

Kate Simpson Moriarty. *Descriptive Cataloging of Rare Materials (Books) and Its Predecessors: A History of Rare Book Cataloging Practice in the United States*. A Master's paper for the M.S. in L.S. degree. November, 2004. 100 pages. Advisor: Jerry D. Saye

The first part of this paper examines the history of the development of rare book cataloging practice in the United States. It discusses the need for a cataloging code specific to rare books. It also examines the impact of both descriptive bibliography and non-rare book cataloging codes on the development of rare book cataloging rules.

The second part describes the changes in the forthcoming third edition of the rare book cataloging manual, *Descriptive Cataloging of Rare Materials (Books)* (DCRM(B)). Observations of general developments in the manual are provided. A close examination of the changes in each of the rules includes the text of the rules followed by a discussion. DCRM(B) reflects decades of rare book cataloging experience and rule development. The purpose of this paper is to assist the rare book cataloger in making the transition to the new practices.

Headings:

Rare books/Cataloging

Cataloging/History

Cataloging/Rules

*DESCRIPTIVE CATALOGING OF RARE MATERIALS (BOOKS) AND ITS  
PREDECESSORS: A HISTORY OF RARE BOOK CATALOGING PRACTICE IN  
THE UNITED STATES*

by  
Kate Simpson Moriarty

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Approved by:

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Jerry Saye

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## Key to Acronyms and Initialisms

AACR1	<i>Anglo-American Cataloging Rules</i>
AACR2	<i>Anglo-American Cataloging Rules (2<sup>nd</sup> ed.)</i>
ACC	Australian Committee on Cataloguing
ACRL	Association of College and Research Libraries (a division of ALA)
ALA	American Library Association
AMREMM	<i>Descriptive Cataloging of Ancient, Medieval, Renaissance, and Early Modern Manuscripts</i>
BDRB	<i>Bibliographic Description of Rare Books</i>
BL	British Library
BM	British Museum
BSC	Bibliographic Standards Committee (formerly Standards Committee) (of RBMS)
CCC	Canadian Committee on Cataloguing
CILIP	Chartered Institute of Library and Information Professionals
CLA	Canadian Library Association
DCRB	<i>Descriptive Cataloging of Rare Books</i>
DCRM(B)	<i>Descriptive Cataloging of Rare Materials (Books)</i>
IFLA	International Federation of Library Associations and Institutions
IRLA	Independent Research Libraries Association
ISBD(A)	<i>International Standard Bibliographic Description for Older Monographic Publications (Antiquarian)</i>
ISBD(M)	<i>International Standard Bibliographic Description for Monographic Publications</i>
LA	(British) Library Association
LC	Library of Congress
LCRI	Library of Congress Rule Interpretation
MARBI	Committee on Representation in Machine-Readable Form of Bibliographic Information (ALA)
MARC	Machine-Readable Cataloging
OCLC	Online Computer Library Center
PCC	Program for Cooperative Cataloging
RBMS	Rare Book and Manuscripts Section (of ACRL)
RLIN	Research Libraries Information Network
SC	Standards Committee (now Bibliographic Standards Committee) (of RBMS)

## Introduction

Cataloging standards are a relatively recent phenomenon in the history of books and libraries. Not until 1841, with Panizzi's *Rules for the Compilation of the Catalogue*, did Western Europe and North America examine the need for, and utility of, uniformity in catalog records. In 1853, Jewett built upon Panizzi's rules in his proposal for a union catalog for the major institutional libraries in the United States. Charles Cutter, in his 1876 *Rules for a Printed Dictionary Catalogue*, incorporated and expanded upon their work, and expressed for the first time the functions of a library catalog. Though catalog rules have changed and developed over time and with use, the functions of the catalog have remained relatively stable and have served to direct the evolution of the rules.

The functions of the library catalog, as set forth by Cutter, amended by Lubetzky (1953), and enhanced for today's electronic capabilities, are essentially 1) to enable a user to find an item through a variety of possible searches including author, title, subject, or key word; 2) to list items held by the library or consortium and to "collocate all manifestations of a work" (Parent, 1999); and 3) to assist the user in choosing a particular item from the universe of items available by accurately reporting publication

information, e.g., edition statements, and providing appropriate subject categories.

These objectives were reaffirmed by the International Federation of Library Associations and Institutions (IFLA) in their 1998 report, *Functional Requirements for Bibliographic Records* (p. 8).

In order to accomplish these goals, standards were developed in description, classification, and the creation of access points. Though originally created for books, format-specific standards were later developed to supplement these rules. Due to the nature of their creation and the needs of researchers, rare books came to be seen as a format requiring additional cataloging rules. This paper examines the need for a separate rare book cataloging code, the history of its development in the U.S., and the impact of descriptive bibliography on its development. It concludes with an examination of the changes that are planned for the forthcoming rare book cataloging standard, *Descriptive Cataloging of Rare Materials (Books)*.

## **CHAPTER 1: HISTORY OF RARE BOOK CATALOGING IN THE U.S.**

Several works exist on the history of cataloging, but very few focus on that of rare book cataloging. Russell's "Description and Access in Rare Books Cataloging: A Historical Survey" (2003) is a recent exception that details the evolution of the rare book cataloging code and examines the cataloging issues peculiar to rare books.

### **The Need for a Rare Book Cataloging Code**

All cataloging code initiatives are efforts to provide standardization. The usefulness of standards and uniformity are evident in union catalogs which enable one to find an item (for the purposes of this paper, a book) across several libraries and maximize cataloging efforts by cutting down on duplicate efforts. OCLC: Online Computer Library Center (hereafter referred to as OCLC) and the Research Libraries Information Network (RLIN) are possible because of standards. Without these standards an item could potentially have hundreds of records in these utilities, thereby greatly negating the purpose and uses of them. Though stimulated by recent electronic capabilities, the value of standards in the

dissemination of knowledge was recognized in the 19<sup>th</sup> century and many cataloging rules developed then are still in use today.

In determining the need for a rare book cataloging code, it is helpful to understand what is meant by the term “rare book.” There is no single definition to which one can point. Rather, it is up to the individual institution to define the term when creating its collection development and cataloging policies. A book can be considered “rare” based on its age, provenance, artifactual value, the number of copies of the same state, issue, or edition in existence, its inclusion in a defined collection, or its potential research value among other criteria. There are arbitrary cut-off dates one can use, such as 1501 for incunabula and 1800 for hand-press books although many institutions now have moved the latter date back to 1825. However, many 19<sup>th</sup> century and modern fine-printing books are also collected in rare book and special collections departments. The closest one can come to defining “rare” book is that it usually has a historical or artifactual value independent of its content.

For many rare books this artifactual value stems from their being published during the hand-press era. During that era, each phase of their manufacture was done by hand – from the creation of the type and paper used to the composition and imposition of the text and finally to the binding. Therefore, each book, although produced in runs of sometimes hundreds of copies, is a



unique object. As artifacts, the books are historical evidence of the publishing, printing, binding, and bookselling industries, of labor practices and reading customs. As such they can provide confirmation of theories about the history of communities and society.

As cataloging codes developed in the 20<sup>th</sup> century rare book librarians perceived the rules for non-rare books to be inadequate. They did not allow them to reflect the unique properties of rare books. Scholars used rare books for research on printers, binders, former owners, or book genres and bibliographers sought specific collation information not provided for by the existing rules. Due to the space limitations of catalog cards and the desire to accommodate as many of these needs as possible, separate catalog files were created for rare books.

There were additional pressures for the creation of a cataloging code specific to rare books. Unlike most books, many rare books have only a few surviving copies. They therefore require special protection. This protection often results in the need to house rare books in closed stacks and place them in a non-circulating status including significantly restricting or prohibiting interlibrary loan. Thus, not only must users search harder and further for a particular rare book, they also are unable to access it through interlibrary loan. Further, upon arrival at the holding institution they are unable to browse the collection. All of this puts a much greater burden and responsibility on the

catalog record to represent the books as accurately as possible, so that researchers can find, identify, and select accurately. Often this is done from a distance.

Good description and intellectual access provide books with an additional element of protection by reducing unnecessary use. Finally, a comprehensive rare book code allows catalogers to greatly increase the uniformity with which they identify and record the many additional attributes of rare books. This uniformity contributes significantly to the usefulness of the bibliographic utilities and, ultimately, to scholarship.

Thus, the need for rare book cataloging rules was recognized and specific rules were included in cataloging codes and manuals. The question then arises, Why is a separate rare book cataloging code needed when the *Anglo-American Cataloguing Rules, 2<sup>nd</sup> Edition* (AACR2) has rules covering rare books? If we take IFLA's four objectives for a bibliographic record – to find, identify, select, and obtain an entity (e.g., a book) (1998, p. 8) – then look at one of the defining characteristics of rare books, which is that they have an historical, artifactual value outside of their content, we see that the rules in AACR2 do not provide the wherewithal to represent and describe many of the attributes researchers of rare books are looking for.

Stalker and Dooley (1992) address this in their discussion of the revision of *Bibliographic Description of Rare Books* (BDRB). They state, “a separate descriptive code for rare books, and each particular rule within it, can be justified only if it results in catalog records that are used in ways that general catalog records for books are not” (p. 9). They further state,

To justify the existence of a set of rules for rare books and to determine its shape, the committee identified two additional special objectives that such a code might be expected to fulfill:

1. To enable the precise identification of books on the basis of characteristics that do not relate solely to the works or texts they contain; and
2. To justify and explain access points which allow the user to identify books which possess these intellectual and physical characteristics. (p. 9)

### **The Impact of Descriptive Bibliography on Rare Book Cataloging**

Descriptive bibliography, “the close physical description of books” (Belanger, 1977, p. 100), is a field that contributes to scholarship of the history of the book and textual analysis. Consequently it contributes to historical research in many other disciplines including literature, philosophy, religion, theater, the sciences, and subfields of history. Descriptive bibliography involves the thorough examination and documentation of as many copies as possible of a particular state, issue, or edition of a title in order to describe, as nearly as one

can, the ideal copy, or, the book as it was when it left the publisher. Bowers identified three purposes of descriptive bibliography:

(1) to furnish a detailed, analytical record of the physical characteristics of a book which would simultaneously serve as a trustworthy source of identification and as a medium to bring an absent book before a reader's eye; (2) to provide an analytical investigation and an ordered arrangement of these physical facts which would serve as the prerequisite for textual criticism of the books described; (3) to approach both literary and printing or publishing history through the investigation and recording of appropriate details in a related series of books. (1949, p. vii)

To achieve these goals, descriptive bibliography created standardized practices, such as quasi-facsimile transcription, the recording of format, and the collation formula. In contrast, the library catalog provides a description of each *individual* book the library owns. Tanselle (1977) explains the difference thusly, "A description of an ideal copy sets a standard against which individual copies can be measured; a catalogue entry describes or records an individual copy with all its peculiarities" (p. 4-5).

Rare book cataloging evolved as a compromise between the functions and requirements of the library catalog and the needs of bibliographers and researchers of rare books. Russell states,

It could be argued that there could have been no rare book cataloging on a national or international scale had there been no explosion in the field of descriptive bibliography during the late nineteenth and twentieth centuries. As scholars became increasingly interested in researching the

physical attributes of books, it became desirable to record more of this information in catalog records (2003, p. 496).

The recording of the signature statement and format of the book are examples of descriptive bibliography practices that are reflected in rare book cataloging records. These records also provide a more precise description of the book's extent and a stronger fidelity to transcription of title page elements than do normal catalog records. These rare book cataloging practices aid researchers in distinguishing among issues and editions of a title. If the copy being described relates to a title in a published bibliography references to that bibliography are included in the catalog record. Descriptive bibliography provides assistance in the differences between 'issue' and 'state,' which has aided catalogers in determining when to create a new record. This, in turn, has assisted bibliographers in their research on the history of texts. These are but some of the ways in which the work of rare book catalogers and descriptive bibliographers are symbiotic.

### **Chronology & History**

The following chronology lists the major catalog codes, standards, analyses, and events of importance in the development of rare book cataloging rules.

