



Metadata Profiles:

MARC21 Records for Print and Electronic Books

National Acquisitions Group and Southern Universities Purchasing Consortium
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1. Introduction

‘Metadata Profiles: MARC21 Records for Print & Electronic Books’ have been designed to accompany the [NAG Servicing Guidelines: Best Practice for Academic Libraries](#) and aim to encourage a standardised approach to the provision of functional MARC21 records for print books, e-books and e-textbooks to academic libraries by their content suppliers.

The Metadata Profiles have been developed by the National Acquisitions Group (NAG) and the Southern Universities Purchasing Consortium (SUPC), following the findings of the [NAG Quality of Shelf-Ready Metadata Survey Report](#).

The NAG Survey had input from 50 UK Higher Education Institutions and revealed that the majority of academic libraries that opt to use shelf-ready services are regularly having to perform quality control and error-correction work on the records that they receive from suppliers. Consequently, academic libraries are in favour of a more unified and consistent approach to shelf-ready record quality, as this would help to minimise the need for additional processing or in-house upgrading of records.

Whilst the metadata needs of individual academic libraries can vary, the results of the NAG Survey show that there is a consensus regarding functional shelf-ready metadata requirements for books. This consensus is reflected in the Metadata Profiles, which are designed to provide clear guidance for the creation and supply of MARC records for print books, e-books and e-textbooks.

Adherence to the Metadata Profiles should ensure that shelf-ready metadata fully supports the discoverability requirements of academic libraries and their users, and help to streamline the metadata-related aspects of shelf-ready workflows between suppliers and academic libraries.

These Metadata Profiles will also form a key part of the metadata requirements of the next tender (summer 2021) for the [Joint Consortia Framework Agreement for Books and E-Books](#), which is led by the SUPC. It is proposed that by incorporating these Metadata Profiles, and by extension the recommendations of the NAG Survey Report (which have been positively received by the sector), the tender specification will better meet the metadata needs of consortia members.¹

With the [JISC Plan M project](#) underway, and associated changes to metadata supply on the horizon, clarity on metadata requirements is particularly important so that there is alignment on standards throughout the supply chain.

It is also hoped that these Metadata Profiles and guidance on shelf-ready metadata can be used in future Joint Framework and NAG activities to encourage developments that seek to ensure the quality, reliability and interoperability of metadata for all stakeholders. For example, the inclusion of persistent identifiers in authorised headings and of open access and web accessibility statements.

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¹ Whilst the Framework tender states that all supplied records should adhere to the Metadata Profiles, this will be defined as ‘desirable’ rather than ‘mandatory’ for records for material published prior to 2013, as it may be difficult for suppliers to provide full RDA records for these titles.

2. Principles of the Metadata Profiles

The Metadata Profiles specify the “**Essential**” and “**Desirable**” data elements for inclusion in MARC records for print books, e-books and e-textbooks, and have been devised with reference to the recommendations of the NAG Quality of Shelf-Ready Metadata Survey Report.

The Metadata Profiles incorporate the following principles for metadata creation and quality control:

- All data elements classed as “**Essential**” should be included in the record.
- All data elements classed as “**Essential when applicable**” should be included in the record when this data is relevant for the resource being described, and available for inclusion (the instructions for usage notes provide further detail about relevant application).
- All data elements classed as “**Desirable**” should be included in the record wherever it is possible and practical to do so.
- All data elements should be recorded according to the [MARC 21 Format for Bibliographic Data](#), and follow [Resource Description and Access \(RDA\)](#) cataloguing standards.
- MARC21 tags for inclusion have been listed in numerical order, with subfields identified by the conventional “\$” symbol – when a MARC field or subfield is repeatable, it is indicated by (R).
- Records not created according to full RDA standards, including hybrid records, should not indicate that they are RDA (e.g. inclusion of the 040 \$e rda code).
- All records that are catalogued to a less than full level should be identified as such in Leader position 17 encoding level.
- It is highly desirable that, wherever possible, data provided in records, whether from a third party or created in-house, be open for sharing and re-use. Any restrictions on metadata re-use or attribution requirements (e.g. the application of an Open Data Commons Attribution License) should be made clear.

