E-book Cataloguing Procedures

The purpose of this manual is to provide guidance for the cataloguing of electronic books (e-books) in Resource Description and Access (RDA) and MAchine-Readable Cataloging (MARC) based on foreseen and previously documented challenges, particularly in relation to the inapplicability of traditional cataloguing practices of Anglo-American Cataloguing Rules (AACR2). Instructions for consistent cataloguing for the organization or institution that chooses to subscribe to these procedures are provided with the assumption that the cataloguer is familiar with basic descriptive cataloguing and MARC coding, following a statement of policy decisions that are based on insights into the aforementioned challenges.

Challenges

A number of overarching issues plague the cataloguing of this type of increasingly popular resource; foremost are the lack of standardization and the incompatibility with traditional cataloguing. General Material Designation (GMD) has proven significantly inconsistent, with e-books being classified in various ways such as "e-book," "electronic book," and "internet resource" among others.[1] Perhaps more troubling is the inconsistency in the provision of e-ISBNs and MARC records: often a single resource will be designated multiple e-ISBNs by different distributors, defeating the purpose of standard identification;[2] not only has the importing of suppliers' MARC records caused cataloguing and system complications, but many providers are only just beginning to provide records at all;[3] additionally, not all libraries are provided with bibliographic records from reliable sources such as Online Computer Library

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[1] Belanger, 212.
[2] Vasileiou, 287.
[3] Gravett, 206.

Center (OCLC).[4] Sapon-White notes that often more challenging than application of cataloguing rules is "locating the necessary bibliographic data."[5] There also seems to be inconsistency among libraries about whether separate records are created for e-books or whether notes or links are simply added to existing records of print copies of the same works.[6] And Sapon-White again notes that in order to effectively create separate records, changes must be made to the traditional workflow.[7]

Gravett says that e-resources are substantially different than print resources and that employing the same cataloguing rules, under which the former do not fall, results in inconsistent and inaccurate records.[8] For example, Sapon-White states that Kindle e-books lack "print book conventions, including title pages and publication information" and that the cataloguer is often forced to obtain relevant metadata from print versions of the same work.[9] Belanger further notes that the distinction between distributor and publisher is often unclear and that an inaccurate record of this can be misleading in terms of the version or edition of a work.[10] And Vasileiou adds to Sapon-White's notion of adaptive workflow in stating that the integration of e-book cataloguing policies into established procedures can be a complex and daunting task.

Beyond standardization and traditional workflow, other issues confront the potential cataloguer of e-books such as restrictive access due to strict licensing, the oft-documented complications with concurrent use of these resources, and the challenges involved in providing

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[4] Gravett, 206.
[5] Sapon-White, 51.
[6] Vasileiou, 287.
[7] Sapon-White, 51.
[8] Gravett, 206.
[9] Sapon-White, 51.
[10] Belanger, 213.

the necessary hardware that is required for the mediated use of relevant titles.[11] Because e-books

are still a relatively new phenomenon in this context, it is expected that these and other issues

will be confronted by the cataloguer for some time to come; yet in order to combat the unknown

it is to the library's great advantage to employ rigorous consistency in developing and adhering

to an established policy such as that which follows.

Policy Decisions

In reaction to and in consideration of the aforementioned challenges, the following policy

decisions will attempt to provide solutions to these issues for the accurate and consistent

cataloguing of e-books:

To avoid inconsistency in GMD, e-books will be classified as online resources.

If an e-ISBN is available within the e-book, or relevant record, use it as the primary identifier in

a 020 MARC field; if none is available, or if only an ISBN of a print copy of the work is

available, or it is unclear to which version of the work the ISBN refers, include the ISBN in the z

subfield of a 776 field of the MARC record.

If a bibliographic record for the item is unavailable, create a record from the item based on the

RDA workflow, from a print copy of the work if core elements are not provided within the e-

book itself.

To ensure the consistent application of bibliographic records, always verify imported or supplier-

provided metadata in its adhesion to the standards found in the instructions following these

policy decisions.

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[11] Vasileiou, 286-87.

Always create separate records for e-books, but link both the e-book and print versions of the work, when applicable, via the RDA Related Manifestation field.

As an exception to standard RDA rules, when applicable, include both original publisher information as well as distributor information to indicate both the original as well as the present manifestations of the work; distributor fields will be considered mandatory elements, while publisher fields will be considered optional. Date of distribution will refer to publication of the electronic version of the work.

If licensing restricts use of the resource, for example off campus of an academic library, indicate so in a MARC 500 field. Additionally, indicate limitations of concurrent use, when applicable, in a MARC 500 field.

Always test Uniform Resource Locators (URL) to ensure accessibility of resources.

