

# Guidelines for the Cataloguing of Rare Books

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### Foreword to 2007 revision:

Since the last revision of these guidelines in 1999, cataloguing technology has progressed and MARC 21 has emerged over the last ten years as the format favoured by libraries and online bibliographic utilities alike, supported by the majority of online library management systems. The British Library has fully implemented the use of MARC 21, has ceased to develop UKMARC, and is using the Library of Congress/NACO Authority File in preference to maintaining the British Library Name Authority File. These rules have been revised with these changes in mind.

This revision has been carried out under the auspices of the recently established UK Bibliographic Standards Committee of the renamed CILIP Rare Books and Special Collections Group. Comments, questions, and suggestions for further revision, are, as always, welcome, and should be addressed to the Hon. Secretary, UK Bibliographic Standards Committee, CILIP Rare Books and Special Collections Group, c/o CILIP, 7 Ridgmount Street, London WC1E 7AE, or can be sent via the discussion list 'lis-rarebooks'. Information for subscribers can be found at <http://www.jiscmail.ac.uk/lists/LIS-RAREBOOKS.html>

The work on this revision has been undertaken by Sarah Wheale, with support from Brian Hillyard and Karen Attar, all members of the Bibliographic Standards Committee. Many thanks are due to both Sarah and Karen for the time they have devoted to this work, and also to the Group's webmaster Stewart Tiley for his assistance in mounting these guidelines.

Brian Hillyard

Chair, UK Bibliographic Standards Committee, CILIP Rare Books and Special Collections Group

August 2007

### Foreword to 1997 edition

These Guidelines continue an initiative which first came seriously onto the agenda of the Rare Books Group in 1989, when the Rare Books and Manuscripts Section of the Association of College and Research Libraries crossed the Atlantic to hold their annual conference at Newnham College, Cambridge. The Rare Books Group was there too, as the occasion offered useful opportunities for joint meetings, one of which was devoted to cataloguing standards and the difficulties faced by British rare book librarians in adapting the UKMARC format to their professional needs. It became evident that some kind of survey was needed, to find out what was being done before recommending what should be done, and the award of a small grant by the British Library Research and Development Department made it possible to carry out just such an exercise, whose results appeared as R&D Research Paper 94, *Rare Book Cataloguing in the British Isles*, in 1991.

The report revealed wide divergence of practice across British libraries, in almost every area of cataloguing activity — the codes used, the local fields devised for special features, the capability of systems to hold and retrieve information. The limited ability of the UKMARC format to cater for the additional data needed in rare book records was forcing librarians to use individual solutions for common problems, with the inevitable lack of

compatibility and reinvention of wheels which follows from such a scenario. The next stage, therefore, was the augmentation of the format to make common standards possible, and this was achieved in 1992 when new fields were added to the format, based mostly on equivalent rare book fields in USMARC.

The adoption of these fields is inevitably a gradual process which is currently ongoing. Although the fields now exist, there is little or no documentation available to help with their application and so these Guidelines have been produced to offer some signposts and suggestions about desirable standard practice. Their compilation was discussed at an open meeting held by the Rare Books Group in November 1995. A draft text was prepared and, after consideration by the Group Committee, this was circulated as a consultative document around 25 selected libraries known to be active in rare book cataloguing. The version of the text presented here takes account of the comments received, and is therefore the product of a collaborative exercise: it is intended to be, as far as possible, by as well as for the rare books community. In some areas of rare book cataloguing there are not, as yet, even among USMARC users with their greater experience, any widely accepted practices. It is essential that these Guidelines retain the status of guidance and are open to revision and augmentation as practice develops.

It remains only to thank, communally rather than individually, the librarians who kindly read and commented on the draft. Suggestions for further revision should be addressed to the Secretary of the Rare Books Group, c/o The Library Association, 7 Ridgmount Street, London WC1E 7AE.

Brian Hillyard  
David Pearson  
January 1997

### **Foreword to 1999 revision**

It has been decided to reprint these Guidelines to meet a continuing demand for them, and the opportunity has been taken to make some revisions: correcting minor errors, updating several references, and, in particular, reflecting some changes in the UKMARC format. Substantially, however, the advice being offered remains unchanged.

The Rare Books Group continues to welcome comments, and is also anxious to see discussion about the use of these Guidelines take place on the Mailbase discussion list 'lis-rarebooks'.

Brian Hillyard  
January 1999

### **Introduction**

These Guidelines are designed to assist libraries in drawing up local policies for the cataloguing of rare books. They have been constructed to reflect the concept of levels embodied in AACR2<sup>1</sup> (1.0D), although AACR2's first level is to be considered inadequate for the basic accurate identification of rare, especially early, books. They are presented as guidelines rather than rules because different libraries have different aspirations, different availability of local expertise and reference material, and cannot all devote the same amounts of time to the kind of research which rare book cataloguing may involve. In the first instance, therefore, the aim has been to define a minimum level of detail which will meet the core needs of many researchers. A higher level has also been defined, incorporating recommended elements of information which are most likely to be of interest to catalogue users.

In recent years increasingly detailed records for rare books have become available online and individual libraries now need to create fewer records from scratch. This seems to have led to an increase in the general level of description of rare and early books records in online catalogues, and more copy-specific information is now included, particularly as regards provenance and acquisition.