2.1. Metadata Profile: MARC21 Print Monograph (Book)

MARC field	Indicators	MARC subfields	Data Element	Application	Instructions for usage
Leader	n/a	n/a	Fixed field, 24 characters, with data elements that define the parameters for the processing of the record.	Essential	Bibliographic level (position 07) should be m – monograph/item as standard. Encoding level (position 17) should be accurately recorded (use # – Full level for complete records only). Character coding scheme should be # – MARC-8 or a – UCS/Unicode.
001	n/a	n/a	Control number	Essential	
003	n/a	n/a	Control number identifier	Essential	
005	n/a	n/a	Date and time of latest transaction	Essential	(machine-generated)
008	n/a	n/a	Fixed-length data elements – general information	Essential	Character positions for All Materials and Books
010	##	\$a	Library of Congress Control Number	Desirable	
015	##	\$a	National Bibliography Number	Desirable	
		\$2	National Bibliography Number Source		
020 (R)	##	\$a	ISBN	Essential	Where possible supply all available physical format ISBNs (i.e. hardback and paperback)
		\$z (R)	ISBN (invalid/alternative)	Essential when applicable	Use for all available ISBNs for electronic versions
		\$q (R)	Qualifying information	Essential	To be included with each instance of the 020 field
035 (R)	##	\$a	System control number	Desirable	Control number of a system other than the one whose control number is contained in field 001
040	##	\$a	Original cataloguing agency	Essential	
		\$b	Language of cataloguing	Essential	
		\$d (R)	Modifying agency	Essential when applicable	
		\$e (R)	Description conventions	Essential	Source code should be rda for fully RDA-compliant records only
050	#4	\$a \$b	Library of Congress Call Number	As requested by the library	
060	#4	\$a \$b	National Library of Medicine Call Number		
082	7#	\$a \$b \$2	Dewey Decimal Classification Number		

1XX = 100 or 110 or 111 or 130	1# 2# 2# 0#	\$a + others as applicable	Main entry heading: Personal name, Corporate name, Meeting name, or Uniform title	Essential when applicable	Wherever possible, Library of Congress Authority Headings should be used. It is desirable that URIs be included with authorised headings in \$1
240	00	\$a	Uniform title (if other 1XX used)	Essential when applicable	Used when a work has appeared under varying titles, necessitating that a particular title be chosen to represent the work.
245	10	\$a \$c	Title and Statement of responsibility	Essential	
		\$b	Subtitle	Essential when applicable	
		\$n \$p (R)	Number and title of part/section		
246 (R)	13	\$a \$b	Varying form of title	Essential when applicable	
250 (R)	##	\$a \$b	Edition statement	Essential when applicable	
264 (R)	#1	\$a	Place of publication	Essential	
		\$b	Name of publisher	Essential	
		\$c	Date of publication	Essential	
264	#4	\$c	Date of copyright notice ©	Essential when applicable	Applicable when date of publication is assumed from copyright notice or when the date of copyright notice differs from date of publication.
300	##	\$a (R)	Extent	Essential	
		\$b	Other physical details	Essential when applicable	
		\$c (R)	Dimensions	Essential	
		\$e	Accompanying material	Essential when applicable	
336 (R)	##	\$a \$b \$2	Content type = text	Essential	\$2 source should be rdacontent
337 (R)	##	\$a \$b \$2	Media type = unmediated	Essential	\$2 source should be rdamedia
338 (R)	##	\$a \$b \$2	Carrier type = volume	Essential	\$2 source should be rdacarrier
490 (R)	1#	\$a \$v	Series statement	Essential when applicable	
504 (R)	##	\$a	Bibliography note	Desirable	
505 (R)	0#	\$a	Contents note	Essential in some cases	Essential for listing titles of volumes when the work being described is composed of multiple volumes. Usage is desirable for describing tables of contents.
520 (R)	##	\$a	Summary/abstract	Desirable	
6XX (R) 600 (R) 610 (R)	10 20	\$a	Subject headings: Personal name Corporate name	Essential	Library of Congress Subject Headings are essential and the inclusion of URIs is desirable when possible. Additional

650 (R) 651 (R) 655 (R)	#0 #0 #0	+ others as applicable	Topical term Geographic name Genre/Form term		FAST headings are desirable. FAST headings should include \$2 source and \$0 control numbers.
7XX (R) 700 (R) 710 (R) 711 (R)	1# 2# 2#	\$a + others as applicable	Added entry headings: Personal name, Corporate name, Meeting name,	Essential when applicable	Wherever possible, Library of Congress Authority Headings should be used. It is desirable that URIs be included with authorised headings.
776 (R)	0#	\$i \$a \$t \$b \$d \$z \$w	Additional physical form entry	Desirable	This is desirable for e-book versions of the work, including any that are open access. 776 fields should include \$i relationship information, \$a main entry heading, \$t title, \$b edition, \$d place, publisher and date of publication, \$z ISBN and, if possible, \$w record control number (e.g. OCLC).
830 (R)	#0	\$a \$v	Series added entry	Essential when applicable	Library of Congress headings for series uniform titles should be included when they exist. It is desirable that URIs be included with authorised headings.
856 (R)	41	\$u	URL to electronic version of resource	Desirable	When an open access e-book version of the title is available, it is desirable to provide a link to the resource using this field. This field should include a subfield \$7 access status with code 0 for open access.

