

DCRM Appendix (WG4)
COLLECTION-LEVEL CATALOGING GUIDELINES
Version 20030407

A. INTRODUCTION AND RATIONALE

This appendix offers guidance in the creation of bibliographic records for collections of printed items that could be cataloged individually, but that will receive collection-level treatment based on administrative or curatorial decisions. It is included in *DCRM(B)* because materials having historical significance or shared provenance that may best be articulated in a collective description exist in rare materials libraries.

Several possible rationales can be stated for such collection-level cataloging:

- 1) As a cost-effective means of providing control for low-priority items. Although this rationale might seem to provide a solution to limited cataloging resources, it should be noted that adequately arranging and processing collections prior to cataloging also takes time;
- 2) As a means of providing temporary control of unprocessed collections;
- 3) As a means of highlighting the shared characteristics inherent in a collection of materials by providing a summary-level description, thereby “adding value” to any other forms of intellectual access, such as item-level records, and thereby revealing collection strengths that may not otherwise be obvious.

A collection-level record may serve as the sole method of access for the collection, with contents information provided in notes. Some or all of the collection may also be represented by item-level bibliographic records, which may be created at any level of fullness using cataloging rules such as the *Anglo-American Cataloguing Rules* or *Descriptive Cataloging of Rare Materials (Books)*. Item-level access may also be provided for some or all of the collection through inventories, finding aids, or databases (referred to hereafter as “finding aids”), which may be linked to collection-level records. Decisions about the appropriate type and level of description should be made based on institutional goals, priorities, and resources, as well as the attributes of the collections themselves.

The following guidelines are based on the Library of Congress guidelines for collection-level cataloging published in *Cataloging Service Bulletin* no. 78 (Fall 1997). Examples have been added to highlight the types of collections likely to be found in rare books and special collections libraries. Catalogers creating collection-level records will also need to consult the appropriate cataloging rules, the MARC format, and their local system documentation in order to create useful, descriptive, and complete records using the various fields available to describe collections, as well as to create additional access points.

These guidelines are *not* intended for description of traditional archival or manuscript collections. Rules for cataloging such collections are addressed in specialized sets of rules

such as *Archives, Personal Papers and Manuscripts*,¹ *Archival Moving Image Materials*,² *Graphic Materials*,³ and the *Map Cataloging Manual*.⁴

B. SELECTION OF MATERIALS

Collections normally fall into one of three categories:

- a) groups of items that come to a library already well organized by a previous owner;
- b) groups of items that come from a single source, but with minimal or no previous organization;
- c) groups of items that are assembled into collections by the library for the purpose of processing and storage and are therefore often termed “artificial collections.”

All three types of collections tend to be organized around one or more unifying factors, which may include:

- a) personal author
- b) issuing body
- c) form or genre
- d) subject
- e) language or nationality
- f) provenance
- g) time period

Types of materials appropriate to consider for collection-level cataloging treatment include:

- a) groups of monographic or serial materials that share one or more of the above factors, and for which access can adequately be provided with a single classification number and/or a collective set of access points;
- b) groups of pamphlets or ephemera in various formats that do not merit item-level cataloging, but that collectively are judged to be of research value.

C. ARRANGEMENT AND DESCRIPTION

Arrangement and description are terms used to describe various types of processing activities that bring order and control to collections of materials. They commonly involve the physical handling, sorting, and listing of materials, as well as preservation and housing activities. Additional guidance in these matters may be found in Kathleen Roe’s *Arranging and Describing Archives and Manuscripts*. (Chicago: Society of American Archivists, forthcoming in 2003).

