Guidelines for cataloguing theses for the Australian National Bibliographic Database

- General guidelines for cataloguing theses
- Cataloguing electronic theses
- Theses presented in multiple forms or reproduced in different forms

Theses (or dissertations) have traditionally been considered to be unpublished works of very limited distribution, i.e. original typescripts, photocopies or works compiled with the use of computer desktop publishing software. They are now increasingly being produced in electronic form, or being copied from print to electronic formats for ease of access. There is a valid argument for considering such electronic formats to have changed the nature of theses, from unpublished to published resources. However there is still legitimate cause to treat some theses as manuscripts.

Australian theses have been recorded on the Australian National Bibliographic Database to make them easily identifiable and accessible by Australian libraries and Australian researchers and students, as well as the broader community. Adding records for theses, print and digital, are encouraged and may be contributed through files of records or online (see our Cataloguing page for more information on cataloguing methods available in Libraries Australia).

These guidelines have been prepared to assist in the interpretation of general cataloguing rules and practices. The guidelines recommend particular practices applicable to all theses, such as the use of the MARC 500 field to indicate whether the thesis is by coursework, and also practices for the cataloguing of electronic theses and reproductions of theses (e.g. in microform, photocopy or digital form).
General guidelines for cataloguing theses

Leader/06 **Type of record** (depends on the policy of the cataloguing institution; see comments above).

May be catalogued as either a:

- Monograph (Language material), Leader/06=a, or
- Manuscript (Manuscript language material), Leader/06=t

**Leader/18 Descriptive cataloguing form** "i" indicates ISBD punctuation for RDA records and "a" is used for AACR2 records.

**008/7-10 Date of Publication**

The date in the 008 control field should be the same as that in the MARC 260/264 subfield $c$ (i.e. the date the thesis was produced).

**008/15-17 Place of Publication**

The Place of publication code is derived from the place where the institution granting the degree is located as named in the *Dissertation Note*.

**008/24-27 Nature of Contents**

Should contain the code "m" (thesis).

**040 Cataloguing source**

The $e$ subfield is used to indicate a record is catalogued according to RDA. If cataloguing according to AACR2 the $e$ subfield may be used to record the use of an AACR2 manual.
042 Australian Content Indicator

If a thesis is produced at an Australian institution, by an Australian author or the content relates to Australia, indicate this in the MARC 042 subfield $a, by adding the code "anuc" (Australian National Union Catalogue).

042 ## $aanuc

RDA
1XX Authorised access point
Determined according to Section 3 of RDA.

AACR2
1XX Main entry heading
Determined according to AACR2.

100 1# $aSmith, Joanna,$eauthor

For an RDA compliant record the appropriate relator term(s) should be added. Refer to the MARC code list of relators http://www.loc.gov/marc/relators/

245 $h General Material Designation (GMD)

If produced as a manuscript, the GMD will be [manuscript].

A General Material Designation (GMD) from List 2 under section 1.1C1 in AACR2 may be used instead of the fields containing content and carrier types, 336 and 338.
260 / 264 $c Date of Publication

According to RDA the 260 or 264 $c date subfield is mandatory. If cataloguing according to AACR2 the 260 $c is optional.

Note the indicators for the 260 and 264 fields are different:

<table>
<thead>
<tr>
<th>RDA</th>
<th>AACR2</th>
</tr>
</thead>
<tbody>
<tr>
<td>260 ## published or unpublished item</td>
<td>260 ## published or unpublished item</td>
</tr>
<tr>
<td>264 #0 unpublished item</td>
<td>264 #0 unpublished item</td>
</tr>
<tr>
<td>264 #1 published item</td>
<td>264 #1 published item</td>
</tr>
</tbody>
</table>

The only data element present will be the date in the $c subfield. In manuscript records this date is the date of writing of the thesis. The date of publication should also be added to MARC 008/7-10. In some cases, libraries use the date of conferring of the degree. If this is the case, it should also be indicated by a General Note in the MARC 500 field, e.g.

264 #0 $c2015.

500 ## $aDegree conferred 2015; thesis submitted 2014.

336 Content type (RDA only)

This field is repeatable if the material contains a number of content types.