*Chronology of Rare Book Cataloging*

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<b>Year</b>	<b>Publication</b>	<b>Responsible Body</b>
1841	<i>Rules for the Compilation of the Catalogue</i>	Panizzi, for the British Museum
1876	<i>Rules for a Printed Dictionary Catalogue</i>	Cutter
1908	<i>Catalog Rules: Author and Title Entries</i>	ALA & LA
1927	<i>An Introduction to Bibliography for Literary Students</i>	McKerrow
1940	<i>Notes Used on Catalog Cards: A List of Examples</i>	Swain
1941	<i>A. L. A. Catalog Rules: Author and Title Entries</i>	ALA & LA
1949	<i>Rules for Descriptive Cataloging in the Library of Congress</i>	LC
	<i>Principles of Bibliographic Description</i>	Bowers
1951	<i>How to Catalog a Rare Book</i>	Dunkin
1963	<i>Notes Used on Catalog Cards: A List of Examples. 2<sup>nd</sup> ed.</i>	Swain
1967	<i>Anglo-American Cataloging Rules (AACR1)</i>	ALA, LC, LA, & CLA
1969	<i>The Cataloguing Requirements of the Book Division of a Rare Book Library</i>	Bennett
1972	<i>A New Introduction to Bibliography</i>	Gaskell
1973	<i>How to Catalog a Rare Book (2<sup>nd</sup> ed., rev.)</i>	Dunkin
1978	<i>Anglo-American Cataloging Rules. 2<sup>nd</sup> ed. (AACR2)</i>	ALA, BL, CCC, LA, & LC
1979	<i>Proposals for Establishing Standards for the Cataloguing of Rare Books and Specialized Research Materials in Machine-Readable Form</i>	IRLA
1980	<i>Relator Terms for Rare Book, Manuscript, and Special Collections Cataloging</i>	SC
	<i>International Standard Bibliographic Description for Older Monographic Publications (Antiquarian) (ISBD(A))</i>	IFLA

1981	<i>Relator Terms for Rare Book, Manuscript, and Special Collections Cataloging: Second Edition</i>	SC
	<i>Bibliographic Description of Rare Books (BDRB)</i>	LC
1982	<i>Standard Citation Forms for Published Bibliographies and Catalogs Used in Rare Book Cataloging</i>	VanWingen & Davis
1983	<i>Genre Terms: A Thesaurus for Use in Rare Book and Special Collections Cataloging</i>	RBMS
1986	<i>Printing &amp; Publishing Evidence: Thesauri for Use in Rare Book and Special Collections Cataloging</i>	RBMS
1987	<i>Relator Terms for Rare Book, Manuscript, and Special Collections Cataloging: Third Edition</i>	SC
	<i>Index to Bibliographic Description of Rare Books</i>	Rich
1988	<i>Binding Terms: A Thesaurus for Use in Rare Book and Special Collections Cataloging</i>	RBMS
	<i>Provenance Evidence: Thesaurus for Use in Rare Book and Special Collections Cataloging</i>	RBMS
	<i>Anglo-American Cataloguing Rules. 2<sup>nd</sup> ed., 1988 rev. (AACR2 1988R)</i>	ALA, ACC, BL, CCC, LA, LC
1990	<i>Paper Terms: A Thesaurus for Use in Rare Book and Special Collections Cataloging</i>	RBMS
	<i>Type Evidence: A Thesaurus for Use in Rare Book and Special Collections Cataloging</i>	RBMS
1991	<i>Genre Terms: A Thesaurus for Use in Rare Book and Special Collections Cataloging (2<sup>nd</sup> ed.)</i>	RBMS
	<i>ISBD(A) (2<sup>nd</sup> ed.)</i>	IFLA
	<i>Descriptive Cataloging of Rare Books (2<sup>nd</sup> ed. of Bibliographic Description of Rare Books)</i>	LC & BSC
1993	<i>Examples to Accompany Descriptive Cataloging of Rare Books</i>	BSC

1996	<i>Standard Citation Forms for Published Bibliographies and Catalogs Used in Rare Book Cataloging</i> (2 <sup>nd</sup> ed.)	VanWingen & Urquiza
1998	<i>Anglo-American Cataloguing Rules</i> . 2 <sup>nd</sup> ed., 1998 rev. (AACR2 1998R) <i>Functional Requirements for Bibliographic Records</i>	ALA, ACC, BL, CCC, LA, LC IFLA
1999	<i>Examples to Accompany Descriptive Cataloging of Rare Books</i> (2 <sup>nd</sup> ed.) <i>Core Standard for Rare Books</i> (DCRB Core)	BSC PCC
2000	<i>The Intellectual Foundation of Information Organization</i>	Svenonius
2002	<i>BIBCO Core Record Standard for Rare Books</i> (DCRB) (2 <sup>nd</sup> ed. of <i>Core Standard for Rare Books</i> ) <i>Anglo-American Cataloguing Rules</i> . 2 <sup>nd</sup> ed., 2002 rev. (AACR2 2002R)	PCC ALA, ACC, BL, CCC, CILIP, LC
2005	<i>Descriptive Cataloging of Rare Materials</i> (Books)	BSC

A brief glance at this chronology reveals that rare book cataloging practices did not really start their consolidation into rules and standards until the late 1970s. This coincides with increased activity on the main cataloging code, *Anglo-American Cataloguing Rules*, and the use of networking for record-sharing.

Cataloging rules for incunabula have existed since the 19<sup>th</sup> century (Thomas, 1987). However, until the 1970s, most rare book cataloging practice was gleaned from treatises and the few rules that appeared in standard cataloging codes. This often lead to the “proliferation of local practices” (Russell, 2003). Panizzi’s Rules 28-32 provide minimal guidance on the treatment of “an early printed book” (1841) while Cutter’s mention of rare books refers catalogers



to other models (1891, p.98). The 1908 *Catalog Rules: Author and Title Entries* does provide instructions on recording the titles, printers, and collation of rare books.

McKerrow (1927) does not discuss cataloging per se, but provides information on the history of books and printing, knowledge of which is necessary in creating a rare book catalog record. He also provides instruction on collation, format, and signatures.

In 1940 Swain's *Notes Used on Catalog Cards: A List of Examples* contained several examples of notes for rare books under the heading "Rare books" (1940, p. 80-82). In her 1963 second edition this section was eliminated and the notes for rare books subsumed into other sections such as "Autographs," "Bookplates, Marks of Ownership, Provenance," and "Colophon."

In 1941 the American Library Association (ALA) and British Library Association (LA) published the *A. L. A. Catalog Rules: Author and Title Entries*. It provided coverage of cataloging rules for incunabula including the suggestion to provide each item with a separate sheet to be used in conjunction with the catalog card. Three other rules pertain to title, date, and blank leaves for rare books.

In an attempt to simplify cataloging rules, ALA's 1949 second edition does not address bibliographic description and makes no mention of rare books or incunabula. The companion work to be used for bibliographic description, *Rules*

for *Descriptive Cataloging in the Library of Congress* (1949), was closely based on the incunabula chapter of the 1941 rules.

1949 is also the year in which Bowers's *Principles of Bibliographic Description* was published. It provided for the distinction between catalogs and bibliographies (p. 3-5), and instruction in the creation of the collation formula. Though later criticized by Dunkin (1973, p. ix), Bowers's collation method was used for many years in rare book catalog records.

The first publication in the U.S. to focus exclusively on rare book cataloging was Dunkin's *How to Catalog a Rare Book* (1951). This manual was "specifically aimed at generalist librarians needing guidance in handling rare materials" (Russell, 2003). It provided concise explanations and direction for the creation of rare book catalog records.

The *Anglo-American Cataloguing Rules* (AACR1) were published in 1967. Chapter 8 was devoted to the description of incunabula and Rule 102 provided instruction on the creation of uniform titles for "Works written before 1501." Books written after 1501, however, are not specifically mentioned.

Bennett's *The Cataloguing Requirements of the Book Division of a Rare Book Library* in 1969 provided a rationale and recommended practice for rare book cataloging. Bennett stressed quality and brevity of description and access. He recommended the use of references to printed bibliographies when possible. In

his emphasis on describing the copy in hand, Bennett reinforced the difference between rare book cataloging and descriptive bibliography while his direction in the provision of a complete account of a book's collation provided for the research needs of bibliographers (Tanselle, 1977).

Continued developments in descriptive bibliography are seen in Gaskell's *A New Introduction to Bibliography* (1972). Containing a thorough history of the book and publishing, this work is also valuable for its explanation of the collation formula based on that of Bowers. Later rare book cataloging codes often refer catalogers to Gaskell for correct use of formulary.

As mentioned previously, Dunkin's *How to Catalog a Rare Book* (2<sup>nd</sup> ed., 1973) criticized the complexity of Bowers's collation formula and urged the use of his own, simpler formula. He recognized the impact that descriptive bibliography has had on rare book cataloging. He included a description of Bowers's formula for cases where a cataloger had to consult a bibliography that employed that formula.

In the late 1970s and early 1980s several rare book cataloging efforts stimulated and informed each other. Prompted by the rare book community's dissatisfaction with IFLA's 1973 *International Standard Bibliographic Description for Monographic Publications* (ISBD(M)) restricted applicability to non-rare book

materials, IFLA began what became the *International Standard Bibliographic Description for Older Monographic Publications (Antiquarian)*, or ISBD(A).

Though ISBD(A) was still in draft form in 1978, the American Library Association incorporated a few of its guidelines into the *Anglo-American Cataloguing Rules, Second Edition (AACR2)* published in 1978. AACR2 deleted AACR1's chapter on incunabula creating instead a section of rules entitled "Early Printed Monographs" at the end of its Chapter Two (Books, Pamphlets, and Printed Sheets). Its seven rules are applicable to books published before 1821, and are intended to be used in addition to Chapter One (General Rules for Description) and Chapter Two (Books, Pamphlets, and Printed Sheets). AACR2's expansion of coverage to include books published over an additional 320 years, and its "inclusion of special rules, however brief, for early printed materials was an important first step in the development of special rare book rules within the Anglo-American cataloging tradition" (Russell, 2003).

Work was also underway to incorporate electronic capabilities into rare book cataloging practices. One such effort was the Independent Research Libraries Association's (IRLA) *Proposals for Establishing Standards for the Cataloguing of Rare Books and Specialized Research Materials in Machine-Readable Form* (1979). Four of its proposals regarding standardized electronic access were accepted by ALA's Committee on Representation in Machine-Readable Form of

Bibliographic Information (MARBI) and the following new Machine-Readable Cataloging (MARC) fields were created: Field 655 for genre (later called genre/form); Field 752 for place of publication or printing recorded in an indirect fashion (later called hierarchical place name); provisions to provide copy-specific entries in Fields 700-740 through the use of subfield \$5 (institution to which field applies); and Field 755 for the recording of publishing or physical aspects of a work, later subsumed into Field 655 (Thomas, 1987).

The remaining IRLA proposals primarily concerned the creation of standard terms or thesauri to be used for the new access points. Some of these tasks were referred to the Library of Congress others to the Standards Committee of the Association of College and Research Libraries' Rare Book and Manuscripts Section (RBMS) (Thomas, 1987). In 1980, the Standards Committee published the first edition of *Relator Terms for Rare Book, Manuscript, and Special Collections Cataloging* intended to be used in subfield \$e (relator term) of main entry and added entry fields. The second edition was published in 1981, and the third in 1987 (Thomas, 1987). AACR2 Rule 21.0D1 allowed these terms to be used for access points. Meanwhile, 1980 saw the publication of ISBD(A) providing the first internationally agreed-upon standards for the rare book community.

One of IRLA's 1979 proposals requested that the Library of Congress and the RBMS Standards Committee develop a rare book catalog code that would

expand AACR2's Rules 2.12-2.18 for early printed monographs. The Library of Congress assumed that responsibility, publishing in 1981 *Bibliographic Description of Rare Books: Rules Formatted under AACR2 and ISBD(A) for the Descriptive Cataloging of Rare Books and Other Special Printed Materials* (BDRB). These rules were described as Library of Congress Rule Interpretations (LCRI) to Chapter 2 of AACR2. It was the expectation that use by rare book catalogers would most likely engender revisions of it (p. vi). BDRB was a significant step in the standardization of U.S. rare book cataloging. Its publication also served as "the impetus for other specialized codes to be used with rare materials, including graphic materials, archives and manuscripts, and rare serials" (Russell, 2003).

Another IRLA proposal was realized with the 1982 *Standard Citation Forms for Published Bibliographies and Catalogs Used in Rare Book Cataloging* published by the Library of Congress and sanctioned by the RBMS Standards Committee. It was intended to

provide a consistent citation method for references to published descriptions; ... offer a key by which unfamiliar reference citations may be identified; and ... make possible the efficient computer-based retrieval of specific works. (p. iii).

