

**Resource Description and Access  
(RDA): continuity in an ever-fluxing  
information age with reference to  
tertiary institutions in the Western  
Cape.**

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## Declaration

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10 November 2017

Signature: 

Signature supervisor 



## Acknowledgements

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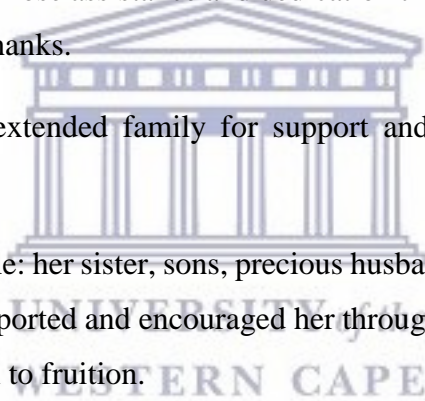
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## Abstract

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Although Resource Description and Access (RDA) has been discussed extensively amongst the ranks of cataloguers internationally, no research on the perceptions of South African cataloguers was available at the time of this research.

The aim of this study was to determine how well RDA was faring during the study's timeframe, to give a detailed description regarding cataloguer perceptions within a higher education setting in South Africa. Furthermore, to determine whether the implementation of RDA has overcome most of the limitations that AACR2 had within a digital environment, to identify advantages and/or perceived limitations of RDA as well as to assist cataloguers to adopt and implement the new standard effectively.

The study employed a qualitative research design assisted by a phenomenological philosophy to gain insight into how cataloguers experienced the implementation and adoption of RDA by means of two concurrent web-based questionnaires.

The study concluded that higher education cataloguing professionals residing in the Western Cape were decidedly positive towards the new cataloguing standard. Although there were some initial reservations, they were overcome to such an extent that ultimately no real limitations were identified, and that RDA has indeed overcome most of the limitations displayed by AACR2. Many advantages of RDA were identified, and participants expressed excitement about the future capabilities of RDA as it continues toward a link-data milieu, making library metadata more easily available.

As this research has revealed a distinctly positive attitude from cataloguers' two main matters for future research remains, being:

- Why South African participants in this study voiced almost no perceived limitations to RDA as a cataloguing standard. Future research might be able to relay information regarding this trend, especially in the light that it was not a global phenomenon.
- A deeper look might have to be taken at how participants' experienced RDA training as this phenomenon might be closely linked to the reasons why the participants did not mention more limitations.

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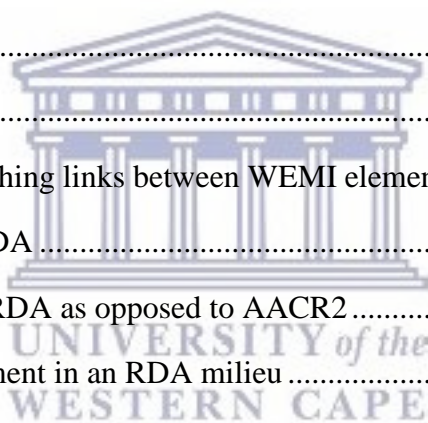
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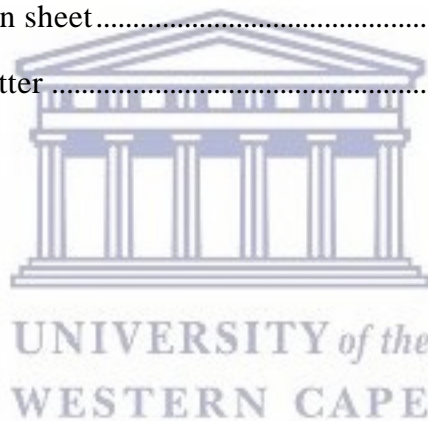


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## List of acronyms

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AACR2 - Anglo American Cataloguing Rules Second Edition

ALA - American Library Association

ARL - Association of Research Libraries

CCSU - Central Connecticut State University

CPUT - Cape Peninsula University of Technology

FRAD - Functional Requirements for Authority Data

FRBR - Functional Requirements for Bibliographic Records

GMD – General material designation

IFLA - International Federation of Library Associations and Institutions

ISBD - International Standard for Bibliographic Description

JSC - Joint Steering Committee

KSUL - Kent State University Libraries

LC - Library of Congress

MARC – Machine Readable Cataloguing

NACO - Name Authority Cooperative program

NLSA - National Library of South Africa

OCLC –Online Computer Library Centre

ODLIS - Online dictionary for Library and Information Science

PCC - Program for Cooperative Cataloguing Policy Statements

RDA - Resource Description and Access

RDA-SA SC - RDA-SA Steering Committee

RNA - Regeln zur Erschließung von Nachlässen und Autographen = Rules for Cataloguing of Literary Estates and Autographs

SU - University of Stellenbosch

UCHI - University of Chicago

UCT - University of Cape Town

UWC - University of the Western Cape

WEMI - Work, Expression, Manifestation and Item (WEMI)



## Keywords

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Anglo American Cataloguing Rules Second Edition (AACR2)

Cataloguer

Cataloguing

Functional Requirements for Authority Data (FRAD)

Functional Requirements for Bibliographic Records (FRBR)

Resource Description and Access (RDA)

Tertiary Institutions

Western Cape, South Africa.

