

MAXWELL'S
HANDBOOK FOR
R | D | A[®]
RESOURCE DESCRIPTION & ACCESS

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MAXWELL'S HANDBOOK FOR R | D | A[®] RESOURCE DESCRIPTION & ACCESS

Explaining and Illustrating RDA: Resource
Description and Access Using MARC 21

ROBERT L. MAXWELL



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PREFACE



WHEN THE FIRST EDITION OF MAXWELL'S HANDBOOK for AACR2, the predecessor of this *Handbook for RDA*, was issued, the Anglo-American Cataloguing Rules, 2nd edition (AACR2), was new and untried.¹ Most catalogers were familiar with the first edition of the Anglo-American Cataloguing Rules (AACR1), introduced in 1967; many had used the preceding cataloging code, the ALA 1949 rules. All were apprehensive about the possible effect the new cataloging

code would have on existing library catalogs and cataloging practices. Exactly the same situation exists at the time of the introduction of *RDA: Resource Description and Access*. If anything, the level of apprehension may be even higher because RDA's development process was much more open than AACR2's had been, and implementation has been a bit more haphazard, with many libraries embracing RDA early on and others holding back.

Maxwell's Handbook for RDA, therefore, has been designed to assist experienced catalogers as well as library school students in the application of the most commonly used RDA guidelines for descriptions of entities and resources, and the creation of access points.

Although the bedrock cataloging principles on which RDA is based are similar to those of AACR2, many modifications have been made, both in the guidelines themselves and in the policy decisions of the major national libraries and cooperative

cataloging programs. And as RDA is gradually implemented and more and more catalogers gain experience using the new code, their experience is influencing revision of RDA and the policy decisions. These revisions are happening at a great rate at the moment. Although this is expected to settle down as we begin using the new code, the pace of change just now is unsettling.

A major philosophical change has occurred in the shift from AACR2 to RDA, emphasizing the importance of cataloger judgment. While cataloger judgment was important in AACR2 as well, choice of AACR2 options were mostly prescribed by policy documents such as the Library of Congress's Rule Interpretations. Although a similar document exists for RDA, the Library of Congress-Program for Cooperative Cataloging Policy Statements (see discussion in chapter 1), it is far less extensive and a conscious effort has been made to avoid making policy decisions where uniformity of practice was not completely needed. Since catalogers, as human beings, tend to want to be told what to do in cataloging situations, this new emphasis on personal decision making is uncomfortable to some, but in fact it can be very liberating, allowing individuals to make judgments based on the needs of local and other users of the database. It also allows experimentation and practice with new ways of doing things, both of which can only be good for both users and the cataloging community as we move forward.

RDA is format-agnostic and does not require either ISBD or MARC structures. This *Handbook*, however, was written with the assumption that most catalogers, for the near future at least, will continue to encode cataloging information using the MARC formats, and follow ISBD structures. Some significant changes in the MARC format have taken place in preparation for implementation of RDA.² This *Handbook* makes full use of these new and revised MARC provisions.

In the immediate predecessor to this *Handbook*, the policy decisions of the four major Anglo-American national libraries were taken into account.³ Because most of these important libraries had not yet published their decisions at the time of this writing, only the Library of Congress-Program for Cooperative Cataloging decisions were used in this edition of *Maxwell's Handbook for RDA*. Future editions will note the other agencies' decisions as they are published.

The basic premises of the *Handbooks* for AACR2 remain the same in *Maxwell's Handbook for RDA*. The editors of RDA include frequent examples to illustrate the rules; these examples are not given in MARC format nor are they given in full catalog description format. In fact, the examples only illustrate the specific element being described. Catalogers as well as library school students may find these examples mystifying in their brevity. The present text therefore attempts not only to explain the guidelines, but also to give full cataloging examples to illustrate each guideline discussed. Furthermore, experience teaching cataloging has demonstrated that one of the most difficult concepts for beginning catalogers is the translation of a title page

(or other source) into a catalog description. Therefore, in as many instances as possible and whenever relevant, a transcription of the title page or other source material has been included with examples of bibliographic records. The source material for authority records may be deduced from the source consulted elements, which are recorded in 670 fields.

Like its predecessors, the structure of this *Handbook* is based on the structure of the code itself. Because RDA is organized based on the structure of Functional Requirements for Bibliographic Records (FRBR)⁴ rather than that of the International Standard Bibliographic Description (ISBD)⁵ as AACR2 was (see discussion in chapter 1), many catalogers will find this confusing until they become used to the new code. As an aid to catalogers accustomed to AACR2, a set of appendixes has been included based on format (book, manuscript, motion picture, etc.) and organized in AACR2/MARC order.

Maxwell's Handbook for RDA is designed as a supplement to, not a substitute for, the text of *RDA: Resource Description and Access*. It is assumed that the reader will have the latest version of RDA at hand, either via the RDA Toolkit or in print.⁶ In addition, the *Handbook's* provisions and examples will need to be updated as RDA itself changes and as the policies of agencies such as the Library of Congress and the Program for Cooperative Cataloging evolve. It must be emphasized that this *Handbook* is not meant as a self-help manual for beginning catalogers, although with more and more library schools dropping cataloging requirements (or cataloging course work altogether), it is probably inevitable that it will be so used. It is therefore designed to address problems beginners often find puzzling. It is my hope that the following pages may serve as a helpful introduction and a guide to *RDA: Resource Description and Access*.

Many individuals contributed in various ways to *Maxwell's Handbook for RDA*. First and foremost, many thanks must be given to Judith Kuhagen, of the Library of Congress and secretary to the Joint Steering Committee, for prompt and helpful responses to questions about RDA and LC practice. Judy was always helpful, always courteous, always willing to discuss issues and matters on which policy had not been settled, and she went far beyond the call of duty when she agreed to continue fielding questions even after she had retired from the Library of Congress. I am extremely grateful for her help.

A number of other people helped with specific issues. These include John Attig and Barbara Tillett, both Joint Steering Committee members who willingly answered questions of all kinds; Dave Reser of the Library of Congress on MARC issues and other LC policy issues; Kathy Glennan, Janet Bradford, and others from the Music Library Association on music issues; Ed Jones on serial issues; Cory Nimer on archival issues; members of the Brigham Young University Catalog Departments on whom I practiced; and many others.

Thanks also to the capable editors at ALA Editions, whose superb editing skills always make a better book, particularly Christopher Rhodes, Patrick Hogan, Alison Elms, Helayne Beavers, and indexer Christine Karpeles.

I am also grateful to Robert Murdoch, Assistant University Librarian for Collection Development and Technical Services at the Harold B. Lee Library, Brigham Young University, as well other members of the administration of the Lee Library, for encouraging me to complete the *Handbook* and allowing me time away from my regular duties for its final preparation.

I am very grateful to my mother, Margaret F. Maxwell, who was the author of the original *Handbook for AACR2*. She made it possible for me to continue the *Maxwell's Handbook* series and contributed to *Maxwell's Handbook for RDA* through her constant encouragement and willingness to read and comment on some of the chapters.

Finally, thanks to an understanding wife, Mary Ann Maxwell, whose title transitioned from “AACR2 widow” to “RDA widow,” at least in the final stages of manuscript preparation, but sportingly decided she wanted to learn RDA at the same time as I did; and to my children, Carrie, Rachel, William, and David. As always, I dedicate this book to them.