IRLA's proposal for the creation of controlled vocabulary to describe various aspects of rare books and to be used in MARC Fields 655 and 755 was undertaken by the RBMS Standards Committee. It resulted in the publishing of six thesauri, each of which has a subtitle similar to that used for *Genre Terms: A*

*Thesaurus for Use in Rare Book and Special Collections Cataloguing*. These thesauri are:

*Genre Terms* (1983)  
*Printing & Publishing Evidence* (1986)  
*Binding Terms* (1988)  
*Provenance Evidence* (1988)  
*Paper Terms* (1990)  
*Type Evidence* (1990)

A second edition of *Genre Terms* was published in 1991. With these publications researchers now had the tools to provide maximum search capabilities for particular aspects of rare books.

In 1987 an index to *Bibliographic Description of Rare Books* was published. 1988 saw a revision of AACR2 issued, including the rules on early printed monographs. It most notably simplified the Publication, Distribution, Etc., Area. As Russell puts it,

With the 1988 revision of AACR2, the importance of special rules for rare book cataloging was confirmed, along with movement in the direction of faithful transcription, despite the exigencies of mainstream cataloging rules. (2003, p. 511).

Ten years of experience with ISBD(A) and BDRB provided useful feedback for their revision and in 1991 second editions of each were published. BDRB was retitled *Descriptive Cataloging of Rare Books* (DCRB). The joint efforts of the RBMS Bibliographic Standards Committee and the Library of Congress led to changes including the title change, to better distinguish it from descriptive

bibliography; the expansion beyond description to include information on creating access points; instructions on cataloging rare serials; information on using MARC; and directions in creating minimal-level records. The latter formed the basis, in 1999, of the Program for Cooperative Cataloging's *Core Standard for Rare Books (DCRB Core)*, later to become *BIBCO Core Record Standard for Rare Books (DCRB)* (2002). As with the first edition, DCRB remained "generally in harmony with the parent code of cataloging rules, AACR2," and conformed as much as possible to "the final draft text of the second edition of ISBD(A)" (p. viii).

In 1993, the ACRL published *Examples to Accompany Descriptive Cataloging of Rare Books* which had been compiled by the RBMS Bibliographic Standards Committee. A second edition was published in 1999. In 1996, the RBMS Bibliographic Standards Committee and the Library of Congress jointly created a second edition of *Standard Citation Forms for Published Bibliographies and Catalogs Used in Rare Book Cataloging*.

The 1998 and 2002 revisions of AACR2 brought few changes to its rules on "Early Printed Monographs." Two other documents of note recently appeared: IFLA's *Functional Requirements for Bibliographic Records (FRBR)* (1998), and Svenonius's *The Intellectual Foundation of Information Organization* (2000). While neither addresses rare books specifically, both have had a significant impact on



cataloging practice and theory. Their principles and objectives have informed and directed the work on the third edition of the rare book cataloging code, *Descriptive Cataloging of Rare Materials (Books)* (DCRM(B)). The chapter that follows examines DCRM(B) and discusses the changes planned for this next edition.

## **CHAPTER 2: DESCRIPTIVE CATALOGING OF RARE MATERIALS (BOOKS)**

*Descriptive Cataloging of Rare Materials (Books)* is currently in its third, gamma, draft. The body responsible for it is the RBMS Bibliographic Standards Committee. The delta draft is scheduled for review at the 2005 ALA Midwinter meeting. If approved, it will be distributed for public comment, with a public hearing to be held at the 2005 ALA Annual Conference. The goal is publication in late-2005 or early-2006.

This chapter discusses the changes in cataloging rules from the second edition, *Descriptive Cataloging of Rare Books*, to the most current draft of DCRM(B). It is intended to assist the rare book cataloger in making the transition from the former to the latter. It examines general developments in the rules, then discusses changes in each of the areas of description and appendixes. Though there likely will be revisions to the gamma draft, DCRM(B) is close enough to its final form to enable one to identify and analyze the major developments and changes in rare book cataloging.

## General Changes

### *Title and philosophy*

One of the more obvious changes can be seen in the title. Its change from 'Rare Books' to 'Rare Materials (Books)' acknowledges that there are rare materials of interest other than books. The Bibliographic Standards Committee intends to create a series of, initially, separately-published documents that together will cover the scope of rare book formats. *Descriptive Cataloging of Rare Materials (Serials)* and *Descriptive Cataloging of Rare Materials (Music)* are currently in draft form. In 2003 the Committee published its *Descriptive Cataloging of Ancient, Medieval, Renaissance, and Early Modern Manuscripts* (AMREMM).

### *Clearer language*

DCRM(B) has also made the wording clearer and more precise. For example, it uses the term "transcribe" rather than DCRB's "record" to emphasize the transcription philosophy that underlies rare book cataloging. Editorial comments were previously placed in parentheses and italicized. These comments are now prefaced by "Editorial comment," clearly distinguishing them from the examples themselves. Several of the longer rules are subdivided into sections with headings.

Another development of DCRM(B) is its inclusion of provisions for cataloging machine-press books. This was based on the awareness that many catalogers were using DCRB to catalog current fine-press books and 19<sup>th</sup> century items. The language in DCRM(B) has changed to reflect this. Where DCRB used the phrase 'publications issued before 1801,' DCRM(B) now uses 'hand-press publications' and 'machine-press' publications.

### *Objectives and principles*

Unlike previous editions of DCRB, DCRM(B) explicitly states the objectives and principles upon which its rules are based. The Bibliographic Standards Committee assessed the objectives and principles found in FRBR and Svenonius's work. DCRM(B)'s principles and objectives were built on them.

The four objectives to be met by DCRM(B) cataloging descriptions illustrate how a rare book cataloging code can supplement a general cataloging code. The objectives are:

1. Users shall be able to distinguish clearly among different manifestations of an expression or work.
2. Users shall be able to perform most identification and selection tasks independently of direct access to the material.
3. Users shall be able to investigate physical processes and post-production history and context exemplified in materials described.

4. Users shall be able to access materials whose production or presentation characteristics deviate from modern conventions. (p. 5).

Six principles inform the content of DCRM(B). These principles are:

1. Rules shall provide guidance for descriptions that allow users to distinguish clearly among different manifestations of an expression or work.
2. Rules shall provide for accurate representations of the entity as it describes itself, notably through instructions regarding transcription, transposition, and omission.
3. Rules shall provide guidance for the inclusion of manifestation-specific and item-specific information that permits users to investigate physical processes and post-production history and context exemplified in the item described.
4. Rules shall provide for the inclusion of all elements of bibliographical significance.
5. Rules shall conform to the structure and language of the latest revision of AACR2 to the extent possible; ISBD(A) shall serve as a secondary reference point.
6. Rules shall be compatible with DCRB except in cases where changes are necessary to align more closely to current revisions of AACR2 or to conform to the above principles. (p. 7).

The effects of including the code's objectives and principles are significant.

They invite discourse and input, contribute to standardization, increase the document's credibility, and encourage accountability from both the authors and future catalogers.

## Rule Changes

The following section examines the changes in the rare book cataloging rules. It follows the structure of DCRM(B), covering first Rules 0-8, then the eight appendixes. Both new rules and alterations to old rules are discussed. The text of DCRM(B) is provided accompanied by the corresponding DCRB text. This is followed by a description of each change or new rule. Changes in the text are highlighted. For new rules, only the DCRM(B) text (without highlighting) is presented. In the interest of space, only relevant passages of the rules are presented. Examples have been omitted except to illustrate the change in Rule 5B17. For the entire text, the reader is referred to the documents themselves.

### *Area 0. General Rules*

#### *Rule 0A. Scope and Purpose*

##### **DCRM(B) & DCRB:**

These rules may either be applied categorically to books based on date or place of publication (e.g., all British and North American imprints published before 1801), or may be applied selectively, according to the administrative policy of the institution, which may choose to catalog some or all of its holdings at a more detailed level of description than that provided for in AACR 2.<sup>2</sup>

DCRM(B) continues to be based on AACR 2 and ISBD(A). Its rules are primarily designed for cataloging hand-press books and single sheet publications and pamphlets but can also be used for machine-press materials. The footnote is the only new element in DCRM(B)'s Rule 0A, and refers catalogers to Appendix

A: Levels of Cataloging, for a list of factors to be used in deciding the level of cataloging a particular item or collection will receive. The full text of the footnote is:

Appendix A provides guidance on factors to be considered when choosing appropriate levels of cataloging for rare materials and summarizes various options, including full, core, minimal, collection, and preliminary levels of cataloging. (p. 14)

***Rule 0B. The Basic Description***

**DCRM(B):**

**0B1.** The following rules assume that the bibliographic unit being described corresponds to the AACR 2 concept of the "edition" and the traditional bibliographical concept of the "issue." However, this default approach is not prescriptive and indeed may not be desirable in every situation. Institutions wishing to vary from this default, whether occasionally or systematically, have the option of creating separate bibliographic descriptions for each separate impression, state, or copy. Alternative rules have been provided in footnotes whenever different treatment might be required to achieve this level of specificity in the description (see 2B3, 2B4, 2D3, 4G). The cataloger must be consistent in applying these alternative rules to all areas of the description once the decision to follow them has been made.<sup>3</sup>

This is a new rule which states that the level of description is assumed to be that of AACR2's edition and traditional bibliography's issue. An addition to DCRM(B) includes the provision in footnotes of alternative rules for describing at the impression, state, or copy level. The footnote to Rule 0B1 is as follows:

"Appendix B provides specific criteria for deciding whether to describe bibliographic variants using a single bibliographic record or separate records" (p. 14).

***Rule 0C. Chief Source of Information (Title Page)***

**DCRM(B) 0C1:**

If the publication has been issued in a modern publisher's binding or printed wrapper, and the cover contains more recent information than that provided on the title page (e.g., a later publication date), prefer the cover as the chief source. Indicate in a note the source used as the chief source (see 7B3).

The title page remains the chief source of information for rare books. Rule 0C1, however, now has an additional provision for instances of machine-press books. The rule advises that in cases where a book has been issued in a modern publisher's binding or wrapper, and the cover indicates more recent information than the title page, the cover is the preferred chief source of information.

***Rule 0D. Prescribed Sources of Information***

**DCRM(B):**

In all cases in which information for areas 1, 2, and 4 is taken from elsewhere than the title page, make a note to indicate the source of the information (see 7B3, 7B6, 7B7, 7B8). In all cases in which information for area 6 is taken from elsewhere than the series title page, make a note to indicate the source of the information (see 7B12).

In addition to the usual mandatory note for situations in which information for Areas 1 (Title and Statement of Responsibility Area), 2 (Edition Area), and 4 (Publication, Distribution, Etc., Area) is taken from other than the title page, this rule further instructs catalogers to provide a note whenever



information for Area 6 (Series Area) is taken from other than the series title page.

It refers catalogers to Rule 7B12.

### *Rule 0E. Prescribed Punctuation*

#### **DCRM(B) 0E1. Interpolations:**

If transcribing text with missing or obscured letters or words that can be reconstructed with some certainty, include these in the transcription, enclosing them in square brackets. Indicate a conjectural interpolation by adding a question mark immediately after the interpolation, within the square brackets. Supply a question mark enclosed in square brackets for each indeterminable word or portion of word. Use the mark of omission enclosed in square brackets ([...]) to show lacunae in the source of information.

Make notes to justify the interpolations, provide explanations, or offer tentative readings of indecipherable portions of text, if desired.

For clarification, this section now has an additional subdivision, 0E1

Interpolations. In this , DCRM(B) more strongly than DCRB directs the cataloger to add, within square brackets, missing or obscured information that can be ascertained with some certainty. It further instructs to add a question mark, in square brackets, for any indeterminable portion of a word.

Optional punctuation and treatment of the punctuation marks "... " or "[ ]" have been moved to Rule 0F3 Transcription of Punctuation and Spacing.

### *Rule 0F. Language and Script of the Description*

This rule is now organized into three subsections:

1. Rule 0F1. Romanization

2. Rule 0F2. Transcription of Letters and Symbols
3. Rule 0F3. Transcription of Punctuation and Spacing

***Rule 0F1. Romanization.***

**DCRM(B):**

Where it is not practicable to transcribe nonroman scripts, romanize them according to the *ALA-LC Romanization Tables*. Do not enclose romanized text within square brackets, but make an explanatory note.

