



ProQuest Dissertations & Theses: MARCXML Records

General Notes

XML Elements	Content Notes
<p><datafield tag="100"><subfield code="a"> (Author Name)</p> <p><datafield tag="245"><subfield code="a"> (Title)</p> <p><datafield tag="700"><subfield code="a"> (Additional Author Names)</p> <p><datafield tag="740"><subfield code="a"> (Added Entry - Variant Title)</p>	Data in these (sub)fields appear in all upper case in records created through 1988. Beginning with records published in 1989, titles appear in standard LoC format: that is, only the first letter and proper nouns are capitalized.
<p><datafield tag="500"><subfield code="a"> (General Note - Advisor)</p> <p><datafield tag="720"><subfield code="a"> (Added Entry - Uncontrolled Name)</p>	Advisor names began being added to the database effective with our January, 1989 publications (DAI 49-07).
<p><datafield tag="210"><subfield code="a"></p>	Abstracts created prior to May, 1999 may contain TeX markup. Abstracts published since May, 1999 (DAI 59-11) may contain SGML markup.

Dissertations MARCXML Elements List

MARCXML records from ProQuest Dissertations & Theses can include the following elements.

XML Element	Description
<collection>	The top level container for a record (or records) in XML files sent by ProQuest
<record>	The container for all other child elements that comprise an individual XML record.
<leader>	A fixed-length, 24-character element containing numbers and coded values in specific positions that specify parameters for the processing of the record
<controlfield tag="001">	Publication Number
<controlfield tag="005">	Date and Time of Latest Transaction
<controlfield tag="008">	Fixed Length Data Elements
<datafield tag="020">	ISBN
<datafield tag="035">	System Control Number
<datafield tag="040">	Cataloging Source
<datafield tag="041">	Language Code
<datafield tag="100">	Main Author
<datafield tag="245">	Title Statement
<datafield tag="264">	Production, Publication, Distribution, Manufacture, and Copyright Notice
<datafield tag="300">	Physical Description
<datafield tag="336">	Content Type
<datafield tag="337">	Media Type
<datafield tag="338">	Carrier Type
<datafield tag="500">	General Note (Source)
<datafield tag="500">	General Note (Publisher)
<datafield tag="500">	General Note (Other)
<datafield tag="500">	General Note (Advisor)
<datafield tag="502">	Dissertation Note
<datafield tag="506">	Restrictions on Access Note
<datafield tag="520">	Summary, etc. (Abstract of Dissertation)
<datafield tag="535">	Location of Originals/Duplicates Note
<datafield tag="546">	Language Note
<datafield tag="590"> *	Local Note (School Code)
<datafield tag="650">	Subject Term
<datafield tag="690"> *	Subject Code
<datafield tag="700">	Added Entry - Personal Name (Additional Authors)
<datafield tag="710">	Added Entry - Corporate Name (Degree-granting Institution and Department)

XML Element	Description
<datafield tag="720">	Added Entry - Uncontrolled Name (Advisors)
<datafield tag="740">	Added Entry - Variant Title
<datafield tag="773">	Host Item Entry
<datafield tag="790"> *	School Code
<datafield tag="791"> *	Degree Name
<datafield tag="792"> *	Degree Date
<datafield tag="856">	Electronic Location and Access

* These ProQuest-defined fields contain coded information that allows local systems to provide the same level of access to MARCXML records from ProQuest Dissertations & Theses as is available from ProQuest's online databases. Local systems must decide whether to include these fields when loading ProQuest's MARCXML records.

MARCXML Element Details

<collection>

Description

The top level container for a record (or records) in XML files sent by ProQuest.

<record>

Description

The container for all other child elements that comprise an individual XML record.

<leader>

Description

A fixed-length, 24-character element containing numbers and coded values in specific positions that specify parameters for the processing of the record.

Example

```
<leader>02923nam a22004573i 4500</leader>
```

<controlfield tag="001">

Description

Control Number (Publication Number)

This element contains the 3-letter prefix "AAI" followed by the dissertation's unique identifier--a 7-character "publication number". For DAI parts A and B and MAI, values 01-07 in first two bytes of the 7-character publication number means the dissertation is not available for sale by ProQuest and should be so designated. For DAI Section C, all publication numbers begin with "C", and none are available for sale by ProQuest. Some DAI parts A and B records (British Dissertations) have publication numbers beginning with "D-" or "DX". Some DAI parts A and B and MAI records (Canadian theses) have publication numbers beginning with "M" or "N".

