AMNH Research Library
Minimal-level cataloging guidelines
Revised 1-12-2013

Background
In February 2011, the American Museum of Natural History (AMNH) began two grant-funded efforts to create catalog records and collect risk assessment data for library and archive collections under the Museum’s Science divisions. The projects have been funded by the Council on Library and Information Resources (CLIR) and the Institute of Museum and Library Services (IMLS).

The CLIR-funded Cataloging Hidden Collections project will produce nearly 1,400 catalog records from data that has been gathered in a systematic fashion for four major archival groups held in the AMNH Research Library:
- Manuscript collections (MSS)
- Department records (DR)
- Photographic prints (PPC)
- Photographic slides (PSC)

Project Archivist Iris Lee manages teams of interns to create catalog records for the collections and develops a process for converting and batch-loading Machine-Readable Catalog (MARC) records from spreadsheets. Finding aids for 20 collections will also be created and made available online in Encoded Archival Description (EAD).

The IMLS-funded Science Department Archives and Library Risk Assessment project is the third phase of a comprehensive Museum-wide risk assessment program. In its first year of funding, this project analyzed the risks for the specimen and artifact collections in the Science Departments and, in its second year, the risks for the science collections on permanent exhibit. In this third phase, Becca Morgan, Project Archivist, manages teams of interns to create catalog records for the archives in the Science Departments and gather risk assessment data for both libraries and archives under Science:
- Anthropology
- Conservation
- Earth and Planetary Sciences
- Herpetology
- Ichthyology
- Invertebrate Zoology, Entomology
- Invertebrate Paleontology
- Mammalogy
- Ornithology
- Paleontology
- Registrar
- Research Library

The same cataloging process proposed for the Library Cataloging Hidden Collections (CLIR) grant was proposed, and is being used for the initial data gathering for the Science Department Risk Assessment (IMLS) grant resulting in minimal catalog records for those collections as well. Project Archivist Becca Morgan manages teams of interns in cataloging and assessing risk to archival collections in the Science Departments.

Though the projects are managed discretely, the process of gathering data is co-managed by the two project archivists. Student interns work in teams of two to gather the descriptive data and the data to be used for the risk assessment.

When the projects are completed:
- Any textual and photographic archive collections held in the AMNH, whether in the Science Department Archives or the Research Library, will be found by searching the Library Catalog, the OCLC bibliographic network (WorldCat) or by directly searching the web; in addition, records for Field Notebooks in the AMNH Archives, again regardless of location, may be added to the Field Book Registry presently being developed and hosted by Smithsonian Institution Archives.
- Risks will be assessed for all the archival collections, in the Science Departments and in the Research Library, finalizing the comprehensive Museum-wide risk assessment.
Creating minimal level catalog records

We are cataloging a large number of archival collections museum-wide, sometimes over hundreds in a single location. To record them all in a strategic and efficient manner, interns work in teams of two gathering data in Excel spreadsheets with data fields mapped to MARC fields. Our goal is to create minimal-level catalog records to provide a single point of access for all the archival collections in the Museum through the Library online catalog, OCLC and, ultimately, on the web.

Describing Archives: a Content Standard (DACS) defines a single-level minimum record as having the following:
- Reference Code Element (2.1) i.e., Call number
- Name and Location of Repository Element (2.2)
- Title Element (2.3)
- Date Element (2.4)
- Extent Element (2.5)
- Name of Creator(s) Element (2.6)
- Scope and Content Element (3.1)
- Conditions Governing Access Element (4.1)
- Language and Scripts of the Material Element (4.5)

Additional data fields are available in the spreadsheet, but they are not required. A fuller description will facilitate better discovery, but please keep in mind that we want to meet our goals for the projects and not get too lost in the details. However recording additional access points (e.g., subjects and contributors) is highly encouraged especially if they are easily identified.

How do these spreadsheet records become MARC records?
The spreadsheet information is batch-converted into MARC records using an open-source program, MarcEdit, then uploaded to OCLC and Innovative Millenium using OCLC Connexion. MARC records are also imported into Archivists’ Toolkit where they can be exported as EAD-encoded finding aids. Once the catalog records are in Archivists’ Toolkit they can easily be developed into full finding aids with container lists and contextual notes. To see detailed instructions for batching records, please see MARC Conversion Guidelines.

This document provides examples of information coded in MARC. At the data gathering stage, it is not necessary to include subfields. Some subfields are added while doing authority work and others are added when preparing the spreadsheet for batching. Most of the subfields and all indicator codes are generated by MarcEdit, but certain fields require manual subfield entry because it is not possible to automate. MARC 541 is an example of a field where subfields must be inserted into the text:

541 __ $d1995 accession,$ctransferred from$aEducation Department.
541 __ $cDonated by$aDr. Jerome G. Rozen, Jr.

There are not many fields like the one above and most content can be converted using MarcEdit.

The Process
This is a 3-step process:
- Gathering data in a spreadsheet
- Preparing the data for MARC conversion
- Processing data into MARC records

Each stage requires quality control and review and/or reconfiguration of the data:
- Gathering stage
  - Authority work
  - Review of data with supervisors, Head of Special Collections and Head of Cataloging
- Preparing stage
  - Reconfigure spreadsheet to create 1:1 map of spreadsheet columns to MARC fields
- Processing stage
  - Create multiple line entries for repeatable fields
  - Add 008 and 015 leader information
  - Final review of subfields, indicator codes and punctuation before uploading into catalog
This document supports the data gathering stage and gives examples of MARC configurations. Spreadsheet reconfiguration should be performed or supervised by the Project Archivists. Instructions for preparing spreadsheets will be included in the batching document, *MARC Conversion Guidelines*.