Originally, these guidelines were based on the application of UKMARC, which had been augmented with the addition of a number of fields — for both general and copy-specific data — specifically designed to meet the needs of rare book cataloguers.<sup>2</sup> These changes resulted from a survey carried out for the Rare Books Group which found that the existing UKMARC format made inadequate provision for the special characteristics which rare book cataloguers needed to record, and had given rise to a wide diversity of practice using local fields.<sup>3</sup> New fields were introduced to create opportunities for standardization, both of the elements which were recorded and the fields used to record them. These fields were increasingly taken up for use by libraries, but were not covered by any code or guidance outside the *UKMARC Manual*. Neither AACR2 nor any of the specialized rare book codes at the time dealt with these elements of information in any useful degree of detail, and therefore in the present guidelines they were treated in greater detail, with examples, in section C; other points covered in sections A and B were not so expanded because they are discussed and illustrated outside these guidelines.

Since then a great deal of progress has been made towards the standardization of rare books description and a large number of libraries in the UK now use the MARC 21 format and the Library of Congress/NACO Authority File (LC/NAF),<sup>4</sup> including Library of Congress Subject Headings,<sup>5</sup> as standard bibliographic tools. The latest edition of DCRM(B) presumes the use of MARC 21<sup>6</sup> for machine readable records and has expanded its level of information and guidance in many sections. In deference to the large number of UK libraries now using these standards the present guidelines have been revised with their use in mind, although libraries using other standards, for example ISBD, Dublin Core or even manual catalogues, will be able to adapt much of the information for their own use.

Another important change over the last ten years is the availability of online resources. Fee-paying subscription tools, such as *Catalogers Desktop*<sup>7</sup> or Gale's *Eighteenth Century Collections Online*, have revolutionized cataloguing processes, allowing easy access to a wide array of descriptive and comparative resources. Freely available information for the rare books cataloguer also abounds,<sup>8</sup> with resources such as the *English Short Title Catalogue*, the 19th Century American Children's Booktrade Directory and the British Library's Database of Bookbindings available to all via the internet. If a cataloguer is still unable to decide the best way to proceed, then there are a number of specialist discussion groups and mailing lists where questions can be posted. The abundance of information extends to the availability of many libraries' own policy documents for the cataloguing of rare books, which will no doubt prove invaluable for those drawing up their own policies.

It is beyond the scope of this document to offer any definitions of a rare book. Different libraries have different approaches and priorities and must decide their own policies. Most librarians recognize that certain categories of books deserve special treatment for storage and consultation arrangements, as well as cataloguing, separate from that applied to general stock in everyday use. The most common dividing line is based on date of production, with all books made before a certain date automatically defined as rare books, but other criteria apply, such as rarity, value, local interest, and provenance. The enhanced cataloguing treatment given to such material recognizes that researchers are likely to wish to investigate it from many angles, and to study such books as physical artifacts as well as texts.

## **A: Description**

### **A.1: Introduction**

**A.1.1:** It is strongly recommended that descriptive cataloguing should be closely in accordance with one of the major published descriptive codes, whether ISBD,<sup>9</sup> which consists of IFLA guidelines intended to form the basis for various national standards, or AACR2, (currently undergoing revision), or one of the AACR derivatives, such as DCRM(B), or a metadata standard. Each library should document its standard by indicating its relationship to a published standard, and, where that published standard offers options, by

stating the options followed. The function of the present guidelines is to recommend levels of cataloguing rather than to endorse a specified code.

**A.1.2:** It is important that the distinction between general and copy-specific/local data should be kept in mind: general data is edition-specific i.e. it applies to all copies of a particular edition of a book; and copy-specific data applies only to the copy in hand. However, some copy-specific data (for example, a manuscript note about date of acquisition) may affect general data (for example, date of publication to be supplied for an undated item) and so should be handled with this in mind.

**A.1.3:** Levels of general and copy-specific data may be set independently, provided that the importance of copy-specific data is recognized (see A.3.2).<sup>10</sup>

## **A.2: General data fields**

Transcription of the title page is the basis for all levels of description, and the recommended minimum level is:

**A.2.1:** Transcription — with omissions indicated — of title, edition statement, and preferably imprint area, though by tradition the imprint area is the one which traditionally has been most often formalized, by recording the date in arabic (eschewed in DCRM(B) and the 2007 ISBD) and by not indicating the omission of addresses.

**A.2.2:** Extent of edition in terms of printed pages/leaves or, in the case of multi-volume works, number of volumes, with the addition of format or, where format is impracticable, height.<sup>11</sup>

**A.2.3:** Any notes required to clarify the above elements of description.

It is recommended that records created to higher levels will include some or all of the following:

**A.2.4:** Retention of original punctuation in areas employing transcription. This will be especially appropriate for national libraries and other institutions which have special responsibility for creating definitive records. Be aware that in some areas of the record this may lead to double punctuation as transcribed and prescribed punctuation duplicate each other.

**A.2.5:** More detailed pagination statement — accounting for all leaves in the edition — and pagination of multi-volume works.

**A.2.6:** Additional notes on any features of importance, including, for example, signature collation and other aspects of physical make-up (for example, misnumbering of leaves or pages), authorship, bibliographical history, illustrations, typography, and paper (including watermarks).

**A.2.7:** Bibliographical references, both for referring to more detailed descriptions and also to relate the edition to standard bibliographies. To facilitate access by bibliographical reference, we recommend that references follow *Standard Citation Forms for Published Bibliographies and Catalogs Used in Rare Book Cataloging*, 2nd edition (Washington, D.C.: Library of Congress, 1996).<sup>12</sup>

**A.2.8:** Bibliographical fingerprints,<sup>13</sup> input as instructed by a published standard in MARC 21 field 026 fingerprint identifier. Cf. B.2.9.

