

Introduction: The Metadata Team and rare books cataloguing at Edinburgh University Library

The Metadata Team at Edinburgh University Library (EUL) comprises 18 individuals making up 15.2 full time equivalents, including the Metadata Co-ordinator, four supervisors and thirteen cataloguing and classification staff. All cataloguers are highly skilled, including seven staff who are trained in Descriptive Cataloguing for Rare Materials (Books) (DCRM(B)) and most staff undertake both core and project work. Rare books cataloguing is supervised by the Assistant Rare Books Librarian, with staff supplied from the Metadata Team, including one member of the team currently seconded to work on rare books full time.

Rare books cataloguing is currently focussed on new acquisitions and donations, addressing backlogs of uncatalogued and poorly-catalogued material, and an externally funded project to catalogue part of an estimated 36,000 uncatalogued items from the divinity collections in New College Library. There are an estimated 150,000 uncatalogued rare books and music scores, both antiquarian and modern, located in the Main Library building of the central campus and the University Collections Facility, which is located on the outskirts of the city. In addition there are around 104,000 poorly catalogued items. The New College project has seen a very high number of unique items catalogued with EUL contributing nearly 400 new records to the English Short Title Catalogue (ESTC) since the project started.

RDA implementation

EUL adopted Resource Description and Access (RDA) as the in house cataloguing standard for modern materials in 2014. In order to achieve this, a working group was established in April 2014, who received training from an external trainer in June. Documentation and in house policies were then developed over the summer, with RDA training cascaded down to all cataloguing staff in October 2014.

Although RDA would be used for modern materials, there was an impact on rare books work in the areas of policy and authority control. At this time, the need was identified for clear guidelines on which standard to use and for what type of material. Previously, the reasoning behind the policy had not been made explicit and rare books cataloguers were not always clear about when to use the DCRM(B) standard, especially when dealing with exceptional examples of otherwise routine publications post 1800. The new policy attempted to address this issue, and empower the cataloguers to use their discretion.

The following principles were established and included in the EUL Rare Books cataloguing manual:

- In general we will catalogue to full DCRM(B) level:
 - ◇ All items printed up to about 1850, which are, or appear to be, the products of the hand press, i.e. everything printed up to 1820, and later items with the features of hand-press printing, e.g. traditional bibliographical signatures.
 - ◇ Later items with special characteristics which demand fuller bibliographical description, e.g. modern hand-press books, items with special physical features which are to be fully described (e.g. bindings or illustrations), items which are the subject of close bibliographical analysis.
 - ◇ Later items which complete a set or run which started in the hand-press period and has otherwise been catalogued to DCRMB.

- In line with current UoE policy all other items will be catalogued using RDA. Binding descriptions and provenance information may be included in RDA records where appropriate.

Although work planning for rare books cataloguing is focused on tackling specific collections, allowing cataloguers to consistently use one standard or the other, the need does often arise for cataloguers to switch between the two standards throughout the course of a working day.

Authority control

Cataloguing for the Library of Congress Name Authority File (LCNAF) changed from Anglo-American Cataloguing Rules, 2nd Edition (AACR2) to RDA in April 2013, meaning that many AACR2 and DCRM(B) records were now associated with RDA Authorised Access Points (AAPs) for names and titles. No changes to creating local authority forms had been implemented at EUL and an outsourced catalogue re-authorisation project in July 2013 had updated AACR2 forms associated with LCNAF authorities as well as local authority headings. This meant that there was divergence in the catalogue between recently created local authority forms and those which had been passed through the re-authorisation process.

This problem was of particular relevance to rare books cataloguers. Although improving, coverage of historical persons engaged in the production and distribution of printed materials, especially pre-1800, is limited on LCNAF and other authority databases, requiring libraries to create local forms in the absence of international authority records. In addition, the changes to the syntax of how unique forms for individual persons are created in RDA were particularly relevant to rare books cataloguing, where precise dates of birth and death are often unknown and dates of activity are used to establish a unique form of name. Across many areas of cataloguing, RDA has moved from a system of abbreviations, often for Latin terminology, to using natural modern language. For example, the “fl.” abbreviation (floruit) for dates describing a period of activity was changed to the term “active”.