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NOTES

1. Margaret F. Maxwell, *Handbook for AACR2* (Chicago: American Library Association, 1980).
2. The examples in this *Handbook* reflect coding practice as of Fall 2013. Details of MARC coding are constantly changing, not the least because of RDA developments. Full details of the MARC formats are available at www.loc.gov/marc.
3. *Maxwell's Handbook for AACR2: Explaining and Illustrating the Anglo-American Cataloguing Rules through the 2003 Update* (Chicago: American Library Association, 2004).
4. IFLA Study Group on the Functional Requirements for Bibliographic Records, “User Tasks,” ch. 6 in *Functional Requirements for Bibliographic Records Final: Report* (Munich: K. G. Sauer, 1998), 79–92. Also available at www.ifla.org/en/publications/functional-requirements-for-bibliographic-records.
5. ISBD Review Group, *ISBD: International Standard Bibliographic Description*, consolidated ed., IFLA Series on Bibliographic Control, vol. 44 (Berlin: De Gruyter, 2011).
6. Information about both the online and the print versions of RDA is available at www.rdatoolkit.org.

INTRODUCTION



DURING THE THREE DECADES THAT FOLLOWED THE 1978 publication of the second edition of the Anglo-American Cataloguing Rules (AACR2), the library cataloging environment and landscape have changed in important ways. Although the Machine-Readable Cataloging (MARC) format was in use at the time of its publication, AACR2 was primarily designed to produce cataloging in card format. Indeed, the first two editions of the predecessor to this *Handbook*, *Maxwell's Handbook for AACR2*, barely mentioned MARC, and all examples were given in card format.¹ AACR2 was revised regularly, but database and digital technologies began to change the way libraries, museums, and archives collected resources, and how information about those resources was organized and maintained.

As an exercise to take stock of progress and look to the future, the Joint Steering Committee for the Revision of AACR (JSC) sponsored the International Conference on the Principles and Future Development of AACR, held in Toronto in 1997.² After that meeting, the JSC set an ambitious agenda to implement many of the ideas emanating from the conference.

By the middle of the next decade it became evident that tinkering with AACR2 was not sufficient and a replacement was necessary. Work on this project began in 2004, and over the next five years drafts were circulated to the constituent bodies of the JSC (The American Library Association; The Australian Committee on

Cataloguing; the British Library; the Canadian Committee on Cataloguing; CILIP: the Chartered Institute of Library and Information Professionals [formerly the (British) Library Association]; and the Library of Congress).³ Comments were received as well from interested parties worldwide, including other European national libraries.

By June 2009 the JSC, now called the Joint Steering Committee for Development of RDA, delivered the full text of the new guidelines, titled *RDA: Resource Description and Access*, to the publishers. RDA was published online one year later as the principal part of the RDA Toolkit in June 2010.⁴

RDA is based on two particularly important documents, Functional Requirements for Bibliographic Records (FRBR) and the *Statement of International Cataloguing Principles*. This introduction will briefly discuss each of these documents. Additionally, it will discuss the International Standard Bibliographic Description (ISBD), the MARC format (in general terms), cooperative cataloging programs and policies, as well as some general issues about RDA itself, including implementation issues.

FRBR

During the 1990s the International Federation of Library Associations and Institutions (IFLA) commissioned a new look at the bibliographic universe. The result was Functional Requirements for Bibliographic Records, or FRBR, published in 1998.⁵ FRBR was joined by a companion volume, Functional Requirements for Authority Data, or FRAD, published in 2009.⁶ FRAD is an expansion of FRBR and adds a number of entities not found in FRBR. There is also an extension of FRBR called Functional Requirements for Subject Authority Data, approved in 2010.⁷ In this *Handbook*, “FRBR” refers to this suite of three related documents.

FRBR is not a cataloging code. It is a conceptual model of the bibliographic universe based on a database modeling technique called “entity-relationship,” first introduced in the 1970s.⁸ The entity-relationship model is widely used in database design, but until recently has not been used extensively in library databases. This model may be used to define a specific database universe that is divided into specific entities linked by specific relationships.

An *entity* is something that can be distinctly identified within the context of the database. For example, a business database might define as entities “customers,” “employees,” “managers,” “stores,” “suppliers,” etc. A genealogical database might define as entities “persons,” “places,” “events.”

A *relationship* is an association between two or more entities. A business database might define a relationship between a particular store and an employee. A genealogical database might define a “father-child” relationship between a male person and his children.

In this model, entities and relationships are defined by *attributes*. An attribute is a characteristic that may identify instances of entities or relationships. For example, one of the attributes of a person is his or her birth date; other possible attributes for persons might be where they live, their profession, marital status, and so forth. Entity-relationship databases are designed with the entities, relationships, and attributes needed for the purpose of the database. A personnel database might need to define many attributes and relationships for persons (e.g., Social Security Number, gender, marital status, position in the company, salary, etc.). A bibliographic database would not define all possible attributes and relationships for “person,” just those needed for the purposes of the database, such as name, possibly birth and death dates, relationship to works the person created, etc.

RDA, which is based on FRBR, defines entities, relationships, and attributes (attributes are called “elements” in RDA). Most cataloging under RDA consists of describing the attributes of the different FRBR entities and recording the relationships between these entities.

In a database based on FRBR principles, an instance of an entity (for example, a person) would be described one time only, and then that description would be linked to as many other entities (for example, works, other persons, related corporate bodies, etc.) as needed. This contrasts with the current MARC structure, where information about an entity such as a person might be recorded in an authority record, but then is often repeated over and over in bibliographic records.

The entities in the FRBR model are divided into three groups. The first group is defined as “the products of intellectual or artistic endeavor” and consists of four entities:

WORK: a distinct intellectual or artistic creation⁹

EXPRESSION: the intellectual or artistic realization of a *work* in some form (e.g., alpha-numeric or musical notation)

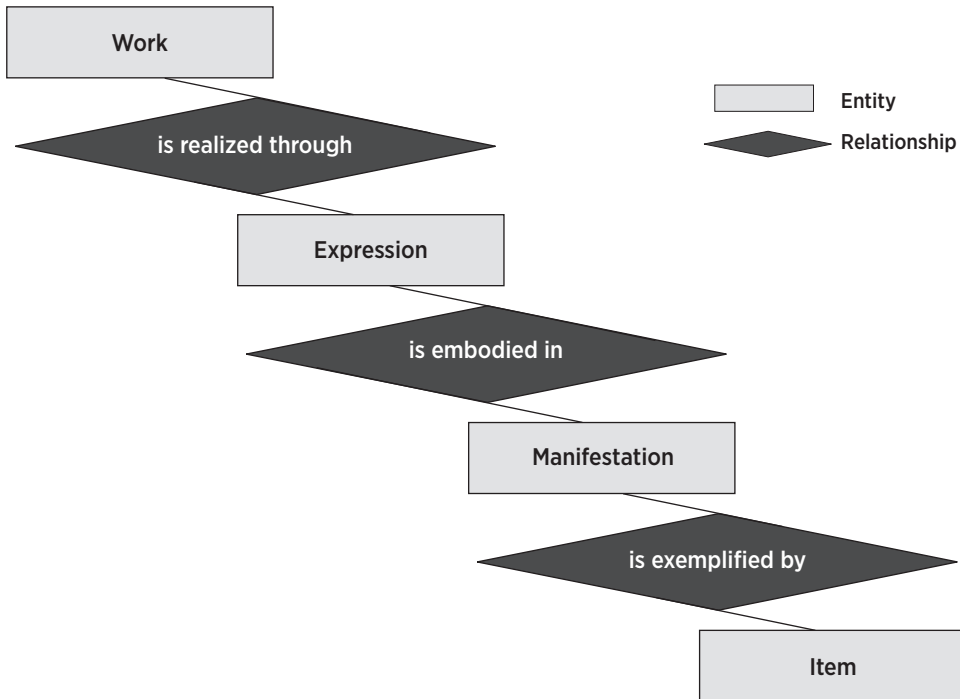
MANIFESTATION: the physical embodiment of an *expression* (e.g., a print publication)

ITEM: a single exemplar or instance of a *manifestation* (i.e., a copy)

The relationships between these entities are shown in figure 1.1. In the figures in this chapter, entities are shown as rectangles, relationships as diamonds, and attributes (when shown) as ovals, all linked by lines.