**Field-by-field guideline**

(R) = repeatable, (NR) = non-repeatable

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>099</td>
<td>*Call Number (NR)</td>
<td>Page 5</td>
</tr>
<tr>
<td>1xx</td>
<td>*Creator (NR)</td>
<td>Page 6-7</td>
</tr>
<tr>
<td>245</td>
<td>*Title (NR)</td>
<td>Page 7-8</td>
</tr>
<tr>
<td>245 $f</td>
<td>*Date Inclusive (NR)</td>
<td>Page 7-8</td>
</tr>
<tr>
<td>245 $g</td>
<td>Date Bulk (NR)</td>
<td>Page 7-8</td>
</tr>
<tr>
<td>246</td>
<td>Varying Form of Title (R)</td>
<td>Page 8</td>
</tr>
<tr>
<td>520</td>
<td>*Summary (R)</td>
<td>Page 9</td>
</tr>
<tr>
<td>300</td>
<td>*Physical Description (R)</td>
<td>Page 10</td>
</tr>
<tr>
<td>351</td>
<td>Arrangement (R)</td>
<td>Page 11-12</td>
</tr>
<tr>
<td>500</td>
<td>Notes (R)</td>
<td>Page 11-12</td>
</tr>
<tr>
<td>541</td>
<td>Immediate Source of Acquisition (R)</td>
<td>Page 13</td>
</tr>
<tr>
<td>544</td>
<td>Related Archival Materials (R)</td>
<td>Page 13</td>
</tr>
<tr>
<td>583</td>
<td>Condition (R)</td>
<td>Page 14-15</td>
</tr>
<tr>
<td>583</td>
<td>Action Note (Conservation) (R)</td>
<td>Page 14-15</td>
</tr>
<tr>
<td>65x</td>
<td>*Subject—Topical, Geographic Name (R)</td>
<td>Page 16-17</td>
</tr>
<tr>
<td>690</td>
<td>*Subject—Local Topical Term (R)</td>
<td>Page 17</td>
</tr>
<tr>
<td>6xx</td>
<td>Subject—Person, Corporation, Meeting (R)</td>
<td>Page 15-16</td>
</tr>
<tr>
<td>7xx</td>
<td>Contributor (R)</td>
<td>Page 18-19</td>
</tr>
<tr>
<td>555</td>
<td>Finding Aid (R)</td>
<td>Page 19</td>
</tr>
<tr>
<td>506</td>
<td>*†Restrictions on Access Note (R)</td>
<td>Page 19</td>
</tr>
<tr>
<td>852</td>
<td>*†Location (R)</td>
<td>Page 19</td>
</tr>
<tr>
<td>949</td>
<td>*†Local Processing Information (R)</td>
<td>Page 19</td>
</tr>
</tbody>
</table>

*Required
†Added to spreadsheet after data gathering.

This is a field-by-field guideline for data input in our cataloging spreadsheets. Each field has an equivalent MARC field or subfield which is indicated in a header on the spreadsheet. Specific instructions for providing information for the different fields can be found using the table above. Examples are provided along with MARC-encoded counterparts. Data gathering teams are not expected to include MARC codes, but they are illustrated here to demonstrate how the information is displayed in MARC.

This guideline is set up to define each unique field to provide some detailed explanations and examples. The spreadsheet may not include all the fields described in this manual. Some fields have been combined to streamline record-taking. Creator, Subjects, Contributors are examples of fields that are combined on the spreadsheet as 1xx, 65x/6xx, and 7xx respectively. On the other hand, the Title Statement is divided into three distinct fields in the spreadsheet to capture the subfields Inclusive Dates and Bulk Dates in different columns. The spreadsheet is designed to allow for the most efficient way of gathering data while working through a large number of collections in the stacks or on location in the Science Departments.


General notes:
Please separate multiple entries with a “>>” (two right arrowheads). This delimiter will be used to indicate a new line entry, rather than creating multiple columns of data.

**Example:** 300 Physical Description | 2 boxes (1 linear foot) >> 15 negatives >> 1 map
Authority work can be done after the data has been captured from the materials. When copying MARC authorities from the OPAC or Library of Congress (LoC), leave the subfields in place. For more information on authority work, see Authority procedures.

Example: Carter, T. Donald|q(Thomas Donald), d1893-1972.

If an authority cannot be found, please indicate them as “uncontrolled”.

Example: Stone, Byron S. (uncontrolled)

The information provided here has been customized and edited for use with the AMNH Library practices. For complete definitions of MARC fields, see OCLC Bibliographic Formats and Standards (http://www.oclc.org/bibformats/en/) and Library of Congress MARC 21 for Bibliographic data (http://www.loc.gov/marc/bibliographic/).

