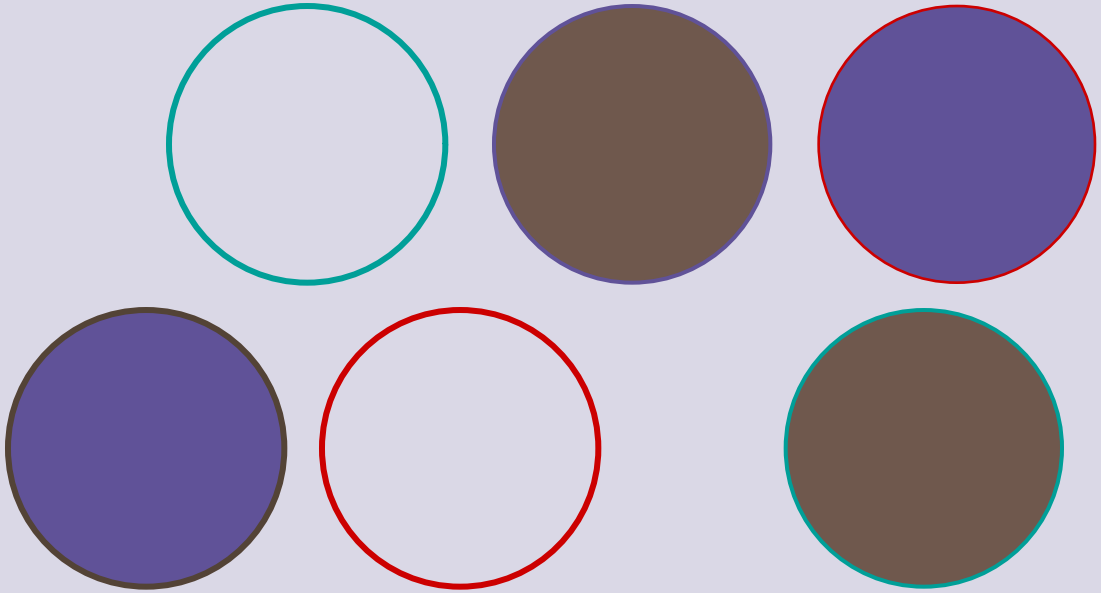
Next Generation Cataloging Standards: RDA+FRBR



NCSU LIBRARIES

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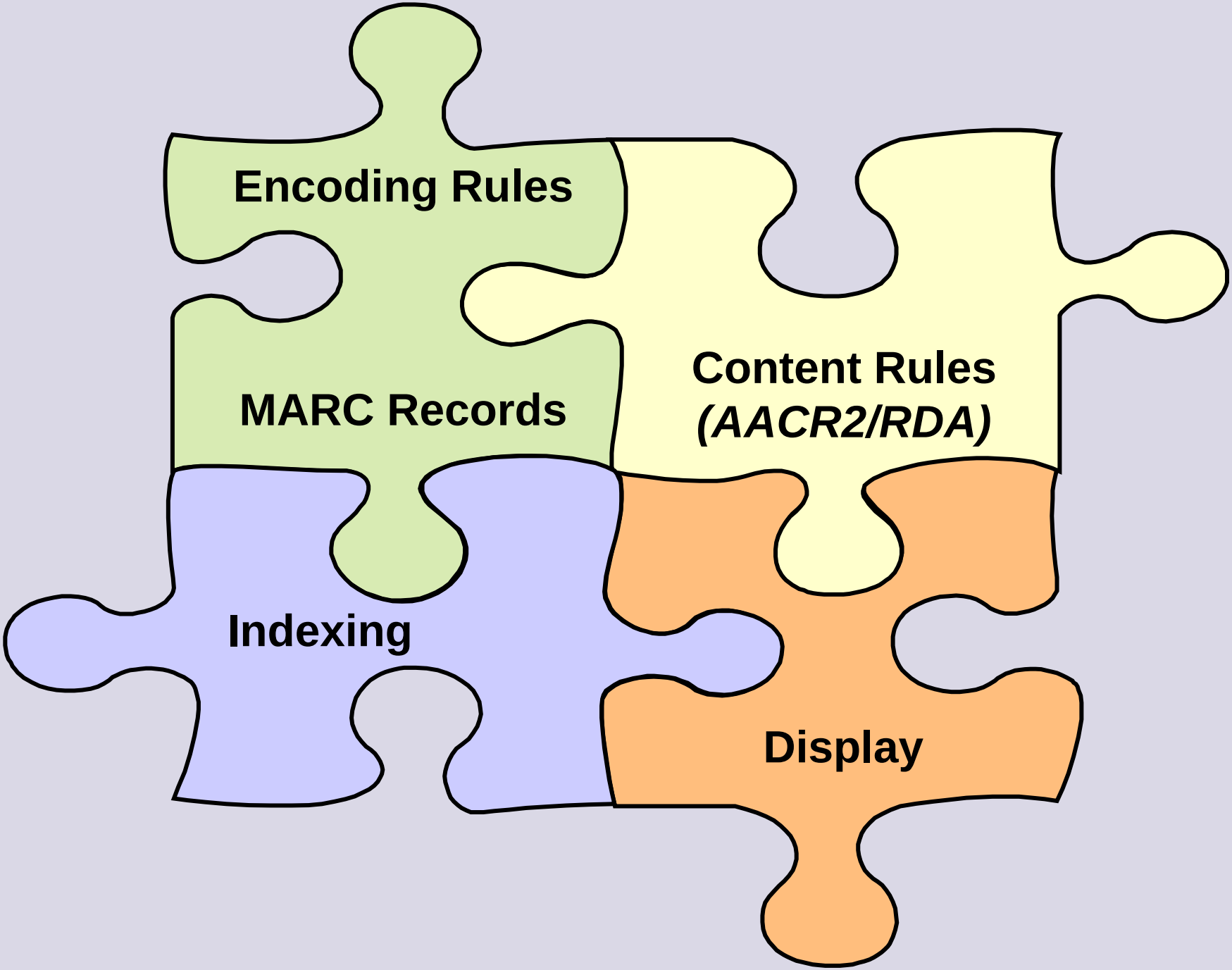
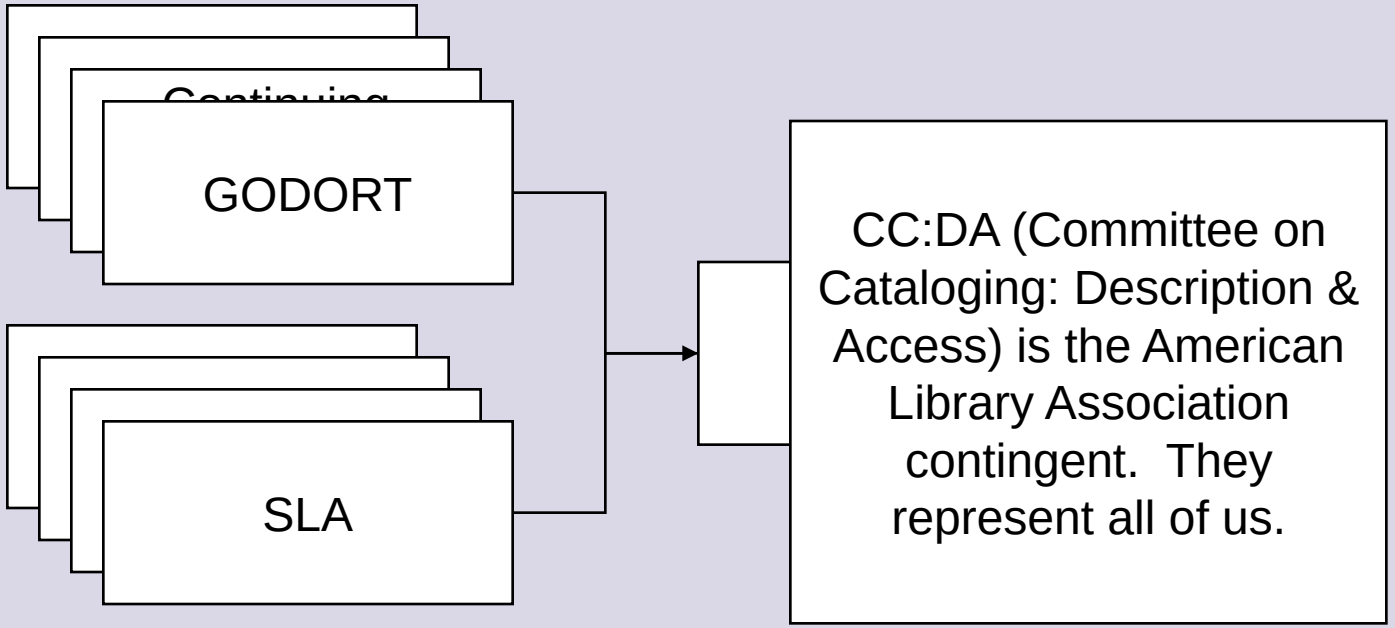
erin_stalberg@ncsu.edu
http://www.lib.ncsu.edu/cataloging/
May 22, 2008


Encoding Rules
Content Rules
(AACR2/RDA)
MARC Records
Indexing
Display

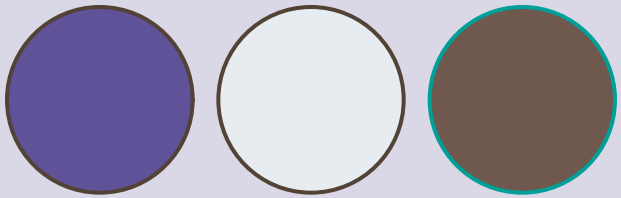
who am i?