Examples

```
<controlfield tag="001">AAI3559282</controlfield>  
<controlfield tag="001">AAIT-00101</controlfield>
```

<controlfield tag="005">

Description

Date and Time of Latest Extraction

This element specifies the date and time of the latest record transaction and serves as a version identifier for the record. The date is recorded in 8 numeric characters in the pattern YYYYMMDD (4 for the year, 2 for the month, and 2 for the day). The time is recorded in 8 characters in the pattern HHMMSS.F (2 for the hour, 2 for the minute, 2 for the second, decimal point, and 1 for the tenth of a second). The 24-hour clock (00-23) is used.

Example

```
<controlfield tag="005">20150318101527.5</controlfield>
```

<controlfield tag="008">

Description

Fixed-Length Data Elements

This element contains coded information about the record as a whole and about bibliographic aspects of the item being described. Fixed-length, 40 characters.

Examples

```
<controlfield tag="008">150318s2013    miu|||||m    |||||||eng d</controlfield>  
<controlfield tag="008">910709s1990    miu|||||m    |||||||ger d</controlfield>
```

<datafield tag="020">

Description

International Standard Book Number

This element contains an International Standard Book Number, which is included when available.

Examples

```
<datafield tag="020" ind1=" " ind2=" ">  
<subfield code="a">9781303042874</subfield>  
</datafield>
```

<datafield tag="035">

Description

System Control Number

This repeatable element contains a unique publication identifier. These identifiers can be of two kinds-- either: (1) a copy of the publication number from the 001 field (allowing a local system to replace the 001 publication number with their own local system control number, while retaining a copy of the PQDT publication number), or (2) a unique string used by ProQuest's ETD Administrator software. Every record will include an 035 datafield of the first kind. An 035 datafield of the second kind will only appear in records that were processed by ETD Administrator software.

Examples

```
<datafield tag="035" ind1=" " ind2=" ">
<subfield code="a">(MiAaPQD)AAI3559282</subfield>
</datafield>

<datafield tag="035" ind1=" " ind2=" ">
<subfield code="a">(MiAaPQD)ucmerced:10006</subfield>
</datafield>
```

<datafield tag="040">

Description

Cataloging Source

This element contains the MARC organization code of ProQuest Dissertations & Theses--the organization that created the original record in machine-readable form. The organization code "MiAaPQD" will appear in the subfield elements "a" and "c". The coded value "eng" will appear in subfield element "b", indicating that the language of the record cataloging--but not necessarily the dissertation itself--is English. The coded value "rda" will appear in subfield element "e", indicating that Resource Description and Access cataloging guidelines were followed when creating the record.

Examples

```
<datafield tag="040" ind1=" " ind2=" ">
<subfield code="a">MiAaPQD</subfield>
<subfield code="b">eng</subfield>
<subfield code="c">MiAaPQD</subfield>
<subfield code="e">rda</subfield>
</datafield>
```

<datafield tag="041">

Description

Language Code

Whenever more than one language is associated with a thesis or dissertation, this element will appear in the record and will contain codes indicating all of the languages involved. The meanings of the codes can be found in the [MARC Code List for Languages](#). But if only one language is involved, this element will not be present in the record. In that case, the sole language code will appear in controlfield 008 at positions 35-37.

Examples

```
<datafield tag="041" ind1="0" ind2=" ">
<subfield code="a">fre</subfield>
<subfield code="a">spa</subfield>
</datafield>
```

<datafield tag="100">

Description

Main Entry--Personal Name

This element contains the name of the first or only author of the dissertation. If there is more than one author of a dissertation, the second and any subsequent author names will appear in 700 Added Entry elements.

Example

```
<datafield tag="100" ind1="1" ind2=" " >
<subfield code="a">James, Lisa,</subfield>
<subfield code="e">author.</subfield>
</datafield>
```

<datafield tag="245">

Description

Title Statement

This element contains the dissertation's title and statement of responsibility, and will occur once per record. In some cases, a translated title will appear in a 740 Added Entry--Variant Title element.

Example

```
<datafield tag="245" ind1="1" ind2="0">
<subfield code="a">Next generation superintendent effectiveness standards: A
leader-scholar community /</subfield>
<subfield code="c">James, Lisa. ; Perkins, Dorothy. ; Poe, Randolph. ; Young,
Lu. ; Flynn, James. ; Floyd, Thomas.</subfield>
</datafield>
```

<datafield tag="264">

Description

Production, Publication, Distribution, Manufacture, and Copyright Notice

This element contains details relating to the publication of a work: the place of publication, the publisher (ProQuest Dissertations & Theses), and--when known--the year of publication.