¹ Hensen, Steven. *Archives, Personal Papers and Manuscripts: a cataloging manual for archival repositories, historical societies, and manuscript libraries*. 2nd ed. (Chicago : Society of American Archivists, 1989)

² *Archival Moving Image Materials: A Cataloging Manual*. 2nd ed. (Washington, DC : Library of Congress, 2000)

³ Betz, Elisabeth. *Graphic Materials: Rules for Describing Original Items and Historical Collections*. (Washington, DC : Library of Congress, 1982)

⁴ *Map Cataloging Manual*. (Washington, DC : Library of Congress, 1991)

1. *Arrangement.* Arrangement is the process of sorting individual items into meaningful groups and placing those groups into useful relationships with each other. Materials can be arranged in many logical ways, and the “look” or design of the arrangement should be determined by examining the material to consider the types of access most likely to serve the needs of researchers and other potential users. Individual collections will require differing levels and methods of arrangement. For these reasons, decisions about arrangement must be made on a collection-by-collection basis.

a) *Organized prior to acquisition.* For collections that come to the library already well organized, every effort should be made to maintain this order. Maintaining the original order of a collection can reveal significant information about the previous owner's use of the materials and is, for this reason, a basic tenet of archival practice.

b) *Organized by the library.* Collections that come to the library lacking any recognizable order must be examined, sorted, and arranged in some fashion prior to cataloging. Customary types of arrangement include:

- 1) by source or provenance
- 2) by genre or form, e.g., by literary or musical genre, by type of map, etc.
- 3) by content or topic
- 4) in chronological order
- 5) in alphabetical order (by author, title, etc.)

Collections consisting of many items are normally divided into hierarchical subgroupings.

c) *Originally acquired for item-level treatment.* Materials originally acquired for item-level treatment (whether simultaneously or over time) may be grouped in artificial collections, as noted above. Appropriate library staff, which may include curators and catalogers, must determine which materials will be so combined, how they will be arranged, and at what level of fullness they will be described (e.g., whether the material will receive contents notes and/or author-title analytics, whether it will be classified and shelved with book collections or boxed and treated archivally, etc.).

2) *Description.* Description is the process of recording the information that was gathered during the sorting and arranging stages. For large collections, finding aids typically are compiled to provide a greater level of detail.

Finding aids vary widely in format, style, and complexity. They generally consist of two parts. The first is a narrative introduction that includes: 1) biographical sketches or historical contextual information; 2) a content summary highlighting strengths, gaps, weaknesses, and characterizing the collection's extent and depth; and 3) information concerning the collection's administration and use, such as restrictions on access. The second part is a listing of the items or groups of items that comprise the collection. For collections arranged hierarchically, the listings may stop at a collective subgroup level or may extend down to the file or item level.

D. ELEMENTS OF THE CATALOG RECORD

The rules that guide the bibliographic description and added entry access portions of collection-level cataloging are the latest edition of the *Anglo-American Cataloguing Rules, supplemented by use of Library of Congress Rule Interpretations*, or the appropriate special format cataloging manual. Use the appropriate rules in conjunction with these guidelines, which are arranged by MARC field. Fields for which no specific collection-level instructions are required are not included but may be used as appropriate.

a) *1XX field: Main entry heading.* The main entry heading is determined by application of the appropriate cataloging rules. Title main entry is appropriate for many collections (cf. AACR2 21.7). A 1xx main entry is appropriate when all materials have the same personal author(s) or emanate from a single corporate body (AACR2 21.4), including collections of laws with main entry under jurisdiction (AACR2 21.31B1).

When the collection is known by the name of a collector, generally enter that name in a 1xx field, optionally followed by the relator term “collector” in subfield \$e or the relator code "col" in subfield \$4.

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100 1 $a Purland, Theodocius, $e collector.
245 10 $a [Collection of materials on mesmerism]

110 1_ $a Austria.
240 10 $a Laws, etc. (Royal decrees, mandates, letters patent, etc.)
245 10 $a Wir Franz der Erste, von Gottes Gnaden Kaiser von Oesterreich ... :
$b [a collection of decrees of the Emperor of Austria].
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b) *245 field: Title.* Construct a title for the collection. Titles generally should be in English and be both descriptive and distinctive, thereby highlighting the factor(s) that characterize the collection as a whole. Strive for consistency in title construction across collections.

Types of data appropriate for inclusion in collective titles include:

- 1) name of collection (for previously named collections)
- 2) name of creator, creating body, collector or source (provenance)
- 3) languages
- 4) geographic locations
- 5) genres or forms of material
- 6) principal subjects—persons, events, topics, activities, objects, and dates of subject coverage

Enclose supplied titles in square brackets (See also the 500 field regarding a corresponding mandatory note).