When nonroman text is transcribed in the title proper, ensure that title access to a romanized version is provided (see Appendix G).

This rule addresses situations in which it is not practicable to transcribe nonroman scripts. In such cases, romanized text is not enclosed in square brackets, but rather these data are recorded in an explanatory note. It provides examples and refers the cataloger to Appendix G: Title Access Points for instances in which a title is to be transcribed in a nonroman script.

***Rule 0F2. Transcription of Letters and Symbols.***

**DCRM(B):**

Convert earlier forms of letters and diacritical marks to their modern form (see Appendix H). Transcribe a ligature by giving its component letters separately. For the transcription of i/j and u/v, see 0H and Appendix H. If there is any doubt as to the correct conversion of letters and diacritical marks to modern form, transcribe them from the source as exactly as possible.

**DCRB:**

In general transcribe letters as they appear. Convert earlier forms of letters and diacritical marks, however, to their modern form (cf. Appendix B ). In most languages, including Latin, transcribe a ligature by giving its component letters separately. Do not, however, separate the component letters of ae in Anglo-Saxon; oe in French; or ae and oe in ancient or modern Scandinavian languages. (For the transcription of i/j and u/v, see below.) When there is any doubt as to the

correct conversion of elements to modern form, transcribe them from the source as exactly as possible.

This rule addresses data that were previously found in BDRB's Rule 0H Forms of Diacritical Marks and Letters (Including Capitalization). However, there are no longer exceptions in the rule for transcribing a ligature by giving its component letters. The i/j and u/v tables for case conversion have been relocated to Appendix H: Early Letter Forms and Symbols.

***Rule 0F3. Transcription of Punctuation and Spacing.***

**DCRM(B):**

In general, follow modern punctuation conventions when transcribing punctuation found in the source of information. It is not necessary to transcribe punctuation exactly as it appears. Use common sense in deciding whether to transcribe or omit punctuation and whether to include punctuation not present in the source.<sup>5</sup>

<sup>5</sup> *Optionally*, transcribe all punctuation as found in the source of information. When following this option, do not transcribe hyphens indicating line-breaks (see 0F3) and transcribe a virgule (/) as a comma. Make a note to indicate the presence of the virgule in the source if desired. Preserve periods and commas (though not spaces) within a date expressed in roman numerals.

**DCRB:**

*Optionally*, record all of the punctuation that is found in the source of information. When this option is chosen, always give the prescribed punctuation as well, even if this results in double punctuation.

The rule continues to encourage catalogers to follow modern conventions for punctuation as opposed to providing an exact transcription of punctuation.

The optional rule addressing exact punctuation transcription is now provided in

a footnote. However, it no longer instructs catalogers on the use of double punctuation. It calls for normalizing hyphens, virgules, and spaces, referring catalogers to two new clauses in the body of Rule 0F3 (see below).

**DCRM(B):**

When a word is divided between the end of one line and the beginning of the next, transcribe it as a single word ignoring the line-break. If a hyphen has been used to divide the word between two lines, do not transcribe the hyphen; if the function of the hyphen is in doubt, transcribe it.

Make no attempt to preserve full or irregular spaces between letters within words. Omit internal spaces and marks of punctuation when transcribing roman numerals.

The two new clauses of Rule 0F3 instruct catalogers to ignore a space or hyphen used when a word is divided between two lines, and to ignore irregular spacing when transcribing.

*Rule 0G. Misprints, Etc.*

**DCRM(B)**

Transcribe a correct letter inadvertently turned in setting (set upside-down) as if it were not turned. Transcribe a turned letter used to approximate a different letter as the intended letter. If desired, make an explanatory note.

A new element and a change occur in this section. The new element addresses letters that are inverted (set upside down). If the letter appears to have been inadvertently inverted, it is to be transcribed as if it were not inverted. If the letter was inverted to represent another letter it is to be transcribed as the intended letter.

**DCRM(B):**

When the printer has left blank space for an initial letter, supply the intended letter in square brackets, regardless of whether the letter has been executed in ms. If a guide letter has been printed, transcribe it without square brackets. Make a note to show the copy's actual state in this respect.

**DCRB:**

When the printer has left blank space for an initial letter, give the letter without square brackets, regardless of whether a guide letter is present or the letter has been filled in by hand. Make a note to show the copy's actual state in this respect.

The change in Rule 0G involves situations in which the printer has left a blank space for an initial letter. DCRB instructions were to give the letter without square brackets. DCRM(B), however, instructs the cataloger to supply the letter in square brackets, whether or not the guide letter has been hand written. If a guide letter has been printed, it is to be transcribed without brackets. A note is provided to describe the lettering that is used.

***Rule 0H. Conversion of Case*****DCRM(B):**

When the rules for capitalization require converting i/j or u/v to uppercase or lowercase, follow the pattern of usage in the publication being described.<sup>7</sup> Establish the pattern of usage by examining text in the same typeface (i.e., roman, italic or gothic) in the publication being described. Identify examples of i, j, u, and v having the same function (vowel or consonant) and same relative position (appearing in initial, medial, or final positions) as the letters to be converted. Begin by examining the remainder of the title page and then, if necessary, proceed to examine the body of the text in other parts of the book in the same typeface. Apply the table included in Appendix H only when a pattern cannot be determined, for it represents a solution of last resort.

**DCRB:**

... When the rules for capitalization require converting i/j or u/v to uppercase or lowercase, adhere to the pattern of uppercase/lowercase employed by the

particular printer<sup>4</sup>. Only when a pattern cannot be determined should the following table for conversion be applied, for it represents a solution of last resort.

The instructions regarding conversion of i/j or u/v remain unchanged from DCRB: to follow the pattern of usage in the text being described. However, DCRM(B) provides instruction for the rapid determination of the pattern of usage. A table of last resort has been moved to an appendix (Appendix H) which is now clearer and more comprehensive. The cataloger is further directed in a footnote to “information on early printing as it pertains to the transcription of i/j and u/v,” which will follow the table in Appendix H in the final version of DCRM(B).

Rule 0H also addresses the provision of additional title access points in instances in which the letters in the title proper have been converted in case (e.g., upper case to lower case). In DCRB, this was covered in Appendix A Title Access Points (p. 67). In DCRM(B) it is included as part of Rule 0H itself, and includes an example that illustrates both the case conversion and the choice of added title entry.

**DCRM(B):**

Do not convert to lowercase a final capital I when the preceding letters of the word are printed either in lowercase or in smaller capitals. Since this usage is not merely typographic but affects meaning, the capital must be left in that form. If the letter occurs within the title proper, provide alternative access for the form of title with the final capital I converted to ii.

For words ending in a capital "I", the rule remains unchanged, but DCRM(B) adds instructions for making an additional title entry if it occurs within a title proper.

*Rule 0J. Abbreviations and Contractions*

**DCRM(B):**

**0J1.** When transcribing from the publication, do not abbreviate any words not abbreviated in the source.

**DCRB:**

**0J1.** In an area where transcription from the publication is required, do not abbreviate any word except as permitted by 2B1.

This rule now specifies that there are no situations in which a word transcribed from the source may be abbreviated. DCRB allowed this in cases in which edition statement information is taken from a source outside the title page, and referred catalogers to Rule 2B1. Consistent with the new Rule 0J1, this provision in Rule 2B1 has been removed in DCRM(B).

*Area 1. Title and Statement of Responsibility Area*

*Rule 1A2. Sources of Information*

**DCRM(B):**

Omit, without using the mark of omission, information found on the title page that constitutes neither title information nor a statement of responsibility. Such information may include pious invocations, devices, announcements, epigrams, mottoes, prices, etc. (see 0E). Use the note area to transcribe or describe this kind of information if it is considered important.

**DCRB:**

Omit, without using the mark of omission, information found on the title page that constitutes neither title information nor a statement of responsibility. Such information may include pious invocations, devices, announcements, epigrams, dedications, mottoes, statement of patronage, prices, etc. (cf. 0E ). Use the note area to record or describe this kind of information if it is considered important.

The main change in this rule is that dedications and statements of patronage have been removed from the list of items that can be silently omitted. Dedications and statements of patronage on the title page are now to be included as a part of the transcription.

The only other change in Area 1 is in the order of the rules. In DCRM(B), Rule 1E is now Statements of Responsibility; Rule 1F Publications without a Collective Title; and Rule 1G Single Sheet Publications. The actual instructions have not been changed, and no additions have been made to the rules.



## *Area 2. Edition Area*

### *Rule 2B. Edition Statement*

**DCRM(B):**

**2B1.** Transcribe the edition statement as it appears in the publication. Include any explanatory words or phrases appearing with the edition statement.

**DCRB:**

**2B1.** Transcribe the statement relating to an edition of a publication in the terms in which it appears. Give the exact wording if the edition statement is taken from the title page . If it is taken from any other source, standard abbreviations and arabic numerals may be given in place of words. Include explanatory words or phrases appearing with the edition statement.

The rule instructs the cataloger to transcribe the edition statement as it appears in the book, including any explanatory words. This continues the previous edition's instructions. However, Rule 2B1 has been reworded to expand this practice to any source in the publication rather than limiting it to the title page.

**DCRM(B):**

Do not transcribe edition statements that apply only to earlier editions of the work (e.g., the publication may include a preface to an earlier edition or a summary of the work's publication history). Transcribe the earlier statements in a note, if desired.

This new clause instructs one not to transcribe edition statements that refer exclusively to earlier editions of the work. Rather, they are to be recorded in a note at the cataloger's discretion.

**DCRB Deleted Rule:**

Transcribe as an edition statement a statement relating to issues or impressions, even if the publication contains no changes from the previous edition.

DCRM(B) has deleted DCRB's Rule 2B2 on edition statements for issues or impressions. The subject is now addressed in Rules 2B3 and 2B4. Further, DCRB's Rule 2B3 on identifying edition statements has become DCRM(B)'s Rule 2B2, and has remained largely unchanged.

**DCRM(B):**

**2B3.** Use judgment in transcribing statements containing words such as "impression" or "printing." In books from the hand-press era, such statements will usually signal a new edition or issue. In these cases, the statement may properly be considered an edition statement.

In books from the machine-press era, such statements will more likely indicate that the publication is simply a new impression of the same edition. In these cases, statements of impression are more appropriately transcribed in a local note.

Cataloging agencies that have opted to create separate records for each impression should follow the alternative rule below.<sup>8</sup>

<sup>8</sup>*Alternative rule:* Transcribe statements containing words such as "impression" or "printing" in the edition area. Indicate the source of the statement, if other than the title page, in a note.

This new rule addresses the issue of whether or not to consider words such as "impression" or "printing" as constituting an edition statement. It states that in the hand-press era, these terms would indicate a new edition, but this was not so in the machine-press era. In the latter case, the transcription of the statement in a note is preferable to placing it in the Edition Area, unless it is the policy of the cataloger's institution to create separate records for each

impression. An alternative rule is provided in the footnote to address such situations.

**DCRM(B) 2B4:**

If the statement pertains to an unchanged impression of an edition, transcribe it in a local note rather than in the edition area.

Cataloging agencies that have opted to create separate records for each impression should follow the alternative rule below.<sup>9</sup>

<sup>9</sup>*Alternative rule:* Transcribe statements consisting entirely or chiefly of characters that are neither numeric nor alphabetic; statements consisting of one or more letters or numbers without accompanying words; and statements consisting only of words that convey numbers in the edition area, even if the statement pertains to an unchanged impression of an edition. Indicate the source of the statement, if other than the title page, in a note.

Rule 2B4 now has the added instruction to transcribe in a local note, rather than in the Edition Area, edition statements that refer to an unchanged impression of an edition. It provides a footnote which is an alternative rule for transcribing such terms in the Edition Area.

**DCRM(B):**

**2B7.** Transpose grammatically separable edition statements into the edition area from other parts of the title page. Provide details of the transposition in a note.

**DCRB:**

**2B7.** Transpose separable edition statement into the edition area from other parts of the title page. If desired, make a note indicating this transposition.

This rule now requires a note whenever the edition statement has been transposed to the Edition Area. In DCRB this was not a mandatory note.

*Rule 2C. Statements of Responsibility Relating to the Edition*

**DCRM(B):**

If such phrases have been transposed from a position preceding the edition statement, provide details of the transposition in a note.

**DCRB:**

If such phrases have been transposed from a position preceding the edition statement, make a note if desired to indicate this transposition.