Example

```
<datafield tag="264" ind1=" " ind2="1">
<subfield code="a">Ann Arbor : </subfield>
<subfield code="b">ProQuest Dissertations & Theses, </subfield>
<subfield code="c">2013</subfield>
</datafield>
```

<datafield tag="300">

Description

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

Physical Description

Example

```
<datafield tag="300" ind1=" " ind2=" ">
<subfield code="a">1 electronic resource (301 pages)</subfield>
</datafield>
```

<datafield tag="336">

Description

This element indicates the form of communication through which a work is expressed.

Content Type

Example

```
<datafield tag="336" ind1=" " ind2=" ">
<subfield code="a">text</subfield>
<subfield code="b">txt</subfield>
<subfield code="2">rdacontent</subfield>
</datafield>
```

<datafield tag="337">

Description

This element indicates the general type of intermediation device required to view, play, run, etc., the content of the work.

Media Type

Example

```
<datafield tag="337" ind1=" " ind2=" ">
<subfield code="a">computer</subfield>
<subfield code="b">c</subfield>
<subfield code="2">rdamedia</subfield>
</datafield>
```

<datafield tag="338">

Description

This element indicates the format of the storage medium and housing of a carrier in combination with the media type (see the 337 datafield).

Carrier Type

Example

```
<datafield tag="338" ind1=" " ind2=" ">
<subfield code="a">online resource</subfield>
<subfield code="b">cr</subfield>
<subfield code="2">rdacarrier</subfield>
</datafield>
```

<datafield tag="500">

Description

This element contains source information: database identification, volume number or source code, and sometimes include page number(s) from the Dissertation Abstracts publication in which the citation and/or abstract first appeared. Volume/issue strings that include a trailing "(E)" indicate "electronic" volume numbers; they appear in cases where no corresponding physical volume was printed. Access to the database identification is provided in the 773 Host Item Entry element. DAI records include a Section designation (A, B, or C). DAI-C dissertations are not for sale by ProQuest Dissertations & Theses.

General Note (Source)

Example

```
<datafield tag="500" ind1=" " ind2=" ">
<subfield code="a">Source: Dissertation Abstracts International, Volume: 74-
08(E), Section: A.</subfield>
</datafield>
```

<datafield tag="500">

Description

This element contains the name of another publisher of the dissertation. It appears only in some DAI section C records.

General Note (Publisher)

Example

```
<datafield tag="500" ind1=" " ind2=" ">
<subfield code="a">Publisher info.: Reproprint.</subfield>
</datafield>
```

<datafield tag="500">

Description

General Note (Other)

This field contains additional notes, other than those relating to source, publisher, or advisor. This kind of note may occur only once per record.

Example

```
<datafield tag="500" ind1=" " ind2=" ">
<subfield code="a">Includes supplementary digital materials.</subfield>
</datafield>
```

<datafield tag="500">

Description

General Note (Advisor)

This element contains the name(s) of academic advisors or committee members, preceded by a designation of their function. The format is "Advisors: [name]; [name]; [name]. Committee members: [name]; [name]; [name]." The designation of function is followed by a colon-space pair, and multiple names are separated by a semicolon-space pair. Names appear in direct order, i.e. first name followed by last name. This field is optional, and may not occur more than once per record.

Example

```
<datafield tag="500" ind1=" " ind2=" ">
<subfield code="a">Advisors: Michael M. Wasicsko; Michael Chirichello
Committee members: Michael Chirichello; Theodore Hodgson; Michael M.
Wasicsko.</subfield>
</datafield>
```

<datafield tag="502">

Description

Dissertation Note

This element contains information about the degree: the degree earned by the author, the name of the granting institution, and the year the degree was granted. The degree awarded may be lacking for DAI Section C and some Canadian records.

Example

```
<datafield tag="502" ind1=" " ind2=" ">
<subfield code="b">Ed.D.</subfield>
<subfield code="c">Northern Kentucky University</subfield>
<subfield code="d">2013.</subfield>
</datafield>
```

<datafield tag="506">

Description

Restrictions on Access Note

This element indicates non-availability of the publication from ProQuest Dissertations & Theses, or restrictions that apply to the data being distributed. The element can appear more than once per record, in cases where multiple restrictions apply. All DAI Section C dissertations and some DAI Sections A and B and MAI dissertations are not available for sale by ProQuest Dissertations & Theses and are so designated in this field.