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245 00 $a [Association of American Railroads collection of maps]

245 00 $a [Analecta Anglicana : $b commonplace books]

245 00 $a [Spanish Civil War news releases]
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c) *246 field: Variant form of title.* Record variant titles by which a collection may be known if they 1) differ substantially from the 245 title statement and 2) provide a useful access point.

110 2 \$a Bohemia (Kingdom)
240 10 \$a Laws, etc. (Guild statutes)
245 10 \$a [Bohemian guild statutes and regulations for the production of various commodities in the Kingdom of Bohemia : \$b a collection of decrees of Empress Maria Theresa as Queen of Bohemia].
246 3 \$a Regulations for industry, trade, and commerce in the Kingdom of Bohemia

d) *260 field: Imprint.* All three elements of the imprint may be included in collection-level records if appropriate. Bracket all elements that are used. In most cases, only the date element (\$c subfield) is appropriate. Use 260 \$a and \$b only if the place and/or publisher are the same for all items in the collection. If the collection is finite, use a single date or inclusive dates, as appropriate.

260 \$c [1780-1860, bulk 1795-1840]
260 \$c [1655-1687]
260 \$c [ca. 1500-ca. 1600]
260 \$a [Madrid : \$b El Partido Nacional, \$c 1835-]
260 \$a [Philadelphia, \$c 1850-1890]

e) *300 field: Physical description*

1) *Extent.* Give the extent of the collection by counting or estimating the number of items it contains. A separate physical description may be provided for each format if desired.

300 \$a 17 v.
300 \$a 25 items
300 \$a ca. 350 pieces
300 \$a 27 maps
300 \$a ca. 450 broadsides

2) *Other physical details.* Provide other details of particular significance.

3) *Dimensions.* Size may not be important and is therefore optional. If included, give a range of sizes if the items are not of uniform size. If desired, give the dimensions of containers instead.

300 \$a [...] \$c 28 cm.
300 \$a [...] \$c 23-30 cm.
300 \$a [...] \$c 60 x 90 cm. or smaller
300 \$a 20 pamphlets ; \$c in box 12 x 26 x 35 cm.

f) *351 field: Organization and arrangement.* Describe the way in which materials have been subdivided into smaller units or the order in which particular units have been arranged.

351 \$a Organized in four series: 1. Dramatic works. 2. Choral works.3. Symphonic music. 4. Chamber music and songs.

351 \$a Items are arranged chronologically.

g) *4XX fields: Series.* Do not use. If series titles of items in the collection are significant, trace them in the appropriate 7xx field. A note supporting the tracing may also be provided.

500 \$a Most of the pamphlets are from the series Dicks' standard plays.

730 0 \$a Dicks' standard plays.

h) *5XX fields: Notes.* Inclusion of a variety of notes will help provide collective context to the materials being described. It is particularly important to describe the contents of the collection in a 505 contents note and/or a 520 summary note, as described below. The order of notes presented below is recommended based on archival collection-level cataloging practice.

- 1) *500 field: General note.* Include as the first note the statement “Collection title supplied by cataloger.” This note is required.
- 2) *506 field: Restrictions on access.* When access to a collection or a portion thereof is restricted, explain the nature and extent of the restrictions.

506 \$a Restricted: Original materials are extremely fragile; \$c Researchers must use microfilm.

506 \$3 All materials except pamphlets are restricted

- 3) *545 field: Biographical or historical note.* Provide biographical or historical information about the individual or organization referenced in the 1XX or 245 main entry.

545 \$a Screenwriter for film and television, playwright and author.

545 \$a George Heard Hamilton was born June 23, 1910, in Pittsburgh, Pennsylvania. He studied at Yale University where he received a B.A. in English in 1932, an M.A. in History in 1934, and a Ph.D. in Art History in 1942. [etc.]

110 20 \$a Monday Evening Concerts of Los Angeles.

245 10 \$a [Monday Evenings Concerts programs].

545 \$a The Monday Evening Concerts, first known as Evenings on the Roof, began in 1939 under the direction of Peter Yates. The concerts featured his wife Frances Mullen, among others, playing chamber music and other experimental works [etc.]

