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Catalogues and cataloguing standards

Catalogue. 1. (Noun) A list of books, maps or other items, arranged in some definite order. It records, describes and indexes (usually completely) the resources of a collection, a library or a group of libraries. To be distinguished from (i) a list, which may or may not be in any particular order and may be incomplete, and (ii) a bibliography, which may or may not be confined to any one collection of books or to a particular group of libraries. Each entry bears details of class number or call number to enable the item to be found, as well as sufficient details... to identify and describe the book. 2. (Verb) To compile a list of documents according to a set of rules so as to enable the consulter to know what items are available and... where they may be found.

(Prytherch, 1995)

This working definition from a standard glossary of library terms encompasses in broad brush the focus of this book, which is to outline general cataloguing principles and highlight the major rules through which those principles are commonly applied within library collections.

In 2011/12 library cataloguing is in a state of flux as a new international cataloguing standard, *Resource Description and Access* (RDA), is developed and introduced (Joint Steering Committee for the Development of RDA, 2011). Widespread consultation and discussion underpins this committee-developed standard, and cataloguers and library managers await with interest each draft, toolkit and, eventually, implementation guidance.

At times like this, it is more important than ever that cataloguers should understand the general principles for providing information to their users, in order, ultimately, to decide on local cataloguing policy for their libraries.

In this introductory chapter, we will consider the roots of general

cataloguing principles and briefly survey the history of the development of the codes that are in use today.

Ranganathan

For many librarians, Ranganathan's Five Laws form the basic principles of librarianship:

- Books are for use.
- Every book its reader.
- Every reader his book.
- Save the time of the reader.
- A library is a growing organism.

(Ranganathan, 1957)

It is easy to relate these laws to cataloguing, which renders items findable ('Books are for use' and 'Every reader his book') quickly and efficiently ('Save the time of the reader') and performs an inventory function for the library's stock ('Every book its reader' and 'A library is a growing organism').

Indeed, in his later publication, *Classified Catalogue Code*, Ranganathan went on to state that the catalogue:

Should be so designed as to:

- Disclose to every reader his or her document;
- Secure for every document its reader;
- Save the time of the reader; and for this purpose
- Save the time of the staff.

(Ranganathan, 1989)

Ranganathan is also a good place to start when we think about general cataloguing principles, since his laws place the user at the centre of the library, and it is important to remember this when we catalogue – a well prepared catalogue record may be a beautiful thing to the trained eye, but the true measure of its worth must be in its value to those searching it in finding information.

Cutter

In fact the major aims and objectives of the cataloguer have changed little since the 19th century, when Cutter outlined the objects and means of library cataloguing:

Objects

1. To enable a person to find a book of which either
 - A. the author
 - B. the title
 - C. the subject is known
2. To show what the library has
 - D. by a given author
 - E. on a given subject
 - F. in a given kind of literature
3. To assist in the choice of a book
 - G. as to its edition (bibliographically)
 - H. as to its character (literary or topical)

Means

1. Author-entry with the necessary references (for A and D).
2. Title-entry or title-reference (for B).
3. Subject-entry, cross-references, and classed subject-table (for C and E).
4. Form-entry (for F).
5. Notes (for G and H).

Reasons for Choice

Other things being equal, choose the entry

1. That will probably be the first looked under by the class of people who use the library;
2. That is consistent with other entries, so that one principle can cover all;
3. That will mass entries least in places where it is difficult to so arrange them that they can be readily found, as under names of nations and cities.

(Cutter, 1891)

In recent years, Cutter's objects have been reflected in the user tasks set out by the *Functional Requirements for Bibliographic Records* (FRBR), an international

initiative which in turn has greatly influenced RDA (IFLA, 1998). In FRBR, the attributes and relationships within a catalogue are mapped to user tasks that form the core aims of the record, and which are:

- to *find* entities that correspond to the user's stated search criteria
- to *identify* an entity
- to *select* an entity that is appropriate to the user's needs
- to acquire or *obtain* access to the entity described.

In 2009, IFLA published an updated *International Statement of Cataloguing Principles* (IFLA Cataloguing Section and IFLA Meetings of Experts on an International Cataloguing Code, 2009), which built on the work of FRBR and asserted 'This first principle is to serve the convenience of catalogue users'.

So we can see that the objectives of cataloguing have remained constant for over a century.

Lubetzky

The final 'Great Man of Cataloguing' whom we will consider here is Seymour Lubetzky, who in the mid-20th century developed principles that took a 'back-to-basics' approach. His attitude is arguably extremely relevant today, when we are faced with a complex and ever-changing environment, with new formats and materials to document and, as for Lubetzky, a complicated matrix of cataloguing codes and standards from which we can choose.

As Lois Mai Chan has put it, in Lubetzky's *Studies of Descriptive Cataloging* (1946), *Cataloging Rules and Principles* (1953), *Code of Cataloging Rules* (1960) and *Principles of Cataloging* (1969), he insisted on 'a rationalised approach to cataloging standards based on objectives and principles [that] laid the foundation for subsequent cataloging code development. He is credited for transforming cataloging codes "rich in rules" to those "rich in principle"' (Chan, 2007).

As our own standards change radically over the next few years, it is arguably the case that all those responsible for cataloguing policy will need to adopt a similar streamlining approach.

The Paris Principles, ISBD, AACR, RDA

Drawing on the work of Lubetzky, the Paris Principles or Paris Statement came out of an international conference held in 1961. The discussions at this conference led to the first edition of the *Anglo-American Cataloguing Rules* (AACR), which was published in 1967. In 1969 a further set of meetings was held in Copenhagen, which led to the development of International Standard Bibliographic Description (ISBD).

ISBD covers a range of standards, the first being *ISBD (M): International Standard Bibliographic Description (for single volume and multi volume monographic publications)*, originally published in 1971. There have been many others, covering such resources as cartographic materials (ISBD (CM)), electronic resources (ISBD (ER)) and serials (ISBD (S)). ISBD is one of the codes that underpins the MARC format.

Since its publication in 1978, AACR2 has had three further incarnations: AACR2R (1988), which consolidated the three supplements to AACR2 issued in the 1980s; AACR2R (1998), which dealt with numerous amendments to the code; and AACR2R (2002), which as well as covering minor changes throughout, also incorporated substantial coverage of electronic resources.

The Joint Steering Committee for the Revision of AACR, which wrote and administered the AACR, decided in 2005 that the changes that it was making to AACR2 had sufficiently wide implications that the next edition would be better to be published under the new title *Resource Description and Access* (RDA).

Constituency consultation fed into the new code, published in online format in June 2010. Although they bowed to pressure from the cataloguing community and issued a print version, members of the Joint Steering Committee and the lead publisher, the American Library Association (ALA), have stressed that, unlike previous codes, RDA has been conceived from the start as an online text, and online access is required to receive the full benefits of the code.

So this is where we find ourselves in 2012. After over 30 years of cataloguing using the same code, we are looking at radical changes to our practice. The Library of Congress has been running extensive tests, which will lead not only to decisions about implementation, but also guidance on how implementation might be achieved. Meanwhile, the Machine-Readable Bibliographic Information (MARBI) Committee, responsible for MARC, has

started to introduce changes to make the implementation of RDA possible in a consistent way for libraries using MARC 21 format.

This book examines the implications of the new code, compares it to the existing standards and, more importantly, highlights the roots of AACR2 and RDA in general cataloguing principles. It also provides some guidance on the major format for bibliographic description, MARC 21. Finally, it provides examples of materials commonly encountered in modern library cataloguing, and gives suggestions for how these might be handled (see Chapter 10).