- Part of the RDA review team for the ALCTS Networked Resources & Metadata Interest Group



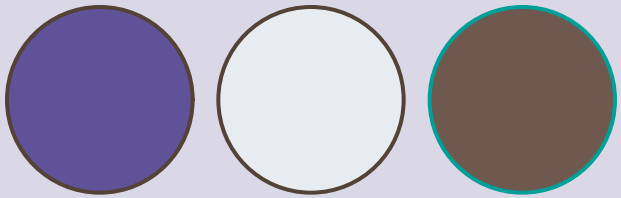
- Head of Cataloging

who are you?



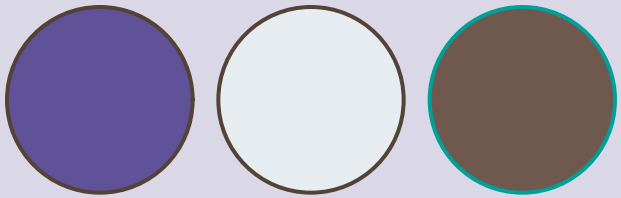
- Stand up if you work in an academic library
- Stand up if you work at a public library
- Stand up if you work at a community college library
- Stand up if you work at a special library
- Stand up if you are in library school or affiliated with a library school
- Stand up if you are not a cataloger
- Stand up if your library uses OCLC to download copy cataloging records
- Stand up if your library contributes original cataloging to OCLC
- Stand up if your library uses Library of Congress (DLC) records
- Stand up if your library purchases records from vendors that adhere to (or claim to adhere to!) AACR2
- Stand up if your library participates in a consortium for shared cataloging
- Stand up if you know that your library is a participant in the Program for Cooperative Cataloging (PCC): NACO/SACO/BIBCO
- Stand up if your library has local practices that are in direct conflict with AACR2

what is RDA & FRBR?



- RDA is *Resource Description & Access*, the successor to AACR2
  - content standard
  - not an encoding standard (MARC is the encoding standard)
  - intended to be independent of MARC, however, and hoped to be used beyond the MARC community
- FRBR is *Functional Requirements for Bibliographic Records*
  - conceptual model
  - not a set of rules
  - abstraction of how we can think about bibliographic records to facilitate relationships between data elements and between data and users

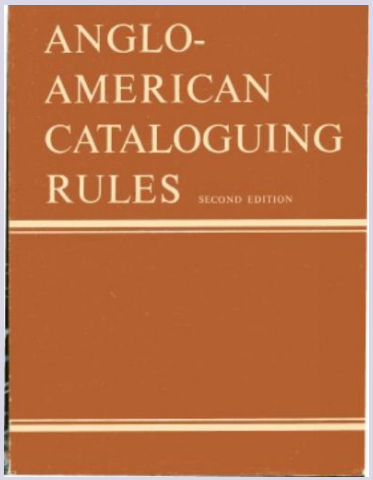
why a new standard?



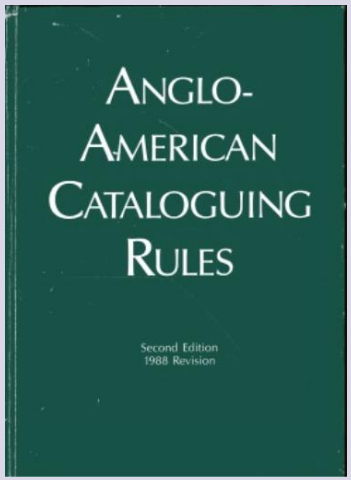
- Work started out in 2004 on AACR3
  - simplify rules
  - encourage use as a content standard for metadata schema
  - encourage international applicability
  - provide more consistency
  - address current problems
  - principle-based
    - build on cataloger's judgment
    - encourage application of FRBR/FRAD

- After an initial draft, it was decided to take a new approach and call the effort *Resource Description & Access.*

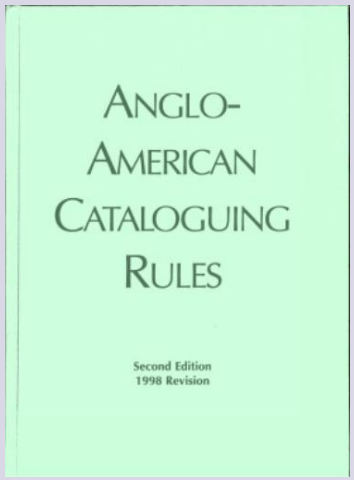
AACR



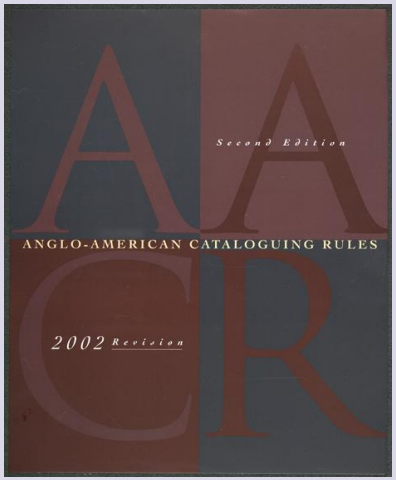
1978



1988

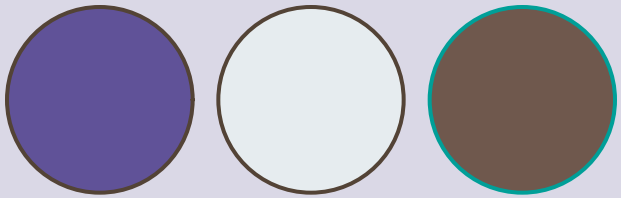


1998



2002

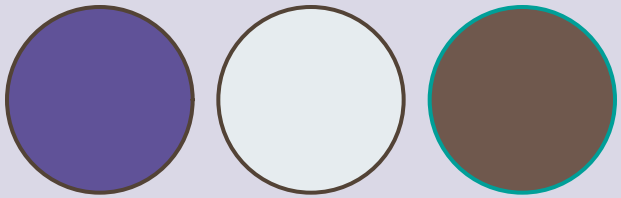
RDA goals



- **To be a new standard for resource description and access designed for the digital world.**

- To provide a comprehensive set of guidelines and instructions on resource description and access covering all types of content and media.
- Developed for use primarily in libraries, but consultations are being undertaken with other communities (archives, museums, publishers, etc.) in an effort to attain an effective level of alignment between RDA and the metadata standards used in those communities.
- Underlying RDA are the conceptual models FRBR (*Functional Requirements for Bibliographic Records*) and FRAD (*Functional Requirements for Authority Data*).
- To be published early 2009

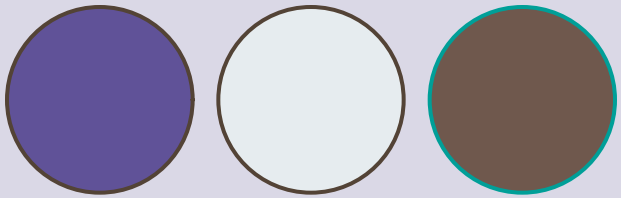
RDA development structure



- Joint Steering Committee for Development of RDA (JSC)
  - American Library Association
  - Library of Congress
  - Australian Committee on Cataloguing
  - The British Library
  - Canadian Committee on Cataloguing
  - Chartered Institute of Library and Information Professionals (UK)
  - RDA Project Manager (Marjorie Bloss)
  - RDA Editor (Tom Delsey)

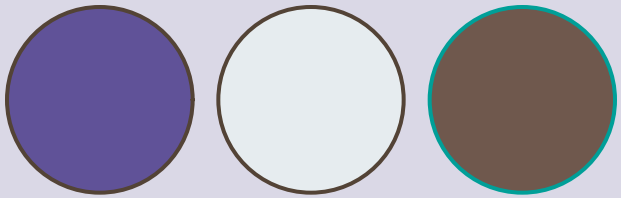
- The JSC reports to the Committee of Principals (CoP), which are the directors or their representatives from the Canadian, UK, and US professional library associations, the British Library, Library and Archives Canada, the Library of Congress, and the National Library of Australia.