As this is a working document, revisions and enhancements will be made over the course of the project. If you have any suggestions or requests for clarification, please email Iris Lee at llee@amnh.org.
**Call Number**

099 Local Free-Text Call Number (NR)

**REQUIRED**

<table>
<thead>
<tr>
<th>Call number assigned to collection.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Examples</strong></td>
</tr>
<tr>
<td>MSS .C375</td>
</tr>
<tr>
<td>DR 001</td>
</tr>
<tr>
<td>DR 002-004</td>
</tr>
</tbody>
</table>

**MARC indicators**

1st Indicator: blank
2nd Indicator: blank

**MARC subfields**

$a Classification Number (NR)

**MARC Examples**

099 __ $aMSS$a.C375
099 __ $aDR$a001
099 __ $aDR$a002-004

The call number is a unique identifier assigned to an archival collection. Data sets cataloged for the CLIR grant use a prefix plus cutter numbers or sequential numbers:

- Manuscripts – MSS + cutter number
- Department Records – DR + sequential number
- Photographic Print Collection – PPC + cutter number
- Photographic Slide Collection – PSC + sequential number

Call numbers using cutters are formed by using the prefix followed by a period and the cutter number. Sequential numbers are not divided by a period.

Occasionally collections overlap in content and purpose. Rather than creating individual records, they are cataloged as a single collection with a call number such as DR 002-004, which contains DR 002, DR 003, and DR 004.

On the other hand, collections may need to be broken down into more discrete units to effectively catalog the material. In this case sequential numbers may be followed by a suffix, such as DR 001A, DR 001B, etc. Ideally the collections that share the same base number are related to one another. Suffixes are added when the next numeric call number is not available. Please consult with your supervisor before making decisions to combine or separate collections.
### Creator: Personal Name

**100 Main Entry – Personal Name (NR)**

**REQUIRED – main entry can be 100, 110, 111, or Title (as main entry)**

Person responsible for the creation of the collection.

<table>
<thead>
<tr>
<th>Examples</th>
<th>MARC indicators</th>
<th>MARC subfields</th>
<th>MARC Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reeds, Chester A. (Chester Albert), b. 1882.</td>
<td>1st Indicator: 0=Forename, 1=Surname, 3=Family Name</td>
<td>$a Personal name (NR)</td>
<td>100 1_ $aReeds, Chester A.$q(Chester Albert),$db. 1882.</td>
</tr>
<tr>
<td>Dyer, Walter Gurnee, photographer.</td>
<td>2nd Indicator: blank</td>
<td>$b Numeration (NR)</td>
<td>100 1_ $aDyer, Walter Gurnee,$e photographer.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>$c Titles and other words associated with the name (R)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>$d Dates associated with a name (NR)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>$e Relator term/Role (R)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>$q Fuller form of name (NR)</td>
<td></td>
</tr>
</tbody>
</table>

### Creator: Corporate Name

**110 Main Entry – Corporate Name (NR)**

**REQUIRED – main entry can be 100, 110, 111, or Title (as main entry)**

Organization/Institution responsible for the creation of the collection.

<table>
<thead>
<tr>
<th>Examples</th>
<th>MARC indicators</th>
<th>MARC subfields</th>
<th>MARC Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>American Museum of Natural History. Dept. of Education.</td>
<td>1st Indicator: 0=Inverted name, 1=Jurisdiction, 2=Name in direct order</td>
<td>$a Organization/Institution name (NR)</td>
<td>110 2_ $aAmerican Museum of Natural History.$bDept. of Education.</td>
</tr>
<tr>
<td></td>
<td>2nd Indicator: blank</td>
<td>$b Subordinate unit (R)</td>
<td></td>
</tr>
</tbody>
</table>

### Creator: Meeting Name

**111 Main Entry – Meeting Name (NR)**

**REQUIRED – main entry can be 100, 110, 111, or Title (as main entry)**

Event, such as an expedition, responsible for the creation of the collection.

<table>
<thead>
<tr>
<th>Examples</th>
<th>MARC indicators</th>
<th>MARC subfields</th>
<th>MARC Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>American Museum Congo Expedition (1909-1915)</td>
<td>1st Indicator: 0=Inverted name, 1=Jurisdiction, 2=Name in direct order</td>
<td>$a Meeting name (NR)</td>
<td></td>
</tr>
<tr>
<td>World's Columbian Exposition (1893 : Chicago, Ill.)</td>
<td>2nd Indicator: blank</td>
<td>$c Location of meeting (NR)</td>
<td></td>
</tr>
</tbody>
</table>
Record one entity for the main entry of a collection. Additional creator(s) can be listed in the 7xx field(s).

**MARC Note:** Subfield $d Date of meeting comes before $c Location of meeting as in the example above for the World’s Columbian Exposition.

### Title (including Inclusive Date and Bulk Date)

#### 245 Title Statement (NR)

**REQUIRED**

DACS compliant title for the collection. Record inclusive dates as a date range to indicate the beginning and end of record creation. Record bulk dates to describe the dominant period of date(s), if any. Precede the year(s) with “bulk”.

**Examples**
- State Appropriations, 1884-1886.
- Wesley Lanyon photographic slide collection, undated.

**MARC indicators**
- 1st Indicator: 0=No added entry, 1=Title added entry
- 2nd Indicator: 0=No nonfiling characters, 1-9=Number of nonfiling characters present

**MARC subfields**
- $a Title (NR)
- $f Inclusive dates (NR)
- $g Bulk dates (NR)

**MARC Examples**
- 245 10 $aState Appropriations,$f1884-1886

Titles and inclusive dates are required. Supplied titles generally have two parts: the name of the creator(s) or collector(s) and the nature of the materials being described. If you are unsure of the dates or do not wish to be misleading, use “undated.” Bulk dates are not required. If the date range cannot be determined without further examination of records, use “circa” or an estimated date.