The novel *Gone with the Wind* is an example of a *work*, a distinct intellectual creation by a person, Margaret Mitchell.

When a work takes on a form it is said to be realized and becomes an *expression*. *Gone with the Wind* exists in many expressions. When Mitchell first wrote the text of *Gone with the Wind* in manuscript form it became an expression. When this text was first published in revised form in 1936 it became another expression of the same work. This first published expression was translated into German in 1937, creating

Figure 1.1. Relationship Between FRBR Group 1 Entities

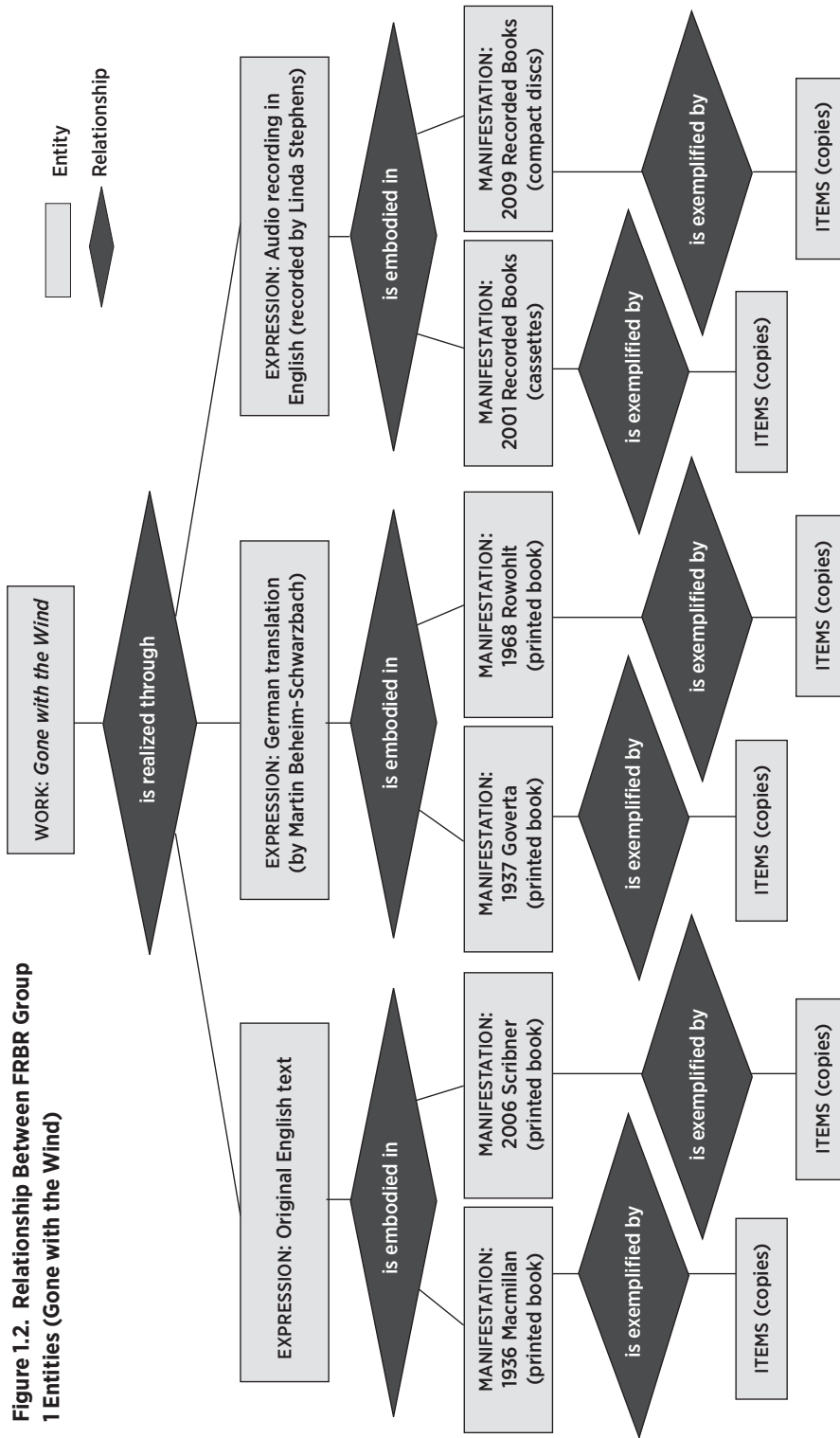
yet another expression of the same work. These are all expressions in text form. This work has also been recorded as various audiobooks. Each recording is a new “spoken word” expression of the work.

Expression is still an abstract concept. “Text” and “spoken word” are abstract forms, but they begin to become concrete when they are put into a “carrier,” the container housing the information. For example, a spoken word recording of *Gone with the Wind* might be presented on different carriers, such as cassette tape, compact disc, long-playing record, or streaming audio. Presentation of an expression on a particular carrier is called “physical embodiment” of the expression and the result is called a *manifestation*. The text of *Gone with the Wind* was published in 1936 by Macmillan. This is one manifestation of that expression. The identical text was published in 2006 by Scribner. This is the same expression as the first, but a different manifestation.

Generally a manifestation is produced in multiple identical (or nearly identical) copies, although manifestations can exist with only a single copy. Individual copies of a manifestation are called *items*. Individual copies of the 1936 manifestation owned by a library are items.

The relationships between some specific Group 1 entity instances related to *Gone with the Wind* are shown in figure 1.2.

Figure 1.2. Relationship Between FRBR Group 1 Entities (Gone with the Wind)



The second group of FRBR entities includes those that are capable of creating or having other relationships (such as production or ownership) to the Group 1 entities. The FRBR model defines three: person, family, and corporate body. The three entities here are defined much as would be expected:

PERSON: an individual or an identity established by an individual (either alone or in collaboration with others)

FAMILY: two or more persons related by birth, marriage, adoption, civil union, or similar legal status, or who otherwise present themselves as a family

CORPORATE BODY: an organization or group of individuals or organizations that is identified by a particular name and that acts, or may act, as a unit

FRBR Group 3 entities are entities that can be subjects of works, expressions, manifestations, or items. Any of the entities in Groups 1 and 2 can be the subject of a work—for example, a person entity, from Group 2, might be the subject of a biography. Beyond Groups 1 and 2, Group 3 defines four other entities:

CONCEPT: an abstract notion or idea

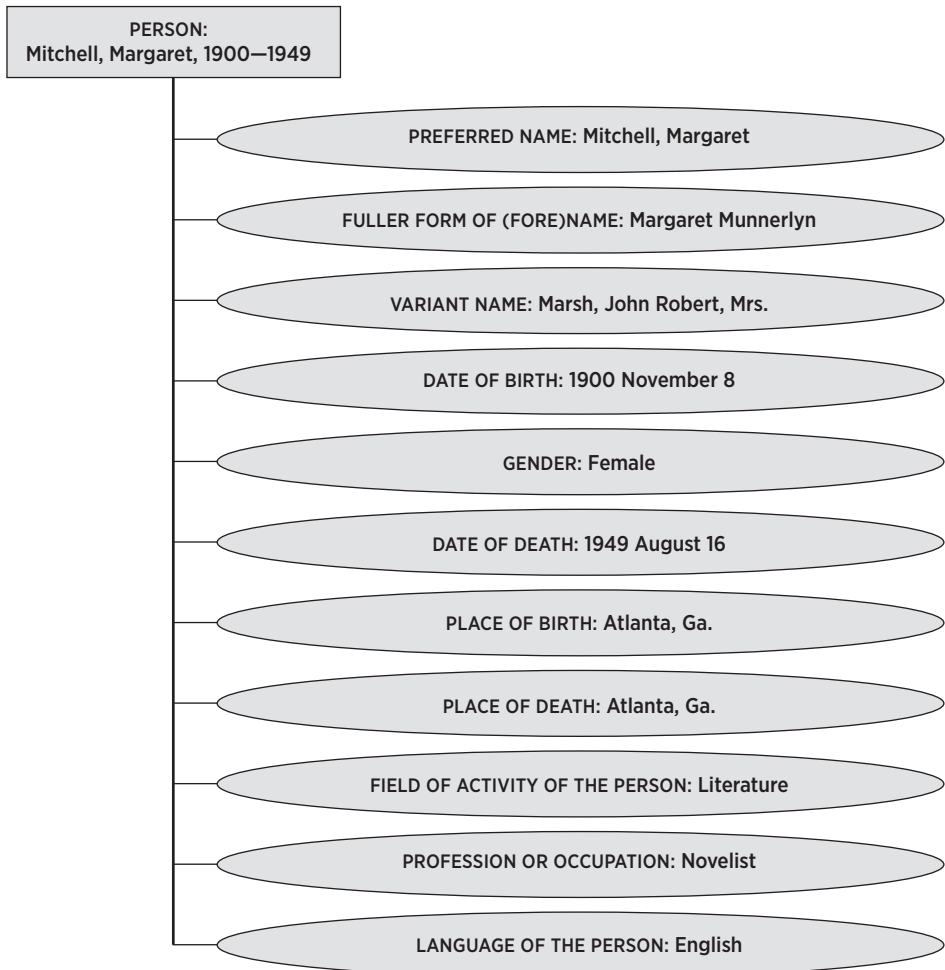
OBJECT: a three-dimensional artifact or a naturally occurring object

EVENT: an action or occurrence

PLACE: a location identified by a name

FRBR defines a set of attributes for each entity in the model. Because it is not a cataloging code, FRBR does not define how the information is to be recorded. For example, “name of person” is one of the attributes of the person entity in FRBR. FRBR defines this attribute as follows: “The name of a *person* is the word, character, or group of words and/or characters by which the *person* is known,” and points out that a person may be known by more than one name, and that libraries normally select one of the names as a uniform heading (FRBR 4.6.1). But it does not tell us how to form the data to be recorded in this element, and if we are one of the libraries that wants to select one as a uniform heading, it does not tell us how to make that choice. That is the province of a cataloging code, such as RDA. RDA also defines entity attributes (called “elements” in RDA), but because it is a cataloging code it also informs us how to record the data, and in the case of the “name of person” attribute, it tells us how to choose between competing forms. See figure 1.3 for an example of an instance of an entity showing its attributes.

Any entity can be linked to any other entity through a specified relationship link. For example, figure 1.4 shows the relationship between the person described in figure 1.3 and various works, four that she created and five that she is the subject of. In an entity-relationship database based on FRBR, each of these works would be described

Figure 1.3. Attributes

only once and then would be linked to descriptions of expressions, manifestations, and items as seen in figure 1.2. Similarly, each of the works shown in figure 1.4 might be linked to other entities such as persons, families, or corporate bodies, or related works. For example, *Road to Tara*, one of the works linked to Margaret Mitchell through a subject relationship link, would be linked to the description of its author, Anne Edwards, through a creator link. Figure 1.5 shows how different works can be related to each other.

The organization of RDA is based on FRBR. This is very different from the organization of RDA's predecessor, AACR2. The first half of RDA gives instructions for recording the attributes of the entities. RDA chapters 1 through 7 cover the Group 1 entities (work, expression, manifestation, and item); chapters 8 through 11 cover

Figure 1.4. Relationship Between FRBR Entities (Person to Work)

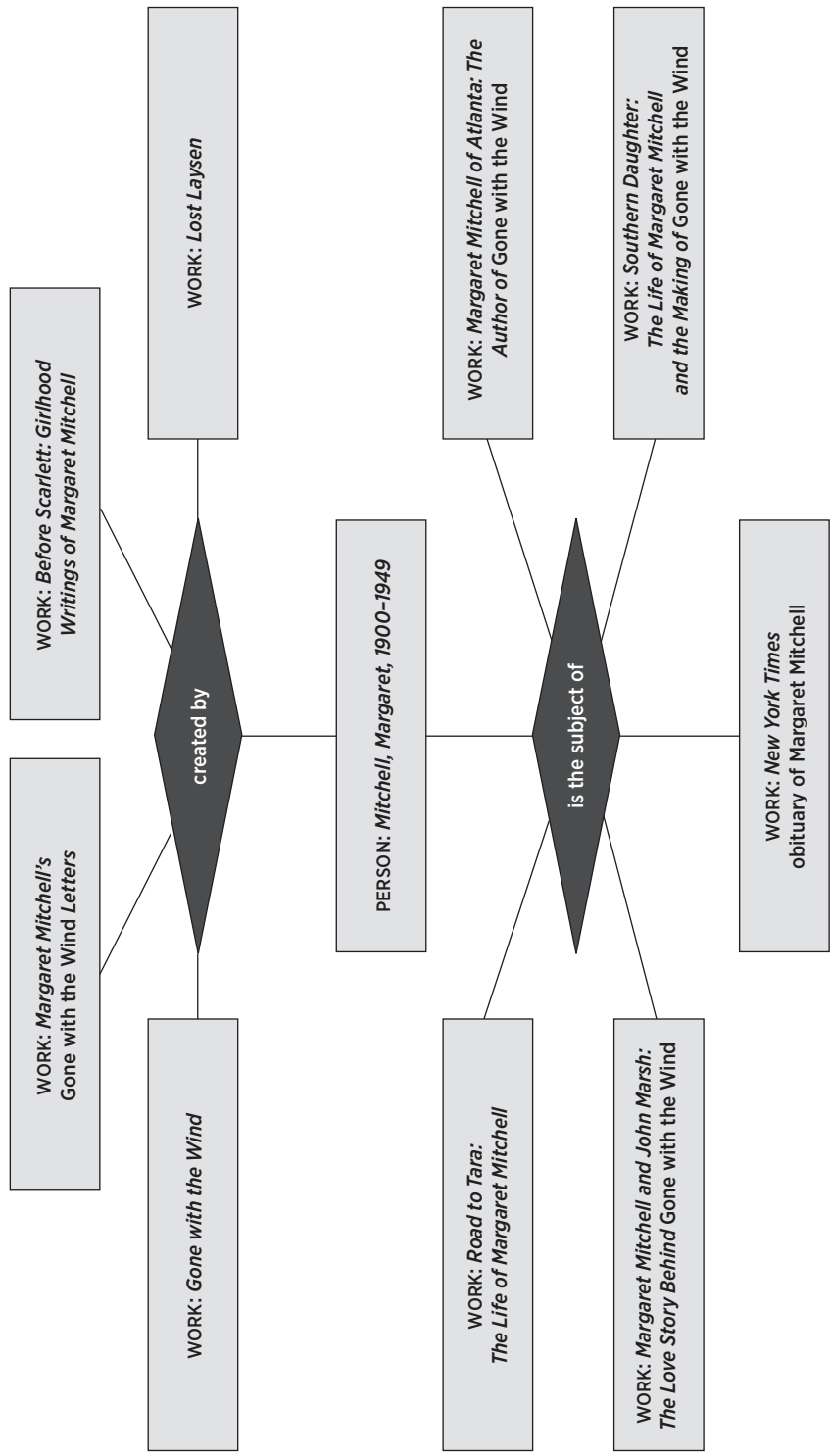
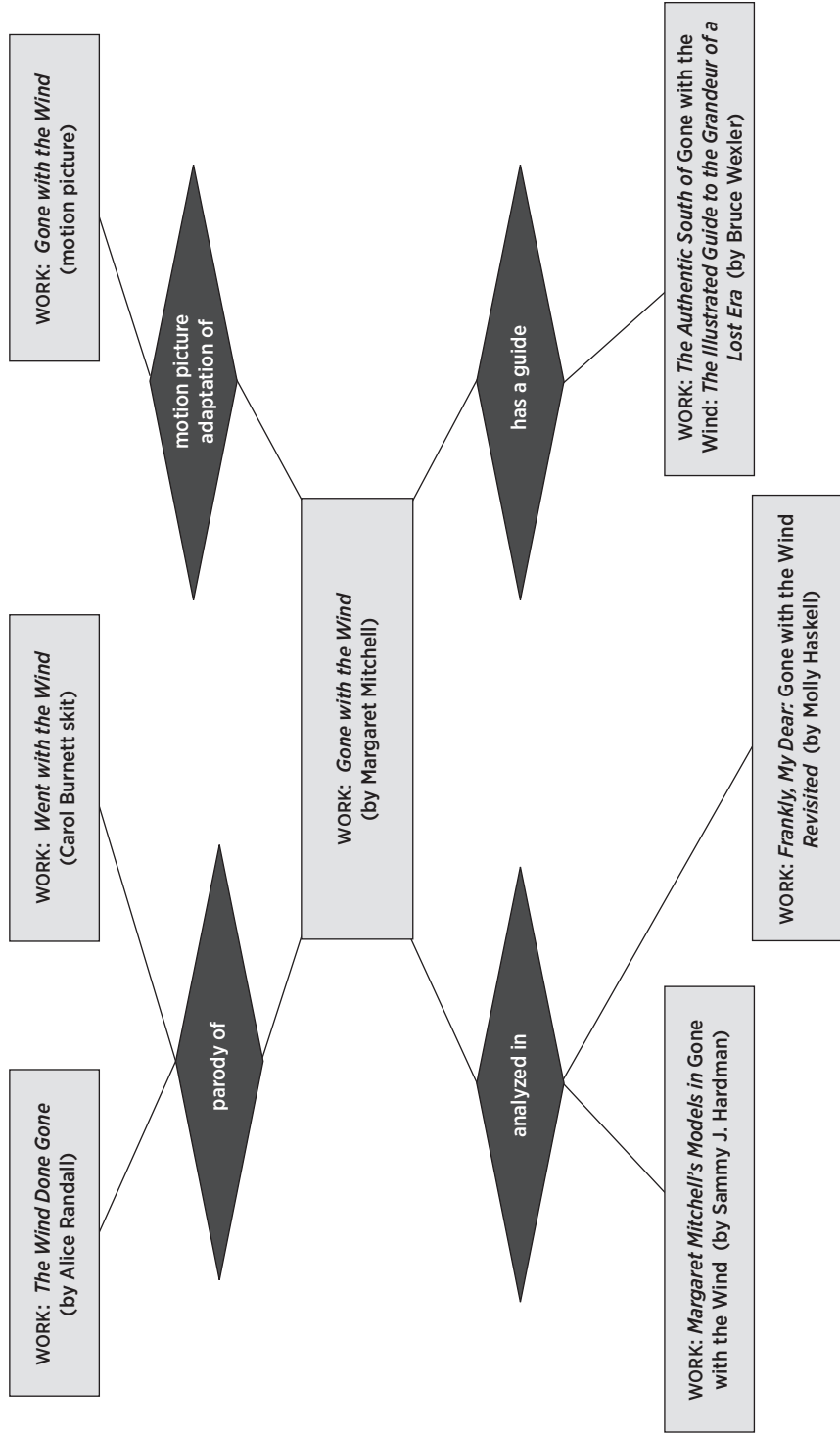


