

Subject Cataloguing in an RDA Framework

Strategies and Practical Experience from Germany

GfKI Conference 2010 in Karlsruhe

- **My Paper was: „Das neue Zusammenrücken von Formal- und Sacherschließung – FRBR, RDA, GND“**
“The new closeness between descriptive and subject cataloguing – FRBR, RDA, GND”
<http://nbn-resolving.de/urn:nbn:de:bsz:ch1-qucosa-64619>

Some of the topics treated in 2010 were:

- **“Walls” between descriptive and subject cataloguing in Germany (different from the Anglo-American tradition)**
- **Project of the “Integrated Authority File” (GND)**
integrating authority records from both worlds
- **FRBR models (including FRISAD)**
subject cataloguing becomes part of a general model, RDA based on FRBR

What has happened since 2010?

FRBR:

- **FRSAD in conflict with original FRBR**
2015: First presentation of new consolidated model

RDA:

- **Various changes since first edition 2010**
changes from 2015 affect subject chapters

Germany:

- **Launch of GND in 2012**
only one authority file for descriptive and subject cataloguing alike
- **Adoption of RDA**
 - *preparations since 2012*
 - *migration expected to be complete in 2016*

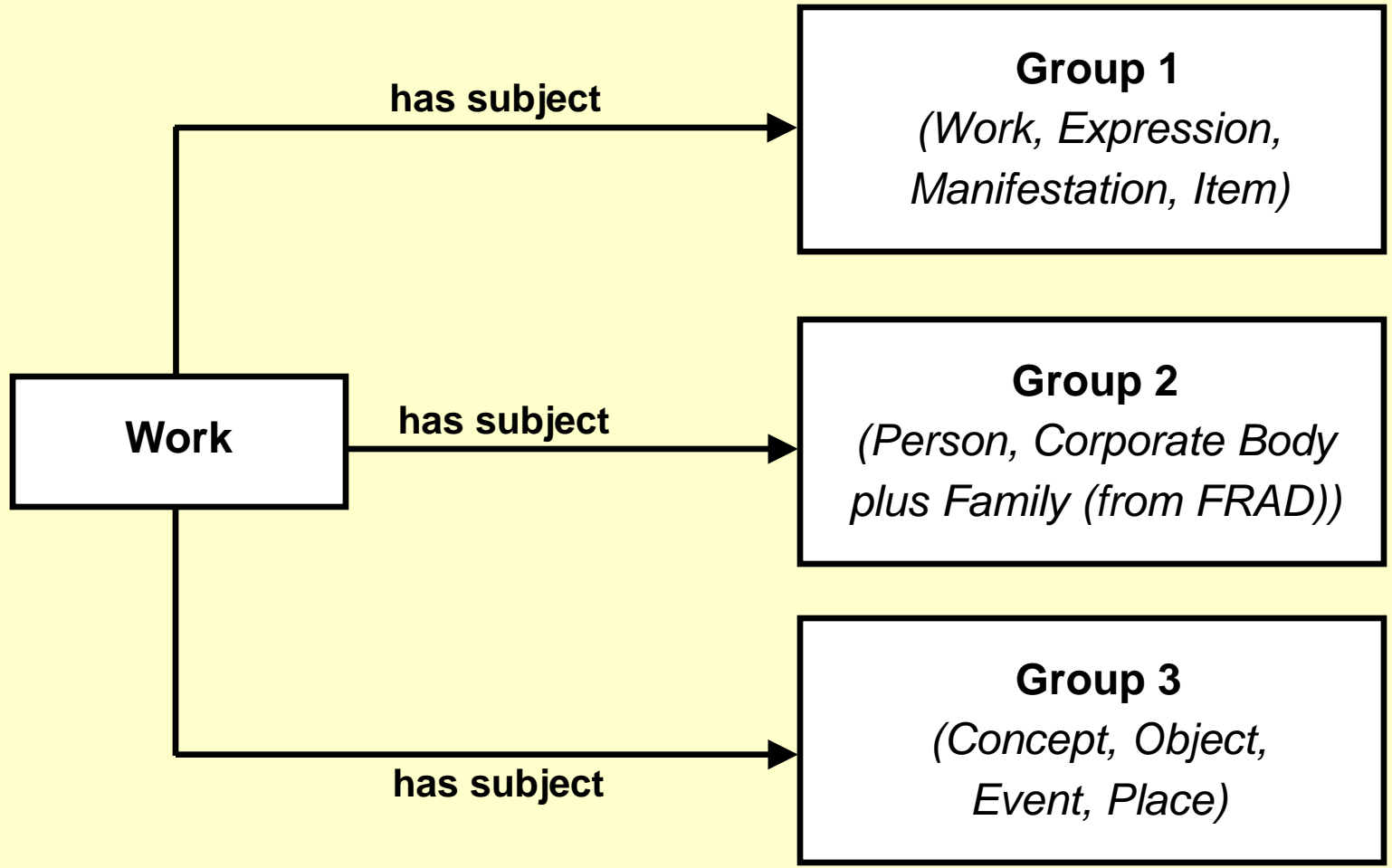
Agenda

1. **FRBR, RDA and subject indexing**
2. **Practical experience from Germany**
3. **Conclusion**

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1. FRBR, RDA and subject indexing
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Subject indexing according to FRBR/FRAD:



Treatment of Group 3 entities in RDA:

- RDA

- RDA Table of Contents
- + 0: Introduction
- + Section 1: Recording Attributes of Manifestation & Item
- + Section 2: Recording Attributes of Work & Expression
- + Section 3: Recording Attributes of Person, Family, & Corporate Body
- + Section 4: Recording Attributes of Concept, Object, Event & Place
- + Section 5: Recording Primary Relationships Between Work, Expression, Manifestation, & Item
- + Section 6: Recording Relationships to Persons, Families, & Corporate Bodies
- + Section 7: Recording Relationships to Concepts, Objects, Events, & Places
- + Section 8: Recording Relationships between Works, Expressions, Manifestations, & Items
- + Section 9: Recording Relationships between Persons, Families, & Corporate Bodies
- + Section 10: Recording Relationships between Concepts, Objects, Events, & Places
- + Appendices
- + Glossary

