

DUTCH THESES VS COMMERCIALY PUBLISHED THESES – New records – in MARC 21 and RDA

It is important to distinguish between the description of a published thesis and the description of a commercially published edition of a thesis to prevent automated merging of bibliographic records in WorldCat by DDR. Here are a few guidelines that may help.

Strategic considerations for Dutch theses

- Dutch theses are always published and submitted in the published form.
- Some theses may also be published at the same or at a later time by a commercial publisher: in these cases, the publication is not treated as a thesis, but as a book (when the thesis is textual).
- There may be an online version both of the thesis (usually made available in an institutional repository) and of the commercially published book based on the thesis. Both are considered to be published.

As both the thesis and the commercially published edition based on this thesis, either in print or online, are considered to be published, **OCLC guidelines for unpublished theses** do not apply.

Here are guidelines for describing published Dutch theses and commercially published editions based on these theses.

Describing a thesis versus a commercially published edition

Both the thesis and the commercially published edition, either in print or online, are considered to be published. Therefore LDR/06 (Type of record) should always be coded with an “a” (language material) when the thesis consists of textual material.

The main difference in the bibliographic description of a thesis versus its commercially published edition is this: A record of a thesis contains a statement declaring the work to be a dissertation or thesis.

A record of a commercially published edition should contain a Note: Originally published as

A publication containing two title pages, for both the thesis and the commercial edition, is treated as a thesis. An additional note should be added indicating the work to be a commercial publication as well stating “Also commercial edition”

When a record contains a tag 502 Dissertation note and/or a tag 008 with value ‘m’ (Theses) at position 24-27, the record is treated as a thesis in WorldCat and will not be merged by DDR with the commercially published edition.

The distinguishing statement in a record of a thesis consists of:

- the value ‘m’ (Theses) at position 07-10 of tag 006 = Nature of Contents Code (when the first position of tag 006 = ‘a’ (language material)).
- the value ‘m’ (Theses) at position 24-27 of tag 008 = Nature of Contents Code (in case of “books”)
- the presence of tag 502 = Dissertation note

Use of the tags 006 and 008

According to the definition of tag 006, in general it is used for coding elements which don't fit in tag 008 (e.g. because there are not enough positions for a certain value available) or in cases of additional or accompanying material. So, the use of the positions in tag 008 is preferable above adding a tag 006.

This policy is followed in WorldCat, **except for electronic resources**. In cases of electronic material both tag 006 and tag 008 need to be used in WorldCat. Tag 006 is used, as an extra check, for electronic material. And both tags need to be 'complete', i.e. all relevant positions need to be filled in, although there is an overlap between the tags.

When describing a thesis, tag 502 is mandatory. It should include \$b<Degree Type>\$c<Name of granting institution>\$d<Year>.

When describing a commercially published book based on a thesis, a tag 500 \$a should be added with a note stating that the book was 'Originally published as....' (or another text to this effect). This note is optional, but it is considered to be good practice to provide this information.

Relevant RDA definitions

NB: Always check the RDA Toolkit for current and further explanations.

7.9.1.3 Recording Dissertation or Thesis Information

Treat the work being described as a dissertation or thesis presented as part of the requirements for an academic degree if it contains a statement declaring that it is a dissertation or thesis. Record the following information:

- a) the degree for which the author was a candidate (see 7.9.2 **RDA**)
- b) the name of the institution or faculty to which the thesis was presented (see 7.9.3 **RDA**)
- c) the year in which the degree was granted (see 7.9.4 **RDA**).

OCLC Input Standard for relevant MARC tags

| | |
|---|--|
| Leader/06; 006/00 | Mandatory. One-character code. Code used to define the characteristics and components of the record. Use to differentiate records created for various types of content and material, and to determine the appropriateness and validity of certain data elements in the record. |
| Theses and dissertations | Determine the form of the thesis and use the appropriate code. For unpublished textual theses, use code <i>t</i> . For unpublished notated music theses, use code <i>d</i> . For unpublished cartographic theses, use code <i>f</i> . For microform reproductions, photocopies, and print-on-demand theses, use the code applicable to the original thesis. Code Form for the reproduction aspect of the item. Consider online theses to be published, and along with other subsequently republished versions, determine the form and use the appropriate code. For online textual theses, use code <i>a</i> . For online notated music theses, use code <i>c</i> . For online cartographic theses, use code <i>e</i> . Code Form for the electronic aspect of the item. |
| <u>MARC21 description for the use of tag 006:</u> | |
| Eighteen characters positions (00-17) that provide for coding information about special aspects of the item being cataloged that cannot be coded in field 008 (Fixed-Length Data Elements). It is used in cases when an item has multiple characteristics (e.g., printed material with an accompanying cassette or a map that is issued serially) and to record the coded serial aspects of non-textual continuing resources. | |
| Cont: Nature of Contents | Bytes BKS: 008/24-27; 006/07-10 CNR: 008/25-27; 006/08-10 |