## **A.3: Local (i.e. copy-specific or item) data fields.**

**A.3.1:** Notes on imperfections (including cropping where any printed matter is lost) are obligatory and should specify leaves affected, unless there is very widespread loss of text, in which case exceptionally phrases such as 'very imperfect' or 'loss of text throughout' may be found useful. These notes must be carefully related to the general description: for example, if final blank leaves are recorded, their absence in any copies must also be noted. Where there is accompanying material (for example, publishers' catalogues bound in — provided they are copy-specific and also are not being catalogued as separate publications — or inserted newspaper cuttings), it will need to be recorded in a local note. Libraries may also find it helpful to draw attention to other factors affecting consultation and/or reprography, for example misbinding, general fragility, or tight binding.

**A.3.2:** Out of recognition of the growth of interest in the history of the book and also for reasons of security (a record of copy-specific features will help identify stolen property) and preservation (researchers will have less need to sift through copies looking for provenances), it is strongly recommended that libraries include in their catalogue records at least basic notes on provenance (name and approximate date) and binding (approximate date), where these would be appropriate. For further details see section C.

**A.3.3:** Where circumstances permit and for important copies, it is recommended that more detailed notes on provenance (including transcription) and binding (description of style) should be made. For further details see section C. Where the notes would be too complex for a catalogue record, the record may contain references to other files (cf. C.2.6, C.3.6).

**A.3.4:** In the case of large collections or composite volumes which have many examples of the same or similar copy-specific details, collection-level records may be worth considering: but records for individual items should still contain notes on copy-specific details so that these details are available to users accessing individual records via other access points. See further C.2.4.

**A.3.5:** Fields used for local data should, unless there are fields specified in the system used for cataloguing for local data,<sup>14</sup> be input with, at the end, a location symbol for the holding library.<sup>15</sup> Where there are several copies corresponding to the bibliographic record, copy-specific notes for each should be kept separate and some method should be devised of linking notes to copies: for example, recording the shelfmark after the location symbol<sup>16</sup> (cf. B.3.1), or beginning notes with 'Copy 1', etc. where 'Copy 1', etc. is also placed after the shelfmark. If two copies have an identical shelfmark, or if shelfmarks are unwieldy, a barcode may be required to differentiate between copies.

**A.3.6:** Because of the low level and often non-prescribed nature of much of guidance for such copy-specific information offered by published codes for descriptive cataloguing, provenance and binding are further discussed below in section C.

## **B: Access**

### **B.1: Introduction**

In general, access to all parts of the bibliographic record is now increasing as systems become more powerful and more sophisticated and as users' requirements are communicated to system suppliers. In considering access points to be provided, libraries should not necessarily be limited by the retrieval options available in their system at the time.

**B.1.1:** There are no specialized rare book codes for access points, and it is recommended that libraries devise policies based on AACR2, paying careful attention to any special needs arising from the characteristics of older books.<sup>17</sup>

### **B.2: General data fields**

**B.2.1:** It is recommended that all names of persons/corporate bodies used in access points for general data are taken from the Library of Congress/NACO Name Authority File or, if not already included, are established in accordance with AACR2. Particular care should be taken to provide cross-references (through a linked authority file where available) to other forms of names for authors whose names are commonly found in both Latinized and vernacular forms.

**B.2.2:** At the minimum level, access points should be provided for all authors and those with major responsibility for the intellectual content of the edition, for example, editors, translators, and, for illustrated books, illustrators. At higher levels, access points should be considered for all those having any responsibility for any part of the content of the book. Relator terms or codes should be used if appropriate, especially in large databases; relator terms are more common, but the MARC 21 format provides subfields for both terms (e.g. 'printer') and codes (e.g. 'prt').<sup>18</sup> Where the reason for any of these access points is not clear from the title-page transcription, notes should be made.

**B.2.3:** At the minimum level, titles should be indexed as found. At higher levels, authorized uniform titles should be provided, and also additional title access under different spelling (important for titles using old spelling) or different titles (half titles, running titles, etc.)

**B.2.4:** The limitations of searching for subjects by title keywords should be borne in mind (especially by libraries with non-English-language material), and consideration given to applying subject headings.<sup>19</sup>

**B.2.5:** In the light of existing secondary card files and/or known users' demands, libraries should consider use of access by genre/physical characteristics, using the terms from approved thesauri in fields 655.<sup>20</sup> If necessary, such access points can be applied very selectively, for example, only for catalogue records for which effectively they provide the primary access points (for example, a genre heading for bookplates for an album of bookplates). When these access points relate to copy-specific details (provenance, binding; see further below, section C), library location symbols should be added in accordance with the MARC Code List for Organizations, available via the web: <http://www.loc.gov/marc/organizations/>

**B.2.6:** Access by bibliographical references. Whether this is provided via a separate index or through keyword searching, retrieval will be facilitated by the use of standard citation forms. Cf. A.2.7.

**B.2.7:** Access by town of printing by normalized name using the MARC 21 field 752 for hierarchical place names. We recommend that names be entered in accordance with one of the controlled vocabularies for geographic place name, for example Library of Congress<sup>21</sup> or the Getty Thesaurus of Geographic Names Online (TGN), but that where towns have been renamed or names have changed beyond recognition, either cross-references are provided or the earlier names/forms are indexed in addition to the later ones.<sup>22</sup>

**B.2.8:** Access by publisher, printer or bookseller (700/710, with subfield for relator term or code).<sup>23</sup> Authority files should be consulted and otherwise AACR2 followed in constructing headings (cf. B.2.1).<sup>24</sup>

**B.2.9** Bibliographical fingerprints (field 026). Fingerprints can act as a kind of ISBN for older books and are therefore useful for retrieving records. As fingerprints are constructed from several parts of the book and not simply from the title page, they are even useful for finding records for books lacking their title pages. Cf. A.2.8.