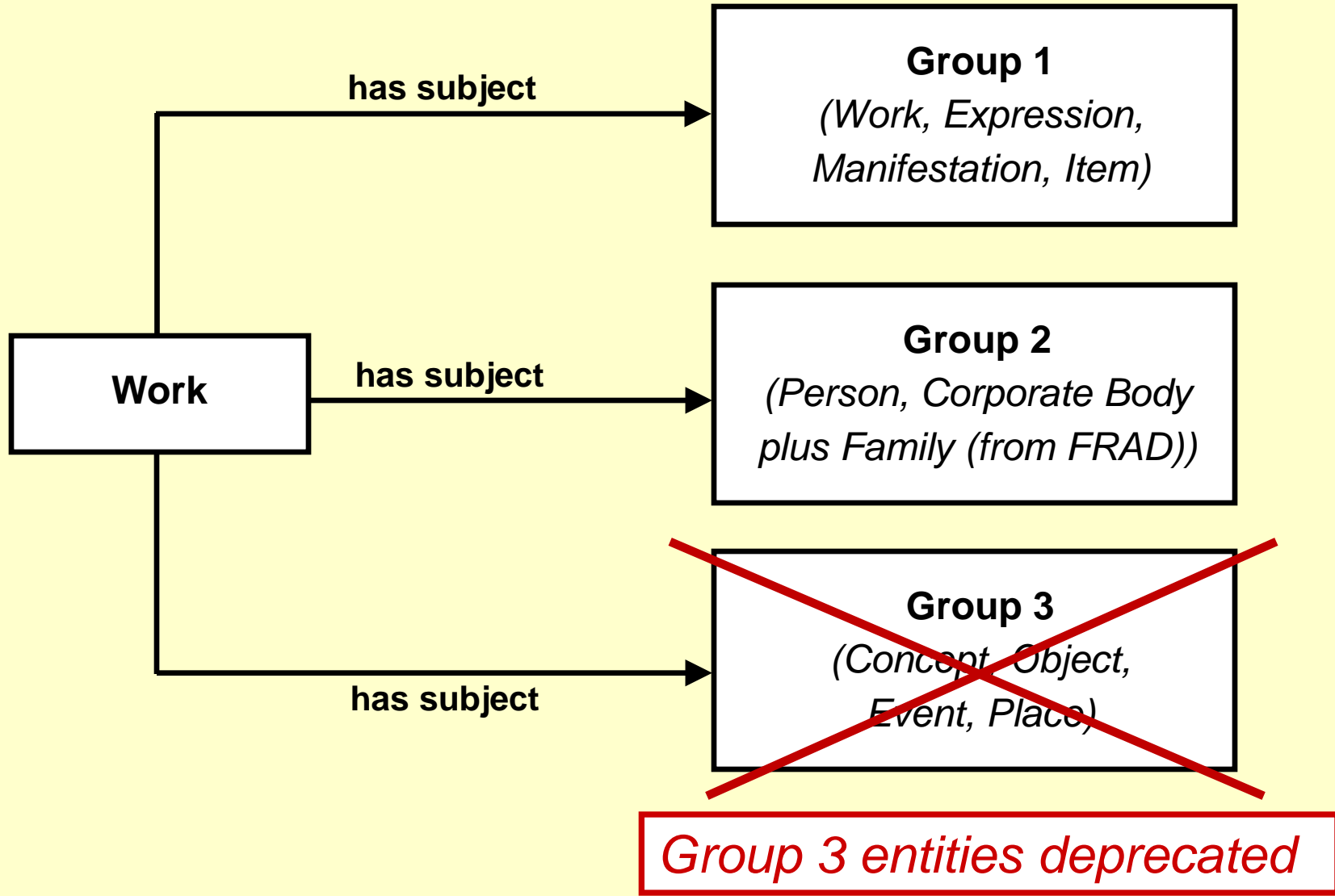
Group 3

Work → Group 3

Group 3 → Group 3

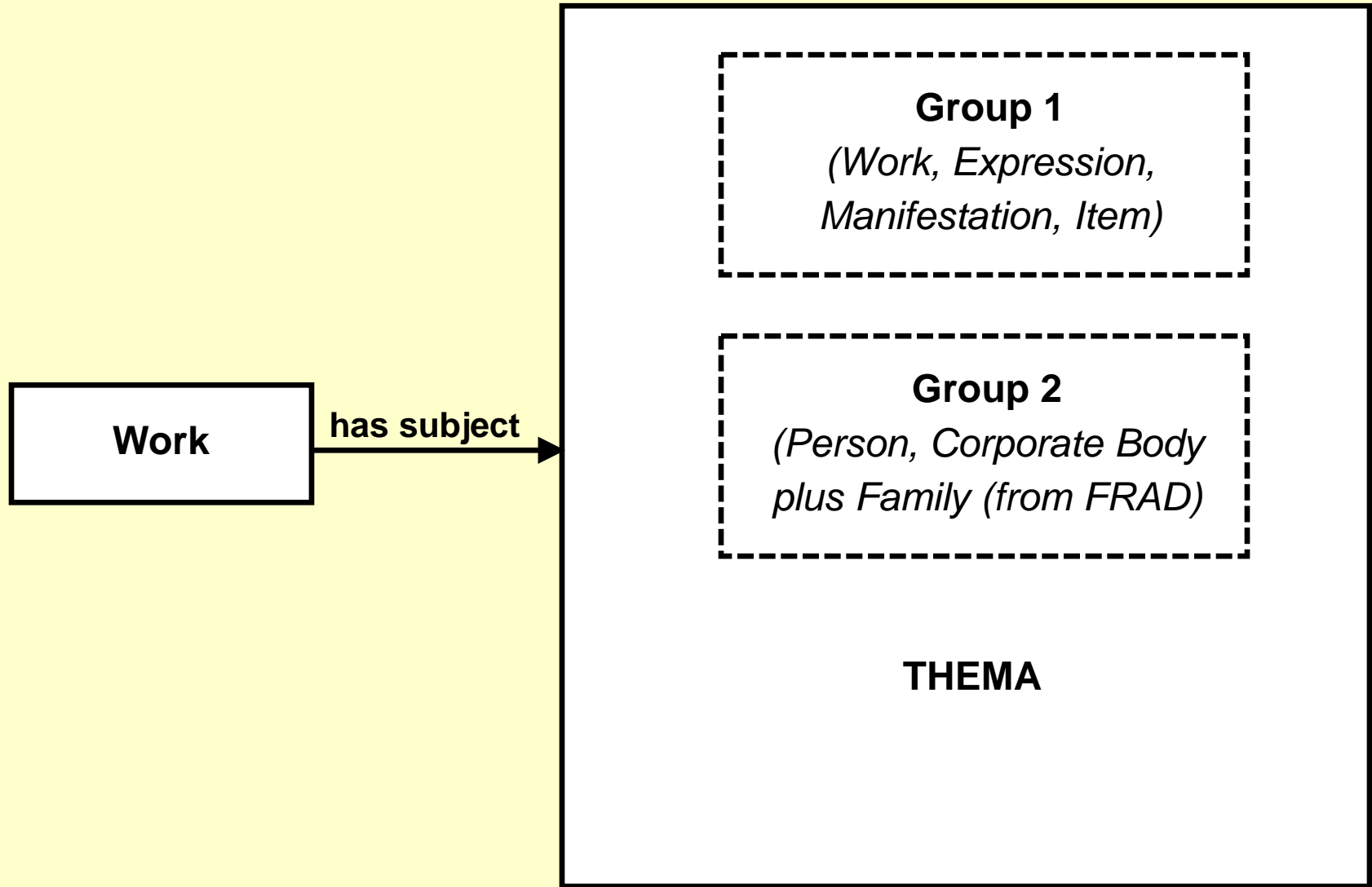
- **First release contained only “placeholder chapters”**
exception: “Place” in Section 4 already worked out