The rule now requires a note for any phrases regarding notes, appendices, and other supplementary matter that have been transposed from the beginning of the edition statement to the edition statement of responsibility. Previously, this note was left to the cataloger's discretion.

*Rule 2D. Statement Relating to a Revision of an Edition*

**DCRM(B):**

**2D3.** If the publication has, in addition to an edition statement, a statement identifying it as an unchanged impression of that edition, do not transcribe the impression statement in the edition area. Rather, transcribe it in a local note.

Cataloging agencies that have opted to create separate records for each impression should follow the alternative rule below.<sup>10</sup>

<sup>10</sup>*Alternative rule:* If the publication has, in addition to an edition statement, a statement identifying it as an unchanged impression of that edition, transcribe both statements in the edition area. Make a note to indicate the source of any statement not taken from the title page.

**DCRB:**

**2D3.** Transcribe also statements of unchanged impressions of an edition (cf. 2B2).

Consistent with Rules 2B3 and 2B4, the instruction for Rule 2D3 has been reversed from that in DCRB. It advises the cataloger to *not* transcribe in the Edition Area an additional statement identifying the work as an unchanged impression of the edition. Rather, one is to transcribe it as a note. An alternative rule for creating separate records for each impression is provided in a footnote.

*Area 4. Publication, Distribution, Etc., Area*

DCRM(B) has added three sections to Area 4:

1. Rule 4E. Place of Manufacture
2. Rule 4F. Name of Manufacturer
3. Rule 4G. Date of Manufacture

DCRB's 4E Date of Impression has been deleted.

*Rule 4A3. Form and Order of Elements*

**DCRM(B):**

If elements of the imprint appear out of order, or as part of another area, and they are grammatically separable, transpose them as needed. Make a note indicating the original position of the transposed elements.

If the transposition would result in an ambiguous or otherwise confusing construction, transcribe the elements in the order found and supply missing elements in square brackets as needed.

This rule now provides new instructions on the order of elements.

Catalogers are directed to transpose grammatically separable elements appearing outside the Publication, Distribution, Etc., statement area. The original order is to be indicated in a note. If the elements are grammatically inseparable, they are to be transcribed in the order in which they appear. Missing information is to be provided in square brackets.

*Rule 4A6. Elements of Publication, Distribution, Etc., vs. Elements of  
Manufacture*

DCRB's Rule 4A6 Unpublished Collections has been removed. The new Rule 4A6 addresses the recording of publishing and of manufacture information.

It is subdivided into three parts:

1. Statements relating to publishing, distribution, etc., only
2. Statements relating to manufacture only
3. Statements relating to both publishing, distribution, etc., and to manufacture.

*Statements Relating to Publishing, Distribution, Etc., Only.*

**DCRM(B):**

If the publication bears only a statement relating to publishing, distribution, etc., or multiple such statements, transcribe the statement(s) according to the instructions in 4B, 4C, and 4D.

The instructions are to transcribe statements according to Rules 4B-4D, which address publication, distribution, etc., and are found later in the manual.

*Statements Relating to Manufacture Only.*

**DCRM(B):**

If the publication bears only a statement relating to manufacture, or multiple such statements, generally assume the manufacturer(s) to also be functioning as publisher(s), distributor(s), etc. Transcribe the statement(s) according to the instructions in 4B, 4C, and 4D. Consider the words "place of publication" and "publisher" in those instructions to refer equally to the place of manufacture and name of manufacturer in such cases.

However, if the manufacturer is known not to be the publisher, distributor, etc., and the identity of the publisher, distributor, etc., can be reasonably surmised,

supply the name of the publisher, distributor, etc. in square brackets and transcribe the manufacturer statement as such according to the instructions in 4E, 4F, and 4G.

Catalogers are to assume that the manufacturer is also the publisher.

They are to transcribe such statements using Rules 4B, 4C, and 4D. If the manufacturer is not the publisher and the publisher is known, the publisher information is to be recorded using Rules 4B, 4C, and 4D, and the manufacturer information using Rules 4E, 4F, and 4G.

*Statements relating both to publishing, distribution, etc., and to manufacture.*

**DCRM(B):**

If the publication bears statements relating both to publishing, distribution, etc., and to manufacture, determine whether or not the statements are grammatically separable.

If the statements are grammatically inseparable, transcribe them according to the instructions in 4B, 4C, and 4D. Consider the words "place of publication" and "publisher" in those instructions to refer equally to the place of manufacture and name of manufacturer in such cases.

If the statements are grammatically separable, determine which statement has been emphasized typographically (larger font size, uppercase letters, boldface, etc.) or appears first in the list.

If a manufacturer statement has been emphasized, transcribe all of the statements according to the instructions in 4B, 4C, and 4D. Consider the words "place of publication" and "publisher" in those instructions to refer equally to the place of manufacture and name of manufacturer in such cases.

If a publisher, distributor, etc., statement has been emphasized, transcribe the publisher, distributor, etc., statement(s) according to the instructions in 4B, 4C, and 4D and transcribe the manufacturer statement(s) according to the instructions in 4E, 4F, and 4G.



The cataloger is to first ascertain whether the two statements referring to publisher and to manufacturer are grammatically separable. If they are grammatically inseparable, they are to be transcribed according to Rules 4B, 4C, and 4D.

If the statements are grammatically separable, the next step is to determine which statement is emphasized over the other. The determination is made by observing the typography (e.g., if one statement is in large or bold font and the other is not) or by identifying which appears first in the source. If a manufacturer statement has been emphasized, it is to be transcribed according to Rules 4B, 4C, and 4D. This places it in the traditional publisher information location: MARC 21 Field 260, subfields \$a (place of publication, distribution, etc.), \$b (name of publisher, distributor, etc.), and \$c (date of publication, distribution, etc.). If the publisher information is emphasized, it is transcribed according to Rules 4B, 4C, and 4D. The manufacturer information is then transcribed according to Rules 4E, 4F, and 4G, placing it in MARC 21 Field 260, subfields \$e (place of manufacture), \$f (manufacturer), and \$g (date of manufacture).

One of the significant contributions of this rule is its clarification of the terms 'publishing' and 'printing'. The effect of giving printers and booksellers equal status to publishers in early printed books is reflected in the remaining

DCRM(B) rules which refer primarily to publishing and no longer to “publishing or printing.” The assumption is that, when using Rules 4B through 4G, one has already determined the proper role of the entity through the application of Rule 4A6.

*Rule 4B. Place of Publication, Distribution, Etc.*

**DCRM(B):**

**4B1.** Transcribe the names of places associated with publishers, distributors, and booksellers. Transcribe the names of places associated with printers and other manufacturers only if appropriate according to the instructions in 4A6 (i.e., when the wording, layout, or typography of the publication suggests that the manufacturer is also functioning as the publisher, distributor, etc.).

**4C1.** Transcribe the names of publishers, distributors, and booksellers, together with associated information concerning their places of activity. Transcribe the names of printers and other manufacturers only if appropriate according to the instructions in 4A6 (i.e., when the wording, layout, or typography of the publication suggests that the manufacturer is also functioning as the publisher, distributor, etc.).

**[4D1.]** Transcribe dates of publication, distribution, etc. Transcribe dates of printing or other manufacture only if appropriate according to the instructions in 4A6 (i.e., when the wording, layout, or typography of the publication suggests that the manufacturer is also functioning as the publisher, distributor, etc.).

All three of these rules are derived from the same principle, so will be examined here together. The discussion will then return to Rule 4B. Rules 4B1, 4C1, and 4D1 instruct catalogers to transcribe information associated with publishers, distributors and booksellers. Information associated with printers or manufacturers is to be transcribed based on it meeting the conditions of Rule 4A6. In other words, manufacturer information is recorded in MARC 21 field

260, subfields \$a, \$b, or \$c when it is grammatically inseparable from the publisher statement, or “when the wording, layout, or typography of the publication suggests that the manufacturer is also functioning as the publisher, distributor, etc.” (p. 53).

**DCRM(B):**

**4B5.** If a place name is found only in an abbreviated form in the source, transcribe it as found, and supply the full form or complete the name if considered necessary for identification.

**DCRB:**

**4B5.** If a place name is found only in an abbreviated form in the source, transcribe it as found, and add the full form or complete the name.

Returning to Rule 4B Place of Publication, Distribution, Etc., DCRB’s Rule 4B5 instructed the cataloger to supply the full form of an abbreviated place name. The new rule suggests doing so only when one cannot identify the place name based on the abbreviation alone.

**DCRB Rules Deleted:**

**[4B6.]** If multiple places appear in more than one source, make a note for those not found in the particular source chosen for transcription of this element.

**[4C6.]** If multiple statements relating to publisher appear in more than one source, and one of these is the title page, prefer to transcribe in the publication, etc., area the statement on the title page. If one is a publisher statement and the other is a printer statement, transcribe both in the publication, etc., area if desired. In any case, make notes for any publisher statements not transcribed in the publication, etc., area.

DCRM(B) omits DCRB’s instructions in Rules 4B6 and 4C6 to record in a note multiple publisher statements found in multiple sources in the publication.

Thus, if the cataloger has transcribed the publishing information found on the title page, it is no longer necessary to make a note regarding different publishing information found in the colophon.

The following highlighted passage in DCRM(B) Rule 4B10 is new:

**DCRM(B):**

If the name of the place has changed over time, supply the name appropriate to the date of publication, if known (e.g., Leningrad not St. Petersburg for works published in that city between 1924 and 1991). If considered necessary for identification, also supply the modern place name and the name of the larger jurisdiction.

*Rule 4C. Name of Publisher, Distributor, Etc.*

**DCRM(B):**

**4C6.** If the publisher statement includes more than one publisher in a single source, generally transcribe all the names in the order in which they appear. Separate them with prescribed punctuation only when they are not linked by connecting words or phrases. If it is considered that the names are too numerous and that some may be safely omitted, the publisher statement may be shortened by omitting all the names after the third. In such cases, use the mark of omission and supply after it in square brackets a phrase in English to convey the extent of the omission. Include the number of omitted publishers (or firms) and the number of omitted places (if more than one) in the supplied phrase.

**DCRB:**

**4C6.** If the publisher statement includes more than one publisher in a single source, generally transcribe all the names in the order in which they appear. Separate them with prescribed punctuation only when they are not linked by connecting words or phrases. If it is considered that the names are too numerous and that some may be safely omitted, shorten the publisher statement by omitting all the names after the first. In this case, use the mark of omission and add after it in square brackets a phrase in English or convey the extent of the omission.

Rule 4C6 has changed its treatment of numerous publishers. In omitting publisher names, DCRB instructed the cataloger to record the first publisher and use the mark of omission to indicate that additional publisher names had been omitted. DCRM(B) now requires the first three publisher names to be recorded before employing the mark of omission.

*Area 4D. Date of Publication, Distribution, Etc.*

*Rule 4D2. Transcription Involving Adjustments or Additions*

*Roman numerals.*

**DCRM(B):**

**Roman numerals.** When a Gregorian or Julian date is given in roman numerals, transcribe the date as it appears, omitting internal spaces and punctuation. Supply the Gregorian year in arabic numerals in square brackets.

Transcribe years other than Gregorian or Julian as they appear.

**DCRB:**

**Roman numerals.** When roman numerals appear as Gregorian or Julian years, change them to arabic numerals unless they are erroneous or misprinted.

Transcribe years other than Gregorian or Julian as they appear.

*Optionally*, if it is considered important to retain in the catalog record the exact expression of the date, transcribe the date as it appears in roman numerals and add the date in arabic numerals in square brackets.

This rule now instructs the cataloger to transcribe roman numeral Julian or Gregorian dates in a work as roman numerals (omitting spaces and punctuation). The year in arabic numerals is to be added in square brackets. In DCRB provision of this data was covered in an optional rule only.

### *Chronograms.*

#### **DCRMB:**

If the date appears only in the form of a chronogram, supply the date in arabic numerals enclosed in square brackets. In such cases, make a note explaining the source of the date. Include a transcription of the original chronogram if desired.

#### **DCRB:**

If the date appears only in the form of a chronogram, give it in arabic numerals enclosed in square brackets and give the chronogram in the note area, if desired.

A chronogram is a phrase that contains a date represented in some of its letters. The letters that represent the date are often capitalized. This rule now calls for a mandatory note to state that a date was taken from a chronogram.

