

Iterative, flexible

- Archival descriptions are often updated over time, and may go through multiple levels of detail and granularity.
- More Product, Less Process (MPLP) - Greene & Meissner (2005)
- DACS levels of description: minimum, optimum, added value
- How do we keep archival descriptions and MARC records in sync?

Finding Aids

- Finding aid, collection guide, inventory...
- Helps users discover and navigate collections
- Describes the content and the organization of the collection
- Again, hierarchical - always include collection-level description, but may get more granular

Let's look at a finding aid!

C.O.P.S./Metro Alliance Records, 1954-2015

<https://legacy.lib.utexas.edu/taro/utsa/00283/utsa-00283.html>



Image source: [UTSA](#)

Encoded Archival Description (EAD)

“Encoded Archival Description (EAD) is the international metadata transmission standard for hierarchical descriptions of archival records.”

([EAD tag library](#))



Image source: [NARA](#)

```
<origination label="Creators:">
  <corpname encodinganalog="110">Communities Organized for Public
    Service (San Antonio, Tex.)</corpname>and
  <corpname encodinganalog="110">Metro Alliance (San Antonio,
    Tex.)</corpname>
</origination>
<unittitle encodinganalog="245" label="Title:">C.O.P.S./Metro Alliance
  Records</unittitle>
<unitdate type="inclusive" encodinganalog="245$f" label="Dates:"
  normal="1954/2015">1954-2015</unitdate>
<langmaterial label="Language:">Materials are in<language
  langcode="eng">English.</language></langmaterial>
```

DACS Required elements

Single-level Minimum required elements:

- Reference Code
- Name and Location of Repository
- Title
- Date
- Extent
- Name of Creator(s) (*if known*)
- Scope and Content
- Conditions Governing Access
- Languages and Scripts of the Material

Single-level Optimum elements:

- Administrative/Biographical History
- Access points (Names, Places, Subjects, Documentary forms, Occupations, Functions)

10-minute break...



Image Source: [University of Wisconsin](#)

Why create MARC records for archival collections?

- Discovery in library catalogs and discovery layers
- Inclusion in WorldCat and ArchiveGrid
- Archival discovery at scale is still a challenge
 - But that is changing!
- If your institution doesn't have a separate archival management/discovery system

But... The relationship can be complicated.

- Surrogate of a surrogate
 - Archival collection > Finding aid > MARC record
- Archival collections and archival descriptions change over time.
 - How can we make MARC records that will stay accurate over time?

RDA or DACS?

Before creating a record, need to decide what cataloging rules you will follow.

Both RDA or DACS could be used. RDA includes rules that cover needs of archival materials (at least ostensibly). RDA rules were originally developed to be compatible with DACS.

However, DACS is more likely to be used as the standard for finding aids, and if you were working from a finding aid, it makes sense to follow DACS.

Even if following DACS, can refer to RDA for things like formulating names, etc.

Leader & Fixed Fields

<i>MARC Field/Position</i>	<i>OCLC Field</i>	<i>Value</i>	<i>Notes</i>
LDR/06 Type	Type	p - Mixed materials	“[S]ignificant materials in two or more forms that are usually related by virtue of their having been accumulated by or about a person or body”
LDR/07 Bibliographic Level	BLvl	c - Collection	“Made-up multipart group of items that were not originally published, distributed, or produced together.”
LDR/08 Type of control	Ctrl	a - Archival	“described according to archival descriptive rules, which focus on the contextual relationships between items and on their provenance”
LDR/18 Descriptive cataloging form	Desc	i - ISBD punctuation	Whether cataloging according to RDA or DACS, use code “i” if including ISBD punctuation

Leader & Fixed Fields

<i>MARC Field/Position</i>	<i>OCLC Field</i>	<i>Value</i>	<i>Notes</i>
008/06 Type of Date	DtST	i - Inclusive dates <i>or</i> k - Bulk dates	If you know the complete date range of the collection, use code “i”; if only bulk dates are known, use code “k”.
008/07-14 Date 1 and Date 2	Date 1 and Date 2	Dates of collection	Enter either the inclusive or bulk dates of the collection. If the collection covers only one year, enter it as both Date 1 and Date 2. (You’ll use these dates again in the record!)
008/15-17 Place of publication	Ctry	Country/state code of repository	Reflects the location of the <i>repository where the collection is housed</i> , not where the materials were created or assembled
008/23 Form of item	Form		Use if the materials are reproductions or online
008/35-37	Lang	Language code	Use the predominant language of the materials

04X and 09X

- Use 04X fields the same as you would for other materials:
 - 040 Cataloging source - include your institution code, language of cataloging, and description conventions (*\$e dacs* or *\$e rda*)
 - 041 Language code - not unusual to include multiple *\$a* entries
 - 043 Geographic area code
- 090/099 Local call number
 - Largely a matter of local practice.
 - Some institutions apply LC classification numbers, often for use in a discovery system.
 - Some institutions use local collection codes as call numbers.
 - Reference Code is a required minimum-level element in DACS.