### **B.3: Local (i.e. copy-specific or item) data fields**

**B.3.1:** Names recorded in notes on provenance and binding should be indexed in accordance with the Library of Congress/NACO Name Authority File or, if not included there, established in accordance with AACR2, with relator terms or codes and the appropriate MARC library location symbols, with the addition of shelfmarks or

other brief identifying features where there are several copies corresponding to the bibliographical record (cf. A.3.5).

**B.3.2:** The use of standard terminology in these notes fields will facilitate keyword searching.

**B.3.3:** Provenance and binding are further discussed in section C.

## **C: Provenance and binding information: recording and indexing**

### **C.1: Introduction**

This section provides guidance on describing, and giving access to, information on provenance and binding.

Although these guidelines refer to a minimum level and a higher level for both provenance and binding, the same levels need not be applied to both, and the levels applied to these need not correspond to those applied to general data. With the increased provision of high-level records from external sources, it is to be expected that some libraries cannot match this level for copy-specific information, and where libraries need to create their own records for books with important provenance information, they may wish to record local data to a higher level than the general data. But basic provenance and binding information should be provided if possible (cf. A.3.2).

### **C.2: Provenance**

Provenance is concerned with the individuals or institutions who may have owned or handled a book up to and including the present time.<sup>25</sup> Provenance can be detected through various kinds of evidence, such as inscriptions, bookplates, personalized binding stamps, distinctive markings, and shelfmarks. Although the primary concerns of researchers are likely to be centered on the interpretation of the evidence — identifying owners and using the information in the wider concerns of collecting history and transmission of texts — they may also be interested in the form taken by that evidence.

**C.2.1:** The following MARC 21 fields are applicable:<sup>26</sup>

**C.2.1.1:** 561 for ownership and custodial history, used for free-text notes describing provenance evidence. If binding evidence is being cited only for its provenance information (for example, an armorial binding), 561 — and not 563 — should be used. At all levels, it is important that standardized terminology is used in order to facilitate keyword searching. Libraries may wish to devise their own terminology, but the various published thesauri (cf. B.2.5) offer an obvious base. The order in which information is recorded should reflect, as far as possible, the chronological sequence of ownership, unless there are benefits in presenting the information in a different order. Information on the immediate source of acquisition may be kept separate, in 541.

**C.2.1.2:** 700/710 for added entry points for individual/institutional owners, including subfields for relator term or code (for example, 'former owner' or (not recommended) 'fmo') and library location symbol (cf. B.3.1). Headings should be established as for general data (cf. B.2.1).

**C.2.1.3:** 655 for headings to allow access to provenance evidence by classified categories, including subfield for library location symbol where appropriate (cf. B.2.5).

**C.2.2:** At the recommended minimum level, ownership evidence is briefly summarized. Each distinguishable former owner is referred to, but there is no requirement to transcribe inscriptions or describe evidence in detail. Approximate dates are given for each separate piece of evidence.

**C.2.3:** At the higher level, ownership evidence is described according to the following conventions:

- inscriptions are transcribed (rather than summarised) wherever feasible.
- bookplates are described according to standardized terminology; the wording is accurately and fully transcribed; anonymous heraldic bookplates are described according to their heraldic blazon; references are given to standard bibliographies (particularly Franks).<sup>27</sup>
- each distinguishable piece of evidence is mentioned, with location in book and approximate date.
- Former shelfmarks are recorded, when apparent. Reference is made to published sources which describe the collection(s) of the owner(s) of the book. This is particularly important if the book being catalogued is cited in such a source.

**C.2.4:** At both levels, added entries with relator terms or codes should be made for each distinguishable former owner. In the case of collections or composite volumes sharing a provenance, the advantages of indexing that provenance via a single added entry for a collection-level record should be kept in mind, although provenance evidence should continue to be described at item level (cf. A.3.4).<sup>28</sup>

**C.2.5:** Both levels may be enhanced by the additional use of genre headings to index provenance evidence by category. Depending on local needs and/or factors, libraries may decide to use genre headings alongside a minimum level of notes and added entries or not to use genre headings although using notes and added entries to the highest level.

**C.2.6:** Where notes are too extensive to be included as part of a catalogue record or where images are available, references could be made to other files, manual or electronic (reference to electronic files is allowed for in MARC 21 field 856)

### Examples of provenance description:<sup>29</sup>

#### Example One: inscriptions (Plate 1)



*De veritate religionis Christianae liber; adversus atheos, Epicureos, ethnicos, Iudaeos, Mahumedistas, & caeteros infideles*, 8<sup>o</sup> Leiden, 1587.

Shelfmark: [National Library of Scotland] AB.1.85.46(1)

Image courtesy of the National Library of Scotland.

#### Plate 1 Minimum level

561 \$a Inscriptions of Thomas Nicolson, 16th/17th-century, and Alexander Kidd, 1777. \$5 StEdNL

700 \$a Nicolson, Thomas \$d ca. 1570–1625, \$e former owner. \$5 StEdNL

700 \$a Kidd, Alexander \$d fl. 1777, \$e former owner. \$5 StEdNL

#### Higher level

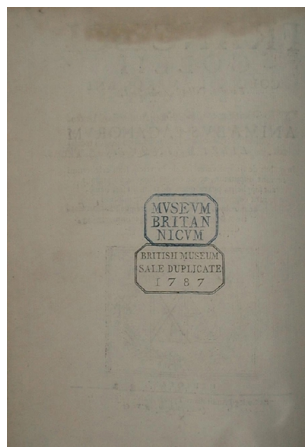
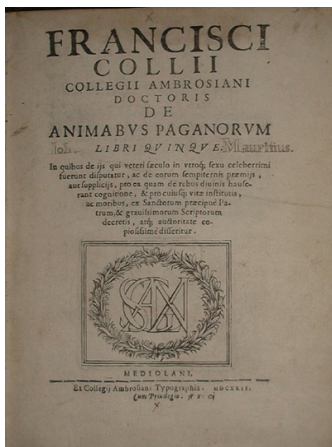