Examples

```
<datafield tag="506" ind1=" " ind2=" ">
<subfield code="a">This item is not available from ProQuest Dissertations &
Theses.</subfield>
</datafield>
```

```
<datafield tag="506" ind1=" " ind2=" ">
<subfield code="a">This item must not be sold to any third party
vendors.</subfield>
</datafield>
```

```
<datafield tag="506" ind1=" " ind2=" ">
<subfield code="a">This item must not be added to any third party search
indexes.</subfield>
</datafield>
```

<datafield tag="520">

Description

Summary, etc. (Abstract of Dissertation)

This repeatable element contains the author-prepared abstract summary of the dissertation. Each 520 datafield represents a distinct paragraph of the abstract. On occasion--as in the last of the example paragraphs below--a note may appear, describing the dissertation as being a compound document.

Example

```
<datafield tag="520" ind1=" " ind2=" ">
<subfield code="a">This companion dissertation-capstone consists of a series of
interactive modules created to help prepare new and experienced superintendents
for Kentucky's Next Generation Superintendent Effectiveness Standards (NxGSES).
It is a collaboration among six superintendents and the Kentucky Association of
School Administrators (KASA) to design and host a web-based Leader-Scholar
Community (LSC) consisting of thematic modules, electronic resources, and
bibliographic references. This dissertation-capstone was designed to be a
virtual, "living," iterative entity---functioning much like Wikipedia---capable
of sharing ever-expanding resources as well as providing opportunities for
participants to become engaged learners, scholars, and collaborators. The
website, hosted by KASA, will be used to help meet training requirements for
Kentucky's new superintendents. Following is a static sample of the resources
available at http://www.kasa.org .</subfield>
</datafield>
<datafield tag="520" ind1=" " ind2=" ">
<subfield code="a">*This dissertation is a compound document (contains both a
paper copy and a CD as part of the dissertation).</subfield>
</datafield>
```

<datafield tag="535">

Description

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

Location of Originals/Duplicates Note

Example

```
<datafield tag="535" ind1="2" ind2=" ">
<subfield code="a">Karolinska Institute</subfield>
</datafield>
```

<datafield tag="546">

Description

This element will specify the language(s) of the dissertation or thesis. The language(s) named in this field will correspond to the language code in positions 35-37 of the 008 controlfield as well as any additional language code(s) present in the 041 datafield.

Language Note

Examples

```
<datafield tag="546" ind1=" " ind2=" ">
<subfield code="a">German</subfield>
</datafield>

<datafield tag="546" ind1=" " ind2=" ">
<subfield code="a">Estonian, Russian, and English</subfield>
</datafield>
```

<datafield tag="590">

Description

This element contains ProQuest's school code for the institution awarding the degree. This MARC21 field is locally defined by ProQuest Dissertations & Theses. It allows a local system to provide the same level of access to MARC21-formatted ProQuest Dissertations & Theses records as is available in ProQuest's online databases. If access to school codes is not desired, do not load the MARCXML 590 Local Note (School Code) and 790 School Code datafields into your system.

Local Note (School Code)

Example

```
<datafield tag="590" ind1=" " ind2=" ">
<subfield code="a">School code: 1259</subfield>
</datafield>
```

<datafield tag="650">

Description

Subject Term

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

Example

```
<datafield tag="650" ind1=" " ind2="4">
<subfield code="a">Religion, Biblical Studies.</subfield>
</datafield>
<datafield tag="650" ind1=" " ind2="4">
<subfield code="a">Theology.</subfield>
</datafield>
```

<datafield tag="690">

Description

Subject Code

This element contains one of ProQuest's subject codes. The element is repeatable and will occur once for each subject code that has been assigned to the dissertation. This MARC21 field is locally defined by ProQuest Dissertations & Theses. It allows a local system to provide the same level of access to MARC21-formatted ProQuest Dissertations & Theses records as is available in ProQuest's online databases. If access to subject codes is not desired, do not load the MARCXML 690 Subject Code datafield(s) into your system.

Example

```
<datafield tag="690" ind1=" " ind2=" ">
<subfield code="a">0321</subfield>
</datafield>
<datafield tag="690" ind1=" " ind2=" ">
<subfield code="a">0469</subfield>
</datafield>
```

<datafield tag="700">

Description

Added Entry--Personal Name

Each 700 datafield contains an added author name. If there is more than one author of a dissertation, the first name appears in a 100 datafield and any additional names appear in 700 datafields.