Work, Expression, Manifestation and Item (WEMI)



## CHAPTER 1 – INTRODUCTION

### 1.1 Introduction

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The emergence of a new cataloguing standard has brought about a great deal of anticipation from within the cataloguing community. According to Oliver (2010), the new standard, Resource Description and Access (RDA), that replaced Anglo American Cataloguing Rules 2<sup>nd</sup> edition (AACR2), shares many of the characteristics of the previous code with the main differences being the theoretical framework upon which RDA is based and the fact that it is aimed at the bibliographic description of resources for the digital environment. Although both RDA and AACR2 entail practical instructions for cataloguer guidance, RDA moves beyond AACR2 in that it “provides an extensible framework for the description of all types of resources” (Oliver, 2010, 2). Due to this “extensible framework”, RDA leaves room for development and changes regarding resource types. RDA’s more generalized instructions can be applied to resource types that have not even been created yet (Chapman, 2010). There is a real need for research on the current state of RDA and its adoption by the cataloguing community. There are certain questions that need answers:

- What are the inherent strengths/weaknesses of the new code?
- Are there limitations to the code and how can they be overcome?

That is what this research set out to achieve and by doing so inform cataloguers about the perceptions that other cataloguers hold on the subject.

### 1.2 Background of the study

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During the literature review, it became clear that very little information exists regarding the state of RDA within the South African setting. In fact, at the time of conducting the research, no published paper about the perceptions of cataloguers, and how well RDA was received in South Africa was found. Neither has there been any South African research on how well the cataloguing community was coping with the new standard.



At this point, it was important to look at where it all began and to discover why there was even a need to have a cataloguing code in the first place or why cataloguers feel the compulsion to perform the art of cataloguing with such a passion and drive.

### **1.2.1 A brief history of cataloguing**

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The idea of cataloguing has been around for millennia. Evidence of this has been found in archaeological excavations in Egypt and Assyria (MacLeod, 2004). These included lists of items engraved on the walls of what we might today know as a library, and papyrus strips attached to scrolls with basic bibliographic data on it. These papyrus strips included a short description about the author of the scroll, the title thereof, and the nature of the information contained therein. There is evidence of the curation and archiving of text at the antique city of Uruk at Warka's excavation site in southern Iraq. These included clay tablets of 3400 to 3000 BC. Not only was evidence found of archival behaviour, but there was also evidence of the systematic storage of tablets in Syria's antique Ebla at the royal palace and additionally at the ancient house of tablets located at Fara (antique Shuruppak). At the royal library of Ashurbanipal, situated in the Neo-Assyrian Empire, evidence of acquisition records were also found (MacLeod, 2004). This all happened before the great library of Alexandria was ever conceived in 288 BC by Ptolemy I (Soter) and organised by Demetrius of Phaleron (MacLeod, 2004).

Continuing from the Library of Alexandria, library history unfolded as follows: the medieval monastic period (1100 – 1400) (MacLeod, 2004), the collegiate period (1400 – 1700) (Thompson, 1942), and the modern period (1700 +) (MacLeod, 2004). As RDA's history is bound up in modern times it is important to mention that cooperation is one of the focal themes in the library world today (Stegaeva, 2016). This cooperation within the library community can also be seen in the cataloguing milieu. Among the factors that influenced the shift towards cooperative cataloguing are: shifting economic conditions, labour intensive activities (especially original cataloguing), and evolving technology that made “online access” to library catalogues possible (Stegaeva, 2016).

As far as library and cataloguing history periods are concerned our arrival in the modern period where RDA resides will suffice. From this point on we will be zoning in on the cataloguing process and the terms related to it.

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### 1.2.1.1 An exploration of terms related to cataloguing

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**What is a catalogue?** In a bibliographic context it is a list, where each entry serves to “identify, describe” and find a specific “information resource” (Feather and Sturges, 2003). To ensure consistency within a given catalogue cataloguers make use of cataloguing codes to guide their bibliographic description of resources.

**What is cataloguing?** In the words of Sears List of Subject Headings (2017), the occupation of librarians is that of storing and recovery of information in the broader sense and cataloguing more specifically zones in on the storage thereof. Nonetheless, why do they make use of catalogues? Charles Ammi Cutter’s (1876), description on the purpose of a catalogue is still relevant today (Feather and Sturges, 2003). He described it as follows: firstly, to enable the user to locate the appropriate item of which they know the “author, or the title, or the subject”. Secondly, to give an indication of all the material that is contained within a library’s collection by a specific author, on a specific subject, and included within a specific type of material or kind of genre. Lastly, to supply guidance relating to the material’s physical format, be that information regarding its edition (bibliographical information) or pertaining to its “literary or topical information” (Rowley, 1992 as cited by Feather and Sturges, 2003). Reitz (2016), defines cataloguing as “the process of creating entries for a catalogue” that is performed by a “librarian that has been trained as a cataloguer”. Within a library setting, a cataloguer’s primary responsibility would include the following tasks; “bibliographic description, subject analysis, assignment of classification notation” and the supervision of “activities involved in physically preparing the item for the shelf” (Reitz, 2016). The term cataloguer also describes the supervising librarian in charge of a cataloguing department of a library (Reitz, 2016).