561 \$a Inscription, 16th/17th-century, on title page: Pacem Jehovah negat Impiis T. Nicolson; Ink stamp on title page: M.T.N. Pacem Iehova Negat Impiis; Inscription on title page: Magri Petrus And[?];  
 Inscription on title page: Alexr Kidd Wr[?] Edinbr 1777. \$5 StEdNL  
 700 \$a Nicolson, Thomas, \$d ca. 1570–1625, \$e former owner. \$5 StEdNL  
 700 \$a Kidd, Alexander, \$d fl. 1777, \$e former owner. \$5 StEdNL

**Enhancements**

655 \$a Inscriptions (Provenance) \$z Scotland \$y 16th century. \$2 rbprov \$5 StEdNL  
 655 \$a Inscriptions (Provenance) \$z Scotland \$y 17th century. \$2 rbprov \$5 StEdNL  
 655 \$a Inscriptions (Provenance) \$z Scotland \$y 18th century. \$2 rbprov \$5 StEdNL  
 655 \$a Ink stamps (Provenance) \$z Scotland \$y 16th century. \$2 rbprov \$5 StEdNL  
 655 \$a Ink stamps (Provenance) \$z Scotland \$y 17th century. \$2 rbprov \$5 StEdNL

**Example Two: inscriptions and stamps (Plates 2 & 3)**



*Francisci Collii Collegii Ambrosiani Doctoris De animabus paganorum libri quinque, 4<sup>o</sup>, Milan, 1622.*  
 Shelfmark: [National Library of Scotland] U.7.4  
 Images courtesy of the National Library of Scotland.

**Minimum level**

561 \$a Inscription of John Morris, 17th-century; stamped as a British Museum Sale Duplicate 1787.  
 \$5 StEdNL  
 700 \$a Morris, John, \$d 1580–1658, \$e former owner. \$5 StEdNL  
 710 \$a British Museum. \$b Dept. of Printed Books, \$e former owner. \$5 StEdNL

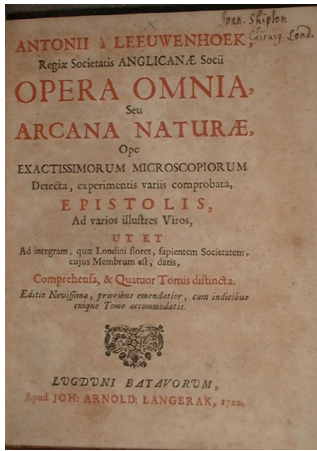
**Higher level**

561 \$a 17th-century inscription on title page: loh. Mauritius (Birrell, T.A. Library of John Morris, no. 410);  
 Ink stamp, in blue, ca. 1760 on verso of title page: Mvsevm Britannicvm; Ink stamp, in red, on verso of  
 the title page: British Museum Sale Duplicate 1787. \$5 StEdNL  
 700 \$a Morris, John, \$d 1580–1658, \$e former owner. \$5 StEdNL  
 710 \$a British Museum. \$b Dept. of Printed Books, \$e former owner. \$5 StEdNL

**Enhancements**

655 \$a Inscriptions (Provenance) \$z England \$y 17th century. \$2 rbprov \$5 StEdNL  
 655 \$a Ink stamps (Provenance) \$z England \$y 18th century. \$2 rbprov \$5 StEdNL  
 655 \$a Duplicate stamps (Provenance) \$z England \$y 18th century. \$2 rbbin \$5 StEdNL

**Example Three: inscriptions and bookplates (Plates 4 & 5)**



Antonii à Leeuwenhoek, Regiae Societatis Anglicanae Socii Opera omnia, seu Arcana naturae, 4º, Leiden, 1722.

Shelfmark: [National Library of Scotland] M.13.b.12

Images courtesy of the National Library of Scotland.

### Minimum level

561 \$a Inscription of John Shipton, surgeon in London, early 18th-century; bookplate of Francis Dickins, 1795. \$5 StEdNL

700 \$a Dickins, Francis, \$d d. 1833, \$e former owner. \$5 StEdNL

700 \$a Shipton, John, \$d 1680–1748, \$e former owner. \$5 StEdNL

### Higher level

561 \$a Inscription on title page, early 18th-century: Joan Shipton Chirurg. Lond; Armorial bookplate (Franks 8625) on front pastedown: Fr. Dickins Armig. 1795. \$5 StEdNL

700 \$a Dickins, Francis, \$d d. 1833, \$e former owner. \$5 StEdNL

700 \$a Shipton, John, \$d 1680–1748, \$e former owner. \$5 StEdNL

### Enhancements

655 \$a Inscriptions (Provenance) \$z England \$y 18th century. \$2 rbprov \$5 StEdNL

655 \$a Armorial bookplates (Provenance) \$z England \$y 18th century. \$2 rbprov \$5 StEdNL

### C.3: Binding

Binding is concerned with the covers in which the text-block of the book has been circulated and used. Until the early 19th century, books were individually bound subsequent to printing/writing, commonly by folding and sewing the leaves within boards covered with decorated leather, although many other less permanent structures have been used.

**C.3.1:** The following MARC 21 fields are applicable:

**C.3.1.1:** 563 for free-text notes describing binding evidence (cf. C.2.1.1). At all levels, it is important that standardized terminology is used in order to facilitate keyword searching. Libraries may wish to devise their own terminology, but the various published thesauri (cf. B.2.5) offer an obvious base.