Change of model in FRSAD: *(Functional requirements for subject authority data)*



Introduction of a new super-entity "Thema":

"Thema" is everything which can be the topic of a work



Development of RDA

2013: Two different proposals for the missing chapters

- **6JSC/Chair/8**

aimed at keeping the original structure intact, i.e. keeping the Group 3 entities

- **6JSC/ALA/Discussion/2**

aimed at a solution on the basis of FRSAD

“Given the variety of subject systems in existence and use, we feel that RDA should provide basic guidance without imposing constraints, either upon the ability of individual subject systems to define their own structure and content, or upon the use of such subject systems by catalogers.”

<http://www.rda-jsc.org/archivedsite/docs/6JSC-ALA-Discussion-2.pdf>

Situation as of April 2015:

- **New general chapter on subject cataloguing**
basically following ALA proposal
 - *new element 23.4 “Subject Relationship”*
 - *no rules given for the access points of subjects; these are left to the “identifiable subject system”*

23.1.5 Identifiable Subject System 2015/04

The term **identifiable subject system**▼ refers to a standard for subject access points and/or classification numbers used by the agency creating the data. It may be used in determining the names or terms, other identifying attributes, and relationships representing the subject of a work. It may also include rules for application of terms, systematic combination of terminology (e.g., pre- or post-coordination), and guidelines on cardinality and depth of assignment.



RDA does not claim to cover the whole range of subject cataloguing

Development of FRBR

FRBR Library Reference Model (FRBR-LRM)

- **Proposed by the FRBR Review Group**
result of consolidation work since 2011
<http://library.ifla.org/1084/>
- **Follows FR SAD in deprecating Group 3**
“Thema” becomes “Res” (includes all other entities)
- **Some new and promising ideas**
but also some problematic issues
- **First presentation at IFLA 2015**
will be discussed in relevant IFLA sections, then go into worldwide review
 - ➔ *possible adoption at IFLA 2016*
 - ➔ *probably changes in RDA to adapt to FRBR-LRM*

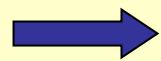
Entity	Definition	Source
Res	Any entity in the universe of discourse	Renamed/redefined from FRSAD:Thema
Work		Retained from FRBR
Expression		Retained from FRBR
Manifestation		Retained from FRBR
Item		Retained from FRBR
Agent	An entity capable of exercising responsibility relationships relating to <i>works, expressions, manifestations</i> or <i>items</i>	New: superclass of <i>Person</i> and <i>Group</i>
Person	An individual human being	Retained from FRBR
Group	A gathering or organization of <i>persons</i> using a particular name and acting as a unit	New (includes types <i>Family</i> and <i>Corporate Body</i>)
Nomen	Any sign or arrangement of signs by which an entity is known	Merger of FRSAD:Nomen and FRAD:Name and Controlled Access Point (includes type <i>Identifier</i>)
Place	A given extent of space	Repurposed from FRBR:Place
Time-span	A temporal extent having a beginning, an end and a duration	New