The activities that cataloguers undertake is a creative process that bring about metadata. Reitz (2016), describes metadata as “data about data or structured information” created by cataloguers while “describing information resources/objects” for mainly retrieval purposes. Cataloguing’s value can be appraised against its retrieval capabilities – the better the metadata created whilst cataloguing, the better and more precise the recovery of the required information will be (Sears List of Subject Headings, 2017). Cataloguing

has always had at its heart the desire to fulfil the users' needs as best it can. RDA takes this even more seriously as it puts at the centre the users' needs and the tasks said user might have to perform to find, identify, select, and obtain a given resource (Tillett, 2005). In a library milieu, a user is sometimes called a patron. Reitz (2016) defines a patron as "any person who uses the resources and services of a library, whom might not necessarily be a registered borrower. In a more general sense, it might include any person or group that encourages or supports an activity, project, or institution such as a library, especially by providing funds or other material resources (Reitz, 2016).

There are two main disciplines in cataloguing which is "descriptive cataloguing and subject cataloguing" (Sears List of Subject Headings, 2017). Each of these has a slightly different focus. Descriptive cataloguing focusses its efforts on rendering resources retrievable by uniquely identifying their titles, describing their authors and transcribing any dates associated with the specific resource. When a cataloguer performs descriptive cataloguing, they are illuminating all the retrievable elements of a resource apart from its subjects and they do so by adhering to a given code or standard such as AACR2 or more recently RDA. Cataloguers do not do this without rhyme or reason; a lot of effort underpins the cataloguing process. Cataloguers go about their business to ascertain that their users will successfully find a desired resource in as short a period as possible, through use of the "descriptive elements" or unique characteristics as transcribed by that cataloguer (Sears List of Subject Headings, 2017).

As the Sears List of Subject Headings (2017) mentions, for many years descriptive cataloguing was the only cataloguing necessary as libraries were much smaller than today's libraries and as a result, librarians could rely on the familiarity of their collections to guide users of a specific subject area to the relevant resources. This of course is no longer the case today. By about the middle of the previous century there was such an increase in library material that it became increasingly more important to perform subject cataloguing as an added retrieval method. The importance of subject cataloguing lies in listing all the resources on a given subject within a library's collection according to a predetermined, unaltered word or phrase. The definition of a subject heading is that predetermined, unaltered or "uniform word or phrase" and is used expressly to represent a certain subject (Sears List of Subject Headings, 2017).

The practice of adhering only to given “authorized words or phrases” when applying subject cataloguing and enhancing it further with the use of “unauthorized synonyms” in cross referencing, forms the basis of what librarians call bibliographic control (Sears List of Subject Headings, 2017). The purpose of subject heading lists such as Sears or OCLC is to convey relationships between terms and often contain pre-coordinated strings composed of subject terms with subdivisions. The essence of lists like these is to “provide a basic vocabulary of authorized terms” as well as give guidance towards the application of relevant “cross-references” (Sears List of Subject Headings, 2017).

**What is bibliographic control** and why is it of such importance within a library milieu? In fact, it was seen to be of such importance that there was a recommendation from the Library of Congress Working Group on the Future of Bibliographic Control advising the postponement of the new standard, RDA’s development until proper backing thereof could be established (Randall, 2011). The Online dictionary for Library and Information Science (Reitz, 2016), defines bibliographic control as follows. A comprehensive term that inclusively describes the full range of actions that are performed by a cataloguer when “creating, organizing, managing, and maintaining the file of bibliographic records representing the items held in a library or archival collection, or the sources listed in an index or database, to facilitate access to the information contained in them.”

Reitz (2016) continues to describe the process of bibliographic control as including “the standardization of bibliographic description and subject access by means of uniform catalogue codes, classification systems, name authorities, and preferred headings; the creation and maintenance of catalogues, union lists, and finding aids; and the provision of physical access to the items in the collection.”

Here, Reitz (2016) refers us to the concept of authority control. Authority control is the process by which cataloguers ensure “consistency of form” in the following headings; “names, uniform titles, series titles, and subjects” through the application of an “authoritative list (called an authority file)” when describing new resources that are being added to the library’s collection and contained in a library’s “catalogue or file of

bibliographic records” (Reitz, 2016). Vendors often offer a service to perform authority control at a cost to their clients (Reitz, 2016).

Bibliographic control is about establishing a median by which cataloguing can be guided, resulting in a catalogue of highest standard, containing metadata that can be shared and withstand scrutiny on an international level. This is something that Atilgan, Özel, and Çakmak (2014), believe makes RDA a superior cataloguing code as it brings about a level of bibliographic control inclusive of all resource types that leads to the creation of a superior catalogue, something that its predecessor, AACR2 was unable to achieve.