**MARC Note:** Indicate Title as an added entry except when it is the main entry. Validation errors occur in Connexion when there is no 100/110/111 entity associated with the record.

To form DACS compliant dates, see below for further guidelines (modified from PACSCL’s Minimal Processing Manual).

- **Inclusive Dates:**
  - Use this: 1849-1851 (no spaces around the dash)
  - NOT 1849-51
- If the collection continues to accrue, place the most recent accrual in the date span:
  - 1965-<2012>
  - (NOT 1965- OR 1965- (Ongoing))
- **Bulk Dates:**
  - 1785-1960, bulk 1916-1958
• Significant Gap in Records:
  o 1827, 1952-1978
• Estimated Date Ranges:
  o circa 1870-1879
• Single Dates:
  o 1975 OR 1975 March-August OR 1906 March 17
• Estimated Single Dates:
  o probably 1867
  o approximately 1867
  o before 1867
  o after 1867 January 5
  o 1867 or 1868
  o 1860s
  o circa August 1975

Punctuation note: Do not include periods at the end of title statements or dates. Terminal periods will be placed later when the spreadsheet is converted to MARC.

## Varying Form of Title

### 246 Varying Form of Title (R)

<table>
<thead>
<tr>
<th>OPTIONAL</th>
<th>MARC indicators</th>
<th>MARC subfields</th>
<th>MARC Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use for DACS-compliant titles that are otherwise too long</td>
<td>1st Indicator:</td>
<td>$a Title statement (NR)</td>
<td></td>
</tr>
<tr>
<td>when indicating the creator.</td>
<td>2=No note no added entry</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2nd Indicator:</td>
<td>$a Other title</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3=Other title</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Use Varying Form of Title for collections with names that are unnecessarily long in order to be compliant with DACS. If a title can stand alone on its own without the redundant use of the creator name, make an additional entry for the title in the 246 field. This is will be used for the EAD record.

**Example:**
(110) American Museum of Natural History. Dept. of Education.
(245) Department of Education booklets and pamphlets, 1918-1968.
(246) American Museum of Natural History Department of Education booklets and pamphlets

**DO NOT** use for titles such as:
(100) Carter, T. Donald (Thomas Donald), 1893-1972.

This is not a stand-alone title and should be (245) T. Donald Carter collection, 1910-1970.
**Physical Description**  
300 Physical Description (R)

## REQUIRED

| Record boxes and linear feet in parentheses. Calculate linear feet to the nearest 0.25. | MARC indicators  
|---|---|
| If possible, quantify various formats. | 1st Indicator: blank  
| | 2nd Indicator: blank  
| **MARC subfields** |  
| $a Extent (R) |  
| $b Other physical details (NR) |  
| $c Dimension (NR) |  
| $f Type of unit (R) |  
| $g Size of unit (R) |  
| $3 Materials specified (NR) |  
| **MARC Examples** |  
| 300 __ $a 5 boxes (3 linear feet) |  
| 300 __ $a 70 photographs |  
| 300 __ $a 15 maps |  
| 300 __ $a 8 sound cassettes |  
| 300 __ $a 12 slides |  

Quantify the number of boxes and linear feet as a parallel statement in parentheses. Quantifying formats is not required, but will help in Phase 2 of the project. Material descriptions should be taken from a standard thesaurus. Below is a short list of formats from LoC Thesaurus for Graphic Materials (http://www.loc.gov/pictures/collection/tgm/). Please refer to the website for a comprehensive list.

- maps
- floorplans
- photographs
- stereographs
- negatives
- film negatives
- nitrate negatives
- slides
- transparencies
- lantern slides
- digital prints
- videodiscs (use for CDs, DVDs, or other media that is recorded by a laser and can be displayed on a video screen)

Other terms (taken from the Library OPAC):

- videocassettes (type of carrier can be recorded under notes, e.g., VHS)
- sound cassettes

For terms that cannot be found in a standard thesaurus, please specify in the summary or notes field. Do not list formats that cannot be enumerated. See MARC 500, General Notes, for gathering information that states the inclusion of various formats.

For the risk assessment phase of this project, specific names are provided in a drop-down menu of “collection units.” These terms are specific to the risk assessment data analysis and should not be used for descriptive cataloging. Following the completion of cataloging and risk assessment, information from the Access database may be integrated into the cataloging spreadsheets where collection unit terms will be replaced with their corresponding format designations.
### Arrangement

#### 351 Organization and Arrangement of Materials (R)

**OPTIONAL**

- **Pattern of arrangement for materials within a unit.** e.g., alphabetical, chronological, by country, by office of origin, etc.
- **Also indicate subdivisions of collections that have been combined into a larger unit.** *See the last example below.*

**Examples**
- Folders in boxes arranged alphabetically.
- Arranged in folders by Dr. James Atz.

**MARC indicators**
- 1st Indicator: blank
- 2nd Indicator: blank

**MARC subfields**
- $a Organization (R)
- $b Arrangement (R)
- $c Hierarchical level (NR)
- $3 Materials (NR)

**MARC Examples**
- 351 __ $3Folders in boxes $barranged alphabetically.
- 351 __ $bArranged in folders by Dr. James Atz.
- 351 __ $aOrganized into two groups: 085. Minutes of the Scientific Staff was cataloged as one record: DR 085-086. The discrete collections that make up DR 085-086 are further broken down by the notation of the original call number followed by a period and the title/contents: 085. Minutes of the Council...