New super-entity (no longer limited to subject cataloguing)

Entity	Definition	Source
Res	Any entity in the universe of discourse	Renamed/redefined from FRSAD:Thema
Work	<div style="border: 2px solid blue; padding: 5px; display: inline-block;"> <i>Very narrow approach! What about fictitious persons, e.g. from literature?</i> </div>	RBR
Expression		RBR
Manifestation		RBR
Item		Retained from FRBR
Agent	An entity capable of exercising responsibility relationships relating to <i>works, expressions, manifestations or items</i>	New: superclass of <i>Person</i> and <i>Group</i>
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Time-span	A temporal extent having a beginning, an end and a duration	New

***GND record for Hermione Granger
Granger is the topic of several
works, she has a fictitious biography***

005 Tpv1
 006 <http://d-nb.info/gnd/1029449120>
 008 pxl
 011 s
 035 gnd/1029449120
 040 ger\$erda
 043 XA-GB
 065 12.4p
 100 Granger, Hermione\$IFiktive Gestalt
 375 f
 400 \$PHermione Granger\$IFiktive Gestalt
 400 Granger, Hermione Jean\$IFiktive Gestalt\$4navo
 400 Granger, Hermine\$IFiktive Gestalt
 548 1979\$4datl
 548 19.09.1979\$4datx
 550 !209700955!Literarische Gestalt\$4obin
 670 LCAuth
 670 \$bStand:11.12.2012\$uhttp://de.wikipedia.org/wiki/Hermione_Granger#Hermine_Granger
 678 \$bLiterar. Gestalt in Joanne K. Rowlings Harry Potter-Serie



*up to now described in the same way
as a real human being would be*

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Time-span	A temporal extent having a beginning, an end and a duration	New

*“Place” as a general entity
(no longer limited to subject
cataloguing)*

043 XA-NL
 065 15.4p
 100 Carrell, Rudi
 375 m
 400 Carell, Rudi
 400 Kesselaar, Rudolf Wijbrand\$4nawi
 548 19.12.1934\$b07.07.2006\$4datx
 548 1934\$b2006\$4datl
 550 !209042435!Musiker\$4berc
 550 !209097051!Schauspieler\$4beru
 550 i\$4funk
 550 voc\$4istr
 550 Gsg.\$4funk
 551 !210455179!Alkmaar\$4ortg
 551 !208874569!Bremen\$4orts

043 XA-DXDE;XA-DE-BW
 065 6.7
 110 Badische Landesbibliothek
 410 BLB\$4abku
 410 Bad. Landesbibliothek
 410 Badische Landesbibliothek Karlsruhe
 410 Landesbibliothek Karlsruhe
 510 !190280719!Großherzogliche Badische Hof- und
 Landesbibliothek\$4vorg
 548 1918\$4datb
 550 !209902698!Landesbibliothek\$4obin
 551 !208983864!Karlsruhe\$4orta
 551 !208854444!Baden-Württemberg\$4geow

Corresponds to GND practice:
*Attributes like “place of birth”, “place of death”,
 “place associated with the corporate body” are
 represented as relationships to the place (links to
 authority record for the place plus code defining
 the kind of relationship)*

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"Time span" as a new general entity

***Proposal by the British Library:
New RDA “Working Group on Timespan” with
the aim of including timespan in RDA
(to be discussed in November 2015 by the JSC)***

Section 4 Recording Attributes of ~~Concept, Object, Event,~~ Timespan & Place

- 14 ~~Identifying Objects~~ (Placeholder)
- 15 ~~Identifying Events~~ Identifying Timespans
- 16 Identifying Places

In this illustration, the placeholder Chapter 14 Identifying Objects has been deprecated and placeholder Chapter 15 Identifying Events has been re-scoped to identify Timespans.