336 ## $atext$btxt$2rdaccontent

Refer to the MARC list of content types,
http://www.loc.gov/standards/vluelist/rdaccontent.html
337 Media type (RDA only)

The inclusion of this field is optional and can be repeated if necessary.

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

Refer to the MARC list of media types,
http://www.loc.gov/standards/valuelist/rdamedia.html

338 Carrier type (RDA only)

This field is repeatable if the material consists of more than one carrier type.

338 $$a$$volume$$b$$n$$c$$nc$$2$$rdacarrier

Refer to the MARC list of carrier types,
http://www.loc.gov/standards/valuelist/rdacarrier.html

500 General Note

If known, include a note to indicate if the thesis is by Coursework,

500 $$a$$Coursework.

Some libraries may choose to use the General Note field to further describe the type of thesis:

500 $$a$$Honours thesis.

500 $$a$$Submitted in fulfilment of the requirements for the degree of Doctor of Philosophy to the Department of Civil Engineering.

Note: The General Note should supplement, not replace, the Dissertation Note.
502 Dissertation Note

The Dissertation Note includes the word Thesis, qualified by the degree (in parentheses) and the name of the institution in a single subfield,


Alternatively, the information may be parsed into specific subfields:

$b Degree type
$c Name of granting institution
$d Year degree granted
$g Miscellaneous information
$o Dissertation identifier

502 ## $gThesis$bPh.D.$cUniversity of Sydney$d2004$oT9999.

710 Corporate Author Added Entry

If information about the school or faculty is required, this should be included in an added entry:

RDA

710 2# $aUniversity of Adelaide. $bDepartment of Psychology, $eDegree granting institution

AACR2

710 2# $aUniversity of Adelaide. $bDepartment of Psychology.

Where the added entry is included in the record, the General Note (500) re submission of the thesis should also be included (see p. 5).
Enriched data:

For better searching and analysis, it is recommended that Abstracts/Summary and Table of Contents data be included as far as possible.

520 Summary

Include the abstract, either author produced or library produced.

505 Formatted Contents Note

Include a formatted table of contents if available.
Example 1: Thesis catalogued as a monograph

**RDA**

Leader/06a
Leader/18i
008/07-10 1969
008/15-17 aca
008/24-27m
040 ## $aLC$beng$erda$cLC$dXNTU
042 ## $aanuc
100 1# $aLawrence, Roger$q(Roger J.),$eauthor
245 10 $aAboriginal habitat and economy /$cRoger Lawrence.

264 #0 $c1969.
300 ## $avii, 290 pages :$billustrations, maps ;$c30 cm.
336 ## $atext$btxt$2rdaccontent
338 ## $avolume$bnc$2rdacarrier
500 ## $aCoursework.
500 ## $aSubmitted in fulfilment of the requirements for the degree of Master of Arts to the Department of Geography.
502 ## $aThesis (M.A.)--Australian National University, 1969.

**AACR2**

Leader/06a
Leader/18a
008/07-10 1969
008/15-17 aca
008/24-27m
040 ## $aLC$beng$LC$dXNTU
042 ## $aanuc
100 1# $aLawrence, Roger$q(Roger J.)
245 10 $aAboriginal habitat and economy /$cRoger Lawrence.
260 ## $c1969.

300 ## $avii, 290 p. :$bills., maps ;$c30 cm.
500 ## $aCoursework.
500 ## $aSubmitted in fulfilment of the requirements for the degree of Master of Arts to the Department of Geography.
502 ## $aThesis (M.A.)--Australian National University, 1969.
Includes bibliographical references (pages 259-290).

Aboriginal Australians

Aboriginal Australians

Aboriginal Australians

Aboriginal Australians

Aboriginal Australians

University of Adelaide

Degree granting institution
Example 2: Thesis catalogued as a manuscript

RDA

Leader/06t
Leader/18i
008/07-101972
008/15-17vra
008/24-27m
040 ## $aANL$beng$erda$dANL
042 ## $aanuc
100 1# $aHo, D. W. S.$q(David Wai Sum),$eauthor
245 10 $aFlexural behavior of unbonded prestressed concrete beams.

