



## UMI Dissertation Publishing: MARC Records

This document describes the MARC tags included in MARC records for dissertations and theses published by ProQuest's UMI Dissertation Publishing group.

### General Notes

Tags 100a, 242a, 245a, 700a, and 740a data will be in all upper case for records that were published before 1988. Beginning with records published in 1989, the titles will be in standard LC title format - that is, only the first letter and proper nouns are capitalized.

500a (General note - advisor) and 790a (added entry - advisor name.) We started adding advisor names to the database with January 1989 publications (DAI 49-07).

520a (abstract) Abstracts published by us prior to May, 1999 may contain TeX coding. Abstracts published from May 1999 (DAI 59-11) to the present may contain SGML coding.

### Tag Description Chart

MARC records for dissertations and theses published by UMI Dissertation Publishing use the MARC tags listed below. The Start Date column indicates when UMI first began publishing the information type stored in a given MARC tag.

Tag	Description	Start Date
001	Publication Number	
005	Date and Time of Latest Transaction	
008	Fixed Length Data Elements	
020	ISBN	Spring 1988 volume 49 No. 01 Section C
035	System Control Number	
040	Cataloging Source	
100	Main Author	
242	English Translation of Foreign Title	Spring 1988 volume 49 No. 01 Section C
245	Title Statement	
300	Number of Pages	
500	General Note (Source)	
500	General Note (Publisher)	
500	General Note (Advisor)	Jan 1989 DAI Volume 49 No. 07
502	Dissertation Note	
506	Restrictions on Access Note	
520	Abstract of Dissertation	Volume 41 No.01 DAI Volume 20 No.01 MAI
535	Location of Copy	Spring 1988 volume 49 No. 01 Section C
590 *	Local Note (School Code)	
650	Subject Term	
690 *	Subject Code	



<b>Tag</b>	<b>Description</b>	<b>Start Date</b>
700	Added Entry - Multiple Author	Jan 1989 DAI Volume 49 No. 07
710	Added Entry - Corporate Name	
740	Added Entry - Variant Title	
773	Host Item Entry	
790	Added Entry - Advisor Name	Jan 1989 DAI Volume 49 No. 07
790 *	School Code	
791 *	Degree Name	
792 *	Degree Date	
793 *	Language of Dissertation	Spring 1988 volume 49 No. 01 Section C

\* These are UMI-defined MARC fields and contain coded information specific to dissertations and theses published by UMI Dissertation Publishing. Local systems must determine whether to include these fields when loading MARC records provided by ProQuest.



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**020**

**ISBN**

**020**

**Description**

This field contains the International Standard Book Number, which is included when available.

**Format**

Two blank indicators, subfield delimiter, data element identifier "a", and the ISBN. The field ends with a field terminator.

**Example**

\$a9179008194

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**035**

**System control number**

**035**

**Description**

This field contains the Record control number from the 001 field, to allow a local system to replace the 001 Record control number field with its own local system control number, yet retain the Dissertation Abstracts control number.

**Format**

Two blank indicators, subfield delimiter, data element identifier "a", UMI's National Union Catalog symbol "(UnM)", and the record control number from the 001 field. The field ends with a field terminator.

**Examples**

\$a(UnM)8901234

\$a(UnM)AAI8901234

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**040**

**Cataloging source**

**040**

**Description**

This field contains the National Union Catalog symbol of UMI as the organization that created the original record and transcribed the record into machine-readable form.

**Format**

Two blank indicators, subfield delimiter, data element identifier "a", UMI's National Union Catalog symbol "UnM", subfield delimiter, data element identifier "c", and UMI's National Union Catalog symbol "UnM". The field ends with a field terminator.

**Example**

\$aUnM\$cUnM

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<b>100</b>	<b>Main author</b>	<b>100</b>
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**Description**

This field contains the first author of the dissertation. If there is more than one author of a dissertation, the second and following names will appear in 700 Added Entry fields.