- 4) *520 field: Summary, etc.* A summary note may be used in addition to or in lieu of a 505 contents note. Summary notes are narrative, free-text statements of the scope and contents of collections. Details may include forms of materials, dates

of subject coverage, and the most significant topics, persons, places, or events. A summary note may be used in lieu of or in addition to a 505 note. When the collection contents are listed in a separate finding aid, use only a 520 note and also make a field 555 finding aid note.

520 Consists principally of maps of the United States as a whole. Also includes maps of sections of the United States and individual states and cities, showing railroads or railroad related information. \$b Includes some maps of London environs, western Canada, and Europe.

520 \$a A compilation of pamphlets relating to the High Church's disciplinary hearings on Karl Sydow, which were held because of Sydow's stated position (both preached and published) concerning the interpretation of the facts about the birth of Christ.

- 5) *505 field: Formatted contents note.* 505 notes provide an ISBD-structured method of recording item-level information. Elements may include author, title, edition, date of creation or publication, extent, scale, etc. Assign a number to each item, record it within square brackets ([]) in the 505 note, and write it on each item. For materials that lack routine bibliographic indicia, or for large collections of many items, prefer the more narrative 520 summary note to the 505.

505 0 \$a [1] Pedrilla : ballo in cinque atti / composto e diretto coreografo Lorenzo Viena ; musica appositamente scritta dal maestro Paolo Giorza da rappresentarsi nel Real Teatro S. Carlo ... 1862. (14 p.) -- [2] Cherubina, o, La rosa di Posilippo : ballo in cinque atti / di Lorenzo Viena ... 1860. (16 p.) -- [3] Emma : ballo romantico in cinque atti / composto e diretto dal coreografo Lorenzo Viena, al Regio Teatro Pagliano ... 1863. (14 p.)[etc.]

505 0 \$a [1] Espagne rouge & noire [1963?] -- [2] The Spanish regime helps communism [1960?] -- [3] El marxismo en España / por Luis Araquistain [1957?]

- 6) *524 field: Preferred citation.* Use to provide a specific citation format for citing the collection.

524 \$a Early Paperback Collection. Rare Books and Manuscripts Library, The Ohio State University.

- 7) *541 field: Immediate source of acquisition.* Record the immediate source from which the library acquired the collection. Use only for materials acquired as a collection.

541 \$a Acquired by exchange from Auburn University; \$d 1954.

541 \$a Received: 5/22/89; \$3 master copy; \$c gift; \$a Mrs. James Hickey

541 \$a On permanent loan from the J. Paul Getty Museum.

- 8) *555 field: Cumulative index/finding aids note.* Specify the existence of any separate finding aid. An external electronic finding aid may be linked to from this field, if permitted by the local system (See also the 856 field).

555 8 \$a Inventory available in the Wesleyan University Department of Special Collections and University Archives; \$c item-level control.

- 9) *561 field: Provenance note.* Briefly describe any relevant history concerning the ownership of the materials from the time of their creation up until the time of their acquisition by the library.

561 The collection belonged to the Earls of Westmoreland from 1759-1942.

- 10) *580 field: Linking entry complexity note.* Use this note to state the relationship between the materials described and a broader collection of which it is a part. Use only when parts of the collection are being described in separate records.

580 \$a Forms part of the Margaret Mead Collection.

i) *6XX fields:*

- 1) *Subject headings.* Assign subject headings as specific as the collection warrants.

245 00 \$a [Marcian F. Rossi collection of maps of Marco Polo's journeys].
600 10 \$a Polo, Marco, \$d 1254-1323? \$x Journeys \$v Maps
650 0 \$a World maps \$y 14th century.

245 00 \$a [Italian Communist Party pamphlets].
610 20 \$a Partito comunista italiano.
651 0 \$a Italy \$x Politics and government \$y 20th century.

Assign as many subject headings as seem appropriate, remembering that economy in processing may suggest that a reasonable limitation should be observed.

- 2) *Genre and form headings:* Assign as applicable using an appropriate thesaurus. As with subject headings, assign headings as specifically and numerous as the collection and institutional policy warrant.