RDA review structure



- Individual chapters were open for review
  - December 2005
  - March 2007
  - June 2007
  - December 2007
- Complete full draft expected
  - August 2008
- All available chapters are available for reading in .pdf @ http://www.collectionscanada.gc.ca/jsc/rda.html

RDA items of note

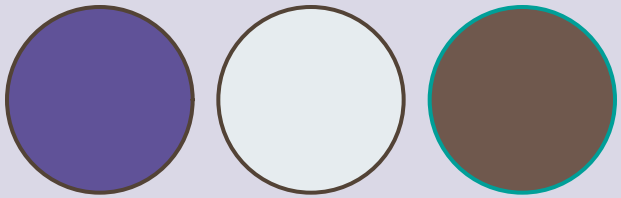


- ISBD order of areas, data elements, and punctuation will not be required. Information on presenting RDA data in an ISBD display will appear in an appendix.

- Carrier information will be removed from the title elements (MARC 245$h) into it's own separate data element. How that is coded in MARC is under discussion.

- RDA will continue to recommend separate bibliographic records for each manifestation of a work (often referred to the "separate record approach" when discussing electronic resource treatment on "single" v. "separate" records).

RDA items of note



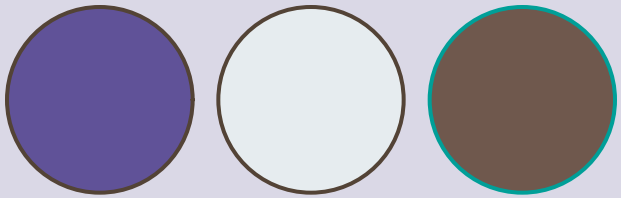
- The JSC is committed to making sure that records created using RDA will be compatible with AACR2 records.
- There may be a few instances where headings will need changing.
- Will be issued in print, but primarily intended to be an online product http://www.rdaonline.org

RDA items of note

- Core elements (May 2008)
  - Title
  - Statement of responsibility
  - Edition statement / additional edition statement
  - Production/Publication/Distribution statement
  - Series statement
  - Resource Identifier
  - Carrier type
  - Extent

- Abbreviations will no longer be used in the following elements:
  - Edition statement
  - Places of production/publication/distribution
  - Names of producers/publishers/distributors
  - Transcription of the series statement or numbering

RDA criticisms

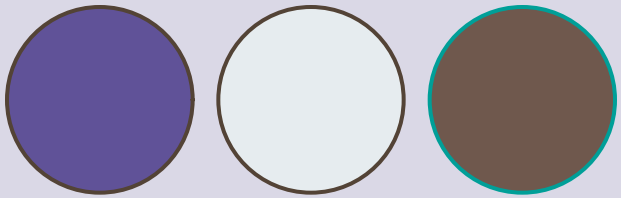


- *The JSC is committed to making sure that records created using RDA will be compatible with AACR2 records*
  - Criticism: RDA does not go far enough for the new digital world
- *Build on cataloger's judgment*
  - Criticism: RDA goes too far for particular communities.
  - Criticism: Potentially leads to inconsistency in records & makes record sharing more difficult.
- Criticism: Too complicated, too much jargon, too redundant
- Criticism: Still too much emphasis on human creation & readability of records and not on machine processing.

FRBR

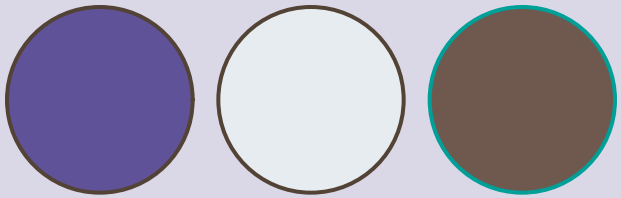
- *Functional Requirements for Bibliographic Records*
  - Conceptual model
  - Not a set of rules
  - Abstraction of how we can think about bibliographic records to facilitate relationships between data elements and between data and users
  - Outlined in a 1998 report from the International Federation of Library Associations and Institutions (IFLA)

FRBR User Tasks



- Find
  - to locate either a single entity or a set of entities as the result of a search using an attribute or relationship of the entity
- Identify
  - to confirm that the entity described corresponds to the entity sought, or to distinguish between two or more entities with similar characteristics
- Select
  - to choose an entity that meets the user's requirements with respect to content, physical format, etc., or to reject an entity as being inappropriate to the user's needs
- Obtain
  - to acquire an entity through purchase, loan, etc., or to access an entity electronically through an online connection

RDA Goals in FRBR speak



- *find* all resources described in the catalog that embody a particular work or a particular expression of that work;
- *find* all resources described in the catalogue that embody works and expressions of works associated with a particular person, family, or corporate body;
- *identify* the resource described (i.e. to confirm that the resource described corresponds to the resource sought, or to distinguish between two or more resources of similar characteristics);
- *select* a resource that is appropriate to the user's requirements with respect to content, format, etc;
- *clarify* the relationship between the entity represented by a preferred access point and a name by which that entity is known

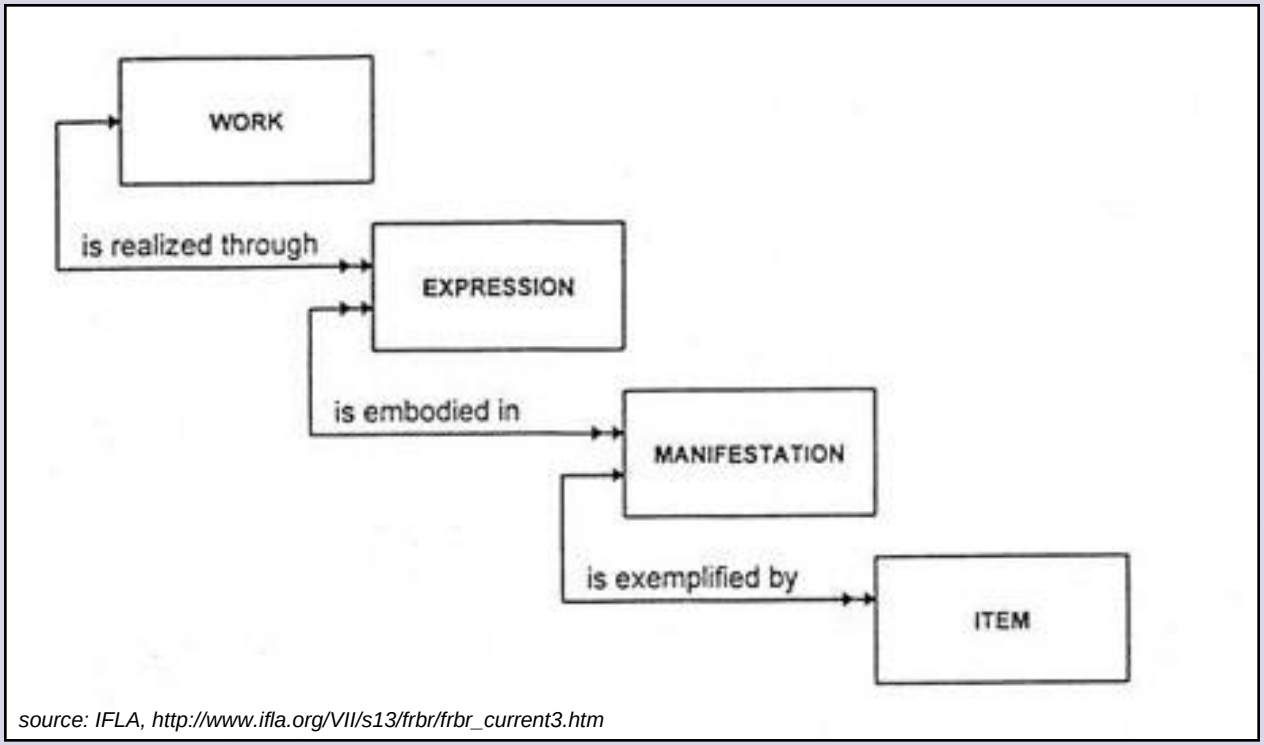
---

- *obtain* the resource selected by checking availability, requesting the item, clicking on the URL, etc.