1XX: Creator(s)

MARC Field	1XX, 7XX
EAD equivalent	<origination> Sub-elements: <persname>, <famname>, <corpname>
DACS equivalent	2.6 Name of Creator(s)

- Could be the entity who created the records or the entity who collected/compiled the collection
 - Use appropriate relator term in \$e: \$e creator / \$e compiler
- Not uncommon for collections to have more than one creator: if one primary creator, put that in 1XX and others in 7XX. If equal creators, put all in 7XX.
 - Archival description doesn't have main entry/added entry distinction
- For artificial collections, some institutions use repository name as creator
- Use all standard indicators, subfields, and authorized form of names

245: Collection Title

MARC Field	245
EAD equivalent	<unittitle> (including <unitdate> sub-element)
DACS equivalent	2.3 Title, 2.4 Date

- Very frequently a devised title, “normally consisting of a name segment, a term indicating the nature of the unit being described, and optionally a topical segment” (DACs)
 - Do not put devised titles in brackets
- Titles often include dates of the materials
 - \$f for inclusive dates
 - \$g for bulk dates
- Use standard indicators and subfields (in my experience, subfields other than \$a, f, and g are rare)

264: Production dates

MARC Field	264 _0 \$c
EAD equivalent	<unittitle><unitdate>
DACS equivalent	2.4 Date

- Not everyone repeats the date in 264; I think it is useful for handling of records by discovery systems
- Second indicator 0 for “production”
- Record inclusive dates (bulk dates can be indicated elsewhere in the record)
- Only use \$c

300: Physical Description/Extent

MARC Field	300
EAD equivalent	<physdesc>, <physdescstructured> (and associated sub-elements)
DACS equivalent	2.5 Extent

- Typically takes the form of “a number (quantity) and an expression of the extent or material type” (DACs). Examples:
 - 45 linear feet
 - 1 linear foot (1 record carton)
 - 12 audiocassettes
- Two options for subfielding:
 - *Put everything in \$a*: 300 __ \$a 45 linear feet
 - *Put the number of units in \$a and the type of unit in \$f*: 300 __ \$a 45 \$f linear feet

33X: Content, Media, Carrier

MARC Field	336, 337, 338
EAD equivalent	<i>none</i>
DACS equivalent	<i>none</i>

- No real consensus on whether to include 33X fields in DACS-coded MARC records. I tend to include them, in part because our ILS will throw errors if they aren't there.
- Often have multiple materials types and formats in one collection, so frequently have to repeat one or more of the 33X fields

520: Scope and Content note

MARC Field	520 2_
EAD equivalent	<scopecontent>, <abstract>
DACS equivalent	3.1 Scope and Content

- One of the most important fields in archival description, “provides information about the nature of the materials and activities [...] to enable users to judge its potential relevance” (DACS)
- Often need to abbreviate the full scope and content note. Focus on the information that will help users discovery the collection and assess if they want to look into it further.
- First indicator 2 indicates specifically that it is a scope and content note. First indicator 3 can be used for an abstract.
- Some institutions put a high-level summary in \$a, and then the rest of the note in \$b. I don't see a lot of utility in that, unless you system handles the two subfields differently.

520: Scope and Content note

MARC Field	520 2_
EAD equivalent	<scopecontent>, <abstract>
DACS equivalent	3.1 Scope and Content

- If you have to create a scope and content note, focus on these things:
 - Functions, activities, occupations that generated the records and are document in them
 - Form(s) of records included (i.e. what kind of materials are there)
 - Highlights of topics covered or particular research strengths
 - Especially noteworthy items or people represented in the collection, other than the creator

545: Biographical or historical data

MARC Field	545
EAD equivalent	<bioghist>
DACS equivalent	2.7 Administrative/Biographical History; Chapter 11 Description of the Personal, Family, or Corporate Body

- Another of the big fields in archival description, it provides information about the creators/collectors of the material to provide context about the records.
- Should reflect the entities listed as creators of the collection in 1XX and 7XX
 - <bioghist> is repeatable, as is 545
- First indicator can be 0 for “Biographical sketch” (used for persons or families), 1 for “Administrative history” (used for corporate bodies), or blank for “No information provided”
- As with 520, can be separated into \$a and \$b, if desired

545: Biographical or historical data

MARC Field	545
EAD equivalent	<bioghist>
DACS equivalent	2.7 Administrative/Biographical History; Chapter 11 Description of the Personal, Family, or Corporate Body