2.2. Metadata Profile: MARC21 Electronic Monograph (E-Book or E-Textbook)

MARC field	Indicators	MARC subfields	Data Element	Application	Instructions for usage
Leader	n/a	n/a	Fixed field, 24 characters, with data elements that define the parameters for the processing of the record.	Essential	Bibliographic level (position 07) should be m – monograph/item as standard. Encoding level (position 17) should be accurately recorded (use # – Full level for complete records only). Character coding scheme should be # – MARC-8 or a – UCS/Unicode.
001	n/a	n/a	Control number	Essential	
003	n/a	n/a	Control number identifier	Essential	
005	n/a	n/a	Date and time of latest transaction	Essential	(machine-generated)
006	n/a	n/a	Fixed-length data elements – additional material characteristics	Essential	Character positions for computer files/electronic resources (m)
007	n/a	n/a	Physical description fixed field – general information	Essential	Character positions for electronic resource (c)
008	n/a	n/a	Fixed-length data elements – general information	Essential	Character positions for All Materials and Books
010	##	\$a	Library of Congress Control Number	Desirable	
015	##	\$a	National Bibliography Number	Desirable	
		\$2	National Bibliography Number Source	Desirable	
020 (R)	##	\$a	ISBN	Essential	Use for all available ISBNs for electronic versions
		\$z (R)	ISBN (invalid/alternative)	Essential when applicable	To be used for all available ISBNs for print versions
		\$q (R)	Qualifying information	Essential	To be included with each instance of the 020 field
035 (R)	##	\$a	System control number	Desirable	Control number of a system other than the one whose control number is contained in field 001
040	##	\$a	Original cataloguing agency	Essential	
		\$b	Language of cataloguing	Essential	
		\$d (R)	Modifying agency	Essential when applicable	
		\$e (R)	Description conventions	Essential	Source code should be rda for fully RDA-compliant records only
050	#4	\$a \$b	Library of Congress Call Number	As requested	

060	#4	\$a \$b	National Library of Medicine Call Number	by the library	
082	7#	\$a \$b \$2	Dewey Decimal Classification Number		
1XX = 100 or 110 or 111 or 130	1# 2# 2# 0#	\$a + others as applicable	Main entry heading: Personal name, Corporate name, Meeting name, or Uniform title	Essential when applicable	Wherever possible, Library of Congress Authority Headings should be used. It is desirable that URIs be included with authorised headings in \$1
240	00	\$a	Uniform title (if other 1XX used)	Essential when applicable	Used when a work has appeared under varying titles, necessitating that a particular title be chosen to represent the work.
245	10	\$a \$c	Title and Statement of responsibility	Essential	
		\$b	Subtitle	Essential when applicable	
		\$n \$p (R)	Number and title of part/section		
246 (R)	13	\$a \$b	Varying form of title	Essential when applicable	
250 (R)	##	\$a \$b	Edition statement	Essential when applicable	
264 (R)	#1	\$a	Place of publication	Essential	
		\$b	Name of publisher	Essential	
		\$c	Date of publication	Essential	
264	#4	\$c	Date of copyright notice ©	Essential when applicable	Applicable when date of publication is assumed from copyright notice or when the date of copyright notice differs from date of publication.
300	##	\$a (R)	Extent	Essential	
		\$b	Other physical details	Essential when applicable	
		\$c (R)	Dimensions	Essential	
		\$e	Accompanying material	Essential when applicable	
336 (R)	##	\$a \$b \$2	Content type = text	Essential	\$2 source should be rdacontent
337 (R)	##	\$a \$b \$2	Media type = computer	Essential	\$2 source should be rdamedia
338 (R)	##	\$a \$b \$2	Carrier type = online resource	Essential	\$2 source should be rdacarrier
490 (R)	1#	\$a \$v	Series statement	Essential when applicable	
504 (R)	##	\$a	Bibliography note	Desirable	
505 (R)	0#	\$a	Contents note	Essential in some cases	Essential for listing titles of volumes when the work being described is composed of multiple volumes. Usage is desirable for describing tables of contents.