### *Non-Gregorian and Old Style/New Style dates.*

The Gregorian, or new style, calendar is the one currently in use today. Though introduced in 1582, nations adopted it at different times. The Julian, or old style, calendar was in use since 46 B.C., and gained one day every century. Thus, the conversion of many Western nations to the new style calendar was marked by the suppression of 11 days in September 1752. When a publication date could be considered two different years depending on the calendar used, many printers included both years as the date of publication. See AACR2 Rule 22.17A for the conversion of old style to new style dates.

**DCRM(B):**

If **two dates** appear in the publication, representing both Old and New Styles of dating, transcribe both dates, separated by a slash. Supply the year according to the modern calendar in square brackets, if necessary.

**DCRB:**

If **two consecutive years** appear as the publication date, representing both Old and New Styles of dating, transcribe both years, separated by a slash, and add the year according to the modern calendar in square brackets.

In cases in which two dates appear in a publication, one representing an old style date the other a new style one, both dates are to be transcribed whether or not they are consecutive. Previously, this rule applied only to instances in which the two years were consecutive.

**DCRM(B) 4D4:**

If the date of copyright or deposit cannot be transcribed succinctly, supply the date in square brackets and transcribe the full statement in a note.

If the date of copyright or deposit is not the probable date of publication, supply a probable publication date in square brackets before the copyright or deposit date and provide an explanatory note.

If the publication contains multiple copyright or deposit dates, transcribe only the latest date. Use the mark of omission to indicate the omission of any intervening words. Transcribe the full statement in a note, if desired.

If the publication contains a date of copyright or deposit that duplicates the publication date but contains additional information deemed important to the cataloging agency, it may be given in a note.

The DCRB entry in Rule 4D2, stating “**Copyright dates.** Add the date of copyright following the publication date if it differs from the publication date.” has been incorporated into DCRM(B) Rule 4D4 as a voluntary rule.

Rule 4D4 addresses copyright dates in depth, employing the term, “date of copyright or deposit.” As in DCRB, catalogers are instructed to transcribe the date of copyright or deposit if no date of publication, distribution, etc., is present on the publication. DCRM(B) has also added the following four rules:

*Rule 4E. Place of Manufacture and Rule 4F. Name of Manufacturer*

**DCRM(B):**

**[4E.]** Transcribe the names of places associated with printers and other manufacturers when appropriate according to the instructions in 4A6. If the place of manufacture does not appear, or is transcribed as part of another area or element, supply the place of manufacture in square brackets.

**[4F.]** Transcribe the names of printers and other manufacturers when appropriate according to the instructions in 4A6.

DCRB’s Rule 4E Date of Impression has been replaced by DCRM(B)’s Rule 4E Place of Manufacture. Rules 4E, 4F, and 4G are new rules pertaining to the manufacturer. Both Rules 4E and 4F instruct the cataloger to first determine the role of the printer through the application of Rule 4A. Thus, if the use of Rule 4A6 results from a determination that a printer can also function as the publisher or distributor, the place of manufacture information is transcribed in MARC 21 Field 260, subfield \$a, and the name of manufacturer in subfield \$b. If the printer is not determined to be the publisher, the cataloger is to use Rules 4E and 4F to transcribe the information in MARC 21 subfields \$e and \$f.



### *Rule 4G. Date of Manufacture*

#### **DCRM(B):**

Transcribe dates of impression or other manufacture that have not already been transcribed as the date of publication only if they apply to all copies in the edition or issue being cataloged. Such situations occur only rarely.

Dates of impression or other manufacture associated with an unchanged impression of an edition or issue may be transcribed in a local note if desired.

Cataloging agencies that have opted to create separate records for each impression should follow the alternative rule below.<sup>13</sup>

<sup>13</sup>*Alternative rule:* Transcribe dates of impression or other manufacture associated with an unchanged impression of an edition or issue as part of the date of manufacture element. Make a note to indicate the source of any date not taken from the title page.

The date of manufacture now is only to be transcribed in cases where the date applies to all copies in the edition or issue being cataloged. This is a relatively rare occurrence. Manufacturing dates associated with an unchanged edition are to be recorded in a note. A footnote provides an alternative rule. It allows for the transcription of the date of impression in the Publication, Distribution, Etc., Area for institutions that prefer this approach for unchanged editions.

*Area 5. Physical Description Area*

*Area 5B. Extent*

*Publications in One Physical Unit*

*Rule 5B1. General*

**DCRM(B):**

The statement of extent should account for every leaf in the volume as issued by the publisher, including leaves of text, leaves of plates, and blank leaves. It should not include leaves added as part of the binding or the binding itself.

A new statement clarifies the purpose of the extent area: any statement of extent must account for every leaf of the book as issued by the publisher. It excludes leaves inserted by binders.

**DCRM(B):**

...When the leaves of a volume are numbered and printed on one side only, state this fact in a note.

**DCRB:**

...When the leaves of a pre-1801 volume are numbered and printed on one side only, state this fact in a note.

The note required indicates instances where a volume has printing and numbering on only one side of the leaves has been expanded from applying solely to hand-press books to applying to all books.

**DCRM(B):**

If the leaves are chiefly non-letterpress, indicate this in a note.

This new clause in the rule instructs catalogers to indicate in a note volumes in which most or all of the leaves were printed with a method other than letter-press (e.g., engraved leaves).

***Rule 5B3. Unnumbered Pages or Leaves***

**DCRM(B):**

If the gatherings are discernible, include in the count blank leaves at the beginning of the first gathering or at the end of the final gathering when they are present in a copy in hand or known to be present in other copies.

**DCRB:**

For works published before 1801 (and *optionally* for other works), include in the count blank leaves at the beginning of the first gathering or at the end of the final gathering when they are present in a copy in hand or known to be present in other copies.

The instructions to include in the extent statement blank leaves at the beginning of the first gathering is now extended to all volumes in which gatherings are discernable, not just to hand-press books.

**DCRB Rule Deleted:**

If the number of blank pages or leaves is small, *optionally* supply a correction instead, as instructed in 5B7.

DCRB's option to supply a correction, if the number of blank pages or leaves is small, has been deleted.

***Rule 5B5. Advertisements***

Two of the cases in which advertisements should be mentioned in the statement of extent have been removed. These are cases in which the advertisements are “printed on a separate gathering issued within a publisher’s binding,” and in which they “are known to be present in other copies” (DCRB, p. 42). The text specifying the cases in which advertisements should be mentioned now reads:

- are included in the same pagination sequence as the text;
- or* are printed on the pages of an initial or final gathering also containing leaves or pages of text;
- or* are printed on a separate gathering in a publication that is continuously signed. (DCRM(B), p. 70).

**DCRM(B):**

Do not include in the statement of extent pages containing only advertisements that do not fall into any of these categories. Rather, record them in a local note (see 7B19).

Catalogers are instructed to exclude from the statement of extent any mention of advertisements if they do not fall into one of the categories above. Instead, they are to be recorded in a local note.

A final addition to Rule 5B is:

**DCRM(B):**

Make a note to indicate the presence of pages that only contain advertisements.

*Rule 5B6. Multiple Sequences of Numbering*

**DCRM(B):**

When the numbering within a sequence changes (e.g., from roman to arabic numerals), record each differently numbered part of the sequence. If unnumbered pages appear between the two styles of numbering, record the total number of unnumbered pages in square brackets.

An addition made to this rule is the instruction to record, in square brackets in the extent statement, the total number of unnumbered pages that fall between two styles of numbering. Thus, if a book has four unnumbered pages between the end of a sequence of pages numbered with roman numerals and the beginning of a sequence of pages numbered with arabic numerals, the cataloger would include “[4]” in the extent statement.

DCRM(B) now emphasizes that giving “one of the designations used for publications issued in more than one physical unit” (p. 72)(e.g., 2 v.) is a last resort. It is to be used in cases where it is impracticable to record all of the numbering sequences.

*Rule 5B9. Leaves or Pages of Plates*

The 2002 Revision of AACR2 defines the term “plate” as: “A leaf containing illustrative matter, with or without explanatory text, that does not form part of either the preliminary or the main sequence of pages or leaves” (p.

D-6). DCRB and DCRM(B) enhance this definition by specifying that plates are not an integral part of a gathering. This means that if an illustrated leaf cannot be identified as belonging to a sheet of paper that has been folded to make up one of the gatherings of the book, it is considered a plate. These concepts are referred to throughout Rule 5B9.

**DCRM(B):**

Treat tables printed on leaves that are not an integral part of any gathering as leaves or pages of plates. **Make a note to indicate any table treated as a plate.**

**DCRB:**

Treat tables printed on leaves that are not an integral part of any gathering as leaves or pages of plates.

As in DCRB, Rule 5B9 states that tables that appear on leaves that are not an integral part of a gathering are to be counted as plates. However, the rule now requires a note to indicate that this has been done.

**DCRM(B):**

**Treat illustrated title pages printed on leaves that are not an integral part of any gathering as leaves or pages of plates. Make a note to indicate any illustrated title page treated as a plate. (see 5C1).**

**DCRB:**

**Do not treat any illustrated title page (including an engraved title page) as a plate (cf. 5C1 ).**

DCRM(B) has altered its instructions regarding the relationship of illustrated title pages to plates. An illustrated title page may now be considered

a plate if it has been printed on a leaf that is not an integral part of a book's gathering.

The instructions in DCRB may have been easier to follow. However, the current rule gives a more accurate report of the extent of the illustrations, and may also provide valuable information on the printing practices employed in the production of the book. For instance, an illustrated title page that is not integral to a gathering may be an engraving, in which case it went through a different type of press than the hand press.

**DCRM(B):**

As a last resort, if a publication's gatherings cannot be ascertained, or it is otherwise difficult to tell whether a leaf constitutes a plate, record it in terms of pages or leaves of plates if unnumbered and pages or leaves of text if included in the pagination.

This new rule in DCRM(B) addresses situations in which it is not possible to discern gatherings or identify whether a leaf is a plate: if the leaves in question are unnumbered, they are to be recorded as plates. If numbered, they are to be recorded in the sequence of numbering for textual material.

***Rule 5B15. Single-Sheet Publications***

**DCRM(B):**

For a publication consisting of a single sheet folded into multiple panels, include in parentheses a count of the number of panels on each side of the sheet when unfolded. **Include both blank panels and panels containing text or illustrations in**

the count. Enclose the number in square brackets. Provide details of the sheet's layout (including the numbering of the panels) in a note, if desired.

**DCRB:**

For a publication consisting of a single sheet designed to be used unfolded (whether issued folded or unfolded), add a statement of pagination based on the number of pages printed, generally not counting blanks...

DCRM(B)'s direction for single sheets that have been folded into multiple panels (formerly called 'folder') has changed. Catalogers are instructed to record, in parentheses, the number of panels on one side of an unfolded sheet. Blank panels are to be included. The total number is placed in square brackets followed by the word "panels." This is in contrast to DCRB's instructions to count the number of pages and to exclude blanks.

*Publications in More Than One Physical Unit*

**DCRM(B):**

**5B17.** When the number of bibliographic volumes differs from the number of physical volumes in which a publication is actually issued, give the number of bibliographic volumes followed by "in" and the number of physical volumes. Give details of the publication's numbering in a note, unless the numbering is given in a contents note.

3 v. in 5

*Note:* Vols. numbered 1, 2A, 2B, 2C, 3

**DCRB:**

**5B17.** When the number of physical units in which a publication is actually issued differs from the numbering of the publication, state this fact in a note, unless the numbering of the publication is given in a contents note.

5 v.

*Note:* Vols. numbered 1, 2A, 2B, 2C, 3



In situations in which the number of bibliographical volumes differs from the number of physical volumes, DCRM(B) Rule 5B17 calls for a more specific description of the difference in the extent statement itself. In DCRB, the information was recorded in a note.

DCRB's Rule 5B18 referred to pamphlets, broadsides, clippings, and maps. The rule was deleted because this module of DCRM addresses books rather than those formats.

**DCRM(B):**

**5B20.** When a publication in more than one physical unit contains leaves or pages of plates, do not record them in the statement of extent. Note the presence of the plates in a note, if desired.

This new rule instructs catalogers not to record pages or leaves of plates in the statement of extent for publications that appear in more than one physical volume.