<http://www.rda-jsc.org/sites/all/files/6JSC-BL-rep-2.pdf>

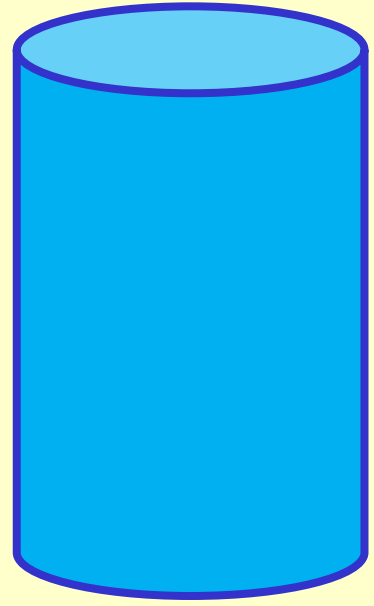
- **Chapter 15 suggested for attributes of timespans**
relationships to timespans would be covered in other chapters of RDA

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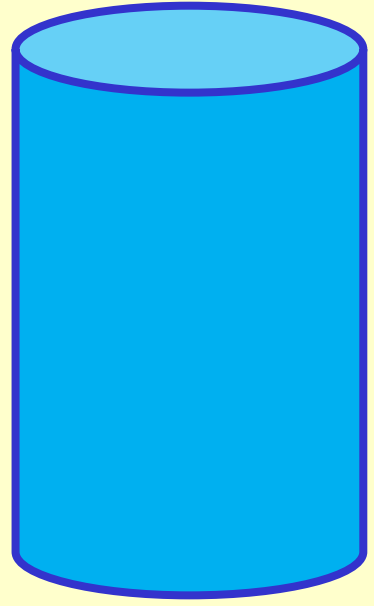
Subject Cataloguing in Germany

Subject headings



- **German rules RSWK**
- **Precoordination** (*unlike LCSH: Precombination*)

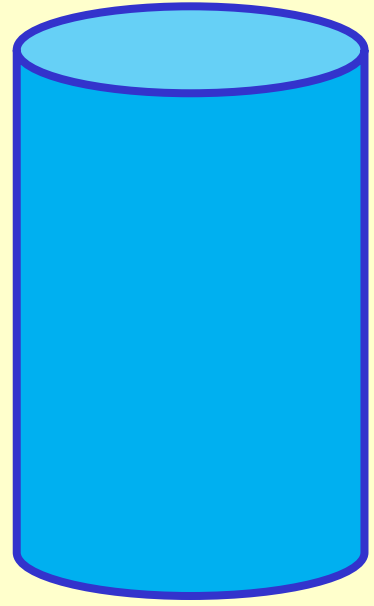
Classifications



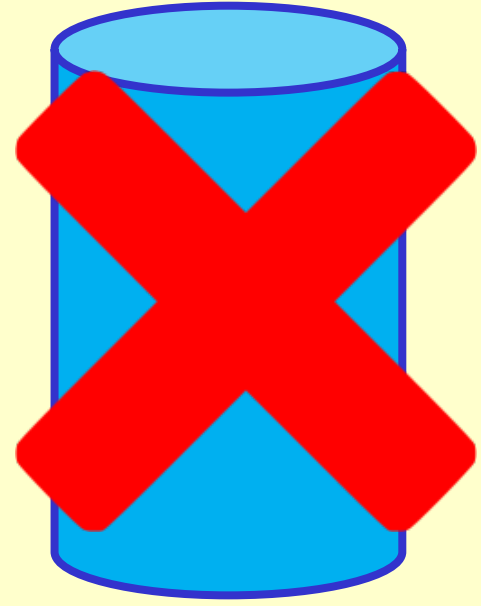
- Various schemes, e.g.**
- **RVK**
 - **DDC**
 - **local schemes**

What's covered in RDA?