- Includes general information about the person, family, or corporate body being described, but should focus on the activities and relationships reflected in the records.
- Think about it in relationship to the Scope and Content note: the two should complement each other to give the collection its appropriate context

555: Finding aid note

MARC Field	555
EAD equivalent	<i>none</i>
DACS equivalent	<i>none</i>

- Indicates the presence of a finding aid (or other type of index or collection guide)
- Can include a link to the finding aid in \$u
 - Should also be included in an 856
- First indicator will usually be 0 for “Finding Aids”, but can also be blank for “Indexes” or 8 for no display constant
- You can (and should, when appropriate) say more than “Finding aid is available.”
 - This would be an appropriate place to indicate that the finding aid includes more complete description than that MARC record.

506 and 540: Restrictions on use and access

MARC Field	506, 540
EAD equivalent	<accessrestrict>, <userrestrict>
DACS equivalent	Chapter 4, Conditions of Access and Use

- 506 is about accessing records; 540 is about what users can do with the materials (e.g. publication, duplication, copyright, etc.).
- Many institutions will also use them to explicitly state that a collection is open for research and/or has no use restrictions.
- Particularly for AV materials and born-digital materials, can be used to indicate if any specialized equipment or software is required to view the materials, and whether those are available in the reading room.
- Can be used to indicate if materials are housed off-site and require advance notice to access
 - But remember that that information may change

Other 5XX notes...

Lots of other 5XX notes may be appropriate:

- 500 General note
- 510 Citation/References
- 524 Preferred Citation
- 530 Additional Physical Form Available
- 538 System Details
- 541 Immediate Source of Acquisition
- 544 Location of Other Archival Materials
- 546 Language
- 561 Ownership and Custodial History
- 583 Action
- 584 Accumulation and Frequency of Use
- *Potentially others...*

6XX: Subjects

MARC Field	600, 610, 611, 630, 650, 651
EAD equivalent	<controlaccess> Sub-elements: <persname>, <corpname>, <famname>, <title>, <geogname>, <subject>
DACS equivalent	<i>none</i>

- Generally, handled the same way as for other resource types
- Subject analysis should line up with Scope & Content note
- Think intentionally about subdivisions. Some may be more appropriate in one setting than others.
 - \$v Sources
 - \$v Archives
 - \$x History

655: Genre

MARC Field	655
EAD equivalent	<controlaccess><genreform>
DACS equivalent	2.5 Extent (kind of)

- Much more extensively used for archives than for some other resources we catalog
 - It isn't uncommon to see a long list of genre/form terms
- Use the standard indicators and subfields to indicate what vocabulary the term comes from
 - I typically use AAT, TGM, and sometimes LCGFT

710: Repository

MARC Field	710
EAD equivalent	<repository>
DACS equivalent	2.2 Name and Location of Repository

- In addition to other uses of 7XX fields (i.e. additional creators), 710 is a good place to explicitly state the archival repository who holds the collection.
- Often implicitly stated in archival finding aids, but important to make clear in the context of a MARC record
- Use \$e host institution

856: Link to online finding aid

MARC Field	856 42
EAD equivalent	<eadid @url> (<i>EAD2002</i>) or <recordid @instanceurl> (<i>EAD3</i>)
DACS equivalent	<i>none</i>

- If there is an online finding aid, make sure to include the link in 856!
- \$z, \$y or \$3 are usually used for the link text; what that text is varies - I use "Finding aid"
- Can also include 856 fields for other, related resources (such as digital collections, custom websites for prominent collections, etc.)
- Use standard indicators and subfields

Example record

Mixed Materials	Rec stat	n	Entered	20201005	Replaced	20201005			
Type	p	ELvl	l	Srcd	d	Ctrl	a	Lang	eng
BLvl	c	Form				MRec		Ctry	txu
Desc	i			DtSt	i	Dates	1930	.	2008

040 __ \$a FQG \$b eng \$e dacs \$c FQG

099 __ \$a CAH-03313

100 1_ \$a Bernstein, Dorothy Lewis, \$d 1914- \$e creator

245 00 \$a Dorothy L. Bernstein Papers, \$f 1930-2008

264 _0 \$c 1930-2008

300 __ \$a 2.83 linear feet \$a (6 boxes)

506 __ This collection is open for research.

520 2_ \$a The Dorothy L. Bernstein Papers document Bernstein's professional and personal life, including her roles as a mathematician, professor, and officer in mathematical organizations. The collection is divided into two series: Professional and Personal.

545 0_ \$a Dorothy Lewis Bernstein (1914-1988) was an American mathematician and president of the Mathematical Association of American (MAA). Her professional interests included analysis, probability and statistics, and the use of computers for mathematics education.