If obtaining bibliographic records from another source, use a reliable source such as the Online Computer Library Center (OCLC) when possible.

Instructions for Cataloguing

The following instructions are based on the application of the aforementioned policy decisions on cataloguing an e-book in the standard RDA and MARC workflows. These instructions are specific to the anomalies of e-book cataloguing in RDA and MARC and all other workflow instructions should be followed in accordance with standard RDA and MARC procedures, such as Title (MARC field 245, RDA rule 2.3), Statement of Responsibility (MARC field 100, RDA rule 2.4), etc.

RDA rule 2.3.2 (Title Proper): follow standard RDA workflow.

MARC field 2xx (Title and Title-Related Fields): follow standard MARC workflow.

RDA rule 2.4.1 (Statement of Responsibility): follow standard RDA workflow.

MARC field 1xx (Main Entries-General Information): follow standard MARC workflow.

RDA rule 2.8.2 (Place of Publication): optionally include original place of publication of the work.

RDA rule 2.8.4 (Publisher's Name): optionally include name of original publisher of the work.

RDA rule 2.8.6 (Date of Publication): optionally include date of original publication of the work.

RDA rule 2.9.2 (Place of Distribution): optionally include place of publication/distribution of the e-book manifestation of the work.

RDA rule 2.9.4 (Distributor's Name): include name of the publisher/distributor of the e-book manifestation of the work.

RDA rule 2.9.6 (Date of Distribution): include date of publication/distribution of the e-book manifestation of the work.

MARC field 260 (Publication, Distribution, etc. (Imprint)): create a 260 for both publication as well as distribution data when applicable; a 260 field for distribution data is mandatory.

RDA rule 2.15 (Identifier for the Manifestation): enter e-ISBN if available via the resource itself, or external record, or use for standard identifiers other than ISBN such as Project Gutenberg Ebook#.

MARC field 020 (International Standard Book Number): only use if e-ISBN is available via the resource itself, or external record.

MARC field 024 (Other Standard Identifier): use for standard identifiers other than ISBN, such as Project Gutenberg Ebook#; indicate source in subfield $2.

RDA rule 2.20.13.5 (Date of Viewing of an Online Resource): incidate date of verification of the contents of the e-book (eg: Identification of the resource based on contents viewed on April 15, 2013)

RDA rule 3.3.1.3 (Recording Carrier Type): an e-book is identified as an "online resource" in accordance with the RDA workflow.

MARC field 338 (Carrier Type): an e-book is identified as an "online resource" in accordance with the RDA workflow.

RDA rule 3.4.1.7.5 (Number of Subunits): indicate "1 online resource" and extent in number of pages, if available.

256 (Computer File Characteristics): indicate "1 online resource" and extent in number of pages, if available (eg: $a 1 online resource (454 pages)).

RDA rule 3.19.2 (File Type): indicate type of file (eg: audio file, data file, image file, program file, text file, video file, or any combination of the aforementioned).

MARC field 516 (Type of Computer File or Data Note): indicate type of file in subfield $a; create multiple 516 fields if the e-book encompasses multiple formats (eg: text file and image file).

RDA rule 3.19.3.3 (Encoding Format): indicate format of e-book file (eg: HTML, EPUB, Kindle, Plucker, QiOO Mobile, Plain Text UTF-8, etc).

RDA rule 3.19.4 (File Size): indicate e-book file size (eg: 295 kB, 1.1 MB, etc).

MARC field 300 (Physical Description): enter size of e-book file in subfield $a; enter format of e-book file in subfield $b; dimensions are unnecessary for electronic resources. (Example: $a 1.0 MB $b HTML)

RDA rule 3.20.1.3 (Equipment of System Requirement): indicate hardware and/or software required for mediated use of item (eg: requires internet browser)

MARC field 538 (System Details Note): indicate hardware and/or software required for mediated use of item (eg: $a requires internet browser)

RDA rule 4.6.1.3 (Uniform Resource Locator): provide URL for access to online e-book.

MARC field 856 (Electronic Location and Access): use indicator 4 to denote access method of online e-book; provide URL in subfield $u (eg: $u http://www.gutenberg.org/files/15250/15250-h/15250-h.htm).

RDA rule 7.15 (Illustrative Content): follow standard RDA workflow.

MARC variable control field 008 18-21 (Illustrations): follow standard MARC workflow.

RDA rule 27.1 (Related Manifestation): provide ISBN for print version of work, and vice versa, when applicable (eg: Also issued as: ISBN 0486280926).

MARC field 776 (Additional Physical Form Entry): enter ISBN only if no e-ISBN is available via the resource itself or from an external record or if the ISBN available does not indicate its relationship to a specified version of the work.