**Use this field to describe how the material is arranged.** This is a useful field for collections that are combined due to an overlap of content. Groups can be further broken down with their individual collection numbers preceding the content description. In the last example shown above, The Minutes of the Scientific Staff was cataloged as one record: DR 085-086. The discrete collections that make up DR 085-086 are further broken down by the notation of the original call number followed by a period and the title/contents: 085. Minutes of the Council...

### Notes

#### 500 General Note (R)

**OPTIONAL**

- **General notes.** Please state includes field notes for collections that contain field notes.

**Examples**
- Includes field notes.
- Includes duplicates within collection.
- Includes photographs and blueprints.
- Unprocessed collection.

**MARC indicators**
- 1st Indicator: blank
- 2nd Indicator: blank

**MARC subfields**
- $a General note (NR)
- $3 Materials specified (NR)

**MARC Examples**
- 500 __ $aIncludes field notes.
- 500 __ $aIncludes duplicates within collection.
- 500 __ $aIncludes photographs and blueprints.
- 500 __ $aUnprocessed collection.
- 500 __ $aPrevious number used: USDE 938

**Use this field to indicate field notes, physical formats that cannot be quantified, and unprocessed collections among other general notes.** This field is repeatable and statements can be separated by “>>” in the spreadsheet to specify a new line item. End individual statements with a terminal period.
Example: Includes field notes. >> Includes duplicates within collection. >> Unprocessed collection.

Also use the Notes field to record call numbers that have significance to the collection. This number can help identify the collection in additional inventories. Historical numbers may have been used in citations or previous numbers used may reference supporting documentation in the Library, therefore important to document.

<table>
<thead>
<tr>
<th>Restrictions on Access Note</th>
</tr>
</thead>
<tbody>
<tr>
<td>506 Restrictions on Access Note (R)</td>
</tr>
</tbody>
</table>

**REQUIRED**

Globally populated with information from the department.

**Examples**

Please contact Special Collections; materials are sometimes restricted.

**MARC indicators**

1st Indicator: blank=Undefined, 0=No restrictions, 1=Restrictions apply

2nd Indicator: blank

**MARC subfields**

$a Terms governing access (NR)

**MARC Examples**

506 __ $a Please contact Special Collections; materials are sometimes restricted.

This field is added to the spreadsheet after the data has been gathered but before converting into MARC records. Different AMNH Department archives may have specific restrictions. The language should be reviewed by Barbara Mathé and the collection managers. The example above reflects the main Research Library’s restriction note.

<table>
<thead>
<tr>
<th>Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>520 Summary, Etc. (R)</td>
</tr>
</tbody>
</table>

**REQUIRED**

Scope and general content notes. Briefly describe the content: Who or what is the collection about? What is contained in the collection? Include the most important keywords. Use complete sentences.

Start the summary with the word “Field notes” if the collection consists entirely of field notes. If the collection contains field notes, please include a descriptive summary of them.

**Examples**

Correspondence to and from Dr. Jerome G. Rozen. Some material related to the Southwestern Research Station and Archold Expeditions.

Field notes from Frank E. Watson, the first steward of Lepidoptera at American Museum of Natural History. Field notes begin in 1896 and end in 1947, the time of Watson’s death. Concerned chiefly with butterflies collecting in the West Indies and northeastern United States. Also included are field notes from Fred Rindge, insect collecting expedition (primarily in the United States) from 1955 to 1970. Papers, records, notebooks, metal index card container and research of the Department of Entomology. Contains freak monarch...
Though not required in standard MARC record, it is one of our required minimal level cataloging elements. Describe the contents of the collection briefly in at least 1-2 sentences as an Abstract. For full finding aids, the Scope and Contents Note is developed more fully and includes contextual information about the resources being described. Please refer to the Scope and Contents Note guidelines below to help create a succinct statement for the Abstract.

Below are guidelines for writing the Abstract and Scope and Contents Notes (from PACSCL’s Minimal Processing Manual).

Abstract

- The abstract is a brief and tidy statement that sums up the collection
- It is useful for providing researchers with the most essential facts about the collection.
- You should describe the collection in just a few sentences:
  - Who or what is the collection about?
  - What is contained in the collection?
  - Include the most important keywords

Scope and Contents Note

- This note is about the contents of the collection.
- This is a place to discuss highlights, obvious gaps in records, or unique perspectives on the topic of the collection.
- In every scope note, the following should be included:
  - Types of materials found in the collection (genres or documentary forms) such as minutes, diaries, reports, water colors, documentaries, etc. Specifics can be added:
    - Example: Included in the collection are diaries describing day-to-day activities as well as nationally important events such as the signing of the Constitution of the United States of America in 1787 and Philadelphia’s Yellow Fever Epidemic in 1793.
  - Main Subjects (use your best judgment).
  - All Series Titles and Subseries Titles, if applicable.
  - Areas of the collection which are particularly rich with information.
  - Dates
    - Spans of the records, dates of events, or extremely important time frames within the creators life or business operations:
      - Example: If you are referring to Picasso’s Blue Period, note the dates: 1900-1904.
    - Formats
      - In narratives, use normal date order such as July 22, 2009.
      - When describing a span, do not use spaces around the hyphen: 1945-1947 and do not abbreviate: NOT 1945-47. However, —from 1800 to 1900 is preferred.
      - Decades are written without an apostrophe: 1920s.
  - Functions or activities resulting in the creation of the records.
  - How the collection fits into the more general context of history.
  - How the collection may be useful to researchers (this is really the highlights section).
    - Example: Researchers interested in colonial medicine may find the diaries which include entries on treating yellow fever to be useful.