Figure 1.5. Relationship Between FRBR Entities (Work to Work)



the Group 2 entities (person, family, and corporate body); and chapters 12 through 16 cover the Group 3 entities (concept, object, event, and place). Of this third group, only the place entity is worked out in the current version of RDA. Instructions for describing concepts, objects, and events will be developed later, but placeholder chapters have been included in RDA for them.

Most of the RDA chapters on describing the attributes of entities are organized in a similar way. They all begin with a section describing the purpose and scope of the chapter, and general guidelines pertinent to the entity. The bulk of each chapter consists of guidelines for describing specific entity attributes. The chapter ends with guidelines for constructing access points for the entity. Understanding this FRBR-based structure is important to understanding RDA. This organization represents a philosophical shift away from AACR2, with its emphasis on creating access points to an emphasis instead on *describing* entities, with almost incidental information on creating access points.

The second half of RDA (chapters 17 through 37) gives instructions for recording relationships between the entities that have been described following the instructions in chapters 1 through 16.

STATEMENT OF INTERNATIONAL CATALOGUING PRINCIPLES

When the Anglo-American Cataloguing Rules appeared in 1967, the code was heralded as a new departure in cataloging, a unified set of rules based on principle rather than on the enumeration of specific problems. And indeed this was the case. The 1967 rules, like the 1978 second edition (AACR2), were based on the *Statement of Principles* Adopted at the International Conference on Cataloguing Principles, Paris, October 1961.¹⁰ This brief statement, usually referred to as the Paris Principles, served the worldwide cataloging community well for half a century. Most cataloging codes published after 1961 were based on it.

At about the same time as the development of RDA, IFLA convened a series of meetings called the IFLA Meetings of Experts on an International Cataloguing Code. The charge of these meetings was to develop a new set of international cataloging principles to replace the Paris Principles. Meetings took place between 2003 and 2007 in Frankfurt, Germany; Buenos Aires, Argentina; Cairo, Egypt; Seoul, South Korea; and Pretoria, South Africa, where advice was taken from regional cataloging experts. The final document, titled *Statement of International Cataloguing Principles*, was published in 2009.¹¹

The general principles as enumerated in section 2 of the Statement are:

- 2.1. *Convenience of the user.* Decisions taken in the making of descriptions and controlled forms of names for access should be made with the user in mind.
- 2.2. *Common usage.* Vocabulary used in descriptions and access should be in accord with that of the majority of users.
- 2.3. *Representation.* Descriptions and controlled forms of names should be based on the way an entity describes itself.
- 2.4. *Accuracy.* The entity described should be faithfully portrayed.
- 2.5. *Sufficiency and necessity.* Only those data elements in descriptions and controlled forms of names for access that are required to fulfill user tasks and are essential to uniquely identify an entity should be included.
- 2.6. *Significance.* Data elements should be bibliographically significant.
- 2.7. *Economy.* When alternative ways exist to achieve a goal, preference should be given to the way that best furthers overall economy (i.e., the least cost or the simplest approach).
- 2.8. *Consistency and standardization.* Descriptions and construction of access points should be standardized as far as possible. This enables greater consistency, which in turn increases the ability to share bibliographic and authority data.
- 2.9. *Integration.* The descriptions for all types of materials and controlled forms of names of all types of entities should be based on a common set of rules, insofar as it is relevant.

The Statement further stipulates that the rules in a cataloging code should be defensible and not arbitrary, recognizing that the principles may contradict each other in specific situations and advising that a defensible, practical solution be taken when this happens. It states that the most important, overriding principle is convenience of the user.

Section 3 of the Statement embraces the FRBR model, stating that a cataloging code should take into account the entities, attributes, and relationships in the bibliographic universe, listing the FRBR entities.