Fig. 1: Example from training documentation showing the changes in syntax for constructing personal name AAPs

Approximate year of activity

AACR2

Smith, John, fl. ca. 1795

RDA

Smith, John, active approximately 1795

All cataloguers were briefed on the changes in syntax and expected to use the new forms in advance of full RDA transfer training, with detailed documentation for rare books cataloguers on using and creating RDA AAPs. Any local forms created between the main catalogue re-authorisation and re-training of cataloguers would be picked up by future rounds of re-authorisation.

In addition to the syntax for names, another significant change in RDA is the approach to the intellectual content of the item and the use of authority metadata to describe it, leading to a different structure for authority controlled MARC fields. Changes in how collected works, translations and works issued together are treated were all potentially relevant to rare books work. The decision was made to adopt these structures for all cataloguing and to always use LCNAF records relating to the item in hand. Although these policy decisions would result in hybrid records coded as AACR2/DCRM(B) format but with RDA authority forms, there would be no impact on the descriptive elements of rare books work.

Fig. 2: Training slide showing the RDA syntax for creating AAPs for collected works

Authority control: Changes to collected works

Shakespeare, William, ‡d 1564-1616. ‡t Works. ‡f 2008

Shakespeare, William, ‡d 1564-1616. ‡t Works. ‡k Selections. ‡f 2009

Shakespeare, William, ‡d 1564-1616. ‡t Plays. ‡k Selections ‡s (Modern Library (Firm))

Shakespeare, William, ‡d 1564-1616. ‡t Plays. ‡k Selections. ‡l Portuguese



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Relationship Designators

Rare Books and Manuscripts Section Relationship Designators were already in use for DCRM(B) cataloguing, but with the change to RDA they became a new element for cataloguers dealing with modern materials. Relationship Designators are important in establishing the relationships between the entities responsible for the intellectual content and the results of their endeavours, and it was a positive development to extend this practice to the cataloguing of modern materials.

The two standards each have their own list of designator terms, but there is considerable overlap in terminology. In addition, RDA Appendix I lists a clear hierarchy of how the RDA Group 1 and Group 2 Entities relate to each other based on the Work/Expression/Manifestation/Item (WEMI) hierarchy. The decision was taken that cataloguers should consult the appropriate thesaurus for the standard that they were using at the time and only consult the other thesaurus if no appropriate term can be found.

Use of family name AAPs for establishing provenance

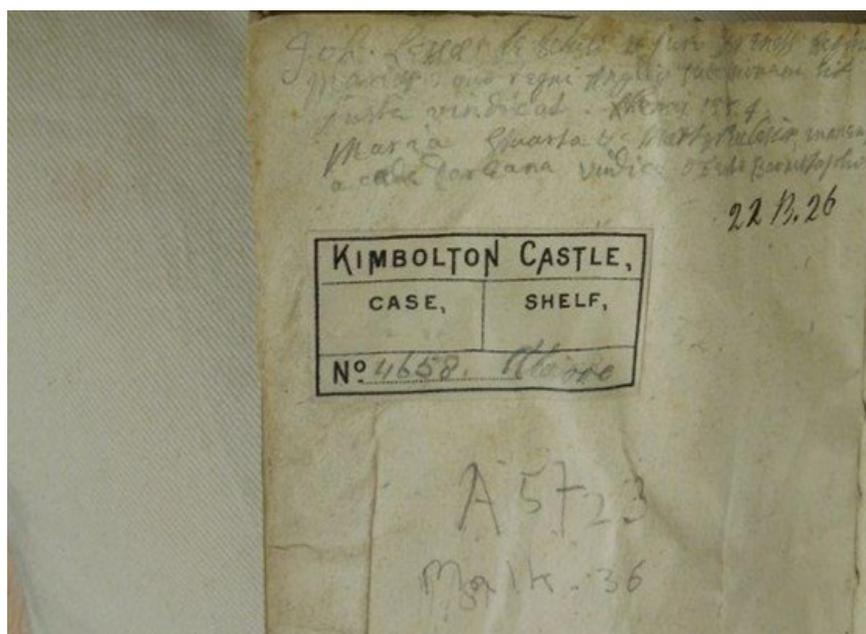
Perhaps one of the most radical changes in authority cataloguing was the decision to allow specific families to be treated as Group 2 Entities along with individual persons and corporate entities. These authority records would be distinct from Library of Congress Subject Headings for families, which may be used for works on any family with a particular surname or its variant forms. This would then allow a specific family to be assigned the role of author for collected family papers or correspondence, with qualifiers such as dates, location or a prominent family member used to establish the unique AAP