**What is cooperative cataloguing?** According to Reitz (2016) it is an agreement between individual libraries or consortia to adhere to reputable guidelines or practice while performing cataloguing in an environment (normally “automated systems”) that assist in the creation and sharing of “bibliographic and authority” data. In the USA and globally, cooperative cataloguing is assisted by the undeviating cataloguing rules (Reitz, 2016). With the introduction of computers in libraries and the arrival of Machine Readable Cataloguing (MARC) during the 1960’s cooperative cataloguing faced an exciting future (Stegaeva, 2016). This became ever more evident as libraries in developed countries started performing cataloguing on a national level and sharing the records they created with each other (Stegaeva, 2016). Something that happens today on an international level.

#### **Why do cataloguers need a cataloguing code or standard?**

It is to address such matters as bibliographic description and bibliographic control that there is a need for a cataloguing code or standard – something to give guidance to cataloguers, when performing their art of making resources retrievable. Reitz (2016) defines a cataloguing code as “a detailed set of rules for preparing bibliographic records to represent items added to a library collection” and used to assure “consistency within a given catalogue and between the catalogues of libraries using the same code”. AACR was one such a code or standard that was born from the collaboration between “the American Library Association (ALA), Library Association (UK), and Canadian Library Association” (Reitz, 2016), in 1967 (Oliver, 2010). AACR2 was the most

recent version of the standard and saw the light in 1978 (Atılgan, Özel, and Çakmak (2014). Although this has been the cataloguing tool of choice over the past 30 odd years, it became evident by the turn of the century that the limitations inherent to the code had become too manifold to continue with the standard in an increasingly digital environment (Harden, 2012). It was then, in 1997, that the International Federation of Library Associations and Institutions (IFLA) (2016), Cataloguing Section tasked its study group to determine the Functional Requirements for Bibliographic Records (FRBR). It was at this point that the conceptual model for Resource Description and Access (RDA) took shape.

Reitz (2016), describes FRBR as one of two elements (the other being Functional Requirements for Authority Data (FRAD), upon which RDA was founded. “FRBR addresses not only bibliographic description, but also access points, organizing elements (classification), and annotations” (Reitz, 2016). (FRAD), known previously as Functional Requirements for Authority Records (FRAR), is an extension of the FRBR model for relating the bibliographic data contained in library authority records to library patrons and librarians who use the records. Reitz (2016), continues to explain that FRAD was designed to assist people “who work with library records in finding and identifying a specific entity or group of entities, contextualizing the entity, and justifying the choice of access points and was developed by IFLA. RDA is AACR2’s successor and based on international standards developed by IFLA, as a set of content standards for cataloguing materials held in libraries and other cultural institutions (Reitz, 2016).

Cataloguing codes exist to guide and regulate descriptive cataloguing and ensure that bibliographic standards are met (Feather and Sturges, 2003). Previously this meant ensuring that all libraries within a given country were all guided by the same principles ensuring the exchange of standardized bibliographic information on a national level (Feather and Sturges, 2003). Today it means ensuring that all participating libraries globally follow the same principles to ensure quality and consistency within a shared database of records which participants can tap into and use at will.

AACR was one such a bibliographic standard designed to regulate descriptive cataloguing specifically within an English-speaking milieu (Feather and Sturges, 2003). As mentioned earlier the original AACR was replaced by a second edition of the standard in 1978 (Atılgan, Özel, and Çakmak (2014) and Oliver, 2010). The appearance of the 2<sup>nd</sup> edition of AACR signified a new era of bibliographic description as it broke away from previous standards' haphazard organization of rules (Feather and Sturges, 2003). Credit for this pioneering work can be contributed to the principal editor of AACR, Michael Gorman (Feather and Sturges, 2003). AACR2 prescribed the use of guiding principles resulting from the "International Standard Bibliographic Description (ISBD)" and purposed to include the full range of library material (Feather and Sturges, 2003). Through its use AACR2 ventured to produce cataloguing records that was neither bound by an item's "physical form" nor being influenced by the location of the library where the bibliographic description took place (Feather and Sturges, 2003).

Up to this point the researcher has explored the reason why cataloguers do what they do after which it was important to explore the reasons behind following a given cataloguing code or standard. Before continuing with the research and because cataloguing revolves around fulfilling the users' needs as best it can, it was important to look at what today's users are looking for when they are using the library catalogue.

#### **Library users and their needs.**

According to Kim (2012), libraries need to ensure that their users gets the best information retrieval experience that emerging library interfaces can provide. Weare, Toms, and Breeding's (2011) article, revolved around what users expect to get in today's library interfaces and which of the aspects of the interfaces they found most appealing. They found that catalogue interfaces need to have the same appeal and intuitive nature that anticipate user needs which present-day web interfaces do (Weare, Toms, and Breeding, 2011).

They described the following must-have features: auto correction of misspelled words, suggestive and predictive alternative terms (which can be provided by subject librarians), a build-in spellchecker, "an auto-complete" function, the ability to provide

faceted search results that are ordered according to relevance, tagging, tag clouds, self-browsing, and visual appeal (Weare, Toms, and Breeding, 2011). Although some of the above features were self-evident, some needed further clarification. For instance, faceted search results allow the user the option of decreasing the amount of search results to a more manageable amount, through media type, publication year, physical or online availability, and various other features. Tagging allows easy navigation to previously relevant search results, whereas tag clouds serves as “visual representations” of “key words or search terms” where more frequently used concepts display in larger text (Weare, Toms, and Breeding, 2011). Tag clouds give the user the option to select from any of the terms contained in the given cloud, which then connects that user to the relevant items related to that term.