A Scope and Contents Note worksheet is included in the full PACSCL manual.
Immediate Source of Acquisition
541 Immediate Source of Acquisition Note (R)

**OPTIONAL**

Provenience of the collection.

**Examples**

- 1990 accession.
- 1995 accession, transferred from Education Department.
- Donated by Dr. Jerome G. Rozen, Jr.

**MARC indicators**

1st Indicator: Leave blank

2nd Indicator: blank

**MARC subfields**

$a Source of acquisition (NR)

$c Method of acquisition (NR)

$d Date of acquisition (NR)

**MARC Examples**

541 __ $d1990 accession.

541 __ $d1995 accession, $c transferred from $a Education Department.

541 __ $c Donated by $a Dr. Jerome G. Rozen, Jr.

Take information from direct sources such as acquisition sheets, descriptions marked on the box label, or from the documents themselves. The Library may have documents in the vertical files located in Special Collections (for archives housed in the Main Library). Ask your supervisor if there is more information regarding a collection’s acquisition.

Related Archival Materials
544 Location of Other Archival Materials Note (R)

**OPTIONAL**

Reference to related archival materials and collections. List call numbers, accession numbers, or locations where material can be found.

**Examples**

Archival material relating to the Hayden Planetarium is available in the planetarium’s archives, housed in the AMNH Library Special Collections on the 7th floor.

Related material can be found in Henry Fairfield Osborn papers, 1877-1935 (bulk 1908-1935); call number: MSS .O835.

**MARC indicators**

1st Indicator: 0=Associated materials, 1=Related materials

2nd Indicator: blank

**MARC subfields**

$n Note (R)

**MARC Examples**

544 1 _ $n Archival material relating to the Hayden Planetarium is available in the planetarium’s archives, housed in the AMNH Library Special Collections on the 7th floor.

544 1 _ $n Related material can be found in Henry Fairfield Osborn papers, 1877-1935 (bulk 1908-1935); call number: MSS .O835.

As we move through the projects gathering descriptions, this has become an increasingly important field. Locating related materials, especially when they are housed in different locations, may reestablish provenance to collections that have been long since separated as the museum departments evolved over time. Communicate with your supervisor and fellow interns about collections that may be related. This is an area that could warrant extra research.

---

1 MarcEdit has a MARC validator that performs quality control on the converted records. Using an indicator in this field will result in an error.
### Finding Aid
**555 Cumulative Index/Finding Aids Note (R)**

**OPTIONAL**

Indicate if a finding aid or container list is available. If EAD exists, please provide the URL.

**Examples**
- Container list filed with collection. Container list needs to be updated.
- Hard copy of finding aid filed with collection.

**MARC indicators**
- 1st Indicator: blank=Indexes, 0=Finding aids
- 2nd Indicator: blank

**MARC subfields**
- $a Cumulative index/finding aids note (NR)
- $u Uniform Resource Identifier (R)

**MARC Examples**
- 555 0 Container list filed with collection. Container list needs to be updated.
- 555 0 Hard copy of finding aid filed with collection.

Some of the collections may include hard copies of finding aids, container lists, or other resource description made to help people locate contents. Use this field to note if such aids are available. Unprocessed collections should be noted in the 500 General Notes field.

### Condition (including Action Note)
**583 Action Note (R)**

**OPTIONAL**

Choose from drop-down menu: Good, Fair, Poor.

In Action Note field, describe conservation issues and/or preservation actions.

**Examples**
- Condition: good
- Action Note: floor plans housed in a cardboard box, could be placed in archival boxes; oversize blueprints are folded; manuscript box needs a spacer, papers caving

**MARC indicators**
- 1st Indicator: Leave blank
- 2nd Indicator: blank

**MARC subfields**
- $a Action (NR) (mandatory)
- $c Time/date of action (R) -- YYYYMMDD
- $l Status (R)

**MARC Examples**
- 583 __ $a condition reviewed$c20110519$lgood
- 583 __ $a condition reviewed$c20110519$lgood$lfloor plans housed in cardboard box, could be placed in archival boxes; $loversize blueprints are folded; $lmanuscript box needs a spacer, papers caving

The information recorded in the cataloging phase will also be merged with the LARA database for the risk assessment phase. Note any conditions that can be useful to assess risk to different formats. Separate action notes with a semicolon (;).

After the risk assessment phase, the information gathered in the LARA databases may be carried over into the Excel spreadsheets before data conversion. *For now this step is done by project supervisors.*

**MARC Note:** The information provided gets transformed to follow the appropriate conventions. This is done after the data is gathered but before the spreadsheets are converted. Subfields and dates are added using a simple Find+Replace. For example, the dropdown menu item, “Good” becomes “$a condition reviewed$c20110519$lgood”. The dates recorded reflect the last day of the term. Also information in this field is all lowercase with no terminal punctuation; all the status notes are separated by a semicolon followed by the repeatable $l subfield to indicate the results of the condition during this assessment.
Risk Assessment Note: In general, we are not tasked with rehousing or taking action when gathering this data. However, if you think you have a nitrate negative on your hands, please notify your supervisor immediately. The Library has cold storage for them and they should be removed from the collection with a separation sheet.