Section 4 of the Statement states that the database should enable the user to:

- 4.1. *find* bibliographic resources by searching for attributes or relationships
- 4.2. *identify* a bibliographic resource (i.e., confirm that the described entity is the same as the entity searched for)
- 4.3. *select* a bibliographic resource that is appropriate to the user's needs (i.e., choose between resources that have been identified in the previous step)

- 4.4. *acquire* the item or *obtain access* to it
- 4.5. *navigate* within the database and beyond

These closely reflect the “user tasks” enumerated in Section 6 of FRBR.

Additionally, the Statement discusses bibliographic description and access points, calling for internationally agreed-upon standards for description and for the formation of controlled and uncontrolled access points following these same standards.

Although the Statement was in development at the same time as RDA, it “informs the cataloguing principles used throughout RDA” (RDA 0.4.1) and is reflected in the objectives and principles delineated in RDA 0.4. As is the case with the Statement, the principle of user convenience is of paramount importance in RDA, as shown by the constant exhortation to the cataloger to make decisions based on whether a particular action will help the user find, identify, select, or gain access to the resource or entity. For example, RDA instructs the cataloger to record variant titles for a resource if they “are considered important for identification or access” (RDA 2.3.6.3), or to record a relationship to a distributor “if considered important for access” (RDA 21.4.1.3), or to record the regional encoding of a DVD “if considered important for identification or selection” (RDA 3.19.6.3). In all these cases decisions are left to the judgment of the cataloger, but that judgment is to be based on the principle of user convenience.

INTERNATIONAL STANDARD BIBLIOGRAPHIC DESCRIPTION (ISBD)

Building on the Paris Principles, IFLA sponsored another international meeting of cataloging experts in 1969 that called for the creation of standards to regularize the form and content of bibliographic descriptions. This project resulted in the International Standard Bibliographic Description (ISBD), which is still under development. The primary purpose of ISBD was to promote “universal bibliographic control,” that is, basic cataloging data for all published resources in all countries provided in a mutually agreed-upon form. The first standard, an ISBD for monographic publications, appeared in 1971. Numerous standards for various formats followed, culminating in the recently published “consolidated edition.”¹²

ISBD prescribed essential pieces of information that were to appear in bibliographic descriptions, the order in which this information was to be given, and a system of arbitrary punctuation that must be used. This was to facilitate international exchange of data as well as to permit quick identification of the elements of a description even if the catalog or database user was unfamiliar with the language of the description.

The descriptive cataloging rules in AACR2 Part I were firmly based on ISBD, and the text was organized around the structure of ISBD, unlike RDA, which is organized

around the structure of FRBR. Although it acknowledges the influence of ISBD on its development (RDA 0.2), RDA does not prescribe ISBD formatting, and particularly does not require ISBD punctuation, as AACR2 did. However, recognizing that most cataloging agencies would continue to follow the ISBD structure, at least for the near future, RDA includes instructions for ISBD presentation in Appendix D.1, which gives ISBD elements in order and links them to relevant RDA elements. Examples and instructions in this *Handbook* follow ISBD structure and punctuation.

MACHINE-READABLE CATALOGING (MARC)

RDA does not prescribe any particular presentation format, but for the near future (at least) most libraries will continue to catalog using the MARC format.¹³ RDA recognizes this and was designed to be compatible with MARC descriptions, although it is clearly looking forward to a more FRBR-based structure of the information. The RDA Toolkit includes MARC-to-RDA and RDA-to-MARC mappings as an aid to catalogers who continue to use MARC (see the Tools menu). All cataloging examples in this *Handbook* are given in MARC, and specifics about particular fields are given in the following chapters as they become relevant. The MARC record also includes some fields that are not explained in this *Handbook*. Only MARC fields that contain data currently called for by RDA are included (the figures, therefore, generally contain no “fixed fields,” fields defined for classification numbers or subjects, or other non-RDA elements).¹⁴

When the application of the computer to library tasks began in the early 1960s, cataloging was one of the obvious candidates for automation. The computer could not simply digest a catalog record in card format, however, and generate a sensible result. Furthermore, the possibilities of access to computerized records far surpassed access to the traditional card catalog, but only if the records were systematically coded so that the machine could distinguish, for example, between a title and an author, or between a series and a subject heading. Thus various systems of encoding bibliographic data developed around the world.

In addition to improved access to the records within catalogs, computerization of cataloging also opened the possibility of shared cataloging. Large international databases (e.g., OCLC and Skyriver) appeared, containing catalog records contributed by member libraries for most of the world’s current publications and a large percentage of earlier works. Such projects require standardization of the cataloging format used by the various libraries. MARC developed in different ways in different countries, and although there is still no single internationally accepted format, the formats are becoming reconciled so that the goal of easily exchangeable cataloging records around the world can be realized. The mechanism for worldwide transmission of

data, the Internet, is well established and has become a catalyst for more serious efforts at standardization than took place in the past.

The Library of Congress (LC) was one of the first organizations to develop a machine-readable format for catalog records, and this format evolved into what is currently called “MARC 21,” but referred to simply as “MARC” throughout this *Handbook*. MARC is used almost universally throughout the United States, Canada, and the United Kingdom. It is also widely used in other countries. Use of a single standard greatly enhances the ease of information exchange.

The MARC catalog description is divided into “fields,” which in turn are divided into “subfields.” These correspond to various aspects of the description. The fields are all numbered with a three-digit numeric “tag.” Although not all numbers are used, there is a theoretical possibility of up to 1,000 fields (from 000 to 999). Following a field tag in a MARC record are two numeric digits called “indicators.” Each of these may either be blank or may contain a number. The coding of the indicators normally instructs the system to manipulate the data in some way (e.g., for display or indexing purposes). Following the indicators are the subfields, which contain the actual RDA cataloging data (known in RDA as “elements”). Each subfield is preceded by a delimiter mark (in this *Handbook* shown by a double dagger, “‡”) and a single letter or number, which tells what type of subfield is being used or what element it corresponds to. This system can obviously become extremely complex, but it is organized in a logical fashion and incorporates a system of mnemonics that is very helpful.

There are two major formats within MARC, the bibliographic format and the authority format.¹⁵ The bibliographic format contains descriptions of resources collected by libraries. The authority format contains descriptions of persons, families, corporate bodies, geographic entities, works, expressions, and subjects. This bibliographic versus authority organization creates an uneasy fit with RDA and FRBR, but until a replacement for MARC becomes available it will be used to encode RDA records.

In the following discussion and throughout this *Handbook*, the letter *X* in a field tag represents any number from 0 to 9. For example, 1XX can represent 100, 110, 130, etc.; X11 can represent 111, 711, 811, etc.

MARC BIBLIOGRAPHIC FORMAT

The MARC bibliographic format is used to describe bibliographic resources of the type owned or accessed by libraries or archives. These roughly correspond to the FRBR manifestation and item entity. It is often said that in shared databases such as OCLC, bibliographic records are used to describe manifestations. However, although manifestation-related elements are indeed recorded there, bibliographic format

records may in fact contain information about any of the FRBR entities. Although RDA was designed to allow encoding RDA descriptions in MARC records, MARC records were not designed with RDA in mind, and so the correspondence between RDA and MARC, particularly in the bibliographic format, is imperfect.

The theoretically possible 1,000 MARC tags are divided into groups of 100.

0XX fields comprise mainly control fields and record various types of identification and classification numbers. A common field from this group found in this *Handbook* is the 020 field, where the International Standard Book Number (ISBN) is recorded.

1XX fields record the principal creator of the work embodied in the resource, including persons, families, and corporate bodies. Additionally, AACR2 practice for the 130 field (title main entry) will continue under RDA, although there is no concept of title main entry in RDA. 130 may be used to identify a work embodied in a resource that has no identifiable creator.

In current MARC practice there is never more than one 1XX field in a record.