Users have also grown accustomed to having interactive social network capabilities, review options, and tag links built into sites they visit, a feature they are also looking for in the “next-generation library software” (Weare, Toms, and Breeding, 2011).

Most academic libraries today prescribe to platforms that utilizes a single point of access that connects its users to its combined resources including physical items, electronic books and databases, and the library’s own digitized resources. This is a move away from the many access points of a few years ago, where users had to know which platform to use to access the different types of resources. There is no need for users to know how to use the different interfaces, for instance the online catalogue to find printed and local e-resources, the journal databases to find journal articles, and the institutional repository for theses produced by their institution (Weare, Toms, and Breeding, 2011). Primo is one such a discovery platform, which all the institutions that this research is targeting, are currently using.

To summarise, Weare, Toms and Breeding (2011), found that the new library interface should have intuitive search and navigation, have a user-friendly look and feel, should include social networking capabilities, and provide a single search portal for all resources. In conclusion, users’ information retrieval experiences should be intuitive, easy, in step with current technology trends and designed to meet a given user’s specific information needs.



### **1.2.2 AACR2's limitations**

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It was in 2002 when it became clear that reworking AACR2's text would not be enough to overcome the many issues brought on by a growing number of new resource types and changing publication practices. To allow room for emerging digital resource types AACR2 had to undergo constant revisions, which caused it to become inconsistent where the description of content, media and carrier type was concerned (Oliver, 2010). Ultimately, AACR2 being a cataloguing standard developed for use in the creation of card catalogues, was not suitable for use within a digital milieu.

This was not the only limitations that AACR2 had. Another two were its underlying language bias, giving preference to English as a cataloguing language, and the fact that its foundations rested upon the notion of single item cataloguing and did not allow for the creation of relationships between various formats (Oliver, 2010).

### **1.2.3 The need for a new cataloguing standard**

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Rapidly evolving technology within the immediate environment of the library world has prompted a technological revolution within library technologies. These technological changes affecting the library milieu included evolving trends within the publishing environment and a move towards electronic and digital formats which makes up libraries' collections (Stegaeva, 2016). This has prompted the need for a vehicle of bibliographic description that would be able to deal with these advances. This vehicle of bibliographic description would require the ability to create an advanced catalogue that was focussed both on the user and on the ability to accommodate new formats that evolve over time and anticipate a future in the digital environment for access to resources (Stegaeva, 2016). Apart from above, Chapman (2010) mentions that it was AACR2's limitations that illuminated the need for a new digital advanced cataloguing standard.

### 1.2.4 Comparison of RDA and AACR2

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According to Atılgan, Özel, and Çakmak (2015), RDA differs from AACR2 in three areas: which are “terminology, structure and rules”. Some of the typical terminology are what we know as the elements that make up WEMI (work, expression, manifestation and item), but there are also others such as the importance of relationship as prescribed by RDA (Atılgan, Özel, and Çakmak, 2015).

Whereas AACR2 catered for a predominantly print-based environment, RDA resides on the new FRBR conceptual model, further extended to include FRAD (Tosaka and Park, 2013). This resulted in the FRBR/FRAD conceptual model designed for the 21<sup>st</sup> century’s digital environment (Tosaka and Park, 2013). The FRBR model, published in 1998 has as its guiding principle a consideration of users’ needs and how those needs are best served (Welsh and Batley, 2012). Although there are core elements between AACR2 and RDA that remain the same, Oliver (2010), observed the following unique characteristics of RDA: RDA’s theoretical framework forms its foundation and defines its structure; it is a cataloguing standard for the digital environment, and has a much broader scope than AACR2 had. As indicated by the opening words of the rules cited by Oliver (2010), RDA’s overall purpose is to provide “a set of guidelines and instructions for formulating data in support of resource discovery”. It is a standard focused on the user and the actions taken by that person in the process of resource discovery. These user actions are met by means of the two conceptual models that RDA is founded upon, FRBR and FRAD.

These models act as catalysts in the identification of the actions that users need to complete during the “process of resource discovery” and serves as a demonstration on how different types of bibliographic and authority data support the successful accomplishment of these actions. Ultimately, they serve to enhance user interaction. Tillett (2005), states that FRBR defines these four tasks/actions as, to find, identify, select, and obtain. Where AACR2 “divided the bibliographic world into distinct formats”, RDA is a product designed to take a “format free approach”, focusing on describing characteristics and tracking relationships (McCutcheon, 2012b). RDA was meant for use beyond the library environment.