Subject headings



Classifications



- Application rules ✗
- Entities used as headings
partly (✓)

Entities used as headings in RSWK

Persons and families	✓	
Corporate bodies	✓	
Events (conferences...)	✓	
Works	✓	<i>(with some problems)</i>
Topical terms	✗	<i>(probably never)</i>
Places (+ governments)	✓	<i>(not yet fully developed)</i>
Time aspects	✗	<i>(perhaps at later stage)</i>
Form aspects	✓	<i>(see next slides)</i>

Form aspects


RSWK:

- **Form aspects as part of the subject headings string**
always as the last element(s) in the string

Frankreich ; Architektur ; Geschichte 1998-2007 ; Bildband
France ; Architecture ; History 1998-2007 ; Pictorial work

- **Different kinds of form aspects, e.g.:**
 - *document type (e.g. "Bildband")*
 - *data carrier (e.g. "CD-ROM")*
 - *intended audience (e.g. "Kindersachbuch", i.e. non-fiction book for children)*
- ➔ *some of this information also traditionally recorded in descriptive cataloguing (double work!)*

New method under RDA:

- **No longer part of the subject headings string**
additional piece of information, e.g. for faceted browsing
 - **Recording is done in cooperation**
between descriptive and subject catalogers
 - **Several RDA elements used**
 - **3.3 Carrier Type**
(plus some additional carrier terms, e.g. “CD-ROM” in addition to carrier type “computer disk”)
 - **7.2 Nature of Content**
with controlled vocabulary (ca. 150 terms)
 - **7.7 Intended Audience**
with controlled vocabulary
-  *terms preferably linked to authority records*

0500 Aau
 0501 unbewegtes Bild\$bsti
 0501 Text\$btxt
 0502 ohne Hilfsmittel zu benutzen\$bn
 0503 Band\$bnc
 1100 2005
 1130 druck
 1131 !209741139!Bildband
 1500 ger
 1505 \$erda
 2000 3-86595-005-1
 2240 BSZ: 41201680X
 3000 !17348560X!Puttkammer, Dorothea\$BFotografIn\$4pht
 3010 !293613885!Puttkammer, Joachim*1942-*\$BVerfasserIn\$4aut
 4000 Ostseeheilbad Graal-Müritz\$dPerle am Meer\$hAutoren: Bildautorin
 Dorothea Puttkammer, Textautor Joachim Puttkammer
 4020 1. Auflage
 4030 Horb am Neckar\$nGeiger-Verlag
 4060 96 Seiten
 5550 !211395870!Graal-Müritz

form aspect "pictorial work" recorded as 7.2 Nature of Content, linked to authority record

ordinary subject heading

MARC 21:

655 #7 \$aBildband\$0(DE588)209741139\$2gndcontent

Record sharing

Before the introduction of the GND:

- **Sometimes there were two records for the same thing**
 - *one in subject authority file, one in name authority file*
 - *with slightly different preferred forms and following different principles (e.g. with regard to splitting)*

Since the introduction of the GND:

- **Principle: one entity = one record**
no more special records for subject cataloguing
- **Not all records used in both kinds of cataloguing**
e.g. records for undifferentiated names not used in subject cataloguing
- **Sometimes different application rules**
especially with regard to split records

Entity splitting

Places:

- **Change of the name of a place**
leads to a new record
- **Application rule for subject cataloguing** (*since 2012*)
the record with the latest name is used for all resources
(this corresponds also to PCC subject usage)
- **Draft of the JSC Places Working Group**
includes an alternative rule justifying this practice

Alternative¹¹

Use the latest name of the place as the preferred name for use with resources associated with it:

EXAMPLE

Sri Lanka
not Ceylon

<http://www.rda-jsc.org/sites/all/files/6JSC-PlacesWG-1.pdf>

More splitting cases under RDA

Especially important: pseudonyms


- **Persons using two or more different identities**
e.g. real name and one or more pseudonyms

9.2.2.8 Individuals with More Than One Identity LC-PCC PS D-A-CH

If an individual has more than one identity, choose the name associated with each identity as the preferred name for that identity.

If an individual uses one or more pseudonyms (including joint pseudonyms), consider the individual to have more than one identity.

If an individual uses his or her real name as well as one or more pseudonyms, consider the individual to have more than one identity.

 *RDA: several records (one for each identity);
used according to presentation in the resources*

- **Application rule for subject cataloguing (since 2014)**
*only one record (“basic heading”, the best known identity)
is used in subject cataloguing*

043 XA-GB;XA-PT

065 12.2p

100 Rowling, J. K.

400 Rowling, Joanne Kathleen\$4navo

400 Rowling, Joanne K.

400 Rowling, Joanne\$4nawi

400 Rowling, Joane K.\$vFalsche Namensform

400 \$PLuolin\$VChines.