264 #0 $c1972.
300 ## $a196 leaves ;$billustrations ;$c30 cm.
336 ## $atext$btxt$2rdaccontent
338 ## $avolume$bnc$2rdacarrier
500 ## $aSubmitted in fulfilment of the requirements for the degree of Doctor of Philosophy to the Department of Civil Engineering.
504 ## $aIncludes bibliographical references (pages 53-64).

AACR2

Leader/06t
Leader/18a
008/07-101972
008/15-17vra
008/24-27m
040 ## $aANL$beng$dANL
042 ## $aanuc
100 1# $aHo, D. W. S.$q(David Wai Sum)
245 10 $aFlexural behavior of unbonded prestressed concrete beams$h[manuscript].
260 ## $c1972.
300 ## $a196 leaves ;$bill. ;$c30 cm.

500 ## $aSubmitted in fulfilment of the requirements for the degree of Doctor of Philosophy to the Department of Civil Engineering.
504 ## $aIncludes bibliographical references (p. 53-64).
An annotated bibliography on education and cultural deprivation, prepared by Susan B. Silverman: pages [65]-179.

Available for reference. Not for loan.

Prestressed concrete beams
Concrete beams

Monash University. Department of Civil Engineering. Degree granting institution
Example 3: Enriched thesis record

RDA

Leader/06a
Leader/18i
008/07-101996
008/15-17xra
008/24-27m
040 ## $aSUA$beng$erda$cSUA$dSUA
042 ## $aanuc
100 1# $aSkrzypiec, Grace K.,$eauthor
245 10 $aAdolescents, food behaviour and television
   /$cGrace k. Skrzypiec.

264 #0 $c1996.
300 ## $a166, [14] leaves :$bcharts, photos ;$c30 cm.
336 ## $atext$btxt$c2rdacontent
338 ## $avolume$bn$c2rdacarrier
500 ## $aCoursework
500 ## $aSubmitted in fulfilment of the requirements for
   the degree of Master of Education to the Department of
   Education.

AACR2

Leader/06a
Leader/18a
008/07-101996
008/15-17xra
008/24-27m
040 ## $aSUA$beng$cSUA$dSUA
042 ## $aanuc
100 1# $aSkrzypiec, Grace K.
245 10 $aAdolescents, food behaviour and television
   /$cGrace k. Skrzypiec.
260 ## $c1996.

300 ## $a166, [14] leaves :$bcharts, photos ;$c30 cm.

500 ## $aCoursework
500 ## $aSubmitted in fulfilment of the requirements for
   the degree of Master of Education to the Department of
   Education.
Several researchers have indicated that the emphasis placed by young people on body shape and appearance has been greatly guided by the media. The aim of this research was to investigate this notion specifically with regard to televised media. It was hypothesised that there would be a relationship between media images, eating attitudes and dietary behaviours, particularly for teenagers with body-image self-schemas who were conscious of their appearance.

Also available in an electronic form.

Body image in adolescence.
Self-esteem in adolescence.
Eating disorders in adolescence.
Television and youth.
Television viewers$x$Psychological aspects.

University of Adelaide.$b$Department of Education.$e$Degree granting institution.
Cataloguing electronic theses

The general guidelines for cataloguing theses should be applied to electronic theses. In addition, the following should apply:

006/00: Computer Files/Electronic Resources: Form of Item

Should contain the code "m" (computer file/electronic resource).

006/09: Computer Files/Electronic Resources: Computer File Type

Should contain the code "d" (document).

007/00: Physical Description: General Information: Category of Material

Should contain the code "c" (electronic resource).

007/01: Physical Description: General Information: Specific Material Designation

Should contain the code "r" (remote) or "o" (optical disk).

008/23: Form of Item

Should contain the code "s" (electronic) if the thesis is published in an electronic format.
**245 $h: General Material Designation (GMD)**

If an electronic thesis, the GMD will be [*electronic resource*].

*Note: Do not use GMD [*electronic resource*] if only table of contents, abstract etc are available electronically, and not the full text of the thesis.*

A General Material Designation (GMD) from List 2 under section 1.1C1 in AACR2 may be used instead of the fields containing content and carrier types, 336 and 338.