506	0#	\$a \$f \$2	Restrictions on access note	Desirable	The first indicator for restriction should be 0 for no restrictions when the resource is open access. Open access should be indicated either with a note in subfield \$a (terms governing access) or standardised terminology for access restriction in subfield \$f with the source of term specified in \$2.
520 (R)	##	\$a	Summary/abstract	Desirable	
533 (R)	##	\$a \$p \$c \$d \$e	Reproduction note	Desirable	Should include subfields \$a type of reproduction, \$b place of reproduction, \$c agency responsible for reproduction, \$d date of reproduction and \$e physical description of reproduction.
540 (R)	##	\$a	Terms governing use and reproduction note	Desirable	Use if restrictions apply to open access e-books.
588 (R)	##	\$a	Source of description note	Desirable	
6XX (R) 600 (R) 610 (R) 650 (R) 651 (R) 655 (R)	10 20 #0 #0 #0	\$a + others as applicable	Subject headings: Personal name Corporate name Topical term Geographic name Genre/Form term	Essential	Library of Congress Subject Headings are essential and the inclusion of URIs is desirable when possible. Additional FAST headings are desirable. FAST headings should include \$2 source and \$0 control numbers.
7XX (R) 700 (R) 710 (R) 711 (R)	1# 2# 2#	\$a + others as applicable	Added entry headings: Personal name, Corporate name, Meeting name,	Essential when applicable	Wherever possible, Library of Congress Authority Headings should be used. It is desirable that URIs be included with authorised headings.
776 (R)	0#	\$i \$a \$t \$b \$d \$z \$w	Additional physical form entry	Desirable	This is desirable field for describing the print version of the work. 776 fields should include \$i relationship information, \$a main entry heading, \$t title, \$b edition, \$d place, publisher and date of publication, \$z ISBN and, if possible, \$w record control number (e.g. OCLC).
830 (R)	#0	\$a \$v	Series added entry	Essential when applicable	Library of Congress headings for series uniform titles should be included when they exist. It is desirable that URIs be included with authorised headings.
856 (R)	40	\$u	URL to electronic resource	Essential	Where the resource is open access, this must be indicated by the inclusion of a subfield \$7 access status code with a value of 0.

3. Example Records (from NAG Quality of Shelf-Ready Metadata Survey Report)

3.1. Example MARC21 Record for a Print Monograph (Book)

MRC	Ind	Key: Essential / Desirable / As specified by library / * system-generated data
LDR		*****nam##22*****#i#4500
001*		on1104860649
003*		OCoLC
005*		20200318083226.0
008		*****t20202020enka#####b#####001#0#eng##
010	##	\$a ##2019023989
015	##	\$a GBC007900 \$2 bnb
020	##	\$a 9781509530137 \$q (hardcover)
020	##	\$a 1509530134 \$q (hardcover)
020	##	\$a 9781509530144 \$q (paperback)
020	##	\$a 1509530142 \$q (paperback)
020	##	\$z 9781509530168 \$q (ebook)
035	##	\$a (OCoLC)on1104860649
040	##	\$a DLC \$b eng \$e rda \$d OCLCO
050	00	\$a ML3790 \$b .W52 2020
082	00	\$a 338.4/778 \$2 23
100	1#	\$a Wilkström, Patrik, \$e author. \$0 http://id.loc.gov/authorities/names/nb2010000653
245	14	\$a The music industry : \$b music in the cloud / \$c Patrik Wikström.
250	##	\$a Third edition.
264	#1	\$a Cambridge, UK ; \$a Medford, MA : \$b Polity Press, \$c 2020.
264	#4	\$c ©2020
300	##	\$a x, 230 pages : \$b illustrations ; \$c 22 cm.
336	##	\$a text \$b txt \$2 rdacontent
337	##	\$a unmediated \$b n \$2 rdamedia
338	##	\$a volume \$b nc \$2 rdacarrier
490	1#	\$a Digital media and society series
504	##	\$a Includes bibliographical references (pages 199-223) and index.
505	0	\$a Intro -- Front Matter -- Introduction: Music in the Cloud -- 1. A Copyright Industry -- 2. Inside the Music Industry -- 3. Music and the Media -- 4. Making Music -- 5. The Social and Creative Music Fan -- 6. Future Sounds -- References -- Index.
520	##	\$a Since the first edition was published in 2009, Patrik Wikström's book has become a go-to text for students and scholars. This thoroughly updated third edition provides an international overview of the music industry and its future prospects in the world of global entertainment.
650	#0	\$a Music trade. \$0 http://id.loc.gov/authorities/subjects/sh85088944
650	#0	\$a Sound recording industry. \$0 http://id.loc.gov/authorities/subjects/sh85125388
650	#0	\$a Music and the Internet. \$0 http://id.loc.gov/authorities/subjects/sh2004002303
650	#0	\$a Music \$x Social aspects. \$0 http://id.loc.gov/authorities/subjects/sh85088891
650	#7	\$a Music and the Internet. \$2 fast \$0 (OCoLC)fst01200152
650	#7	\$a Music \$x Social aspects. \$2 fast \$0 (OCoLC)fst01030444
650	#7	\$a Music trade. \$2 fast \$0 (OCoLC)fst01030641
650	#7	\$a Sound recording industry. \$2 fast \$0 (OCoLC)fst01127019
655	#7	\$a History. \$2 fast \$0 (OCoLC)fst01411628
776	08	\$i Online version: \$a Wikström, Patrik, \$t The music industry \$b Third edition. \$d Cambridge ; Medford : Polity, 2020. \$z 9781509530168 \$w (DLC) 2019023990
830	#0	\$a Digital media and society series. \$0 http://id.loc.gov/authorities/names/no2007139966