**Format**

First indicator "1", second indicator blank, delimiter, data element identifier "a", and the first author's name. The field ends with a period and a field terminator.

**Example**

1 \$aDAVIS, WILLIAM CARL.

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<b>242</b>	<b>English translation of foreign title</b>	<b>242</b>
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**Description**

For DAI Section C records, if the main title is not in English, a translated title will appear in this field. For DAI sections A and B, only the 245 Title field will appear.

**Format**

First indicator "0", second indicator "0", delimiter, data element identifier "a", the English translation of the title of the dissertation, subfield delimiter, data element identifier "y", and "eng" (for English language). The field ends with a field terminator.

**Example**

00\$aFUNCTIONAL MODIFICATIONS OF FEMOROPATELLAR ARTICULATION AFTER SURGICAL INTERVENTION ON THE EXTENSOR\$yeng

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<b>245</b>	<b>Title statement</b>	<b>245</b>
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**Description**

This field contains the title of the dissertation, and will occur once per entry. For DAI Section C if the main title is not in English, a translated title will appear in the 242 English Translation of Foreign Title field. For DAI sections A and B, only the dissertation title will appear.

**Format**

First indicator "1", second indicator varies from 0 to 9, subfield delimiter, data element identifier "a", and the title of the dissertation. The field ends with a period (or other mark of punctuation) and a field terminator.

**Examples**

10\$aTOTAL SYNTHESIS OF CYTOVARICIN.

10\$aMODIFICACIONES FUNCIONALES DE LA ARTICULACION FEMORO-ROTULIANA TRAS INTERVENCIONES QUIRURGICAS SOBRE EL APARATO EXTENSOR.

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**300** **Number of pages** **300**

**Description**

This field, when present, contains the number of pages in the dissertation. For DAI Parts A and B, there will be no 300 field for dissertations not available for sale by UMI. For DAI Section C, the absence of a 300 field means that the number of pages is unknown (all DAI Section C records represent titles which are not for sale by UMI).

**Format**

Two blank indicators, subfield delimiter, data element identifier "a", and the number of pages. The field ends with a period (or other mark of punctuation) and a field terminator.

**Example**

\$a469 p.

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**500** **General note (Source)** **500**

**Description**

This field contains source information: database identification, volume number or source code, and page number(s) from the UMI dissertation publication in which the citation and/or abstract first appeared. Access to the database identification is provided in the 773 Host Item Entry field. DAI records include a Section designation (A, B, or C). DAI-C dissertations are not for sale by UMI.

**Format**

Two blank indicators, subfield delimiter, data element identifier "a", and the source information. The field ends with a period and a field terminator. *Note: Publication page number is always 4 characters long and may have leading zeros.*

**Examples**

\$aSource: American Doctoral Dissertations.

\$aSource: American Doctoral Dissertations, Source code: S0028.

\$aSource: Dissertation Abstracts International, Volume: 51-06, Section A, page 1368.

\$aSource: Masters Abstracts International, Volume: 28-01, page: 1473.

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**500** **General note (Publisher)** **500**

**Description**

This field contains the publisher's name of the dissertation. It appears only in some DAI section C records.

**Format**

Two blank indicators, subfield delimiter, data element identifier "a", and the publisher information. The field ends with a period and a field terminator.

**Example**

\$aPublisher info.: Reprint.

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**500**

**General note (Advisor)**

**500**

**Description**

This field contains the academic advisor name(s) preceded by designation of function. Format is [function]: [name]; [name]; [name]. Designation of function is followed by ":", and multiple names are separated by ";". Names are in direct order, i.e. first name followed by last name. This field may occur only once per record, and is optional.

**Format**

Two blank indicators, subfield delimiter, data element identifier "a", and the advisor information. The field ends with a period and a field terminator.

**Example**

\$aDirector: John Smith.