Example

```
<datafield tag="700" ind1="1" ind2=" ">
<subfield code="a">Manning, Gary,</subfield>
<subfield code="e">author.</subfield>
</datafield>
<datafield tag="700" ind1="1" ind2=" ">
<subfield code="a">Mattingly, Missy,</subfield>
<subfield code="e">author.</subfield>
</datafield>
```

<datafield tag="710">

Description

Added Entry--Corporate Name

This element contains the name of the institution--and sometimes the department--awarding the degree. The element is repeatable; if a record identifies more than one department of an institution, each department will appear in a separate 710 datafield.

Example

```
<datafield tag="710" ind1="2" ind2=" ">
<subfield code="a">Harvard University.</subfield>
<subfield code="b">Biology: Medical Sciences, Division of.</subfield>
<subfield code="e">degree granting institution.</subfield>
</datafield>

<datafield tag="710" ind1="2" ind2=" ">
<subfield code="a">The Chinese University of Hong Kong (Hong Kong).</subfield>
<subfield code="e">degree granting institution.</subfield>
</datafield>
```

<datafield tag="720">

Description

Added Entry--Uncontrolled Name

This element contains--in an uncontrolled form--the name of an individual identified as an advisor for a thesis or dissertation. The element is repeatable; if a record identifies more than one advisor, each will be named in a separate 720 datafield.

Example

```
<datafield tag="720" ind1="1" ind2=" ">
<subfield code="a">Michael M. Wasicsko</subfield>
<subfield code="e">degree supervisor.</subfield>
</datafield>

<datafield tag="720" ind1="1" ind2=" ">
<subfield code="a">Michael Chirichello</subfield>
<subfield code="e">degree supervisor.</subfield>
</datafield>
```

<datafield tag="740">

Description

Added Entry--Variant Title

For DAI Section C records, if the main title is not in English, this element will be present and will contain the dissertation's title translated into English.

Example

```
<datafield tag="740" ind1="0" ind2="0">
<subfield code="a">FUNCTIONAL MODIFICATIONS OF FEMOROPATELLAR ARTICULATION
AFTER SURGICAL INTERVENTION ON THE EXTENSOR.</subfield>
</datafield>
```

<datafield tag="773">

Description

Host Item Entry

This element 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--possibly including page number--is provided in the 500 General Note (Source) datafield.

Example

```
<datafield tag="773" ind1="0" ind2=" ">
<subfield code="t">Dissertation Abstracts International</subfield>
<subfield code="g">75-02B(E).</subfield>
</datafield>
```

<datafield tag="790">

Description

School Code

This element contains ProQuest's school code for the institution awarding the degree. This MARC21 field is locally defined by ProQuest Dissertations & Theses. It allows a local system to provide the same level of access to MARC21-formatted ProQuest Dissertations & Theses records as is available in ProQuest's online databases. If access to school codes is not desired, do not load the MARCXML 590 Local Note (School Code) and 790 School Code datafields into your system.

Example

```
<datafield tag="790" ind1=" " ind2=" ">
<subfield code="a">1259</subfield>
</datafield>
```

<datafield tag="791">

Description

Degree Name

This element contains the name of the degree(s) awarded. This element may be lacking for DAI Section C and for some Canadian theses. This MARC21 field is locally defined by ProQuest Dissertations & Theses. It allows a local system to provide the same level of access to MARC21-formatted Dissertation Abstracts records as is available from ProQuest's online files. If access to the degree name is not desired, do not load the 791 Degree Name datafield into your system.

Examples

```
<datafield tag="791" ind1=" " ind2=" ">
<subfield code="a">Ed.D.</subfield>
</datafield>

<datafield tag="791" ind1=" " ind2=" ">
<subfield code="a">Ph.D. and D.Th.</subfield>
</datafield>
```

<datafield tag="792">

Description

Degree Date

This element contains the year in which a degree was conferred. This MARC21 field is locally defined by ProQuest Dissertations & Theses. It allows a local system to provide the same level of access to MARC21-formatted Dissertation Abstracts records as is available from ProQuest's online files. If access to the degree date is not desired, do not load the 792 Degree Date datafield into your system.

Example

```
<datafield tag="792" ind1=" " ind2=" ">
<subfield code="a">2013</subfield>
</datafield>
```

<datafield tag="856">

Description

Electronic Location and Access

An element containing a URI (uniform resource identifier) of a thesis or dissertation in ProQuest. This string uniquely identifies and provides linking access to the electronic version of the record within the ProQuest system.

Example

```
<datafield tag="856" ind1="4" ind2="0">
<subfield code="u">http://gateway.proquest.com/openurl?url_ver=Z39.88-
2004&rft_val_fmt=info:ofi/fmt:kev:mtx:dissertation&res_dat=xri:pqm&
rft_dat=xri:pqdiss:3559282</subfield>
</datafield>
```