2XX fields contain title, edition, and publication information. The most common of these are the 245 field, the title and statement of responsibility, and the 246 field, where variations on the title are recorded. Other 2XX fields include the 250 field, where edition information is recorded, and the 264 field, where publication information is recorded.

3XX fields, which may be repeated, mainly contain elements related to the description of the manifestation, including physical description (e.g., extent and dimensions), carrier type, and digital file characteristics. It also contains some expression-related elements.

490 fields contain transcriptions of series statements found on the resource; the 490 field may be paired with an 8XX field if indexing of the series is desired.

5XX fields contain various types of notes.

6XX fields contain subject access points. Because RDA does not yet address subject access, these fields are not generally found in the cataloging examples in this *Handbook*.

7XX fields contain added access points to the record, which may include authorized access points for coauthors, illustrators, translators, related works, etc.

8XX fields contain authorized access points for series (see 490, above). Additionally, the 856 field contains the URL link for an electronic resource.

9XX fields are locally defined fields; each library may define these as it wishes in accordance with its own policies. Except for the 490 field, in MARC the

number 9 in other positions also means “locally defined”: X9X fields (e.g., 590) are reserved for local use as well.

In addition to the division of the 1,000 numbers into ten blocks, certain mnemonic devices exist that cross these blocks. In the 1XX, 4XX, 6XX, 7XX, and 8XX fields, the second and third digits of the tag have parallel meanings. The most common of these used in this *Handbook* follow:

- x00** signifies a person or family. For example, a 100 field contains the authorized access point for a person or family who is the principal creator of the resource.
- x10** signifies a corporate body. For example, a 710 field contains the authorized access point for a corporate body related to the resource.
- x11** signifies a meeting or event. A 111 field contains the authorized access point for a meeting or event considered the principal creator of the resource.
- x30** signifies a work not linked to a creator (e.g., an anonymous work). A 730 field may contain the authorized access point for a work related to the resource, or a work contained in the resource.

MARC AUTHORITY FORMAT

The tag/indicator/subfield structure of the MARC authority format is the same as that of the bibliographic format, but the organization is different. The MARC authority format is used to record descriptions of persons, families, corporate bodies, geographic entities, works, expressions, and subjects.

0XX fields comprise mainly control fields and record various types of identification numbers and codes. 0XX authority fields are not commonly found in this *Handbook*, but 010, the Library of Congress Control Number, is an example of an identifier—a core element for all these entities. Another field that is commonly found in the *Handbook* is 046, which contains coded dates related to the entity being described.

1XX fields contain the authorized access point for the entity being described. This is the form that will be used in bibliographic records to create links between the resource being described and other entities. Under Program for Cooperative Cataloging (PCC) policy there can be only one authorized access point per entity, and so there will never be more than one 1XX field in a PCC authority record.

There is only one **2XX** authority field, 260 (“complex see reference”) and it is not used in this *Handbook*.

3XX fields are used to record the attributes of entities. For example, the 375 field may be used to record a person's gender. Previous to RDA, 3XX fields were not commonly used in MARC authority records. They are extensively used in this *Handbook*.

4XX fields contain variant access points, forms of the entity's name that differ from the authorized access point recorded in 1XX and that the cataloger thinks might be used to find the entity. In current systems, information recorded in these fields generally directs the user to the authorized access point.

5XX fields contain links to other entities that are related to the entity described in the authority record. The forms found in 5XX fields always correspond to forms found in the 1XX fields of other MARC authority records.

6XX fields contain notes of various kinds.

7XX fields contain other types of links. These fields are not used in this *Handbook*.

The most common **8XX** field is the 856 field, which may be used to record a URL.

As in the bibliographic format, **9XX** fields are locally defined fields; each library may define these as it wishes in accordance with its own policies. The number 9 in other positions also means "local." For example, 090 is commonly used to record a call number used only by a particular library.

The same mnemonic devices within the second and third digits of the tag numbers that exist in the bibliographic format also exist in the authority format (e.g., X00 represents a tag for a person or family, whether in an authority 100, 400, or 500 field). For details see the last part of the section above on the MARC bibliographic format.

COOPERATIVE CATALOGING PROGRAMS

Cooperative cataloging programs have been in place in the United States for decades and have ranged from nationwide programs primarily designed to assist the Library of Congress in the production of cards for its card distribution program to local or statewide consortia that share cataloging responsibilities. The rise of mutually accepted record interchange standards, that is, the MARC formats, has greatly facilitated these efforts.

Program for Cooperative Cataloging (PCC)

The most successful of these programs to date is the Program for Cooperative Cataloging, or PCC. The PCC began in 1995 as a result of planning that had taken place earlier in the decade. It currently has four components: NACO (Name Authority

Cooperative Program); SACO (Subject Authority Cooperative Program); BIBCO (Bibliographic Record Cooperative Program); and CONSER (Cooperative Online Serials Program).

The most important goals of the PCC are to make more authoritative records (both bibliographic and authority records) available for sharing by all libraries, and to develop mutually acceptable standards for record creation.

In 2012 there were over 800 libraries and other institutions participating in at least one of the component programs of the PCC. Collectively, these libraries produced nearly 209,000 new name authority records, over 12,000 new series authority records, approximately 2,500 new subject authority records, and over 75,000 new bibliographic records.

Participating libraries are located in all parts of the world. The majority are in the United States, but there are also participants in Argentina, Australia, Brazil, Canada, England, Hong Kong, Ireland, Italy, Lithuania, Mexico, New Zealand, Scotland, South Africa, Wales, and many other countries. The PCC is truly an international effort.

The PCC maintains a web page at www.loc.gov/aba/pcc/, where further details about the program can be found.

Such a large cooperative effort requires that policies be made that can be followed by all participants. RDA introduced a greater degree of cataloger judgment than AACR2, and in many instances it does not matter that every cataloger make the same choices, even in a cooperative cataloging program. But in some cases it does matter, and for these cases PCC, in cooperation with the Library of Congress, has created an evolving set of policies known as the Library of Congress-Program for Cooperative Cataloging Policy Statements, or LC-PCC PSs. These policy statements may be found under the Resources tab in the RDA Toolkit, and links to the LC-PCC PSs are also given at relevant points in RDA itself.

The LC-PCC PS document is a hybrid that combines LC's own internal policy decisions with policy decisions that apply to PCC. These decisions are not always the same, so it is important to pay attention to the labels that appear with each policy statement. Whether each applies to LC, PCC, or both, is clearly marked at the beginning of each statement. For example, at the time of this writing LC-PCC PS 7.10 (April 2010), Summarization of the Content, is marked "CORE ELEMENT FOR LC." This means LC catalogers are required to include a summarization in certain instances, but other PCC catalogers are not. Similarly, LC-PCC PS 7.10.1.3 (January 2013) is marked "LC practice," which indicates that LC catalogers should follow the policy when creating summaries, but others are not bound by it, although they may follow it if they think it makes sense. On the other hand, LC-PCC PS 2.3.3 (September 2012), Parallel Title Proper, is labeled "CORE ELEMENT FOR LC/PCC," which means both LC and PCC catalogers are required to include the element. LC-PCC

PS 9.3.2.3 (July 2012), Recording Date of Birth, is marked “LC practice/PCC practice,” which means both LC and PCC catalogers should follow the practice listed for including a date of birth as part of the access point for a person. This is an example of a policy where it is important that everyone follow the same practice because it affects the indexing of the shared authority file.

Non-PCC catalogers are free to follow these policy statements or not. Many will follow them, because for the most part they make sense and are based on sound judgment. Significant LC-PCC PSs are cited in this *Handbook* where relevant. Because RDA is newly implemented and the policies are in flux at this time, the date of each policy is included here with its citation. Catalogers should always check the LC-PCC PS itself for the most up to date information.