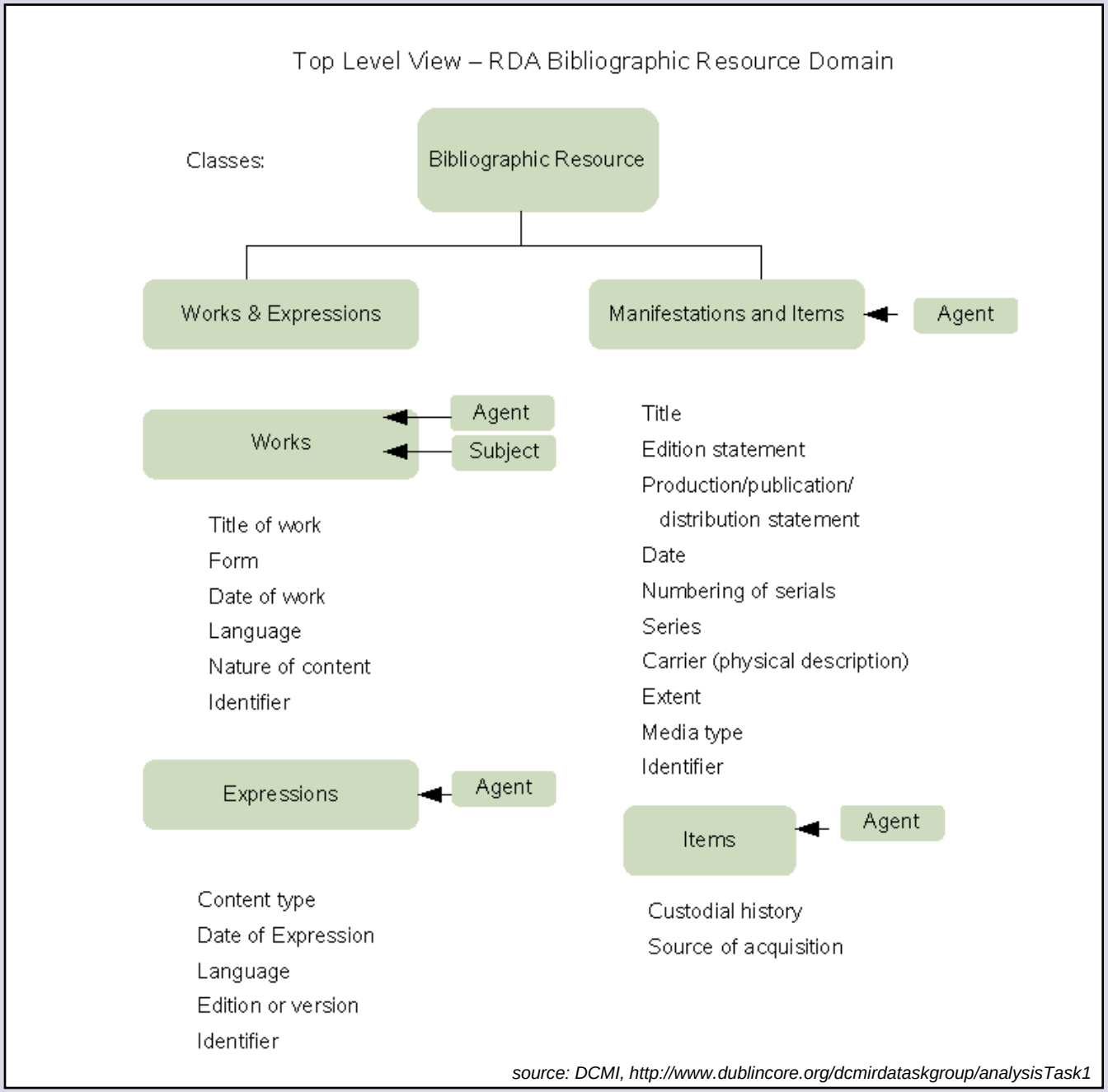
source: RDA, http://www.collectionscanada.gc.ca/jsc/rdaprospectus.html

Group 1 Entities

- Work
- Expression
- Manifestation
- Item

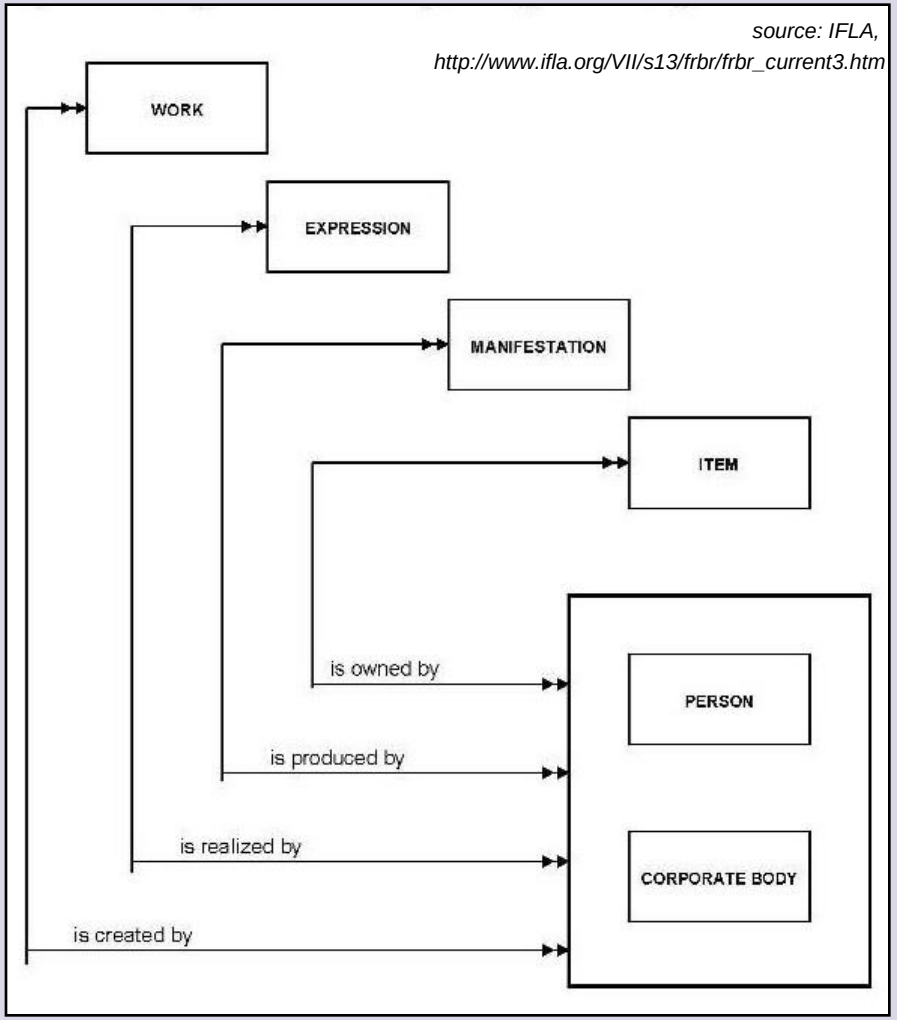


source: IFLA, http://www.ifla.org/VII/s13/frbr/frbr_current3.htm


Top Level View – RDA Bibliographic Resource Domain
Classes:
Bibliographic Resource
Works & Expressions
Manifestations and Items
Agent
Works
Agent
Subject
Title of work
Form
Date of work
Language
Nature of content
Identifier
Title
Edition statement
Production/publication/
distribution statement
Date
Numbering of serials
Series
Carrier (physical description)
Extent
Media type
Identifier
Expressions
Agent
Content type
Date of Expression
Language
Edition or version
Identifier
Items
Agent
Custodial history
Source of acquisition
source: DCMI, http://www.dublincore.org/dcmirdataskgroup/analysisTask1