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#### 1.2.4.1 Advantages of RDA

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There are numerous advantages to the new code. The FRBR model maps out a whole range of relationships, items, and more. In addition, the new digital format with its logical structure (integrating internationally agreed principles) is more user-friendly, easier to apply and incorporates “effective bibliographic control for all types of media” (Chapman, 2010). With fewer “retrospective changes” to records, it eases the cataloguing process. Another benefit of RDA is the availability of the RDA toolkit, which as an online resource provides hypertext links to navigate from one instruction to the next. As an online product, it also allows integration with “library management system modules” which permits access to rules while cataloguing and allows cataloguers to create “My RDA” serving to track cataloguer preferences. Needleman (2008) highlights that RDA was developed to create records for all digital and print based resources broadening the scope of those records, which would then be useful across various digital settings such as traditional OPAC as well as within environments such as the Web. RDA was developed to reach beyond the library’s sphere of influence to a domain where non-print items and multipurpose metadata reign (Miksa, 2009).

RDA does not only differ from AACR2 in terms of its organization, terminology, and guidelines, but according to Kincy and Wood (2012), is “principle based, operable in a web environment, compatible with other resource description and retrieval standards” (like AACR2), and “interoperable with metadata from other communities”. To facilitate its compatibility to records originating from AACR2, its foundations are AACR2 based.

### 1.3 Objectives of the study

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The aim of this study was to determine how well RDA was faring during the study’s timeframe and to assist cataloguers using the new standard to adopt and implement it effectively. This study endeavoured to achieve this through the following objectives:

- To determine whether the implementation of RDA has overcome most of the limitations that AACR2 had concerning resource cataloguing within a digital environment.

- To identify any advantages and perceived limitations of the new cataloguing standard.
- To investigate cataloguers' perceptions about the new cataloguing standard, RDA.

This was done by employing an interpretative phenomenological approach which aim is to reveal details regarding participants' sense making of a given phenomenon (Smith and Osborn, 2009).

## **1.4 Theoretical and conceptual framework**

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In this section, a closer look will be taken at the theoretical and conceptual frameworks of RDA.

### **1.4.1 Conceptual analysis**

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AACR2 is not only RDA's predecessor, but in many cases also displays characteristics of a parent standard, it was there for important to investigate how the two standards compare and to determine what the major differences are between them, which was touched on in section 1.2.4 and continues here. The two standards intersect by sharing the same governance structure (Oliver, 2010). RDA stands upon the foundations of AACR2 to ensure continuity, and many of its instructions comes from the previous standard to assure that cataloguing records created in RDA would be compatible with those created using the previous standard (Oliver, 2010).

RDA's theoretical framework consists of the following two elements: FRBR and FRAD, which are both conceptual models. Whereas RDA is not in itself a conceptual model, but as stated by Oliver (2010), a set of "practical instructions", it hinges on the FRBR and FRAD models. It is therefore important to consider these two models as both have influenced the structure and language of RDA (Oliver, 2010).

According to Tillett (2005), FRBR provides clear-cut guidelines to assist both cataloguers and system developers in meeting user needs. FRBR was born out of a study group from IFLA, Cataloguing Section tasked to determine functional requirements for bibliographic records. The study group's final report, issued in 1997,

describes the entity relationship model which purpose is to analyse bibliographic records. According to Chen (1976) an entity relationship model is a type of conceptual schema or semantic data model of a system, often a relational database. This entity relationship model can be used to analyse bibliographic records and consists of three elements: “entities”, qualities describing these entities and the relationship that exist between the entities (Oliver, 2010). According to Maxwell (2014), an entity relationship model can be used for the description of a given database milieu made up of unique “entities” connected by “specific relationships”. Although it has been common practice to use this model in the design of databases, it has only recently entered the library scene (Maxwell, 2014). Maxwell (2014) describes an entity as “something” which is clearly identifiable within the framework of a given database. A relationship is defined, as the link that exists “between two or more entities” (Maxwell, 2014).

RDA specifically focuses on FRBR group one entities defined as WEMI: work, expression, manifestation and item (Moulaison and Wiechert, 2015). According to Miksa (2009), these entities can be used to classify resources and assist in resource discovery. This model functions as common ground for discussions and revisions surrounding cataloguing. In 2009, another report by a different IFLA group (The IFLA Working Group on Functional Requirements and Numbering of Authority Records - FRSAD) addressed the Functional Requirements for Authority Data (Oliver, 2010). These two models are there to assist in first distinguishing the end user from the information worker. Thereafter assisting the user by applying FRBR and then to address the needs of these two groups of users by applying FRAD. Both FRBR and FRAD strive to assist in the tasks undertaken by the user in resource discovery and both are conceptual models geared toward detailed analysis of bibliographic and authority data (Oliver, 2010).

#### **1.4.2 Theoretical framework**

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As RDA is structured in support of the conceptual model, FRBR and specifically its group 1 entities: work, expression, manifestation and item (WEMI), (Moulaison and Wiechert, 2015), this will be used as a theoretical framework for this study. WEMI

encapsulates the entities of FRBRs group one, used to classify resources and assist in resource discovery (Miksa, 2009). The purpose of this study was to determine with what ease cataloguers could describe resources when employing RDA to describe works, expressions, manifestations and items specifically and with what ease further relationships to the group one entities could be established through its use.