**Subject: Personal Name**
600 Subject Added Entry—Personal Name (R)

<table>
<thead>
<tr>
<th>OPTIONAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Person identified as a subject of the collection.</td>
</tr>
</tbody>
</table>

**Examples**

**Note:**
Separate repeatable entries with >>

**MARC indicators**
1st Indicator: 0=Forename, 1=Surname, 3=Family Name
2nd Indicator: 0=Library of Congress subject heading

**MARC subfields**
$a Personal name (NR)
$b Numeration (NR)
$c Titles and other words associated with the name (R)
$d Dates associated with a name (NR)
$e Relator term/Role (R)
$q Fuller form of name (NR)

**MARC Examples**
600 10 $a Carter, T. Donald $q (Thomas Donald), $d 1893-1972.

**Subject: Corporate Name**
610 Subject Added Entry—Corporate Name (R)

<table>
<thead>
<tr>
<th>OPTIONAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organization identified as a subject of the collection. As necessary, list subdivision in the same line.</td>
</tr>
</tbody>
</table>

**Examples**
American Museum of Natural History. Southwestern Research Station.

**Note:**
Separate repeatable entries with >>

**MARC indicators**
1st Indicator: 1=Jurisdiction, 2=Name in direct order
2nd Indicator: 0=Library of Congress subject heading

**MARC subfields**
$a Organization name (NR)
$b Subordinate unit (R)

**MARC Examples**
610 20 $a American Museum of Natural History, $b Southwestern Research Station.
## Subject: Meeting Name

### 611 Subject Added Entry–Meeting Name (R)

### OPTIONAL

<table>
<thead>
<tr>
<th>Expedition or event identified as a subject of the collection.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Examples</strong></td>
</tr>
<tr>
<td>Crocker Land Expedition (1913-1917)</td>
</tr>
</tbody>
</table>

**Note:** Separate repeatable entries with `>`

**MARC indicators**
- 1st Indicator: 2=Expedition name
- 2nd Indicator: 0=Library of Congress subject heading

**MARC subfields**
- $a Meeting name (NR)
- $c Location of meeting (NR)
- $d Date of meeting (R)
- $e Name of a subordinate unit entered under meeting name (R)
- $q Name of meeting following jurisdiction name entry element (R)

**MARC Examples**
- 611 20 $aCrocker Land Expedition$d(1913-1917)

List people, corporations, or expeditions in which the collection is about. It is not incorrect to repeat the creator of the collection as the subject. Use LoC Name Authorities.

## Subject: Topical Term

### 650 Subject Added Entry–Topical Term (R)

### REQUIRED*

<table>
<thead>
<tr>
<th>Use Library of Congress Subject Headings or subject terms in the AMNH Library OPAC.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Examples</strong></td>
</tr>
<tr>
<td>Natural history museums--New York (State)--New York.</td>
</tr>
<tr>
<td>Museum techniques--Periodicals.</td>
</tr>
<tr>
<td>Museums--Administration--Periodicals.</td>
</tr>
<tr>
<td>Natural history museums--Periodicals.</td>
</tr>
</tbody>
</table>

**Note:** Separate repeatable entries with `>`

| Museums—Administration--Periodicals. >> Natural history museums--Periodicals. |

**MARC indicators**
- 1st Indicator: blank
- 2nd Indicator: 0=Library of Congress subject heading, 4=Source not specified

**MARC subfields**
- $a Topical term (NR)
- $x General subdivision (R)
- $v Form subdivision (R)
- $z Chronological subdivision (R)
- $z Geographical subdivision (R)

**MARC Examples**
- 650 _0 $aNatural history museums$zNew York (State)$zNew York. |
- 650 _0 $aMuseum techniques$vPeriodicals. |
- 650 _0 $aMuseums$xAdministration$vPeriodicals. |
- 650 _0 $aNatural history museums$vPeriodicals.

Use the Library catalog for subject headings ([http://libcat.amnh.org/](http://libcat.amnh.org/)). Chances are there will be subject terms and subject strings describing very similar holdings that you can use in the spreadsheets. If the subject term cannot be found in the OPAC or the LoC authority ([http://authorities.loc.gov/](http://authorities.loc.gov/)), record it in the provided field 6xx, Subject, Uncontrolled term. These will be reviewed by the Project Archivists, along with the Head Cataloger to determine if the term will be added to our authorities or be listed as a 690 Local Subject Added Entry. Authority work can be done after the information has been gathered.
*NOTE: Please include at least one 65x subject. It can be a topical term or geographic term. Recommended approach: search the OPAC for a name or expedition represented in the collection. Often a published work or similar holding can be found with related subjects in the catalog record.

### Subject: Geographic Name

**651 Subject Added Entry–Geographic Name (R)**

<table>
<thead>
<tr>
<th><strong>OPTIONAL</strong></th>
<th><strong>MARC indicators</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Use Library of Congress Subject Headings or subject terms in the AMNH Library OPAC.</td>
<td>1st Indicator: blank</td>
</tr>
<tr>
<td><strong>Examples</strong></td>
<td>2nd Indicator: 0=Library of Congress subject heading, 4=Source not specified</td>
</tr>
<tr>
<td>Canada.</td>
<td><strong>MARC subfields</strong></td>
</tr>
<tr>
<td>Connecticut--Guidebooks.</td>
<td>$a Geographic Name (R)</td>
</tr>
<tr>
<td><strong>Note:</strong></td>
<td>$x General subdivision (R)</td>
</tr>
<tr>
<td>Separate repeatable entries with &gt;&gt;</td>
<td>$v Form subdivision (R)</td>
</tr>
<tr>
<td><strong>MARC Examples</strong></td>
<td><strong>651 _0 $a Canada.</strong></td>
</tr>
<tr>
<td>651 _0 $a Connecticut$v Guidebooks.</td>
<td></td>
</tr>
</tbody>
</table>