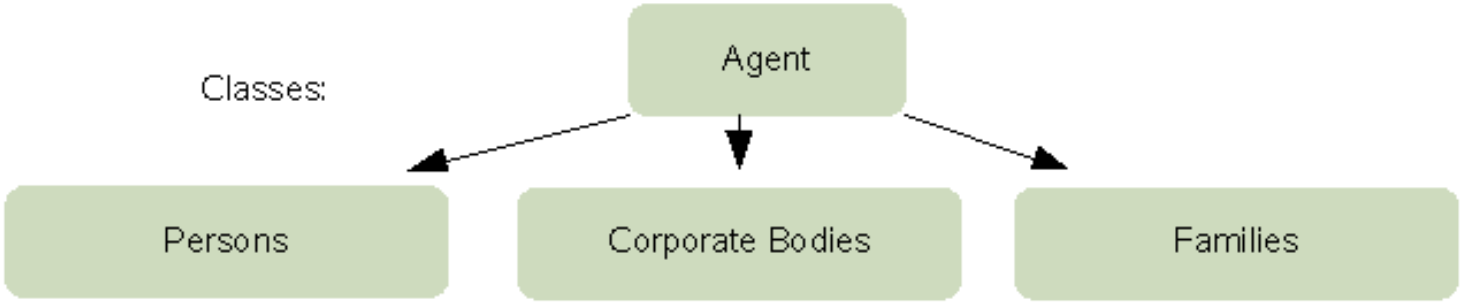
Group 2 Entities

- Persons and corporate bodies, responsible for the custodianship of Group 1's intellectual or artistic endeavor.



source: DCMI, http://www.dublincore.org/dcmirdataskgroup/analysisTask1

Top Level View – RDA Agent Domain



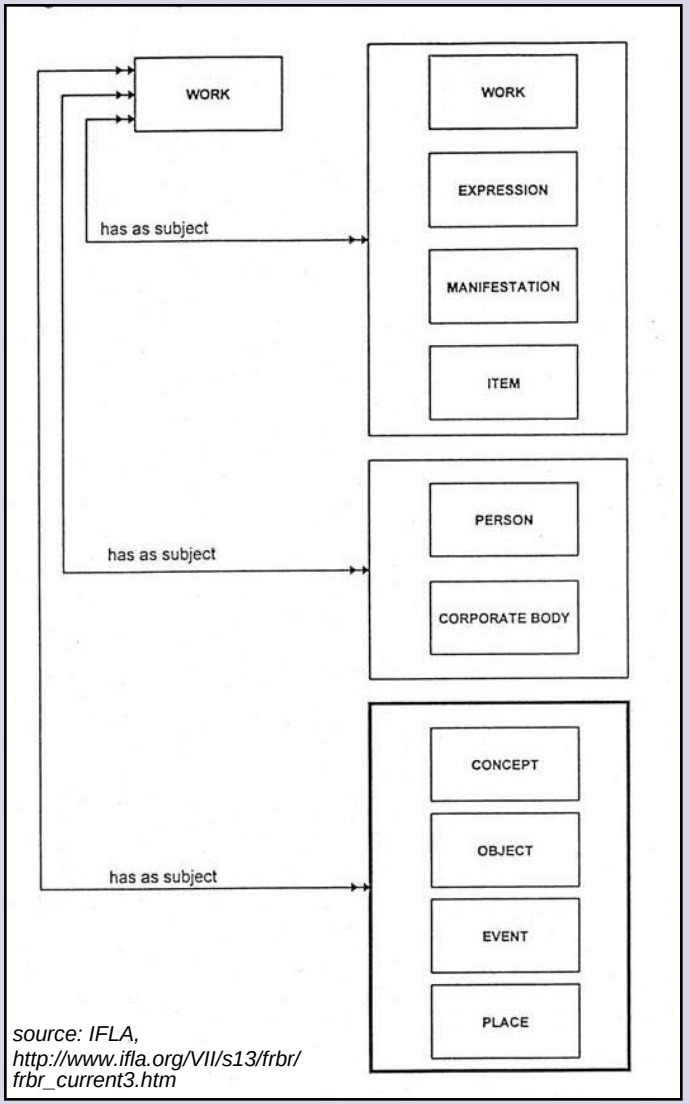
Name(s)
Date(s)
Details
- Country
- Language
- Place of birth
- etc.

Name(s)
Date
Type
Place
Details
- Address
- Language
- etc.

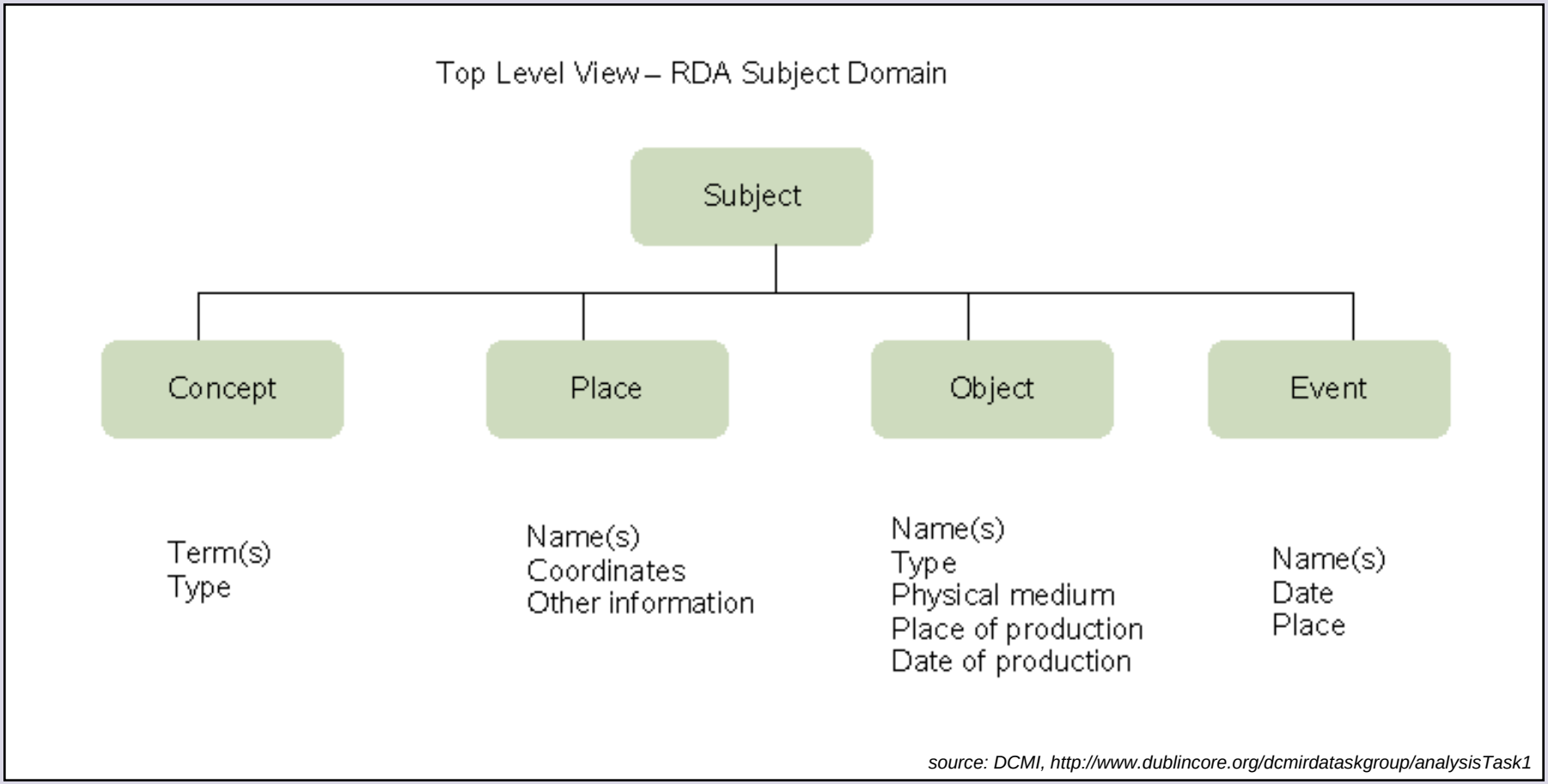
Name(s)
Date
Type
Details
- Members
- Family history
- etc.