555 __ \$a Finding aid is available, and contains a complete and up-to-date description of the collection: \$u <https://legacy.lib.utexas.edu/taro/utcah/03313/cah-03313.html>

710 2_ \$a Dolph Briscoe Center for American History, \$e host institution

856 42 \$z Finding aid \$u <https://legacy.lib.utexas.edu/taro/utcah/03313/cah-03313.html>

Exercise!

Create a MARC record for the C.O.P.S./Metro Alliance Records, 1954-2009.

- Finding aid: <https://legacy.lib.utexas.edu/taro/utsa/00283/utsa-00283.html>

Think about the fields we've talked about today - but if there are other fields that you think are useful or relevant, please include them!

10 minutes for the exercise, then we'll come back together to discuss.

Exercise - Example record (1/4)

Mixed Materials	Rec stat	n	Entered	20201005	Replaced	20201005195923.53			
Type	p	ELvl	i	Srcd	d	Ctrl	a	Lang	eng
BLvl	c	Form		MRec		Ctry	txu		
Desc	i			DtSt	i	Dates	1954	,	2015

040 __ \$a FQG \$b eng \$e dacs \$c FQG

043 __ \$a n-us-fl

099 __ \$a MS 346

110 2_ \$a Communities Organized for Public Service (San Antonio, Tex.), \$e creator

245 00 \$a C.O.P.S./Metro Alliance Records, \$f 1954-2015

264 _0 \$c 1954-2015

300 __ \$a 124 linear feet \$a (124 boxes)

336 __ \$a text \$b txt \$2 rdacontent

337 __ \$a unmediated \$b n \$2 rdamedia

338 __ \$a sheet \$b nb \$2 rdacarrier

Exercise - Example record (2/4)

- 506 __ \$a This collection is housed at UTSA's Main Campus and must be accessed via the John Peace Library Special Collections reading room, and must be requested in advance. Original audiovisual materials cannot be handled directly by patrons. Please contact Special Collections to request access to these materials, which may require the creation of digital copies. Two folders in Accession 2016-041 require Archivist review prior to patron use.
- 520 2_ \$a The C.O.P.S./Metro Alliance Records contain correspondence, meeting minutes, press releases, publications, budgets, reports, program and project files, news clippings, artifacts, ephemera and audiovisual materials as well as assorted administrative materials. The collection is arranged in six series: Administration, Program Files, Project Files, Member Organizations, News Clippings, and Artifacts and Ephemera.
- 540 __ \$a The researcher assumes full responsibility for observing all copyright, property, and libel laws as they apply.

Exercise - Example record (3/4)

545 1_ \$\$a Communities Organized for Public Service (COPS) is an organization of 26 parishes in the predominantly Hispanic, low-income West Side and South Side of San Antonio. Founded in 1974, it is the oldest of the Interfaith Area Foundation (IAF) organizations in Texas and, indeed, in the entire national network. The Metro Alliance, which shares office space and many resources with C.O.P.S., formed in 1989 through a merger of the East Side Alliance, composed of African American and Hispanic low- and lower-middle income churches, and the Metropolitan Congregational Alliance.

546 __ \$a Materials are in English.

555 0_ \$a Finding aid is available, and contains most current description of collection: \$u <https://legacy.lib.utexas.edu/taro/utsa/00283/utsa-00283.html>

610 20 \$a Communities Organized for Public Service (San Antonio, Tex.)

610 20 \$a Metro Alliance (San Antonio, Tex.)

651 _0 \$a San Antonio (Tex.). \$x Economic conditions.

651 _0 \$a San Antonio (Tex.). \$x Politics and government.

Exercise - Example record (4/4)

650 _0 \$a Citizens' associations \$z Texas \$z San Antonio.

650 _0 \$a Community development \$z Texas \$z San Antonio.

650 _0 \$a Mexican Americans \$z Texas \$z San Antonio.

650 _0 \$a Mexican Americans \$x Politics and government.

655 _7 \$a Clippings (information artifacts) \$2 aat

655 _7 \$a Directories \$2 aat

655 _7 \$a Office files \$2 aat

655 _7 \$a Programs (documents) \$2 aat

655 _7 \$a Clippings (information artifacts) \$2 aat

655 _7 \$a Reports \$2 aat

710 2_ \$a Metro Alliance (San Antonio, Tex.), \$e creator

710 2_ \$a University of Texas at San Antonio. \$b Libraries, \$e host institution

856 42 \$z Finding aid \$u <https://legacy.lib.utexas.edu/taro/utsa/00283/utsa-00283.html>

856 42 \$z Digital collection \$u <https://digital.utsa.edu/digital/collection/p16018coll5/search>

Questions? Comments? Ideas?



Image Source: [Florida State University](#)

Thank you!

edwilliams@miami.edu