245 00 \$a [American theater programs of the late 19th and 20th centuries].
655 7 \$a Theater programs \$z United States. \$y 19th century. \$2 rbgenr
655 7 \$a Theater programs \$z United States. \$y 20th century. \$2 rbgenr
650 0 \$a Theater \$z United States \$x History \$v Sources.

100 1 \$a Elliott, Harrison, \$d 1879-1954, \$e collector.
245 10 \$a [Paper specimens and research material relating to the history of papermaking].
655 7 \$a Handmade papers (Paper). \$2 rbpap

655 7 \$a Mould-made papers (Paper). \$2 rbpap

j) *7XX fields: Added entry headings.* Types of added entries considered useful for various types of materials include: author/title analytics, government bodies or individual sovereigns (e.g., as authors of the laws, etc.) creators of collections, names of collections, etc. The special format manuals may provide useful guidance.

In cases where a person or corporate body is both the author or issuing body and the subject of a collection, it may be appropriate to provide both a 6xx subject entry and a 1xx or 7xx entry.

k) *856 field: Electronic location and access.* Use to specify the location or means of access to an electronic finding aids prepared for the collection or other reasons, such as to point to scanned items or images selected from the collection. Take special note of the second indicator, which specifies the relationship of the electronic resource being linked to the item described in the record.

856 42 \$3 Finding aid \$u
<http://lcweb2.loc.gov/ammem/ead/jackson.sgm>

856 42 \$3 Selected images \$u http://[etc.]

l) *Fixed fields.* The following fixed field elements are particularly relevant to collection-level cataloging. Code other fixed fields following standard MARC practice.

- 1) *Leader/06: Type of record.* Code following normal MARC conventions. Code collections of books, broadsides, serials, or pamphlets as type a. If the collection is comprised entirely of another material type such as maps or scores, use the appropriate type code. If the collection includes any combination of types, code as Mixed Materials, type p.
- 2) *Leader/07: Bibliographic level.* Use the value c (collection-level).
- 3) *008/06: Type of date.* Coding choices are: i (inclusive dates of collection), k (range of years of bulk of collection), and m (multiple dates).
- 4) *008/07-10: Date 1.* Give the earliest date, or single date, from the 260 field.
- 5) *008/11-14: Date 2.* Give the latest or closing date from the 260 field. If the 260 contains a single date but 008/06 is value m, the collection is “open” (i.e., not yet complete); in such cases, enter 9999 in 008/11-14.
- 6) *008/15: Country of publication.* If all the items were published in a single country (or state, province, etc.), enter the code for that country. If the items were published in more than one country, enter the code vp_.

5) *Lengthy descriptions divided into more than one record.*

It may be desirable to divide the description of a collection into more than one bibliographic record due to factors such as complexity or length of the description or system limitations on record length. The description may be divided in whatever way is most sensible. For example, the collection may be organized in logical groupings, each of which can be represented in a single record (e.g., pamphlets concerning tobacco consumption, pamphlets encouraging smoking, and pamphlets discouraging smoking). Alternatively, a new record may be started at a logical breaking point, such as with every twentieth item, based on chronology, etc.

When multiple records are created for one collection, most data elements will be the same across all records, according to the guidelines discussed above, with the following exceptions:

- a) *245 field: Title.* Indicate in subfield \$n that the collection is being represented in more than one record.
 - b) *260 field: Imprint.* If the collection is divided based on chronology, include the appropriate range of dates in each record.
 - c) *300 field: Physical description.* Indicate the number of items represented by the record, out of the total number of items in the collection.
 - d) *5xx fields: Notes.* With the exception of the 505 contents note, give the same 5xx fields in each record. In addition, indicate in a note in each record that the entity being cataloged is represented by more than one record, and provide references to the other records.
 - e) *505 field: Contents note.* List in a 505 note only those items described in the particular record. Numbering within contents notes should be consecutive from one record to another.
- 6) *Considerations when adding to collections.*

Collections are sometimes added to after initial processing or cataloging has been completed. In such cases, edit or add to the description as necessary, paying particular attention to the following elements:

- a) Dates (260 field and fixed field)
- b) Extent (300 field)
- c) Contents (505 and/or 520 field)
- d) Subject and genre/form headings (6xx fields)
- e) Added entries (7xx fields)