**C.3.1.2:** 700/710 for added entry points for name of binder or firm, including subfields for relator term (for example, 'binder') and MARC library location symbol (cf. B.3.1). Headings should be established as for general data (cf. B.2.1). It should, however, be recognized that the vast majority of historical bindings are not thus attributable.

**C.3.1.3:** 655 for headings to allow access to binding evidence by classified categories, including subfield for library location symbol where appropriate (cf. B.2.5).

**C.3.2:** At the recommended minimum level, the nature of the binding is briefly described. The description should include the following elements:

- colour and nature of the covering material.

- summary description of decoration (for example, 'blind-tooled', 'gold-tooled').
- approximate date.

**C.3.3:** At the higher level, the nature of the binding is more fully described. The description should include the following elements:

- colour and nature of the covering material.
- nature of boards (for example, wood, pasteboard).
- description of decoration.
- approximate date.
- country of production (or place, if known).
- binder, if determinable.
- reference is made to published sources which refer to or reproduce either the binding being described, bindings to which it is clearly closely related (for example, by sharing the same tools), or particular tools used on the binding.

Optional enhancements at this level may include:

- nature and decoration of spine.
- presence of ties, clasps, or other furniture.
- description of headbands.
- decoration of leaf edges.
- decoration of edges of boards.
- description of endleaves.

This is not meant to be an exhaustive list.

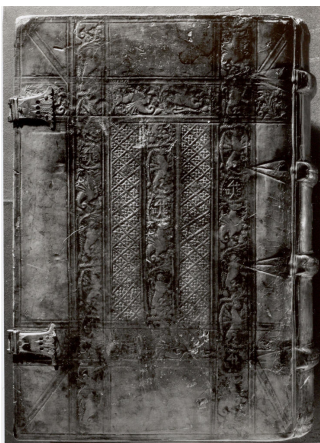
**C.3.4:** At both levels, added entries should be made for any binder or binding firm identified.

**C.3.5:** Both levels may be enhanced by the additional use of genre or physical characteristics headings to index binding evidence by category. Depending on local needs and/or factors, libraries may decide to use genre headings alongside a minimum level of notes and added entries or not to use genre or physical characteristics headings although using notes and added entries to the highest level.

**C.3.6:** Where notes are too extensive to be included as part of a catalogue record or where images are available, references could be made to other files, manual or electronic (for the latter case links to images of a particular binding can be established using MARC 21 field 563 \$u Uniform Resource identifier, depending on the capabilities of the cataloguing system used).

### Examples of bindings description

#### *Example Four: early sixteenth century binding (Plate 6)*



*Ex recognitione Des. Erasmi C. Suetonius Tranquillus, 2<sup>o</sup>, Basle, 1518.*  
 Shelfmark: [University of Durham] SR 8.C.28.  
 Image courtesy of Durham University Library.

**Minimum level**

563 \$a Early 16th-century blind-tooled binding, brown calf. \$5 UkdHU

**Higher level**

563 \$a Early 16th-century Cambridge roll tooled binding, blind tooled (rolls: Oldham AN.f(2), DI.a(2)); brown calf over wooden boards, rebacked. \$5 UkdHU

**Higher level, enhanced description**

563 \$a Early 16th-century Cambridge roll tooled binding, blind tooled (rolls: Oldham AN.f(2), DI.a(2), from the workshop of Nicholas Spierinck); brown calf over wooden boards; spine with four raised bands, rebacked; remains of clasps; edges of leaves undecorated; endpapers of plain white paper, and fragments from a manuscript of Aquinas, ca.1400. \$5 UkdHU

**Other enhancements**

655 \$a Clasps (Binding) \$z England \$z Cambridge \$y 16th century. \$2 rbbin \$5 UkdHU

655 \$a Wooden boards (Binding) \$z England \$z Cambridge \$y 16th century. \$2 rbbin \$5 UkdHU

655 \$a Manuscript waste (Binding) \$z England \$z Cambridge \$y 16th century. \$2 rbbin \$5 UkdHU

**Example Five: Late-16th-century binding (Plate 7)**



*R. Bellarmine, Disputationum ... de controversiis Christianae fidei ... tomus secundus, 8°, Ingolstadt, 1589.*

Private collection.

**Minimum level**

563 \$a Late-16th-century blind-tooled binding, dark brown calf. \$5 Private collection

**Higher level**

563 \$a Late-16th-century Oxford centrepiece binding, blind-tooled (centrepiece: Ker i); dark brown calf over pasteboard. \$5 Private collection

**Higher level, enhanced description**

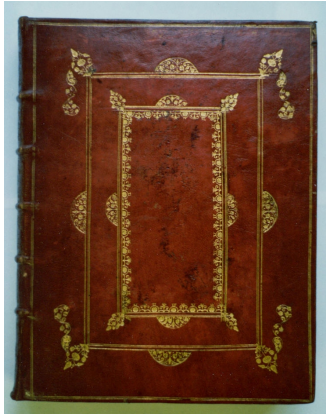
563 \$a Late-16th-century Oxford centrepiece binding, blind-tooled (centrepiece: Ker i); dark brown calf over pasteboard; blind-tooled spine with four raised bands; remains of cloth ties; stained edges (yellow); blind fillet on edges of boards; endpapers of plain white paper and fragments from 16th-century printed text. \$5 Private collection

**Other enhancements**

655 \$a Centrepiece bindings (Binding ) \$z England \$z Oxford \$y 16th century. \$2 local \$5 Private collection

655 \$a Printed waste (Binding) \$z England \$y 16th century. \$2 rbbin \$5 Private collection

**Example Six: Late-17<sup>th</sup>- century binding (Plate 8)**



*Tomus secundus omnium operum Reuerendi Domini Martini Lutheri, Doctoris Theologiae*, 2<sup>o</sup>, Wittenberg, 1562.