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**502**

**Dissertation note**

**502**

**Description**

This field contains information about the degree: Degree awarded, name of the institution awarding degree, and degree date. The degree awarded may be lacking for DAI Section C and some Canadian records.

**Format**

Two blank indicators, subfield delimiter, data element identifier "a", and the degree information. The field ends with a period and a field terminator.

**Examples**

\$aThesis (PH.D)—Harvard University, 1994.

\$aThesis-Universitat Autònoma de Barcelona (Spain), 1998.

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**506**

**Restrictions on access note**

**506**

**Description**

This field indicates non-availability of the publication from UMI. All DAI Section C dissertations and some DAI Sections A and B and MAI dissertations are not available for sale by UMI and are so designated in this field.

**Format**

Two blank indicators, subfield delimiter, data element identifier "a", and the availability information. The field ends with a period and a field terminator.

**Example**

\$aThis item is not available from UMI.

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**520**

**Abstract of dissertation**

**520**

**Description**

This field contains the author-prepared abstract summary of the dissertation. Each 520 field represents a paragraph of the abstract.

**Format**

Two blank indicators, subfield delimiter, data element identifier "a", and the abstract. The field ends with a period (or other mark of punctuation) and a field terminator.

**Examples**

\$aThe dissertation advocates a "constructive" conception of legal interpretation as a way of making sense of judicial recognition of the emerging international law of human rights. A centerpiece of the study consists of cases in which United States courts recognize human rights such as freedom from torture and genocide as universalizable norms backed by a consensus of the world community. Emphasis is given to analyzing competing interpretations of jurisdiction, international custom, signatory intent, and the concept of universality in connection with the application of generalizable provisions from treaties, conventions, and declarations.

\$aUltimately the dissertation demonstrates how abstracting and universalizing central tenets of law-as-integrity's conception of rights interpretation from its domestic origins to international contexts yields a cogent philosophical basis for human rights adjudication.

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**535**

**Location of copy**

**535**

**Description**

This field contains the location of a reference copy. The field appears in some DAI Section C records only.

**Format**

First indicator "2", second indicator blank, subfield delimiter, data element identifier "a", and the location. The field ends with a period and a field terminator.

**Example**

2 \$aKarolinska Institute.

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**590**

**Local note (School code)**

**590**

**Description**

This field contains the school code for the institution awarding the degree. The 790 School Code field provides access to the School Code. This is a UMI-defined MARC field. If access to the School Code is not desired, delete the 590 Local Note (School Code) and 790 School Code fields from the MARC record before loading into the local system.

**Format**

Two blank indicators, subfield delimiter, data element identifier "a", and the school code information. The field ends with a field terminator.

**Example**

\$aSchool code: 0084

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**650** **Subject term** **650**

**Description**

This field contains the subject term. This field is repeatable and will occur once for each subject term assigned to the dissertation.

**Format**

First indicator blank, second indicator "4", subfield delimiter, data element identifier "a", and the subject term. The field ends with a period and a field terminator.

**Examples**

4\$aMusic.

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**690** **Subject code** **690**

**Description**

This field contains the subject code. This field is repeatable and will occur once for each subject code assigned to the dissertation. This is a UMI-defined MARC field. If access to the Subject Code is not desired, delete the 690 Subject Code field(s) from the MARC record before loading into the local system.

**Format**

Two blank indicators, subfield delimiter, data element identifier "a", and the subject code. The field ends with a field terminator.

**Example**

\$a0522

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**700** **Added entry—Personal name** **700**

**Description**

Each field contains an added author name. If there is more than one author of a dissertation, the first name appears in a 100 Main Author field and second and following names will appear in 700 Added Entry fields.

**Format**

First indicator "1", second indicator "0", subfield delimiter, data element identifier "a", the name, subfield delimiter, data element identifier "e", and the designation "joint author". The field ends with a period and a field terminator.

**Example**

10\$aLewis, Janet,\$joint author.