***Rule 5C. Illustration***

**DCRM(B):**

*Optionally*, add the graphic process or technique in parentheses, preferably using a term found in a standard thesaurus. Give more detailed descriptions of the illustrations in a note, if desired.<sup>15</sup>

<sup>15</sup>Thesauri useful for this purpose include the *Art & Architecture Thesaurus* (AAT) and the *Thesaurus for Graphic Materials II: Genre & Physical Characteristic Terms* (TGM II).

**DCRB:**

*Optionally*, add the graphic process or technique.

DCRM(B)'s optional Rule 5C1 regarding recording of the graphic process is similar to DCRB's, except DCRM(B) now encourages catalogers to employ terms from thesauri in their description. In a footnote, it identifies two possible thesauri that could be used.

**DCRM(B):**

**5C3.** Describe colored illustrations as such. Generally consider a colored illustration to be any illustration printed in one or more colors other than black and white. Treat tinted illustrations (e.g., tinted lithographs) as colored illustrations.

**DCRB:**

**5C3.** Describe colored illustrations as such

This rule now provides clarification of the term "colored illustration."

DCRB's Rule 5C5 on endpaper illustrations has been removed. There is no treatment of endpaper illustrations in DCRM(B).

***Rule 5D. Size and Format*****DCRB Deleted Rule:**

**5D4.** When a volume consists of separate physical units of varying height bound together, give the height of the binding only.

This deletion is the only change to Rule 5D. DCRM(B) no longer addresses cases where a single bound volume consists of separate physical units

of varying height. DCRB had instructed catalogers to record the height of the binding. This may be considered self-evident, rendering it unnecessary for the new edition.

### *Area 6. Series Area*

DCRM(B) provides rules for series, which DCRB did not. Therefore, the following discussion will examine the differences in cataloging series using DCRM(B) versus AACR2 2002 Revision Chapters 1 and 2.

#### *Rule 6A2. Sources of Information*

##### **DCRM(B):**

The prescribed sources of information for the series area are the series title page, monograph title page, cover<sup>16</sup>, and rest of the publication, in that order of preference. If a publication contains both a main series and subseries, however, consider any source in the publication that contains both titles to be the chief source.

<sup>16</sup>Consider the cover to be a prescribed source only if the publication was issued in a publisher's binding or printed wrapper. Series statements present on other types of bindings usually represent binders' titles and should be transcribed in a local note, if desired. In cases of doubt, do not consider the cover to be a prescribed source.

If the series statement, or any element in the series area, is taken from a source other than the series title page, indicate the source in the note area.

If the series statement appears on both the series title page and the monograph title page, indicate this in the note area and provide the text of the series statement, if it differs.

If the series statement appears in a prescribed source as a stamp or a label, transcribe it as found and indicate the presence of the stamp or label in the note area.

Do not consider a publisher's dust jacket to be a prescribed source; if transcribing a series statement from a dust jacket, transcribe it within square brackets.

If no series information is present in the publication but reference sources provide evidence that the book was issued as part of a publisher's series, do not transcribe the information in the series area. Rather, provide the series information in the note area.

**AACR2:**

**1.6A2. Sources of information.** Take information recorded in this area from the chief source of information or from any other source prescribed for this area in the following chapters. Enclose any information supplied from other sources in square brackets, within the parentheses enclosing each series statement.

DCRM(B)'s Rule 6A2 is much more extensive than AACR2's 1.6A2.

AACR2 instructs the cataloger to use the chief source of information or other prescribed sources, and to enclose in square brackets information taken from sources other than those that are prescribed.

One of DCRM(B)'s additions can be found in the footnote (provided above). It recommends that the cataloger only consider the cover as a prescribed source of information when the book was issued in a publisher's binding or printed wrapper. Location on other bindings may represent a title supplied by a subsequent binder. If the series statement is taken from a source other than the series title page, its source is to be given in a note. If the series statement appears on both the series title page and the monograph title page, this is to be indicated in a note. The transcription of the monograph title page series statement is to be given in a note if that series title differs from that of the series title page.

If the statement on a prescribed source is in the form of a stamp or a label, it is transcribed in the Series Area and catalogers are instructed to make a note on the form used. If no series statement appears in the publication, but reference

sources specify the item is part of a series, that series information is to be provided in a note.

*Rule 6D. Other Title Information of Series*

**DCRM(B):**

Transcribe other title information relating to the series, if present.

**AACR2:**

**1.6D1.** Give other title information of a series only if it provides valuable information identifying the series.

AACR2 directs the cataloger to record other title information only if it helps in identifying the series. DCRM(B), however, in keeping with its objective to enable users to distinguish among different manifestations of a work, instructs the cataloger to include all other title information.

*Rule 6E. Statements of Responsibility Relating to Series*

**DCRM(B):**

Transcribe a statement of responsibility relating to a series following the series title. If the statement of responsibility has been transposed from a position preceding the series title or following the series numbering, provide details of the transposition in a note.

**AACR2:**

**1.6E1.** Transcribe statements of responsibility appearing in conjunction with the series title only if they are considered necessary for identification of the series.

Rule 6E is similar to its Rule 6D counterpart in both AACR2 and DCRM(B) though reworded to reflect statements of responsibility. DCRM(B) adds an

instruction to record in a note if the series statement of responsibility was transposed.

*Rule 6F. ISSN of Series*

**DCRM(B):**

If the International Standard Serial Number (ISSN) of a series appears in the publication and is considered important by the cataloging agency, transcribe it in the series area. If the ISSN will display in the institution's public catalog, make a note to indicate the source of the data if not the chief source.

**AACR2:**

**1.6F1.** Give the International Standard Serial Number (ISSN) of a series if it appears in the item being described (see also 1.6H7).

AACR2 instructs catalogers to include ISSN's if present. DCRM(B) leaves the decision to the cataloger as to whether or not an ISSN present on a publication is considered important enough to record. If so, it is to be transcribed in the Series Area. If ISSNs are displayed in the institution's online catalog, a note is to be provided identifying the location from which the ISSN was taken if not taken from the chief source, i.e., the series title page.

*Rule 6G. Numbering within Series*

**DCRM(B):**

If series numbering is present, transcribe it following the series title and the series statement of responsibility. If the numbering has been transposed from a position preceding the series title or series statement of responsibility, make a note to indicate this transposition.

Transcribe the numbering exactly as it appears. Do not use any abbreviations not present in the source and do not convert roman or spelled-out numerals to arabic.

**AACR2:**

**1.6G1.** Give the numbering of the item within the series in the terms given in the item. Use abbreviations as instructed in appendix B and numerals as instructed in appendix C.

Both AACR2 and DCRM(B) instruct catalogers to record series numbering. However, AACR2 directs catalogers to use abbreviations and numerals, while DCRM(B) instructs the cataloger to transcribe the information. If the series numbering has been transposed from a position preceding the series title or statement of responsibility, that is indicated in a note.



### *Area 7. Note Area*

Area 7 now contains only two sections: 7A Preliminary rule, and 7B Notes. DCRB's Rule 7A General Instructions has been incorporated into DCRM(B)'s Rule 7A Preliminary Rule. Thus, in the following discussion, all references to DCRM(B) 7B rules correspond to DCRB's 7C rules.

#### *Rule 7A1. General Instructions*

##### **DCRM(B):**

Notes may also be made to justify added entries intended for special files of personal names, titles, genres/forms, physical characteristics, provenance, etc. Whenever possible, use terms taken from lists of controlled vocabularies when making such notes and added entries. Prefer the terminology used in lists issued by the RBMS Bibliographic Standards Committee.

##### **DCRB**

Notes may also be made to justify added entries intended for special files of personal names, titles, genres/forms, physical characteristics, provenance, etc.

In constructing notes and added entries, DCRM(B)'s language is stronger than DCRB's in its recommendation to use thesauri, particularly those issued by the RBMS Bibliographic Standards Committee.

#### *Rule 7A5. Notes Citing Other Editions and Works*

##### **DCRM(B):**

**Other editions.** In citing another edition of the same work, give enough information to identify the edition cited.

**Other works and other manifestations of the same work.** In citing other works and other manifestations of the same work (other than different editions with the same title), give whatever information is appropriate, such as the main entry

heading, title proper (or uniform title), statement of responsibility, edition statement, or date of publication. Arrange the information provided in the form that makes most sense in the particular case. Abridge the information as needed without using the mark of omission.

This is a new rule. It is subdivided into “Other editions” and “Other works and other manifestations of the same work.” It instructs the cataloger to provide enough information to accurately identify the referred work.

***Rule 7B6. Statements of Responsibility***

This section calls for essentially the same instructions to be followed as did DCRB. It does, however, provide the additional heading, “Source of statement of responsibility” (p. 92) for clarification. The headings now used are:

1. Source of statement of responsibility
2. Transposed statements of responsibility
3. Authorship
4. Other statements
5. Variant forms of names

The new part of the rule now reads:

**DCRMB:**

**1) Source of statement of responsibility.** If the statement of responsibility transcribed in the title and statement of responsibility area appears in a source other than the recto of the title page, make a note to indicate this source.

If a statement of responsibility appears in the item but outside the sources for the statement of responsibility (see 1E2), give it and its source in a note.

*Rule 7B7. Edition and Bibliographic History***DCRM(B):**

If the statement of limitation is accompanied by statements of responsibility or other information relating to the production of the edition, include as much of the additional information in the note as is desired.

"350 copies of this book have been designed and printed by Sebastian Carter at the Rampant Lions Press ... hand-set in Hunt Roman, and ... Monotype Platin Light with Monotype Albertus for the title. The paper is Zerkall mould-made wove. 50 have been signed by Ronald Blythe, include an additional set of prints from the five blocks and are specially bound. Both bindings are by the Fine Bindery, Wellingborough"--  
Colophon

This new provision to the rule instructs catalogers to include as much information as desired in instances in which a statement of responsibility, or other information concerning the production of the edition, accompanies a statement of limitation (i.e., a statement indicating a limited number of copies).

*Rule 7B9. Signatures***DCRM(B):**

If the gatherings are signed with letters according to a pattern other than the conventional 23-letter Latin alphabet (i.e., A-Z, less I or J, U or V, and W), make this explicit by recording the additional letters in the signature statement or adding a parenthetical comment before the colon.

If the volume is signed using two concurrent sequences, provide both sets of signatures in the note. Give the signatures that correspond to the actual gatherings first, if this can be determined.

If the signing of the volume does not match its actual gatherings, indicate this in the note.

If the volume is signed with nonroman characters, ascertain whether the signing follows a numeric or alphabetic sequence. For a numeric sequence, represent the characters using arabic numerals. For an alphabetic sequence, substitute roman-alphabet words in square brackets. Capitalize the first letter of the word if the

characters in the signatures are uppercase letters; do not capitalize if the characters are lowercase letters. Include an indication of the script used in parentheses.

This rule continues to instruct catalogers in the use of the collation formula. DCRM(B), however, has expanded the rule to address the above additional four cases.

### *Rule 7B10. Physical Description*

**DCRM(B):**

Make notes on important physical details that are not already included in the physical description area ... Make a note on color printing if it is an important feature. Always note color printing in incunabula. Describe details of a modern publisher-issued binding in a note, if desired.

This rule instructs catalogers in the provision of physical description information not recorded in Area 5. Most of the suggestions, for example the use of color printing in incunabula, pertain to the hand-press period. DCRM(B) now includes direction in the recording of machine-press physical description information, such as publisher-issued binding.

### *Rule 7B12. Series*

**DCRM(B):**

Note the source of any element of the series area when it is taken from elsewhere than the series title page. If any element has been transposed in the description, note its original position on the publication. Note any series information on the title page not transcribed in the series area. Make notes on other series information not transcribed in the series area, if desired. Give information about a series in which the publication has been issued previously, if desired.

**DCRB:**

Make notes on series data that cannot be given in the series area. If desired, give information about a series in which the publication has been issued previously, about series editors, or about other title information relating to the series

The rule now instructs catalogers to make notes in several additional cases. Notes are made in order to:

1. Record the source of the series statement when it is other than the series title page.
2. Note the original position of an element if transposition has occurred.
3. Record any series information on the title page that was not given in the Series Area.

Catalogers can also provide additional series information not already transcribed in the Series Area.

***Rule 7B14. References to Published Descriptions*****DCRM(B):**

A note may be made if a description of the publication being cataloged does not appear in a specific bibliographical reference source. Make such a note only if the publication fits the scope for that source and the source purports to be comprehensive for its scope. Preface the note with the words "Not in" and a colon.