MARC leader field 06 (Type of Record): a (language material).

MARC leader field 07 (Bibliographic Level): m (monograph/item).

MARC variable control field 008 06 (Type of Date/Publication Status): use Date of Distribution (RDA field 2.9.6).

MARC variable control field 008 23 (Form of Item): os (o=online, s=electronic).

Works Cited

Belanger, Jacqueline. "Cataloguing e-books in UK higher education libraries: report of a

   survey." *Program: electronic library and information systems* 41.3 (2007): 203-216.

Gravett, Karen. "The cataloguing of e-books at the University of Surrey." *Serials* 19.3 (2006):

   202-207.

Sapon-White, Richard E. "Kindles and Kindle E-Books in an Academic Library." *Library

   Resources & Technical Services* 56.1 (2012): 45-52.

Vasileiou, Magdalini, Jennifer Rowley, and Richard Hartley. "The e-book management

   framework: The management of e-books in academic libraries and its challenges."

   Library & Information Science Research 34 (2012): 282-291.

Appendix A: Sample Bibliographic Record 1

RDA Data

Basis for Description: the resource as a whole
Preferred Source of Information: title page

RDA Element	Rule	Data
Title proper	2.3.2	Myths & legends of China
Statement of responsibility	2.4.1	By E.T.C. Werner, H.B.M. Consul Foochow (Retired), Barrister-at-law Middle Temple Late, Member of The Chinese Government Historiographical Bureau Peking, Author of "Descriptive Sociology: Chinese," "China of the Chinese," Etc.
		Produced by Juliet Sutherland, Jeroen Hellingman and the PG Online Distributed Proofreading Team
Place of publication	2.8.2	[London]
Publisher's name	2.8.4	George G. Harrap & Co. Ltd.
Date of publication	2.8.6	[1922]
Distributor's name	2.9.4	Project Gutenberg
Date of distribution	2.9.6	March 4, 2005
Identifier for the manifestation	2.15	EBook #15250
Date of viewing of an online resource	2.20.13.5	Identification of the resource based on contents viewed on April 15, 2013
Recording carrier type	3.3.1.3	online resource
Number of subunits	3.4.1.7.5	1 online resource (454 pages)
File type	3.19.2	text file
		image file
Encoding format	3.19.3.3	HTML
File size	3.19.4	1.0 MB
Equipment or system requirement	3.20.1.3	requires internet browser
Uniform Resource Locator	4.6.1.3	http://www.gutenberg.org/files/15250/15250-h/15250-h.htm
Illustrative content	7.15	illustrations
Related manifestation	27.1	Also issued as: ISBN 0486280926

MARC Record

Leader:

Character Position	Data Element	Value

06	Type of Record	a
07	Bibliographic Level	m
17	Encoding Level	
18	Descriptive Cataloguing Form	

Variable Control Field 008:

Character Position	Data Element	Value
06	Type of Date/Publication Status	e
07-10	Date 1	2005
11-14	Date 2	0304
15-17	Place of publication, production or execution	xx
18-21	Illustrations	a
22	Target audience	
23	Form of item	os
24-27	Nature of contents	n
28	Government publication	
29	Conference publication	
30	Festschrift	1
31	Index	1
33	Literary form		
34	Biography	d
35-37	Language	eng
39	Cataloging source	u

Variable Data Fields:

FIELD	IND 1	IND 2	SUBFIELDS WITH DATA
024	7		$a EBook #15250 $2 Project Gutenberg
245	1		$a Myths & legends of China / $c By E.T.C. Werner; $c Produced by Juliet Sutherland, $c Jeroen Hellingman and $c the PG Online Distributed Proofreading Team
256			$a 1 online resource (454 pages)
260			$a [London]: $b George G. Harrap & Co. Ltd. $c [1922].
260			$b Project Gutenberg $c March 4, 2005.
300			$a 1.0 MB $b HTML
338			$a online resource
516			$a text file
516			$a image file
538			$a requires internet browser
776			$z ISBN 0486280926
856	4		$u http://www.gutenberg.org/files/15250/15250-h/15250-h.htm

Appendix B: Sample Bibliographic Record 2

RDA Data

Basis for Description: the resource as a whole
Preferred Source of Information: title page