Shelfmark: [University of Durham] Bamburgh B.4.2

Image courtesy of Durham University Library.

**Minimum level**

563 \$a Late-17th-century gold-tooled binding, red goatskin. \$5 UkdH U

**Higher level**

563 \$a Late-17th-century English gold-tooled binding; red goatskin over pasteboard. \$5 UkdH U

**Higher level, enhanced description**

563 \$a Late-17th-century English gold-tooled binding; red goatskin over pasteboard; gold-tooled spine with five raised bands; gilt edges; gold roll on edges of boards; plain paper endpapers. \$5 UkdH U

**Other enhancements**

655 \$a Goatskin bindings (Binding) \$z England \$y 17th century. \$2 rbbin \$5 UkdH U

655 \$a Gilt edges (Binding) \$z England \$y 17th century. \$2 rbbin \$5 UkdH U

## Endnotes:

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<sup>1</sup> American Library Association, *Anglo-American Cataloging Rules*, 2nd edn (Chicago, American Library Association, 2002). Continually updated resource available via the web: Catalogers Desktop (see below, note 9).

<sup>2</sup> Ann Lennon and David Pearson, *Rare Book Cataloguing in the British Isles: Results of a Survey Carried out on Behalf of the Rare Books Group of the Library Association*. British Library Research Paper, 94 (London: British Library Research and Development Department, 1991).

<sup>3</sup> For example, see Lydia Ferguson, 'The Implementation of the UKMARC Rare Books Fields at Trinity College Library, Dublin', *Rare Books Newsletter*, 47 (July 1994), 29–32.

<sup>4</sup> Information about the Name Authority Cooperative Program of the PCC is available online via <http://www.loc.gov/catdir/pcc/naco/naco.html> .

<sup>5</sup> Library of Congress, *Library of Congress Subject Headings*, 30th edn (print) (Washington, D.C.: Library of Congress, Cataloging Distribution Service, 2007). Continually updated resource available via Classification Web (subscription required) at: <http://classificationweb.net/> The Library of Congress also offers a free web service with limited access to LC Authorities, including subject authorities via: <http://authorities.loc.gov/> .

<sup>6</sup> For libraries using UNIMARC see *UNIMARC Guidelines No. 3: Guidelines for Using UNIMARC for Older Monographic Publications (ANTIQUARIAN)* (International Federation of Library Associations and Institutions, last revised 17 August 1999). <http://www.ifla.org/VI/3/p1996-1/guid3.htm> .

<sup>7</sup> Library of Congress, *Cataloger's Desktop*. Washington, D.C.: Library of Congress, Cataloging Distribution Service, 2004. <http://desktop.loc.gov> .

<sup>8</sup> It is impossible to list all the useful sites available via the web but a first port of call is the list of links at the CILIP Rare Books and Special Collections Group website: <http://www.cilip.org.uk/specialinterestgroups/bysubject/rarebooks/links> or the RBMS's Directory of web resources for the rare books cataloguer at <http://lib.nmsu.edu/rarecat/#SCS> .

<sup>9</sup> *International standard bibliographic description (ISBD)*, preliminary consolidated ed. (Munich: Saur, 2007); also available online at: [http://www.ifla.org/VI/s13/pubs/ISBD\\_consolidated\\_2007.pdf](http://www.ifla.org/VI/s13/pubs/ISBD_consolidated_2007.pdf).

<sup>10</sup> For further guidance on copy-specific information see *DCRM(B)* 7B19.1.

<sup>11</sup> The routine recording of height for books created during the hand-press era, which may vary from copy to copy, is not normally important general information and indeed is difficult to justify in a union-catalogue context. *DCRM(B)* Section 5D call for the inclusion of both height and format (if applicable) for all books catalogued to their respective standards.

<sup>12</sup> This publication also provides guidelines for constructing citation forms not included therein.

<sup>13</sup> Following *Fingerprints = Empreintes = Impronte* (Paris: Institut de Recherche et d'Histoire des Textes, in association with the National Library of Scotland, 1984). Updates in *Nouvelles des empreintes = Fingerprint Newsletter*. Fingerprints have been created for all titles listed in the Short Title Catalogue of the Netherlands (<http://www.kb.nl/stcn/index-en.html>), for a general overview of STCN fingerprints see: <http://www.kb.nl/stcn/vingerafdruk-en.html> .

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<sup>14</sup> Systems will often have their own fields/methods for holding shelfmarks and also perhaps notes of imperfections, though here 500 may be utilized with the addition of subfield \$5 for a library location symbol.

<sup>15</sup> A list of British organization codes within the bibliographic community is maintained by the British Library, which will accept requests for codes from any potential British record user or producer. It is available as a continually updated source via the web: <http://www.bl.uk/services/bibliographic/marcagency.html>.

<sup>16</sup> This is the method prescribed in DCRM(B) section 7B19.1.4.

<sup>17</sup> See DCRM(B), Appendix F: Title access points, with a list of suggestions for additional title added entries, both for titles other than the title proper and also for the title proper if, for example, it has been corrected by the addition of '[i.e. ...]' or '[sic]'.

<sup>18</sup> See J. B. Thomas, 'Relator terms for rare book, manuscript, and special collections', *C&RL News* 48 (1987), 553-557, with correction noted, p. 645. For a complete list of valid MARC 21 relator terms and codes see *MARC code lists for relators, sources, description conventions* (Washington, D.C.: Library of Congress, Cataloging Distribution Service, 2000). Continually updated resource available via web: <http://www.loc.gov/marc/relators/>.