Fig. 3: Examples of an LCSH authority form for families named Smith and an LCNAF form for a specific Smith family, qualified by prominent family member:

010 \$ash 85123667	010 \$no2014070762
100 3 \$aSmith family	100 3 \$aSmith (Family : ‡g Smith, Upton Treat, 1843-1925)

In 2013, Andrew Malkiewicz, a retired lecturer in history, donated his collection of rare books and manuscripts to the University, many of which date from the French Revolution. Among these, one book entitled “Dialogue du Royaume”, shelfmark Malk. 36, provided the opportunity to use a family AAP to establish provenance.

Fig. 4: Title page verso of Malk. 36 showing the Kimbolton Castle book label. Image ©Alasdair MacDonald



The book contained a nineteenth-century book label for Kimbolton Castle, which caused some initial problems with regard to establishing provenance. The authority record for Kimbolton Castle is appropriate only for subject use, despite the 110 corporate entity tag.

Fig. 5: LCSH authority form for Kimbolton Castle

010 \$ash2007005230
110 2 \$aKimbolton Castle (Kimbolton, Cambridgeshire, England)

Kimbolton Castle is located in Huntingdon, Cambridgeshire and is most famously known as the final home of Katherine of Aragon. The first buildings date from the medieval period and the castle came into the ownership of Sir Henry Montagu, 1st Earl of Manchester, in 1615. Charles Edward Montagu, 1st Duke of Manchester, undertook considerable reconstruction work on the building between 1690 and 1720, and the building remained as the family seat of the Dukes of Manchester until 1950 when it was sold by the 10th Duke.

It is now the home of Kimbolton School.¹

This then provided the basis for establishing the Montagu family as the former owners. It was not possible to associate the book with any individual, so a heading was needed to reflect the family's collective ownership. At the time there were few family authority records in the LCNAF and the RDA rules for establishing family names required careful consideration before the AAP could be constructed. The rules for establishing the name elements are clear, and we chose "Montagu (Family)". Qualifiers of date and place are core elements in RDA for distinguishing between families with the same name. Although no Montagu family was established in LCNAF, the decision was taken to include these elements as the AAP would be meaningless otherwise and the situation is different to the practice of adding dates to a personal name as a conflict breaker.

The form for the family AAP was created as follows:

Montagu (Family : 1615-1950 : Kimbolton, Cambridgeshire, England)

The form used for the location is the LCSH form for Kimbolton, which is for the town not the castle. The addition of Cambridgeshire distinguishes it from Kimbolton in Herefordshire. The dates reflect guidelines in RDA Toolkit:

10.4.1.1 Scope

A date associated with the family is a significant date associated with the history of the family.

A family rarely ceases to exist and there is a current Duke of Manchester, so the time period was chosen to represent the period when the family had wealth, influence and an association with Kimbolton Castle. Along with the sale of the castle and its contents the 10th Duke also spent much of the family fortune and, according to Wikipedia, the 12th Duke was 'variously engaged as a clothes salesman, a barman, and a crocodile wrestler'.² Thus, the decision on forming the AAP was taken on the basis of the history of the family rather than the need to fit the form of name to the task in hand.

Finally, the family was assigned the relator term of "former owner" in our bibliographic record, which is common to both lists of relationship designators, but relates to the Item in the WEMI hierarchy. Although the use of the family AAP provided a sensible and meaningful way to record provenance of the book, this is only one item from the library of a former stately home and, as for historical persons active in the book trade, the problems of dissemination and standardisation remain.

1. https://en.wikipedia.org/wiki/Kimbolton_Castle, viewed 30th October 2015

2. https://en.wikipedia.org/wiki/Angus_Montagu,_12th_Duke_of_Manchester, viewed 30th October 2015