Group 3 Entities

- Subjects of Group 1 or Group 2's intellectual endeavor, and include:
  - concepts
  - objects
  - events
  - places

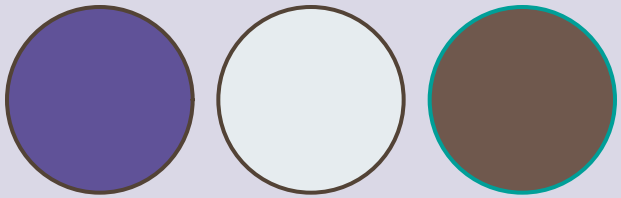


source: IFLA, http://www.ifla.org/VII/s13/frbr/frbr_current3.htm



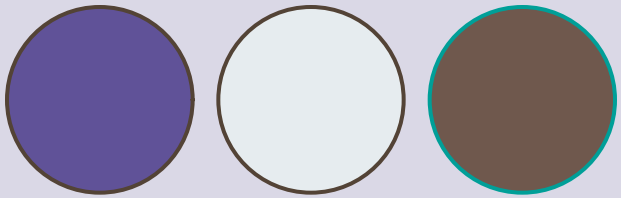
source: DCMI, http://www.dublincore.org/dcmirdataskgroup/analysisTask1

FRBR Examples



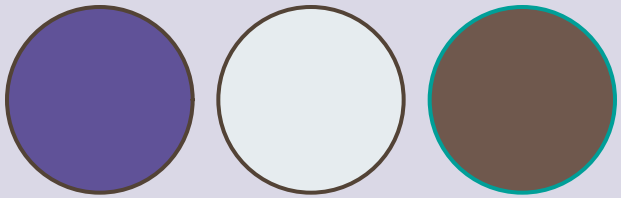
- Harry Potter Example
  http://www.frbr.org/eg/hp-goblet-1.html#
- FictionFinder
  http://fictionfinder.oclc.org/
- WorldCat Identities
  http://orlabs.oclc.org/Identities/

FRBR criticisms



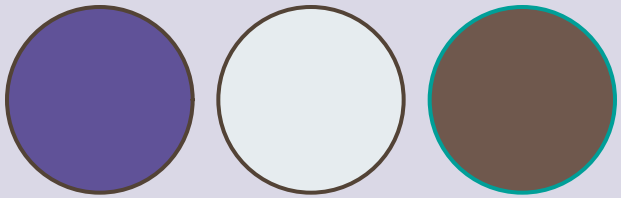
- Too complex and too conceptual without implementation rules.
- Confusion between expressions and manifestations. And little agreement on what constitutes a new work.
- Works well on heavy literature collections & heavy music collections, where there are many expressions/manifestations for a given work. The modeling is less useful for other disciplines.
- Untested or unproven.

FRAD



- Functional Requirements for Authority Data
- User tasks
  - **Find**: Find an entity or set of entities corresponding to stated criteria
  - **Identify**: Identify an entity
  - **Contextualize**: Place a person, corporate body, work, etc. in context
  - **Justify**: Document the authority record creator’s reason for choosing the name or form of name on which an access point is based.

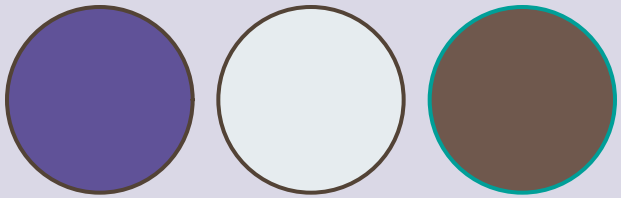
other efforts that draw on FRBR



- IFLA Statement of International Cataloguing Principles, draft, May 2008
  - The Statement of Principles – commonly known as the “Paris Principles” – was approved by the International Conference on Cataloguing Principles in 1961
  - Goal now: Adapt the Paris Principles to objectives that are applicable to online library catalogues and beyond. These new principles replace and broaden the Paris Principles from just textual works to all types of materials and from just the choice and form of entry to all aspects of bibliographic and authority data used in library catalogues.

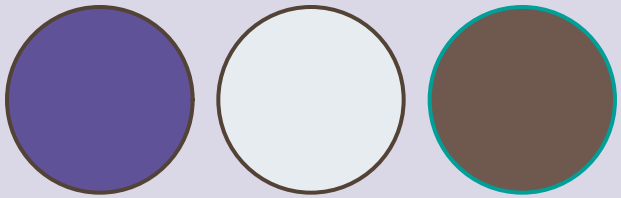
- Access Level Record for Remote Electronic Resources
  and
  CONSER Standard Record

how do RDA & FRBR relate?



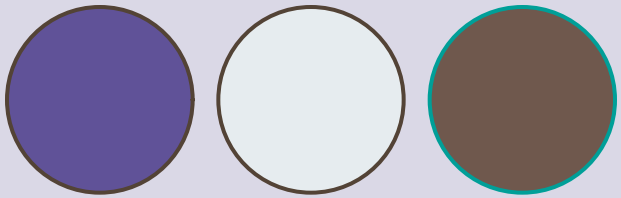
- Underlying RDA are the FRBR/FRAD conceptual models
- RDA will be organized around the entity attributes and relationships defined in FRBR and FRAD
  - Recording attributes of manifestation and item
  - Recording attributes of work and expression
  - Recording attributes of person, family, and corporate body
  - Recording attributes of concept, object, event, and place
  - Recording primary relationships between work, expression, manifestation, and item
  - Recording relationships to persons, families, and corporate bodies associated with a resource
  - Recording relationships between works, expressions, manifestations, and items
  - …

RDA responses



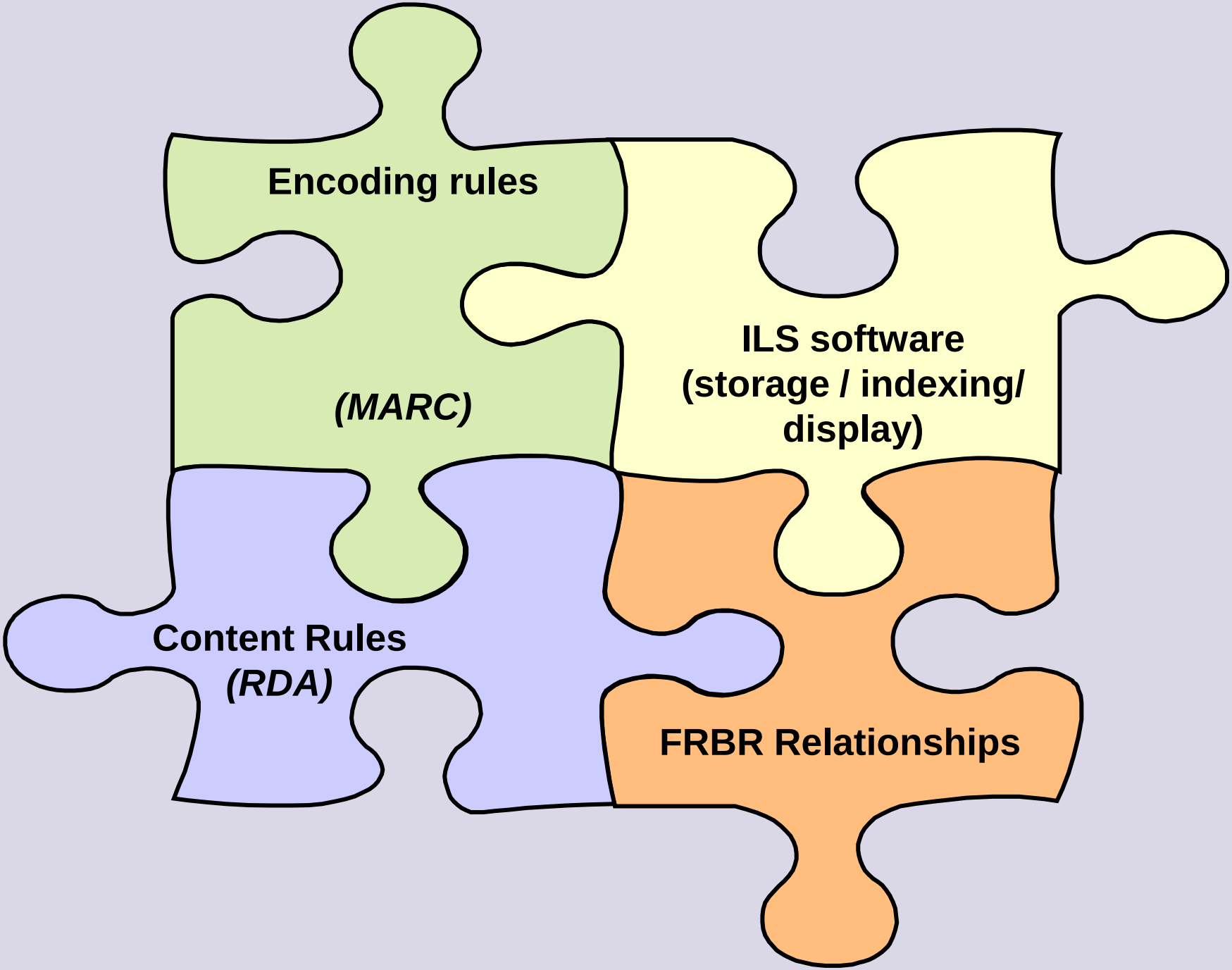
- Working Group for the Future of Bibliographic Control
  - Suspend work on RDA until there is more FRBR testing
- Library of Congress / National Library of Medicine / National Agriculture Library
  - Important international initiative
  - Implementation decisions will be made jointly
  - Waiting for full draft review to assess impact on:
    - Description, access, and navigation practices for a broad array of users and types of materials
    - Current and future information management systems to support RDA goals
    - Estimated costs for implementation and maintenance during a time of flat, even reduced, budgets
  - “The collective resolve is to complete the development of RDA.”
- Vendors