RDA Element	Rule	Data
Title proper	2.3.2	The life and adventures of Robinson Crusoe
Statement of responsibility	2.4.1	By Daniel Defoe
		With Illustrations by H. M. Brock
Place of publication	2.8.2	London
Publisher's name	2.8.4	Seeley, Service & Co. Limited
Date of publication	2.8.6	1919
Distributor's name	2.9.4	Project Gutenberg
Date of distribution	2.9.6	April 6, 2010
Identifier for the manifestation	2.15	EBook #521
Date of viewing of an online resource	2.20.13.5	Identification of the resource based on contents viewed on April 15, 2013
Recording carrier type	3.3.1.3	online resource
Number of subunits	3.4.1.7.5	1 online resource
File type	3.19.2	text file
Encoding format	3.19.3.3	HTML
File size	3.19.4	649 kB
Equipment or system requirement	3.20.1.3	requires internet browser
Uniform Resource Locator	4.6.1.3	http://www.gutenberg.org/files/521/521-h/521-h.htm
Related manifestation	27.1	Also issued as: ISBN 9781593080112

MARC Record

Leader:

Character Position	Data Element	Value
06	Type of Record	a
07	Bibliographic Level	m
17	Encoding Level	
18	Descriptive Cataloguing Form	

Variable Control Field 008:

Character Position	Data Element	Value
06	Type of Date/Publication Status	e
07-10	Date 1	2010
11-14	Date 2	0406
15-17	Place of publication, production or execution	xx
18-21	Illustrations	
22	Target audience	g
23	Form of item	os
24-27	Nature of contents	
28	Government publication	
29	Conference publication	
30	Festschrift	
31	Index	
33	Literary form	1
34	Biography	d
35-37	Language	eng
39	Cataloging source	u

Variable Data Fields:

FIELD	IND 1	IND 2	SUBFIELDS WITH DATA
024	7		$a EBook #521 $2 Project Gutenberg
245	1		$a The life and adventures of Robinson Crusoe / $c By Daniel Defoe; $c Illustrations by H. M. Brock
256			$a 1 online resource
260			$a London: $b Seeley, Service & Co. Limited $c 1919.
260			$b Project Gutenberg $c April 6, 2010.
300			$a 649 kB $b HTML
338			$a online resource
516			$a text file
538			$a requires internet browser
776			$z ISBN 9781593080112
856	4	0	$u http://www.gutenberg.org/files/521/521-h/521-h.htm

Appendix C: Sample Bibliographic Record 3

RDA Data

Basis for Description: the resource as a whole
Preferred Source of Information: title page

RDA Element	Rule	Data
Title proper	2.3.2	How to analyze people on sight
Other title information	2.3.4	Through the science of human analysis: the five human types
Statement of responsibility	2.4.1	By Elsie Lincoln Benedict and Ralph Paine Benedict
Place of publication	2.8.2	East Aurora, N.Y.
Publisher's name	2.8.4	The Roycrofters
Date of publication	2.8.6	1921
Distributor's name	2.9.4	Project Gutenberg
Date of distribution	2.9.6	December 4, 2009
Identifier for the manifestation	2.15	EBook #30601
Date of viewing of an online resource	2.20.13.5	Identification of the resource based on contents viewed on April 15, 2013
Recording carrier type	3.3.1.3	online resource
Number of subunits	3.4.1.7.5	1 online resource (359 pages)
File type	3.19.2	text file
		image file
Encoding format	3.19.3.3	HTML
File size	3.19.4	439 kB
Equipment or system requirement	3.20.1.3	requires internet browser
Uniform Resource Locator	4.6.1.3	http://www.gutenberg.org/files/30601/30601-h/30601-h.htm
Related manifestation	27.1	Also issued as: ISBN 9781453756249

MARC Record

Leader:

Character Position	Data Element	Value
06	Type of Record	a
07	Bibliographic Level	m
17	Encoding Level	
18	Descriptive Cataloguing Form	

Variable Control Field 008:

Character Position	Data Element	Value
06	Type of Date/Publication Status	e
07-10	Date 1	2009
11-14	Date 2	1204
15-17	Place of publication, production or execution	xx
18-21	Illustrations	a
22	Target audience	g
23	Form of item	os
24-27	Nature of contents	
28	Government publication	
29	Conference publication	
30	Festschrift	
31	Index	
33	Literary form	
34	Biography	
35-37	Language	eng
39	Cataloging source	u

Variable Data Fields:

FIELD	IND 1	IND 2	SUBFIELDS WITH DATA
024	7		$a EBook #30601 $2 Project Gutenberg
245	1		$a How to analyze people on sight $b through the science of human analysis: the five human types / $c By Elsie Lincoln Benedict and $c Ralph Paine Benedict
256			$a 1 online resource (359 pages)
260			$a East Aurora, N.Y.: $b The Roycrofters $c 1921.
260			$b Project Gutenberg $c December 4, 2009.
300			$a 439 kB $b HTML
338			$a online resource
516			$a text file
516			$a image file
538			$a requires internet browser
776			$z ISBN 9781453756249
856	4		$u http://www.gutenberg.org/files/30601/30601-h/30601-h.htm