| | |
|------------|--|
| | <p>Input Standards BKS: Optional. Four one-character codes. Default: #### CNR: Optional. Three one-character codes. Default: ###</p> <p>Code: m – Theses BKS, CNR.: The item is a thesis, dissertation or work identified as having been created to satisfy the requirements for an academic certification or degree.</p> <p>Cont m### 502 \$b M.S. \$c Oregon State University \$d 2013</p> |
| 502 | <p>A note that gives the designation of an academic dissertation or thesis and the institution to which it was presented. Use field 502 also to include the degree for which the author was a candidate, name of the granting institution or faculty, the year it was granted, and the dissertation identifier. Dissertation information may be encoded as a note in subfield †a or parsed into specific subfields.</p> <p>Use field 500 for other notes indicating the relationship between the item being cataloged and the author's dissertation or thesis (e.g., Originally presented as...). Use field 500 also for notes concerning abstracts, abridgements, or revision of theses, as well as honors papers, term papers, etc., which are not submitted as part of requirements for an academic degree.</p> |

Examples of MARC-records

Thesis description

```
LDR_____nam_____
008 100224s2009____xx_____mbd 000_0_eng_d
502 $b<Degree Type>$c<Name of granting institution> $d<Year>.
```

Electronic thesis

Electronic thesis as online PDF reproduced from print copy by non-profit academic agency. Because the reproduction is in a different medium from the original, it needs a record of its own.

```
LDR_____nam_____
6 m_____o d_
7 cr |nu---unuuu
008 100419s2017 ne o m b d 000 0 eng d
502 $b<Degree Type>$c<Name of granting institution> $d<Year>.
```

Commercial printed edition of a thesis

The same text or a revised version thereof published as a printed monograph sometime later, so not treated as a thesis

```
LDR_____nam_____
008 120629s2013____ne_____bd_____000_0_dut_d
500 $aOok verschenen als proefschrift Universiteit van Amsterdam, 2013.
```

Commercial electronic edition of a thesis

The same text or a revised version thereof published as a printed monograph sometime later, so not treated as a thesis.

```
LDR_____nam_____
006 m_____o d_____
007 cr |nu---unuuu
008 090506s2009____ne_____obd_____000_0_eng_d
```

500 \$aAlso published as the author's thesis--Rijksuniversiteit Groningen, 2009.

Publication simultaneously published as commercial edition and Thesis

LDR _____ nam _____
 008 100224s2009____xx_____mbd__000_0_eng_d
 500 \$aAlso commercial edition.
 502 \$b<Degree Type>\$c<Name of granting institution> \$d<Year>.

Sources used:

- [RDAToolkit](#)
- [MARC21 Format for Bibliographic Data](#)

Include these elements in the record to distinguish between a thesis versus a commercially published edition:

| Print | Thesis | Commercially published edition |
|--------------|--|---------------------------------------|
| LDR/06 | a (language material) (in general) | a (language material) (in general) |
| 008/24-27 | m (theses) (in case of "books") | |
| 502 | \$b<Degree Type>\$c<Name of granting institution> \$d<Year> | |
| 500 | | Originally published as.... |

| Electronic | Thesis | Commercially published edition |
|-------------------|---|---------------------------------------|
| LDR/06 | a (language material) (in general) | a (language material) (in general) |
| 006/00 | m (computer file/electronic resource) | m (computer file/electronic resource) |
| 006/06 | o (online); q (direct electronic) | o (online); q (direct electronic) |
| 008/24-27 | m (theses) (in case of "books") | |
| 007 | <relevant positions> | <relevant positions> |
| 502 | should include: \$b<Degree Type>\$c<Name of granting institution> \$d<Year> | |
| 500 | | Originally published as.... |

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