**DCRB Deleted Rule:**

For other printed materials, record a bibliographic citation whenever the edition being cataloged is listed in one of the following sources:

1. Blanck, Jacob. *Bibliography of American Literature* ./.. (Cite in the form: BAL 2013)
2. Bristol, Roger P. *Supplement to Charles Evans' American Bibliography* .. (Cite in the form: Bristol B1178)
3. Evans, Charles. *American Bibliography* ... (Cite in the form: Evans 204)
4. Pollard, Alfred W. and Redgrave, Gilber R. *A Short-title Catalogue* ... (Cite in the form: STC (2nd ed.) 204)

5. Wing, Donald., Short-title Catalogue ... (Cite in the form: Wing (2nd ed.) D204

This rule has deleted DCRB's list of bibliographical sources that had to be cited if the item being cataloged was listed in one of those sources. The justification for the latter change was to refrain from appearing to favor the listed bibliographical sources. The rules also now suggest the use of a note if a book being cataloged is not included in a source that purports to be a comprehensive listing of the area in which the book falls.

***Rule 7B18. "With:" Notes***

The order of the last two rules in the Note Area has been switched. Rule 7B18 continues to be used where two items were issued together by the publisher. In such cases, the note begins with "With:". A new instruction refers catalogers to Rule 7B19 Copy Being Described and Library's Holdings (Local Notes) for works "bound together subsequent to publication, rather than issued together by the publisher or distributor" (p. 102). These notes will begin with "Bound with:".

***Rule 7B19. Copy Being Described and Library's Holdings (Local Notes)***

**DCRM(B):**

Make local notes on any special features or imperfections of the copy being described when they are considered important. Copy-specific information is highly desirable in the context of rare materials cataloging, which puts greater

emphasis on materials as artifacts than is usual in standard cataloging. Local notes can also provide warrant for added entries (e.g., added entries for the names of former owners or binders, for various kinds of provenance evidence, binding characteristics, etc.). Carefully distinguish local notes from other kinds of notes that record information valid for all copies or groups of copies of the bibliographic unit being cataloged. (For many older publications, however, it will not be readily ascertainable whether the characteristics of a single copy are in fact shared by other copies.)

The extent and depth of detail provided in local notes will be determined by the local policies of the cataloging agency. The rules set forth in this area are intended primarily to provide guidance and examples; the instructions are not to be seen as prescriptive.

Include in local notes one or more of the following identifiers, if desired: a designation of the holding institution (e.g., a library's name, acronym, or code), a designation of the item's physical location (e.g. a shelfmark), or an indication of the item's copy number (if the institution holds more than one copy). Such identifiers are especially recommended if the bibliographic record is to be contributed to a union catalog or other shared database.

**Binding notes.** Use local notes for descriptions of copy-specific bindings; for descriptions of publisher-issued bindings common to all copies of an edition or issue, see 7B10.

Make a local note whenever the number of physical units in which a publication is bound differs from the number in which it was actually issued (see 5B16).

Make a local note to indicate any errors in binding.

Make a local note whenever a publication has been bound with one or more works subsequent to publication. Preface the note with the words "Bound with" followed by a colon. Formulate the remainder of the note according to the instructions in 7B18.

If the works are too numerous to be listed, make an informal note such as the following:

Make a local note to describe other details of a copy-specific binding, if desired. Less detailed descriptions might include the color and nature of the covering material, a summary of any decoration present (e.g., "gold-tooled", "blind-tooled"), an approximate date, and the name of the binder, if these can be determined.

More detailed descriptions of a binding might include such additional features as: nature of the boards (e.g., wood, paper); details of decoration; country or city of production; nature and decoration of spine; presence or former presence of ties, clasps, or other furniture; flaps; description of headbands, page-edge and end-

paper decoration, references to published descriptions or reproductions of the binding (or related bindings), etc.

**Provenance notes.** Make a local note to describe details of an item's provenance, if desired. In less detailed descriptions, it is advisable to summarize provenance information, without providing exact transcriptions or descriptions of the evidence. Include the names of former owners or other individuals of interest and approximate dates, whenever possible.

More detailed descriptions of provenance might include such additional features as: exact transcriptions of autographs, inscriptions, bookplates, stamps, shelfmarks, etc.; location of each in the item; approximate dates when known; descriptions of bookplates using standardized terminology; descriptions of anonymous heraldic bookplates according to heraldic blazon; references to published descriptions of the collections of former owners of the item, particularly if the item is cited in the source, etc.

This rule has been significantly developed. It now strongly encourages the use of copy-specific notes. In creating a note to be entered into a shared utility it suggests that the cataloger use one or more identifiers such as the institution's name or code, the item's physical location, and/or the item's copy number.

The rule has been subdivided into "Binding notes" and "Provenance notes." Mandatory notes for binding information include cases in which:

1. The number of volumes presently bound differs from the number issued.
2. Errors in binding occurred.
3. The item has been bound with other items subsequent to publication.

The provision of additional details about the appearance of the binding is encouraged.



Rule 7B19 also strongly encourages that the names of former owners and dates of ownership be recorded. Additional provenance information, e.g., transcription of wording and the location of autographs or bookplates, can be provided. The text of the rules are as follows: All of the rules are new except for the first. The highlighted text in that rule is new.

*Area 8. Standard Number and Terms of Availability Area*

**DCRB: Highlighted text has been deleted:**

If the publication bears an International Standard Book Number (ISBN) or an International Standard Serial Number (ISSN), see AACR2 for giving the number. If it bears a price or other terms of availability and was published within the last three years, also see AACR2 for giving such data.

As in DCRB, DCRM(B) refers catalogers to AACR2 for recording the ISBN or ISSN, when present. However, DCRM(B) has removed former instructions to use AACR2 in recording a price present on the book.

## Appendixes

DCRM(B)'s appendixes are:

- A. Levels of Cataloging
- B. Bibliographic Variants
- C. Core-Level Records
- D. Minimal-Level Records
- E. Collection-Level Records
- F. DCRMB Code for Records
- G. Title Access Points
- H. Early Letter Forms and Symbols

DCRB had seven appendixes. They were:

- A. Title Access Points
- B. Early Letter Forms
- C. Rare Serials
- D. Minimal-Level Records
- E. DCRB Code for Records
- F. Concordance between Rules in DCRB and AACR2
- G. Glossary

The following discussion examines changes in existing appendixes, the content of the new appendixes, and the deletion of one DCRB appendix. In the interest of space, a summary is provided without reproducing the actual text of the appendixes.

### *Appendix A: Levels of Cataloging*

This is a new appendix. It addresses the factors to be considered in choosing a level of cataloging and presents eight levels.

Part I, "Factors to consider when determining appropriate levels of cataloging," is divided into:

1. Institution
2. Item or collection being cataloged
3. Departmental resources

Discussion of the factors suggests an examination of the department's mission statement, cataloging priorities, internal and external users, the value of items, and any donor-imposed requirements on the collection.

Part II, "Cataloging options," lists the cataloging levels. These are:

1. Full-level DCRM(B)
2. Core-level DCRM(B)
3. Minimal-level DCRM(B)
4. Collection-level DCRM(B)
5. Full-level AACR2
6. Item-level preliminary records
7. Collection-level preliminary records
8. Non-MARC21 options (summary still to be drafted)

Each level lists the elements required in a record in order for it to be considered cataloged at that level.

### *Appendix B: Bibliographic Variants*

Appendix B is also new. It addresses “whether to describe bibliographic variants using a single bibliographic record or separate records” (p. 112).

DCRM(B)’s focus is on cataloging at what AACR2 calls the “edition level” and traditional bibliography refers to as the “issue level” (DCRM(B), p. 112). When cataloging at this level, a new record is to be created when an item distinguishes itself from variants by one or more of the following characteristics:

1. Change in content
2. Different setting of type
3. Change in publication status.

DCRM(B) recognizes that in some circumstances an institution may want to create a new record to represent variant impressions, states, bindings, or copies. For these situations, directions are given as footnotes to appropriate rules.

### *Appendix C: Core-Level Records*

This is a new appendix the text for which has not yet been written.

*Appendix D: Minimal-Level Records*

This appendix is identical to DCRB's "Appendix D: Minimal-Level Records." It discusses the reasons institutions choose to catalog at this level, e.g., attending to large backlogs. Instructions on cataloging at the minimal level include following the rules for Areas 0-6 and 8. Catalogers can make the notes called for in Rules 7A-7B19 when necessary.

### *Appendix E: Collection-Level Records*

Appendix E is new. It addresses, in depth, the way in which a collection-level record is created. The guidelines are based on those published in *Cataloging Service Bulletin* (Library of Congress, 1997). The Introduction and Rationale section of the appendix lists three reasons for creating collection-level records:

1. Minimize the costs in cataloging low-priority items.
2. Gain temporary intellectual control of unprocessed collections.
3. Add value to individually-described items by providing information on the collection of which they are a part and the shared characteristics and significance of its materials.

Materials that would be appropriate for collection-level treatment include books or series that have an element in common, such as author, donor, subject, form, or genre, for which “access can adequately be provided with a single classification number and/or a collective set of access points.” Other candidates are pamphlets or ephemera that have research value but are not significant enough to warrant item-level description.

The arrangement and description of collections mirror the principles and methods used in archival and manuscript processing. Thus, collections that were organized prior to acquisition should be kept as much as possible in the original order. Finding aids that are developed should include a description of the collection, its strengths, weaknesses, and an inventory of its items.



The final section of this appendix provides the cataloging rules for collection-level cataloging for each of the eight Areas of description. Additionally, rules for access points and fixed fields are provided.

### *Appendix F: DCRMB Code for Records*

Appendix F replaces DCRB's Appendix E. It provides instructions on the use of the code "dcrmb" (for DCRM(B)) in the MARC 21 field 040 subfield \$e. Utilization of the "dcrmb" code in a record informs others that the record was created using the rules of DCRM(B).

The appendix also provides direction in using "dcrmb" for core-level and collection-level records. Guidance is given on when to replace earlier codes ("dcrb" and "bdrb"). The instructions on the use of "dcrmb" for rare serials records has been removed.

### *Appendix G: Title Access Points*

This appendix is almost identical to DCRB's Appendix A: Title Access Points. The difference is the introduction of two new rules for use of added title access points in the following cases:

1. A nonroman text is transcribed in the title proper.
2. A title containing hyphens as substitutes for letters is transcribed in the title proper.

### *Appendix H: Early Letter Forms and Symbols*

Appendix H parallels DCRB's Appendix B. It now includes a table with graphs of early letters and the modern form to which they should be converted.

This appendix is subdivided into the following sections:

1. Superscripts and subscripts
2. Hyphens and dashes
3. Reversed roman numeral C
4. Letter W
5. Letters I/J and U/V

Each section includes a discussion and examples. As explained in Rule 0F2, the two tables of last resort for the letters i/j and u/v have been removed from Rule 0F2. They now appear in this appendix. The tables have been expanded to include additional possibilities.

### *Deleted Appendixes*

DCRB's Appendix C: Rare Serials has been removed, as serials are a different format from books. The Bibliographic Standards Committee is currently working on *Descriptive cataloging of rare materials (Serials)*.

Appendix F: Concordance between Rules in DCRB and AACR2 is not in this draft of DCRM(B), but may appear in the final version.

Current plans include retaining and expanding the glossary and the index.

## Conclusion

DCRM(B) is the latest development in the standardization of rare book cataloging practices. As did its predecessors, it incorporates the effective rules of past codes and employs the experience and input of the rare book cataloging community in the creation of new rules. Since the first edition, authors have been conscious of DCRM(B)'s position in the universe of cataloging codes. Efforts were not duplicated. DCRM(B) has maintained its fidelity to and reliance on AACR2. Its second priority has been to conform as much as possible to ISBD(A). It has also taken advantage of the conceptual contributions of *FRBR* and Svenonius's work.

The coordination of cataloging efforts and the drive towards standardization experienced a significant boon in the 1970s. The extra capabilities provided by computers fueled much of this impetus. This can be seen in the 1979 IRLA proposals, which led to the first edition of DCRM(B), the creation of rare book thesauri, and the addition of MARC fields and access points. The resulting uniformity in the terms used for access points provides a tremendous service to researchers and a significant contribution to scholarship. The rare book cataloging community has made wise and efficient use of the knowledge and resources available to it and in DCRM(B) has once again provided bibliophiles and knowledge workers a valuable tool.

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