### Subject: Local Topical Term

**690 Local Subject Added Entry–Topical Term (R)**

<table>
<thead>
<tr>
<th><strong>OPTIONAL</strong></th>
<th><strong>MARC indicators</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Use for keywords. Some may be LCSH but not expressed in a hierarchical string.</td>
<td>1st Indicator: Level of subject (leave undefined)</td>
</tr>
<tr>
<td><strong>Examples</strong></td>
<td>2nd Indicator: Leave undefined</td>
</tr>
<tr>
<td>Museum finance.</td>
<td><strong>MARC subfields</strong></td>
</tr>
<tr>
<td>Museum construction.</td>
<td>$a Uncontrolled term (R)</td>
</tr>
<tr>
<td>Employee activities.</td>
<td><strong>MARC Examples</strong></td>
</tr>
<tr>
<td>Human resources.</td>
<td>690 __ $a Museum finance.</td>
</tr>
<tr>
<td><strong>Note:</strong></td>
<td>690 __ $a Museum construction.</td>
</tr>
<tr>
<td>Separate repeatable entries with &gt;&gt;</td>
<td>690 __ $a Employee activities.</td>
</tr>
<tr>
<td></td>
<td>690 __ $a Human resources.</td>
</tr>
</tbody>
</table>

Local topical terms may be determined by review of supervisors and Head Cataloger, Diana Shih. This field is added (if needed) by the Project Archivists during the preparation stage.
### Contributor: Personal Name

**700 Added Entry—Personal Name (R)**

**OPTIONAL**

Use for co-creators or contributors to the collection.

**Examples**

Bourke-White, Margaret, 1904-1971.

**Note:**

Separate repeatable entries with >>

**MARC indicators**

1st Indicator: 0=Forename, 1=Surname, 3=Family Name

2nd Indicator: 2=Analytical entry

**MARC subfields**

$a Personal name (NR)

$b Numeration (NR)

$c Titles and other words associated with the name (R)

$d Dates associated with a name (NR)

$e Relator term/Role (R)

$q Fuller form of name (NR)

**MARC Examples**

700 1_ $aBourke-White, Margaret,$d1904-1971.

### Contributor: Corporate Name

**710 Added Entry—Corporate Name (R)**

**OPTIONAL**

Use for organizations identified as co-creators or contributors to the collection. As necessary, list subdivision in the same line.

**Examples**

American Museum of Natural History. Trustees.

**Note:**

Separate repeatable entries with >>

**MARC indicators**

1st Indicator: 1=Jurisdiction, 2=Name in direct order

2nd Indicator: 2=Analytical entry

**MARC subfields**

$a Organization name (NR)

$b Subordinate unit (R)

**MARC Examples**

710 2_ $aAmerican Museum of Natural History,$bTrustees.

### Contributor: Meeting Name

**711 Added Entry—Meeting Name (R)**

**OPTIONAL**

Use for expeditions or events identified as contributing entities to the collection.

**Examples**

Jesup North Pacific Expedition (1897-1903)

**Note:**

Separate repeatable entries with >>

**MARC indicators**

1st Indicator: 2=Name in direct order

2nd Indicator: 2=Analytical entry

**MARC subfields**

$a Meeting name (NR)

$c Location of meeting (NR)

$d Date of meeting (R)

$e Name of a subordinate unit entered under meeting name (R)

$q Name of meeting following jurisdiction name entry element (R)
Contributors are additional creators for the contents of the collection. In EAD, you can express more than one creator. In MARC, the 1xx field is not repeatable and we include the other entities in 7xx. Do not confuse the 6xx field with 7xx – this is specifically used for people, corporations, or expeditions responsible for creating the material that make up the collection.

### Location

#### 852 Location (R)

**REQUIRED**

Globally populated: OCLC institution code and AMNH location/department name.

**Examples**

NNMNH Research Library, Special Collections

**Note:** NNMNH = OCLC institution code

| MARC indicators | 1st Indicator: blank=No information provided  
| 2nd Indicator: blank=No information provided |

| MARC subfields | $a Location (NR)  
| $b Sublocation (R) |

| MARC Examples | 852 __ $aNNMNH$bResearch Library, Special Collections |

This field is added to the spreadsheet before converting into MARC records. The institution code NNMNH should be included for all AMNH Department archives locations.

### Processing Information

#### 949 Local Processing Information (R)

**REQUIRED**

Globally populated: a string of code to identify local holdings.

**Code**

*ov=:.b;bn=speco;i=/loc=speco/ty=5/v=;

| MARC indicators locally defined | 1st Indicator: blank  
| 2nd Indicator: blank |

| MARC subfields | $a-$z locally defined |

| MARC Examples | 949 __ $a*ov=:.b;bn=speco;i=/loc=speco/ty=5/v=; |

This field is added to the spreadsheet before converting into MARC records. The code may differ from one AMNH Department location to another. Consult with Diana Shih.

**OCLC RECORD NOTE:** When revising MARC records, do not re-export an OCLC record. It will create new items in the catalog. Instead, update MARC records in Millenium if the changes are minor.