Appendix B: Preliminary Records

General Information

Preliminary records are created for collections which will not be processed immediately. These can be closed collections, in which all materials have been received, or ongoing collections, in which more materials will be received in the future. Preliminary records consist of a bibliographic record, one or more mfhd records, and, if applicable, one or more item records. Features of a preliminary bibliographic record are:

Contains at least the following fields: Leader [2], 008 [3], 040 [4], 1XX [5] (if applicable), 245 [6], 300 [7], brief 520 [8], 555 [9] (if applicable), at least one 6XX [10], and 852 [11].

Leader/Encoding level [12]: 7 (Minimal level processing).

Date span: for unprocessed collection of personal papers, if undetermined, may be given as "ca. [birth date]-[death date]" in 245 ‡f [6]. Date span of an ongoing collection may be given as "[ongoing]" in 245 ‡f, with "9999" in the 008 Date 2 [13], or as an estimated closing date in 245 ‡f and 008 Date 2.

300 [7]: contains estimated linear footage. For an ongoing collection, may be given as "ms."

520 [8]: contains a general description of the types of material in the collection.

555 [9]: notes available access tools, for example "Unprocessed collection. Preliminary finding aid available. For further information, consult the Public Service Desk."

Optional fields:

041 [14] and 546 [15]: note languages represented.

506 [16]: notes any restriction.

Preliminary records can be exported [17] to OCLC and MARS.

Examples

Example Fields, Closed Collection:

Leader:

... Encoding Level: 7 ...

008:

... Publication Status: i Date 1 1926 Date 2 1988 ...

Language: eng: English
Variable Fields:
040  ‡a CtY-BR ‡c CtY-BR ‡e dacs
100  ‡a Lees-Milne, James.
245 10 ‡a James Lees-Milne papers, ‡f ca. 1926-1988.
300  ‡a 7.25 ‡f linear feet
506  ‡a Diaries restricted. For further information consult the appropriate curator.
520  ‡a Correspondence, photographs, printed material, writings, diaries.
555  ‡a Unprocessed collection. Preliminary finding aid available. For further information, consult the Public Service Desk.
600  ‡a Lees-Milne, James.
852  ‡a Beinecke Rare Book and Manuscript Library, Yale University, New Haven, CT

Example Fields, Ongoing Collection

Leader:
... Enabling Level: 7 ...

008:
... Publication Status: i
Date 1 1917
Date 2 1999
... Language: eng: English ...

Variable Fields:
040  ‡a CtY-BR ‡c CtY-BR ‡e dacs
100  ‡a Lord, James
245 10 ‡a James Lord papers, ‡f 1917-[ongoing]
300  ‡a ms.
520  ‡a Writings, correspondence, research notes, artwork, audio tapes, printed material and photographs.
555  ‡a Unprocessed collection. For further information, consult the Public Service Desk.
600  ‡a Lord, James.
852  ‡a Beinecke Rare Book and Manuscript Library, Yale University, New Haven, CT

Mfhd:
852 70 ‡b beingen ‡h Uncat MSS ‡i 621