**336 Content type (RDA only)**

This field is repeatable if the material contains a number of content types.

```
336 ## $atext$btxt$2rdacontent
```

Refer to the MARC list of content types, [http://www.loc.gov/standards/valuelist/rdacontent.html](http://www.loc.gov/standards/valuelist/rdacontent.html)

**337 Media type (RDA only)**

The inclusion of this field is optional and can be repeated if necessary.

```
337 ## $acomputer$bc$2rdamedia
```

Refer to the MARC list of media types, [http://www.loc.gov/standards/valuelist/rdamedia.html](http://www.loc.gov/standards/valuelist/rdamedia.html)
338 Carrier type (RDA only)

This field is repeatable if the material consists of more than one carrier type.

338 ## $a computer disc $b cd $2 rdacarrier

338 ## $a online resource $b cr $2 rdacarrier

Refer to the MARC list of carrier types, http://www.loc.gov/standards/valuelist/rdacarrier.html

538: Mode of Access

The record should contain a note to indicate mode of access to the electronic resource:

538 ## $a Mode of access: World Wide Web.

856: Electronic Location and Access

An electronic thesis which is available online should contain a MARC 856 field containing the URL of the thesis:


Availability for viewing or document delivery should be indicated in the Public note subfield ($z):

Example of an electronic thesis

**RDA**

Leader/06a  
Leader/18i  
006/00m  
006/09d  
007/00c  
007/01r  
008/07-102002  
008/15-17aca  
008/23s  
008/24-27m  
040 ## $a$ANU$beng$erda$dANU  
042 ## $a$anuc  
100 1# $a$Haine, Simon A.,$e$author  
245 14 $a$The stability of a continuously pumped atom laser /$c$Simon A. Haine.  
256 ## $a$Computer data.  

264 #1 $c$2002.  
336 ## $a$text$btxt$2rdaccontent  
338 ## $a$online resource$bcr$2rdacarrier  
500 ## $a$Coursework.

**AACR2**

Leader/06a  
Leader/18a  
006/00m  
006/09d  
007/00c  
007/01r  
008/07-102002  
008/15-17aca  
008/23s  
008/24-27m  
040 ## $a$ANU$beng$dANU  
042 ## $a$anuc  
100 1# $a$Haine, Simon A.  
256 ## $a$Computer data.  
260 ## $c$2002.  
500 ## $a$Coursework.
Theses presented in multiple forms or reproduced in different forms

For an example of cataloguing a microform reproduction of a thesis see the guidelines for cataloguing microform reproductions.

Many theses are now produced in both print and electronic form, or reproduced in different forms. Ideally each form should be described in a separate record, adding a MARC 530 (Additional Physical Form) note and optionally a MARC 776 (Linking Entry) to indicate the existence of the alternative form. This is consistent with the practice outlined in the Guidelines for cataloguing remote access electronic resources.

When a thesis is produced in multiple formats (e.g. both print and electronic versions), or the original is reproduced in a different form, and both forms of a thesis are catalogued on the one record, the following should be included:

007: Physical Description

If appropriate, repeat the 007 field to allow for the different physical formats described in the same cataloguing record:

007/00-01: cr (electronic resource, remote access)

007/00-01: ta (text, regular print)

008/23: Form of Item

Insert form code for the reproduction as described in the 533 Reproduction Note on p. 21.

008/23: s (electronic)
245 $h: General Material Designation

If appropriate, give in the title and statement of responsibility area the general material designation (GMD) for the reproduction, e.g. $h[electronic resource].

A General Material Designation (GMD) from List 2 under section 1.1C1 in AACR2 may be used instead of the fields containing content and carrier types, 336 and 338.

336 Content type (RDA only)

This field is repeatable if the material contains a number of content types.

336 ## $a$text$b$txt$2rdaccontent

Refer to the MARC list of content types, http://www.loc.gov/standards/valuelist/rdaccontent.html

337 Media type (RDA only)

If appropriate, give the media type of the reproduction.

337 ## $acomputer$bc$2rdamedia

Refer to the MARC list of media types, http://www.loc.gov/standards/valuelist/rdamedia.html

338 Carrier type (RDA only)

If appropriate, give the carrier type of the reproduction.