RDA Implementation & Training

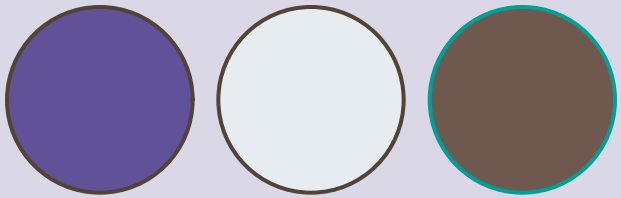


- Dependencies:
  - Library of Congress
  - MARBI / MARC changes
  - OCLC
  - Big Heads
  - ILS Vendors
  - MARC Record Suppliers

- RDA Implementation Task Force is charged by ALCTS CC:DA
  - Training/continuing education activities
  - Communication with OCLC and the Library of Congress
  - Clarify with CC:DA the process of coordination with MARBI

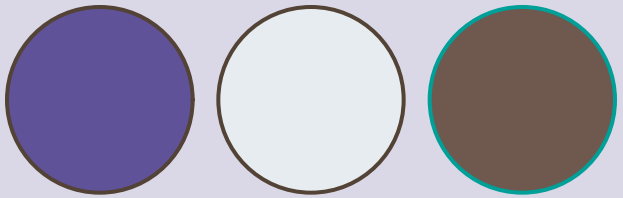

Encoding rules
(MARC)
ILS software
(storage / indexing/
display)
Content Rules
(RDA)
FRBR Relationships

RDA implementation scenarios -- #3



- RDA data is stored in database structures conventionally used in library applications (bibliographic records and authority records)
- Flat record structure
- Descriptive data elements are stored in bibliographic records
- Access points using the preferred name or title for the person, etc., are stored in the bibliographic record along with the descriptive data
- Variant names and other data used for access point control are stored in authority records (for all FRBR entities)

RDA Implementation Scenarios -- #3



Scenario 3: 'Flat file' database structure (no links)

BIBLIOGRAPHIC RECORD

Person associated with work (primary): Preferred name*
  Designation of role
Preferred title / Language*
Title proper*
Statement of responsibility
Edition statement
Publisher
Carrier type
Extent
Nature and scope of content
Language
…
Item-specific carrier characteristics
Provenance
Restrictions on access
…
Variant title*
Person associated with work: Preferred name*
  Designation of role
Person associated with expression: Preferred name*
  Designation of role
Related work: Primary access point/ Preferred title*

NAME AUTHORITY RECORD

Preferred name*
x Variant name*
xx Related person*
Place of birth
…

NAME-TITLE
AUTHORITY RECORD

Person associated with work (primary): Preferred name*
  Designation of role
Preferred title / Language*
xx Related work*
…

NAME AUTHORITY RECORD

Preferred name*
x Variant name*
xx Related person*
Place of residence
…

NAME AUTHORITY RECORD

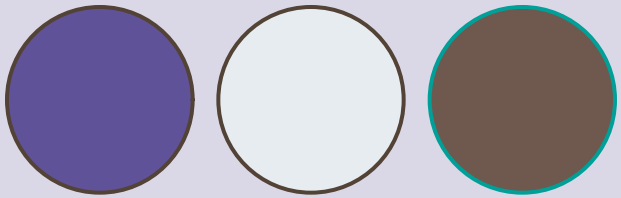
Preferred name*
x Variant name*
Affiliation
…

NAME-TITLE
AUTHORITY RECORD

Primary access point: Preferred name*
  Designation of role
Preferred title*
xx Related work*
…

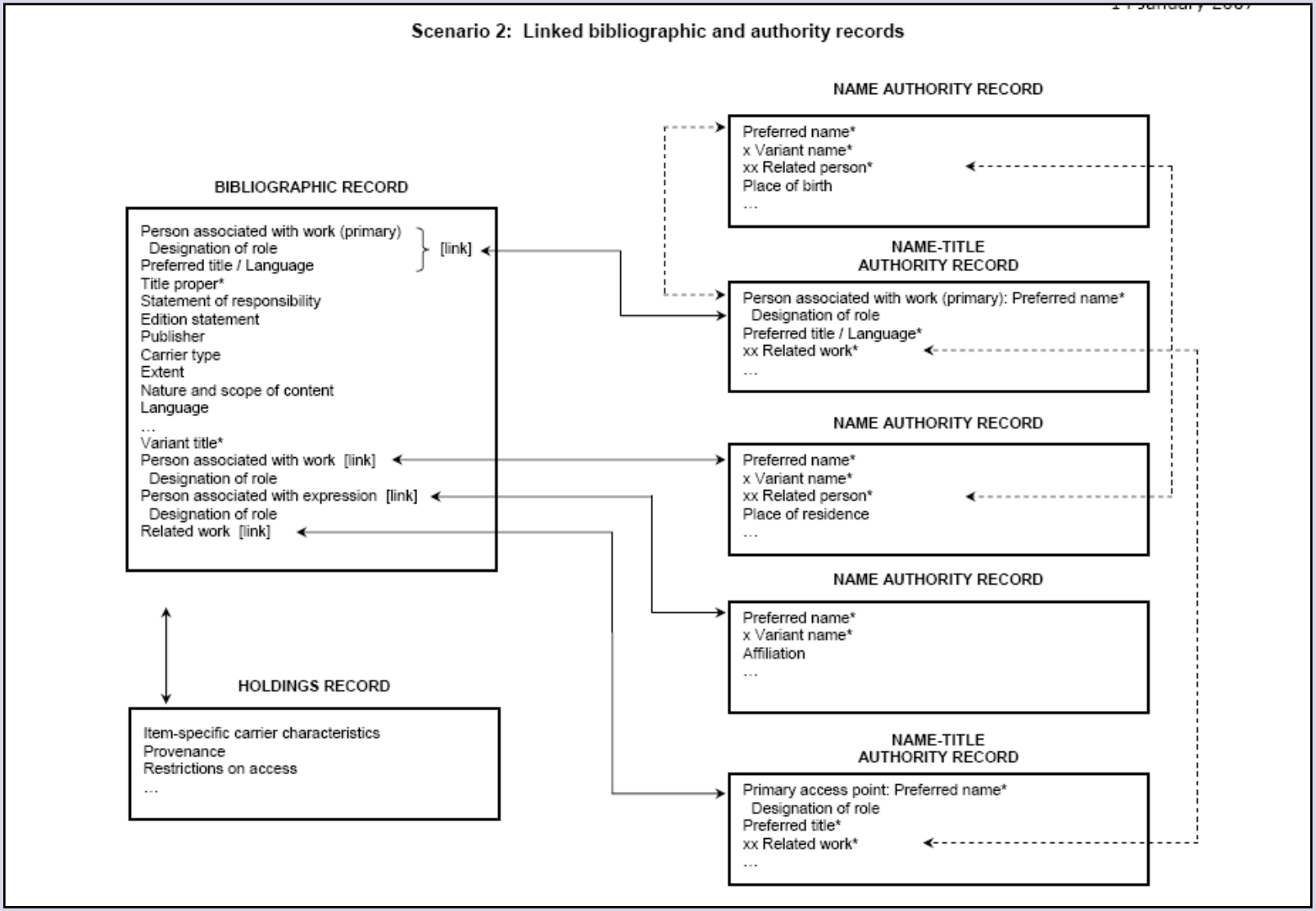
source: RDA, http://www.collectionscanada.gc.ca/jsc/docs/5editor2.pdf