400 Rauling, Je. Ke.\$vUrdu-Form

400 Rolinga, Je. Ke.

400 Rollin, J. K.\$vUigur.

500 !420405941!Galbraith, Robert*1968-*\$4pseu

500 !422790745!Scamander, Newt*1965-*\$4pseu

500 !422791431!Whisp, Kennilworthy*1965-*\$4pseu

548 1965\$4datl

548 31.07.1965\$4datx

550 !209103183!Schriftstellerin\$4berc

550 !209010754!Lehrerin\$4beru

667 Basic Heading

Only the record with this heading is used in subject cataloguing (basic heading)

Linked authority records for pseudonym identities – only used in descriptive cataloguing

Works

Up to now:

- **Work level not important in descriptive cataloguing**
uniform titles only used in certain situations (especially for translations and older works)
- **Authority records for works**
used almost exclusively in subject cataloguing (exception: musical works)

With the migration to RDA:

- **Work level becomes more important**
preferred title of work must be considered in all cases
- **Authority records for works**
will be also used in descriptive cataloguing

Consequences:

- **Catalogers of both kinds must use the same rules**
although they work with different materials and under different conditions
 - **Descriptive cataloguing**
 - *usually, editions of the work are catalogued*
 - *many of the works not covered in dictionaries*
 - **Subject cataloguing**
 - *usually, literature about the work is indexed*
 - *most of these works covered in dictionaries*
- ➔ *descriptive catalogers want to use the resources themselves to establish the title of the work, subject catalogers want to use dictionaries*
- ➔ *but: compromise is possible (new policy statement for sources of information)*

Manuscripts as a special problem:

- **RDA is not interested in the manuscript as such**
RDA is only interested in the work(s) contained
 ➔ *no RDA rule for identifying the “manuscript work”*

PCC practice:

- **Preferred access point for the manuscript**
used as added entry

100 #1 \$aMandeville, John, \$cSir
240 10 \$altinerarium. \$lEnglish
245 14 \$aThe Egerton version of Mandeville’s travels /
\$cedited by M.C. Seymour.
710 2# \$aBritish Library. \$kManuscript. \$nEgerton 1982.

Title for work (RDA)

Title for manuscript work (PCC)

German practice:
still under discussion

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Conclusion

- **“Do we still need special rules for subject headings?”**
Yes, because RDA doesn't cover all that is needed (and doesn't intend to, even in the future)
 - ➔ *extent and character of the “new RSWK” are under discussion at the moment*
- **Much of RDA can be used in subject cataloguing**
but sometimes there are special needs which should be addressed by RDA
- **The “walls” are breaking down**
Descriptive and subject catalogers need to work together much more closely than before
 - ➔ *not always easy, requires some compromising, but basically a good thing!*

References:

Heidrun Wiesenmüller: Das neue Zusammenrücken von Formal- und Sacherschließung : FRBR, RDA, GND (presented at GfKI conference, Karlsruhe 2010)

<http://nbn-resolving.de/urn:nbn:de:bsz:ch1-qucosa-64619>

Pat Riva and Maja Žumer: Introducing the FRBR Library Reference Model (presented at IFLA 2015)

<http://library.ifla.org/id/eprint/1084>

Proposals and Discussion papers:

6JSC/ALA/Discussion/2

<http://www.rda-jsc.org/archivedsite/docs/6JSC-ALA-Discussion-2.pdf>

6JSC/BL rep/2

<http://www.rda-jsc.org/sites/all/files/6JSC-BL-rep-2.pdf>

6JSC/Chair/8

<http://www.rda-jsc.org/archivedsite/docs/6JSC-Chair-8.pdf>

6JSC/PlacesWG/1

<http://www.rda-jsc.org/sites/all/files/6JSC-PlacesWG-1.pdf>

6JSC/FictitiousWG/1

<http://www.rda-jsc.org/sites/all/files/6JSC-FictitiousWG-1.pdf>

**Thank you
for your attention!**

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