GENERAL RDA ISSUES

Core Elements

AACR2 1.0D allowed the cataloger to choose between three levels of detail in cataloging description when applying AACR2. The first level was brief cataloging, and only included the most essential elements. The second level included many more elements than the first, but did not require every possible AACR2 cataloging element. Third-level descriptions included elements from every rule that applied to the item being cataloged. All three levels were used in AACR2, but most catalogers opted for second-level descriptions.

RDA does not define levels of description. Instead RDA 0.6 designates certain elements (e.g., the FRBR entity attributes) to be core. “Core” designation means that the element is required in a description if it is applicable to the resource or entity being described, and if it is readily ascertainable. The cataloger is also required to “include any additional elements that are required in a particular case to differentiate” the resource or entity from others with similar attributes. Inclusion of other elements is at the discretion of the cataloger who should use judgment based on the needs of the database user and the policies of the cataloging agency.

The core elements are all listed in RDA 0.6, and are also repeated in general chapters dealing with groups of entities (for example, core elements applicable to persons, families, or corporate bodies are listed in 8.3). The cataloger is not expected to memorize these lists, however. All core elements are also clearly labeled in the guidelines that deal specifically with them. For example, type of family, an attribute of the family entity, is core. The guidelines for this element display as follows:

10.3 Type of Family

CORE ELEMENT

10.3.1 Basic Instructions on Recording Type of Family

10.3.1.1 Scope

In contrast, “family history” is not a core element. It displays as follows:

10.8 Family History

10.8.1 Basic Instructions on Recording Family History

10.8.1.1 Scope

Certain elements are core only under certain circumstances. For example, the guidelines at 2.9.2 read:

2.9.2 Place of Distribution

CORE ELEMENT

Place of distribution is a core element for a resource in a published form if the place of publication is not identified. If more than one place of distribution appears on the source of information, only the first recorded is required.

2.9.2.1 Scope

This means the place of distribution element is required, but only if a place of publication has not been recorded. These elements are coming to be known in cataloging jargon as “core if” elements.

The core elements are intended to support the FRBR user tasks (mentioned above during the discussion of the *Statement of International Cataloguing Principles*). The database should allow the user to find, identify, select, and gain access to resources. The core elements were selected because they were thought to support these tasks, particularly “identify” and “select.”

There are surprisingly few core elements compared with the rich data that can be recorded in an RDA description. This *Handbook* tends to push RDA to the limit and includes many more elements in descriptions shown in the figures than are called for by RDA’s core requirements. Catalogers and cataloging agencies will have differing opinions as to the utility of many of the elements but they are encouraged to explore the possibilities of the non-core elements as ways to help their users navigate our bibliographic universe and discover the resources they need.

MOVING TARGET

One of the issues this *Handbook* has had to deal with is the “moving target” nature of RDA at this early stage. Just as AACR2 was, RDA is being revised on a regular schedule by the JSC. Major revisions are currently occurring on an annual basis; the first set of revisions was published in April 2012. The RDA Toolkit contains an update history, found at the bottom of the text under the RDA tab. Links to this history are also found at relevant places in the guidelines themselves. For example, RDA 9.15 (field of activity of a person) and 9.16 (profession or occupation of a person) were clarified in the April 2012 revision, and 9.15 was changed from a core to a non-core element. Links at RDA 9.15 and 9.16 (a blue rectangle that says “2012/04”) take the reader to the previous wording and a brief summary of the change.

This is a convenient way of showing what has changed and when. As catalogers gain experience using RDA, rough edges are being smoothed out, and even large sections are being revised. It is expected that this will occur regularly for the next several years, after which the revision process may settle down to a less frenetic pace.

Another group of changes occur as well that are not as evident. These are called “fast track” changes, and include correction of typographical errors as well as other changes that are considered minor, such as the addition of new relationship designators in appendixes I through L. These changes are not marked or found in the update history, and unlike the major changes which are incorporated into RDA on an annual basis, the fast track changes can be incorporated at any time during the RDA Toolkit’s monthly updates.

As mentioned above during the discussion of the LC-PCC PSs, LC and PCC policy for application of RDA is also in considerable flux as catalogers gain experience using the code.

Two important revisions took place just as this *Handbook* was being prepared for publication. First, the JSC approved a number of significant revisions at its November 2012 meeting, to be published around July 2013. The *Handbook* has attempted to take these changes into account, but because the revised text had not yet been officially published at the time of writing it is important that catalogers verify the final text in these areas before proceeding. Additionally, a long-term project to improve the readability of the guidelines began in 2011. The first revised texts were incorporated into RDA in December 2012, to be followed by others during 2013. These revised guidelines were not intended to change the outcome of application of the instructions, and so should not affect the guidance given in the *Handbook*; however, RDA quotations may differ in some instances between the *Handbook* and the current text of RDA found online.

In short, every effort has been made to keep this *Handbook* accurate as of its publication date, but because of the “moving target” problem the *Handbook* must always

be used in tandem with RDA and the policy statements themselves in order to follow the most current practices.

NOTES

1. Margaret F. Maxwell, *Handbook for AACR2* (Chicago: American Library Association, 1980); Margaret F. Maxwell, *Handbook for AACR2, 1988 Revision* (Chicago: American Library Association, 1989).
2. The proceedings were published as *The Principles and Future of AACR: Proceedings of the International Conference on the Principles and Future Development of AACR, Toronto, Ontario, Canada, October 23–25, 1997*, Jean Weihs, ed. (Chicago: American Library Association, 1998).
3. The Deutsche Nationalbibliothek joined the JSC in 2012.
4. The RDA Toolkit resides at www.rdatoolkit.org.
5. IFLA Study Group on the Functional Requirements for Bibliographic Records, *Functional Requirements for Bibliographic Records, Final Report* (Munich: K. G. Saur, 1998); also available in PDF or HTML format at www.ifla.org/publications/functional-requirements-for-bibliographic-records.
6. IFLA Working Group on Functional Requirements and Numbering of Authority Records, *Functional Requirements for Authority Data: A Conceptual Model*. IFLA Series on Bibliographic Control, vol. 34 (Munich: K. G. Saur, 2009).
7. IFLA Working Group on the Functional Requirements for Subject Authority Records, *Functional Requirements for Subject Authority Data (FRSAD): A Conceptual Model*, www.ifla.org/files/assets/classification-and-indexing/functional-requirements-for-subject-authority-data/frsad-final-report.pdf.
8. For a comprehensive overview of FRBR, see Robert L. Maxwell, *FRBR: A Guide for the Perplexed* (Chicago: American Library Association, 2008).
9. All entity definitions are based on those found in RDA, which may differ slightly from FRBR.
10. The definitive text of the Paris Principles is International Conference on Cataloguing Principles, Paris, 1961, *Statement of Principles*, annotated edition with commentary and examples by Eva Verona (London: IFLA Committee on Cataloguing, 1971).
11. IFLA Cataloguing Section and IFLA Meetings of Experts on an International Cataloguing Code, *Statement of International Cataloguing Principles*. IFLA Series on Bibliographic Control, vol. 37 (Munich: K. G. Saur, 2009). Also available in English and numerous other languages at www.ifla.org/publications/statement-of-international-cataloguing-principles.

12. ISBD Review Group, *ISBD: International Standard Bibliographic Description*, consolidated ed. IFLA Series on Bibliographic Control, vol. 44 (Berlin: De Gruyter, 2011). Information about the history of ISBD was taken from the introduction to this document, xi–xvii.
13. On the Library of Congress’s initiative to develop a replacement for MARC, see LC’s Bibliographic Framework Transition Initiative page at www.loc.gov/marc/transition.
14. For complete information on MARC 21 coding, see www.loc.gov/marc.
15. MARC 21 also includes three other formats: holdings, classification, and community information. These formats are not discussed in this *Handbook*.

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