RDA Implementation Scenarios -- #2



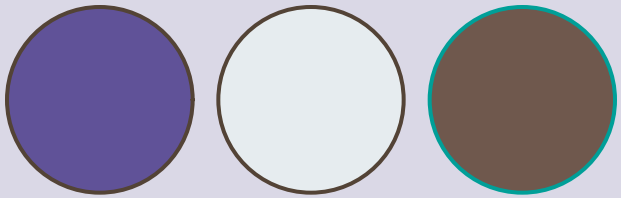
- RDA data is stored in database structures conventionally used in library applications (bibliographic records and authority records).
- Data is stored in bibliographic records and in authority records, and in some implementations in holdings records as well.
- Descriptive data elements are stored in bibliographic records.
- The bibliographic record also contains links to authority records for persons, families, corporate bodies, etc., associated with the work, etc., embodied in the resource described.
- Variant names and other data used for access point control are stored in authority records.

RDA Implementation Scenarios -- #2



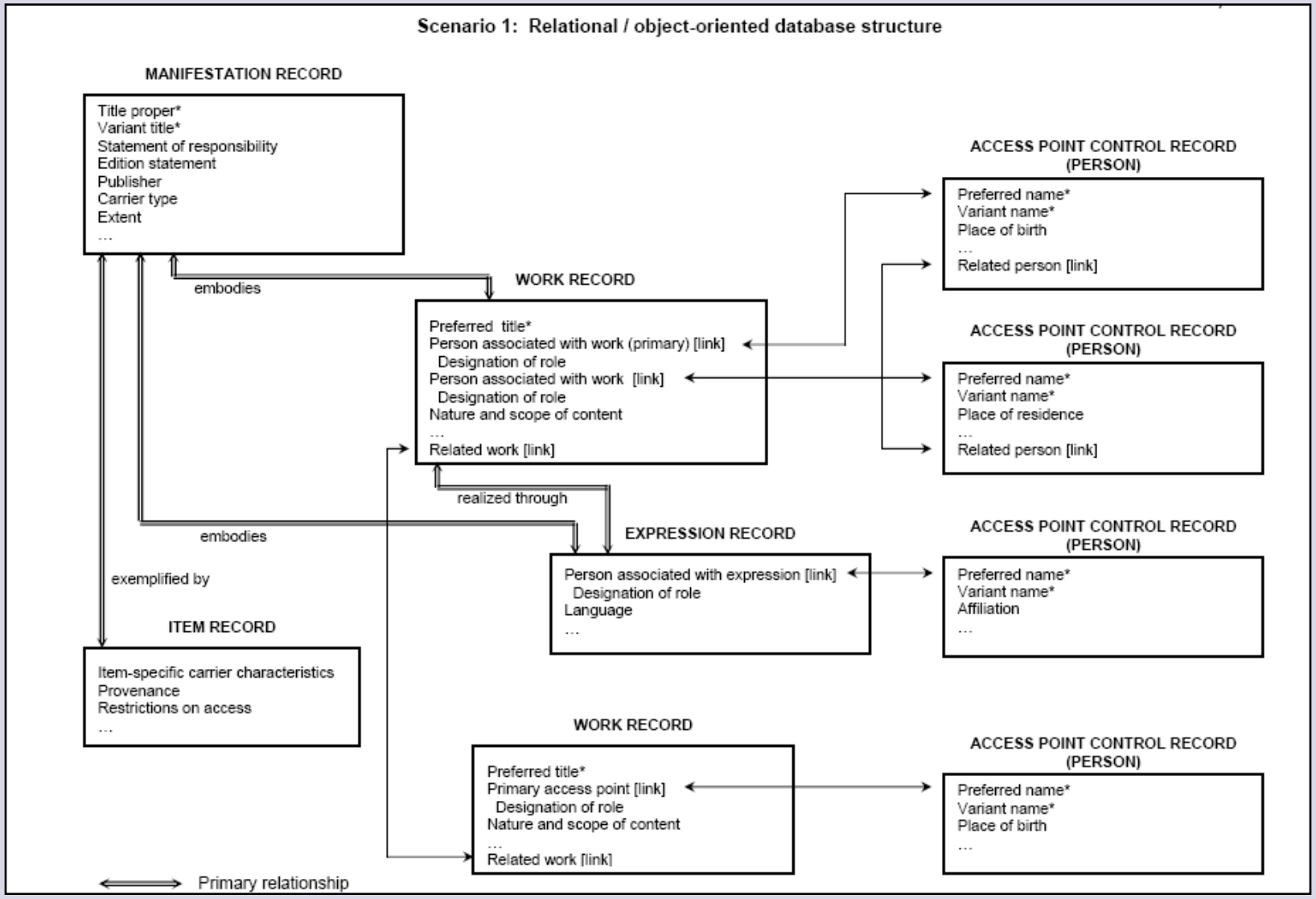
source: RDA, http://www.collectionscanada.gc.ca/jsc/docs/5editor2.pdf

RDA Implementation Scenarios -- #1



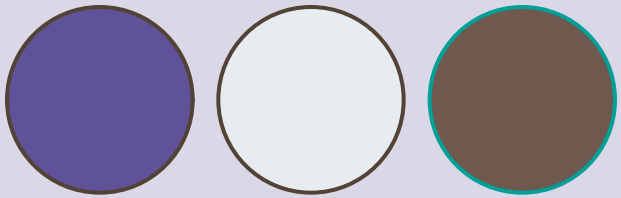
- RDA data are stored in a relational or object-oriented database structure that mirrors the FRBR and FRAD conceptual models.
- Descriptive data elements are stored in records that parallel the primary entities in the FRBR model: work records, expression records, manifestation records, and item records.
- Data elements used for access point control are stored in records that are centered on the primary entities in the FRAD model: persons, families, corporate bodies, etc.
- Relationships between the primary FRBR entities are reflected through links from one record to another.

RDA Implementation Scenarios -- #1



source: RDA, http://www.collectionscanada.gc.ca/jsc/docs/5editor2.pdf

what to watch out for

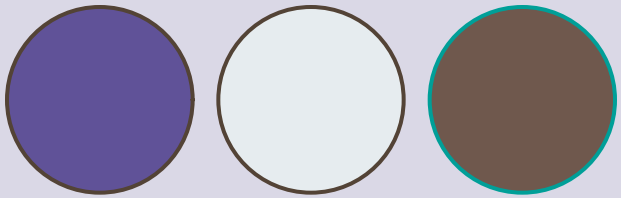


- All theory of cataloging to be discussed in terms of the FRBR user tasks (Find, Identify, Select, Obtain)

- RDA vocabularies & application profiles
  - an AP is a way to document terms & element names to enable communities (and, hopefully, computers) to communicate & share practices & semantic meaning
  - RDA vocabularies will include element lists and GMD (or their equivalent) -term lists.
  - the library community will get a metadata standard that is compatible with the Web Architecture
  - the Dublin Core & Semantic Web community will get a library application profile firmly based on FRBR & will get a significant pool of well thought-out metadata terms to re-use
  - there will, hopefully, be wider uptake of RDA

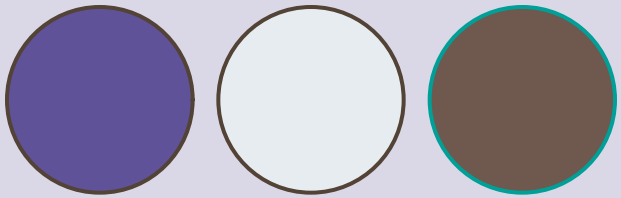
Coyle's Information, http://kcoyle.blogspot.com/2007/05/astonishing-announcement-rda-goes-20.html

what to watch out for



- Library of Congress response to the Working Group on the Future of Bibliographic Control report
  - particularly, the economics

- Implementation musings of the relevant agencies (LC, OCLC, etc.)



questions?