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**710**
**Added entry—Corporate name**
**710**
**Description**

In some DAI Section C records, this field contains the location of a reference copy as an access point. This field also contains the name of the institution awarding the degree.

**Format**

First indicator "2", second indicator "0", subfield delimiter, data element identifier "a", and the location information or school name. For location information, the field also contains a subfield delimiter, data element identifier "e", and the designation "ref. copy". The field ends with a period and a field terminator.

**Examples**

20\$aKarolinska Institute,\$eref. copy.

20\$aHARVARD UNIVERSITY.

20\$aUNIVERSITAT AUTONOMA DE BARCELONA (SPAIN).

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**740**
**Added entry—Variant title**
**740**
**Description**

For DAI Section C records, if the main title is not in English, a translated title will appear in this added entry field.

**Format**

First indicator "0", second indicator "0", subfield delimiter, data element identifier "a", and the English translation of the title of the dissertation. The field ends with a period (or other mark of punctuation) and a field terminator.

**Example**

00\$aFUNCTIONAL MODIFICATIONS OF FEMOROPATELLAR ARTICULATION AFTER SURGICAL INTERVENTION ON THE EXTENSOR.

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**773**
**Host item entry**
**773**
**Description**

This field contains source information—database identification and volume number or source code—formatted as a host item entry to provide access to the database ID. Complete source information, including page number, is provided in the 500 General Note (Source) field.

**Format**

First indicator "0", second indicator blank, subfield delimiter, data element identifier "t", the database identification, subfield delimiter, data element identifier "g", and the volume/source information. The field ends with a field terminator.

**Examples**

0 \$tAmerican Doctoral Dissertations

0 \$tAmerican Doctoral Dissertations\$gS0028

0 \$tDissertation Abstracts International\$g51-06A

0 \$tMasters Abstracts International\$g28-01.

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**790** **Added entry—Advisor name** **790**

**Description**

Each field contains an advisor name. This field will occur once for each name contained in the 500 General Note (Advisor) field.

**Format**

First indicator "1", second indicator "0", subfield delimiter, data element identifier "a", the name, subfield delimiter, data element identifier "e", and the designation "advisor". The field ends with a period and a field terminator.

**Example**

10\$aSmith, John,\$eadvisor.

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**790** **School code** **790**

**Description**

This field contains the school code for the institution awarding the degree. This is a MARC field locally defined by ProQuest Information and Learning. If access to the School Code is not desired, delete the 590 Local Note (School Code) and 790 School Code fields from the MARC record before loading into the local system.

**Format**

Two blank indicators, subfield delimiter, data element identifier "a", and the school code. The field ends with a field terminator.

**Example**

\$a0084

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**791** **Degree name** **791**

**Description**

This field—locally defined by UMI—contains the degree name. This field may be lacking for DAI Section C and for some Canadian theses. This is a UMI-defined MARC field. If access to the Degree Name is not desired, delete the 791 Degree Name field from the MARC record before loading into the local system.

**Format**

Two blank indicators, subfield delimiter, data element identifier "a", and the degree name. The field ends with a field terminator.

**Example**

\$aPH.D.

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**792**

**Degree date**

**792**

**Description**

This field includes the date of publication of the dissertation as an access point. This is a UMI-defined MARC field. If access to the Degree Date is not desired, delete the 792 Degree Date field from the MARC record before loading into the local system.

**Format**

Two blank indicators, subfield delimiter, data element identifier "a", and the date. The field ends with a field terminator.

**Examples**

\$a1984

\$a1988

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**793**

**Language of dissertation**

**793**

**Description**

This field contains the language that the dissertation is written in, if not English. This is a UMI-defined MARC field. If access to the Language of Dissertation is not desired, delete the 793 Language of Dissertation field from the MARC record before loading into the local system.

**Format**

Two blank indicators, subfield delimiter, data element identifier "a", and the language name. The field ends with a field terminator.

**Examples**

\$aDutch

\$aFrench