338 ## $aonline resource$bc$r$2rdacarrier

Refer to the MARC list of carrier types, http://www.loc.gov/standards/valuelist/rdacarrier.html
533: Reproduction Note

Contains information about the additional form (e.g. the electronic version, if the main portion of the record describes the original print version):


534: Original Version Note

Contains information about the original version, where the reproduction is described in the main portion of the record (e.g. print version if the main portion of the record describes the electronic reproduction):

RDA
534 ## $p$:Original: $e$xvi, 420 pages ; 30 cm.

AACR2
534 ## $p$:Original: $e$xvi, 420 p. ; 30 cm.

776: Additional Physical Form (optional)

Include a MARC 776 field (Additional Physical Form) to indicate the existence of the alternative form:

245 10 $aIntegration of children with behaviour disorders$h[electronic resource] :$ba comparative case study analysis in two Australian states.

776 1# $cOriginal$tIntegration of children with behaviour disorders.
Example 1: Print thesis reproduced in electronic form

RDA

Leader/06a
Leader/18i
006/00m
006/09d
007/00c
007/01r
008/07-102004
008/15-17xra
008/23s
008/24-27m
040 ## $aSUA$beng$erda$cSUA
042 ## $aaanuc
100 1# $aBaldock, M. R. J.$q(Matthew R. J.),$eauthor
245 10 $aSelf-regulation of the driving behaviour of older drivers /$cMatthew R.J. Baldock.

264 #1 $c2004.
336 ## $atext$btnxt$2rdacontent
338 ## $aonline resource$bc$2rdacarrier
490 1# $aADT (Australasian Digital Theses program)

AACR2

Leader/06a
Leader/18a
006/00m
006/09d
007/00c
007/01r
008/07-102004
008/15-17xra
008/23s
008/24-27m
040 ## $aSUA$beng$erda$cSUA
042 ## $aaanuc
100 1# $aBaldock, M. R. J.$q(Matthew R. J.)
260 ## $c2004.
Title from screen page; viewed 7 Feb 2005.

Submitted in fulfilment of the requirements for the degree of Doctor of Philosophy to the Department of Psychology.


Electronic publication; full text available in PDF format; abstract in HTML format.

Also available in print form.

Original: xxvi, 420 pages ; 30 cm.


Older automobile drivers$zSouth Australia$xA Safety measures.

Older automobile drivers$zSouth Australia$xA Attitudes.

Self-management (Psychology)

Self-help techniques.

Human behavior$vCase studies.

Traffic accidents$zSouth Australia$vCase studies.

Traffic safety$zSouth Australia.

University of Adelaide.$bDepartment of Psychology,$eDegree granting institution

University of Adelaide.$bCentre for Automotive Safety Research,$eDegree granting institution
Self-regulation of the driving behaviour of older drivers

830 #0 $aAustralian Digital Theses Program
856 4# $zClick here to access
Example 2: Photoreproduction

RDA

Leader/06a
Leader/18i
008/07-101994
008/15-17miu
008/23r
008/24-27bm
040 ## $aNUWS:W$beng$erda
082 04 $a610.73069$221
100 1# $aDaugherty, Kay Suzanne,$eauthor
245 14 $aThe essence of staff nurse job satisfaction :$bconnectedness, a grounded theory /$cby Kay Suzanne Daugherty.

264 #0 $aAnn Arbor, Michigan :$bUMI Dissertation Services,$c1994.
300 ## $axiii, 215 leaves ;$c21 cm.
336 ## $atext$btxt$2rdacarrier
338 ## $avolume$bnc$2rdacarrier

AACR2

Leader/06a
Leader/18a
008/07-101992
008/15-17xx
008/23r
008/24-27bm
040 ## $aNUWS:W$beng
082 04 $a610.73069$221
100 1# $aDaugherty, Kay Suzanne
245 14 $aThe essence of staff nurse job satisfaction :$bconnectedness, a grounded theory /$cby Kay Suzanne Daugherty.

300 ## $axiii, 215 leaves ;$c28 cm.