<sup>19</sup> For example, Library of Congress Subject Headings, Medical Subject Headings (MeSH), etc.

<sup>20</sup> Some of these are listed at RBMS Controlled Vocabularies for Use in Rare Book and Special Collections Cataloging available via the web: [http://www.rbms.info/committees/bibliographic\\_standards/controlled\\_vocabularies/index.shtml](http://www.rbms.info/committees/bibliographic_standards/controlled_vocabularies/index.shtml)

They are as follows:

rbbin = *Binding Terms: a Thesaurus for Use in Rare Book and Special Collections Cataloging* (Chicago: Association of College and Research Libraries, 1988)

rbgenr = *Genre Terms: a Thesaurus for Use in Rare Book and Special Collections Cataloging*, 2nd edn (Chicago: Association of College and Research Libraries, 1991)

rbpap = *Paper Terms: a Thesaurus for Use in Rare Book and Special Collections Cataloging* (Chicago: Association of College and Research Libraries, 1990)

rbpri / rbpub = *Printing and Publishing Evidence: Thesauri for Use in Rare Book and Special Collections Cataloging* (Chicago: Association of College and Research Libraries, 1986)

rbprov = *Provenance Evidence: a Thesaurus for Use in Rare Book and Special Collections Cataloging* (Chicago: Association of College and Research Libraries, 1988)

rbtyp = *Type Evidence: a Thesaurus for Use in Rare Book and Special Collections Cataloging* (Chicago: Association of College and Research Libraries, 1990)

Anybody wanting to suggest additions to the above may can do so via the RBMS website at:

[http://www.rbms.info/committees/bibliographic\\_standards/controlled\\_vocabularies/index.shtml](http://www.rbms.info/committees/bibliographic_standards/controlled_vocabularies/index.shtml).

Other controlled vocabularies widely used in rare books cataloguing:

mgpc = Library of Congress, *Thesaurus for graphic materials. II, Genre & physical characteristic terms (TGM II)*. ([Washington, D.C.]: Library of Congress, 1995). <http://www.loc.gov/rr/print/tgm2/>

aat = J. Paul Getty Trust. *Art & Architecture Thesaurus on line*. [Los Angeles, Calif.]: J. Paul Getty Trust, 2000. <http://www.getty.edu/research/tools/vocabulary/aat/>

For a more extensive list see the MARC 21 manual (MARC Code List: PART IV: Term, Name, Title Sources)

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<sup>21</sup> Library of Congress hierarchical place names are based in large part upon, L. E. Seltzer, *The Columbia Lippincott Gazetteer of the World* (New York: Columbia Univ. Press, 1952, and later editions, including as a continually updated resource via the web: <http://www.columbiagazetteer.org>).

<sup>22</sup> So, for example, 'Londinium' and 'Londres' would be indexed as London, but 'Eboracum' as York and Eboracum.

<sup>23</sup> When according to the imprint persons are performing more than one of these roles for a single publication, the optimum course of action is to index each role separately. In practice it is likely that libraries will make local decisions influenced by local requirements. In any case, when persons are found, not necessarily in the same publication, performing more than one role, cross-references should be provided between the different roles.

<sup>24</sup> There is an acknowledged difficulty in recognizing when members of the booktrade are operating in partnerships and when as individuals, and, therefore, when they should be indexed together as a corporate body and when separately as individuals. Consensus on the handling of these details is emerging, but where there is still doubt, we recommend the use of headings for individuals and to provide cross references between individuals and the corporate bodies in which they are, or might possibly be, included. Also problematic is the handling of phrases such as 'Heirs of ...' or 'Widow of ...'. We recommend that headings not already established are formulated in accordance with the RBMS Guidelines for Establishing Certain Names Associated with Printers (<http://www.folger.edu/bsc/printers.html>).

<sup>25</sup> See David Pearson, *Provenance Research in Book History: a Handbook* (London, British Library, 1994; repr. 1998).

<sup>26</sup> Library of Congress, *MARC 21 Format for Bibliographic Data: Including Guidelines for Content Designation* (Washington: Library of Congress, Cataloging Distribution Service, 1999). Continually updated resource available via the web: Catalogers Desktop (see below, note 9).

<sup>27</sup> *Catalogue of British and American Bookplates Bequeathed to the Trustees of the British Museum by Sir Augustus Wollaston Franks* (London: British Museum, 1901-04).

<sup>28</sup> By way of example consider:

245 \$a [A composite volume of 8 pamphlets, 1754–1780, relating to John Home's Douglas]  
561 \$a Armorial bookplate on front pastedown: David Hume Esq. (D.F. Norton & M.J. Norton, The David Hume Library, p. 100, no.630) \$5 [McGill University Library – no code available]  
700 \$a Hume, David, \$d 1711–1776. \$e former owner \$5 [McGill University Library – no code available]

This is a collection-level record for a volume containing eight pamphlets. Assuming that each item in this volume is also individually catalogued, this record could be used to provide the access point for David Hume as former owner of these eight pamphlets: but in order to make somebody looking at any of the individual records aware of the provenance of that item, it would remain necessary for each individual record to have a note about the bookplate on the front pastedown. This method could also be used for a large collection of books sharing a former owner, in which case the advantages of not having a large number of separate added entries for the same former owner would be more obvious. Further guidance on establishing collection-level records see, for example, DCRM(B) Appendix B. See also note 33 regarding indicators and spacing.

<sup>29</sup> In these examples indicators have been ignored, and spacing between subfields has been designed to aid reading; the added spacing does not bear relation to any standard.