3.2. Example MARC21 Record for a Electronic Monograph (E-Book or E-Textbook)

MRC	Ind	Key: Essential / Desirable / As specified by library / * system-generated data
LDR		*****nam##22*****#i#4500
001*		on1104910376
003*		OCoLC
005*		20200318123925.0
006		m#####o##d#####
007		cr#cn\
008		*****t20202020enka####ob####001#0#eng##
010	##	\$a ##2019023989
015	##	\$a GBC007900 \$2 bnb
020	##	\$a 9781509530168 \$q (ebook)
020	##	\$z 9781509530137 \$q (hardcover)
020	##	\$z 9781509530144 \$q (paperback)
035	##	\$a (OCoLC)on1104910376
040	##	\$a DLC \$b eng \$e rda \$d OCLCO
050	00	\$a ML3790 \$b .W52 2020
082	00	\$a 338.4/778 \$2 23
100	1#	\$a Wilkström, Patrik, \$e author. \$0 http://id.loc.gov/authorities/names/nb2010000653
245	14	\$a The music industry : \$b music in the cloud / \$c Patrik Wikström.
250	##	\$a Third edition.
264	#1	\$a Cambridge, UK ; \$a Medford, MA : \$b Polity Press, \$c 2020.
264	#4	\$c ©2020
300	##	\$a 1 online resource (x, 230 pages) : \$b illustrations.
336	##	\$a text \$b txt \$2 rdacontent
337	##	\$a computer \$b c \$2 rdamedia
338	##	\$a online resource \$b cr \$2 rdacarrier
347	##	\$a text file \$2 rdaft
347	##	\$b HTML/PDF
490	1#	\$a Digital media and society series
504	##	\$a Includes bibliographical references (pages 199-223) and index.
505	0	\$a Intro -- Front Matter -- Introduction: Music in the Cloud -- 1. A Copyright Industry -- 2. Inside the Music Industry -- 3. Music and the Media -- 4. Making Music -- 5. The Social and Creative Music Fan -- 6. Future Sounds -- References -- Index.
520	##	\$a Since the first edition was published in 2009, Patrik Wikström's book has become a go-to text for students and scholars. This thoroughly updated third edition provides an international overview of the music industry and its future prospects in the world of global entertainment.
533	##	\$a Electronic reproduction. \$b Ann Arbor, MI : \$c ProQuest, \$d 2019. \$e Available via World Wide Web. Access may be limited to ProQuest affiliated libraries.
588	##	\$a Description based on print version record.
650	#0	\$a Music trade. \$0 http://id.loc.gov/authorities/subjects/sh85088944
650	#0	\$a Sound recording industry. \$0 http://id.loc.gov/authorities/subjects/sh85125388
650	#0	\$a Music and the Internet. \$0 http://id.loc.gov/authorities/subjects/sh2004002303
650	#0	\$a Music \$x Social aspects. \$0 http://id.loc.gov/authorities/subjects/sh85088891
650	#7	\$a Music and the Internet. \$2 fast \$0 (OCoLC)fst01200152
650	#7	\$a Music \$x Social aspects. \$2 fast \$0 (OCoLC)fst01030444
650	#7	\$a Music trade. \$2 fast \$0 (OCoLC)fst01030641
650	#7	\$a Sound recording industry. \$2 fast \$0 (OCoLC)fst01127019
655	#7	\$a History. \$2 fast \$0 (OCoLC)fst01411628
776	08	\$i Print version: \$a Wikström, Patrik, \$t The music industry \$b Third edition. \$d Cambridge ; Medford : Polity, 2020. \$z 9781509530137 \$w (DLC) 2019023989
830	#0	\$a Digital media and society series. \$0 http://id.loc.gov/authorities/names/no2007139966
856	40	\$u https://ebookcentral.proquest.com/lib/none/detail.action?docID=6011629