According to the IFLA Study Group on the Functional Requirements for Bibliographic Records (2009), final report, three primary relationships are integral to the entity relationship model that RDA is built upon. They identify these relationships as the connection between the work and any expression of it, the connection expressed in the link between the entities (expression and manifestation), and further embodied in the link between the entities, manifestations and items. According to the report, there exists a reasonable link between each work and the various expressions that might exist of it. The relationships that thus exist between a work and the different expressions thereof assist in establishing a familial affiliation between the various entities that are so bond together. In the same way, the report continues to explain that the link between an expression and a manifestation forms a rational link that can direct a user to both the expression and its various manifestations, forming a familial bond once more. The report further stresses that the same applies to the connection between a manifestation and an item as entities in this model. When taking a closer look at these entities we find that they are interrelated to each other and interlinked like a “chain” (IFLA Study Group on the Functional Requirements for Bibliographic Records, 2009).

To clarify this the report continues to say that where a link is established between an expression and a manifestation in that the expression is an embodiment of the manifestation, the manifestation is simultaneously connected to the expression that was the realization of a given work.

Maxwell (2014) has various graphical illustrations that clearly illustrates the relationship within FRBR’s group one entities of which some are included below. The text within the diagrams are RDA specific terms and could therefore not be altered for these examples, although the researcher did change the actual graphical frames. Firstly,

the relationships between the WEMI entities will be illustrated followed by a specific example of a well-known title that Maxwell illustrated as well.

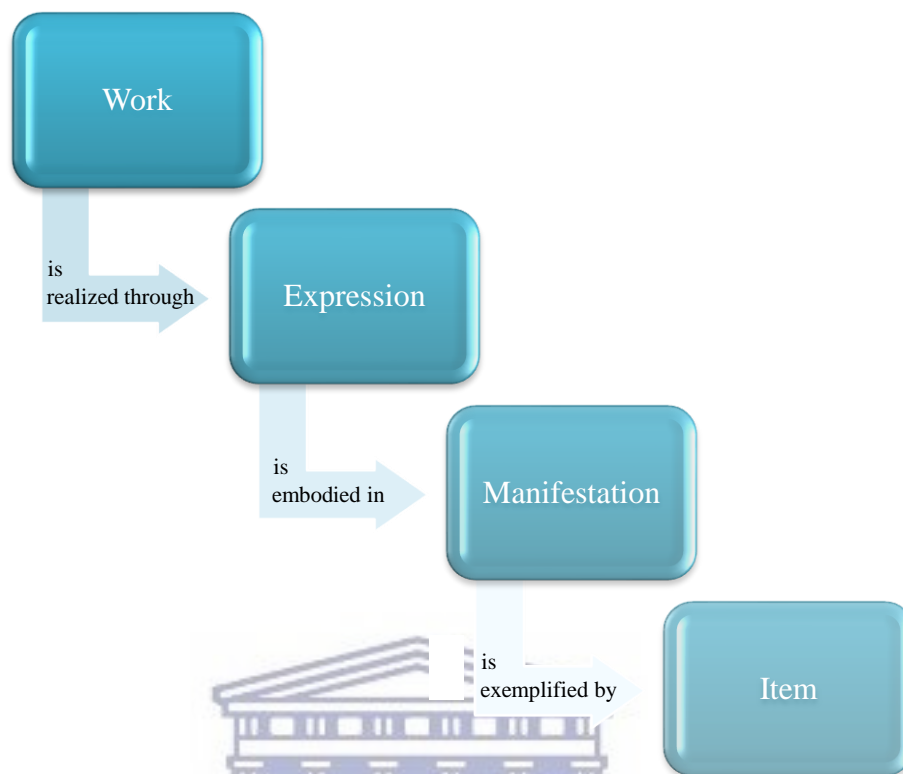


FIGURE 1.1 – WEMI ELEMENTS AND RELATIONSHIPS (MAXWELL, 2014)

When looking at the graph above it is important to understand that a single work can be realized through various expressions, which in turn could be embodied in various manifestations that are in turn exemplified by items. Maxwell (2014, 5) made use of the work, “Gone with the Wind”, to illustrate this in the following graph:

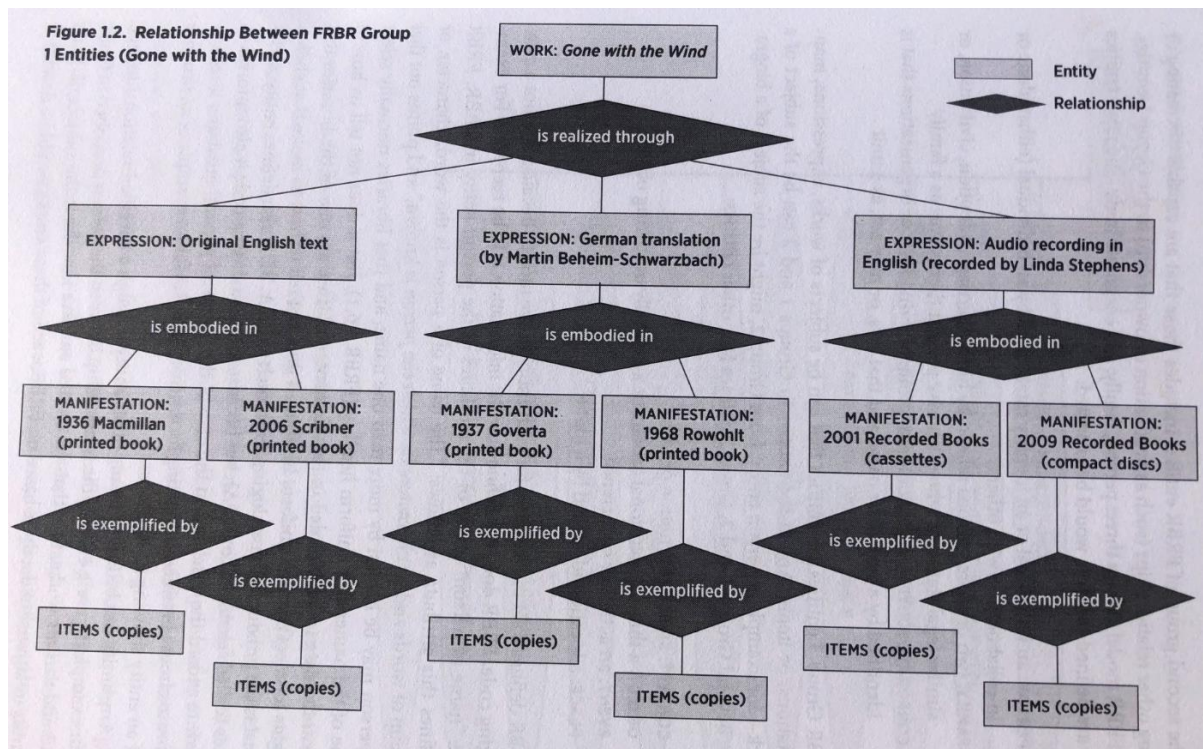


FIGURE 1.2 – MAXWELL (2014) ILLUSTRATION

When looking at Maxwell's (2014) illustration it becomes clear that a single original work can be realized through either an expression of its original language text, and an expression taking the form as a translation of the work into German, and an expression as an audio recording of the English text.

In turn each expression can be embodied in various manifestations, e.g. printed formats by various publishers, audio cassettes, audio compact disks, or other formats that the illustration does not cover.

These manifestations will in turn be exemplified in the various copies that represent them.

Through employing the entities within the WEMI model cataloguers can describe an entity and through using the various relationships between these entities continue to fully transcribe and thus link the different elements within the WEMI model.



### 1.4.3 WEMI – Work, Expression, Manifestation, Item

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WEMI is the acronym that describes the FRBR group one entities: Work, Expression, Manifestation and Item. It is important to this study, as the lens to determine how well RDA manages to make resource discovery possible when used to describe resources.

A work is defined, by Reitz (2016), to be “a distinct expression of human thought or emotion made in language, signs, symbols, numerals, images, or some other medium, for purposes of communication and recording.” Within the context of RDA, Reitz (2016) defines it as “a distinct intellectual or artistic creation, independent of any concrete realization or expression of its content.”

An *expression* within a FRBR context is defined to be “the form in which a creative work is realized, for example, a single variant of the text of a literary work (Shakespeare's Hamlet) or composer's score or a specific performance of a musical work” (Reitz, 2016). In this context, a distinct expression represents an “alteration of the intellectual or artistic content of a work” which can be embodied as an “abridgment, adaptation, revision, translation, etc.” (Reitz, 2016).

A *manifestation* is defined, by Reitz (2016), to be the “result of a single act of physical embodiment/production of a specific expression of a creative work, for example, an edition of one of the variant texts of a literary work.”

Within a library world, an *item* is described as a bibliographic item and within a FRBR context; Reitz (2016), defines it as “a single concrete exemplar of a manifestation of an expression of an intellectual or artistic work, in most cases a single physical object, such as a copy of an edition of a single-volume monograph”.

### 1.4.4 FRBR and FRAD explored

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As FRBRs, foundations lie within the relationships between the above entities, it is important to elaborate upon the connections or relationships that exist between these different, but interrelated entities. Therefore, it is important to add the following as defined by the Reitz. “Any modification of the intellectual or artistic content of a work (abridgment, adaptation, revision, translation, etc.) produces a new expression”. A

“manifestation consists of all the physical objects (items) possessing the same characteristics with respect to intellectual/artistic content and physical form, in most instances a set of multiple copies produced for commercial distribution” (Reitz, 2016).

“All the items constituting a manifestation normally contain the same intellectual/artistic content and are identical in physical form, but variations can occur after production, as in the case of a monograph rebound by a library” (Reitz, 2016).

## **1.5 Research problem statement**

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As set out in the objectives of the study in point 1.3 and evidenced in the literature review under point 2.3, RDA’s initial implementation processes and how well the cataloguing standard was received within a South Africa milieu was shrouded in ambiguity. This was evidenced by the fact that there was no published paper on the subject within a South African setting, something that this research set out to remedy.

The aim of the study was to establish what perceptions cataloguers from higher education institutions in a South African context held with regards to the state of RDA and how they were personally experiencing the new code. The resulting data would then be used to form an opinion about the use of RDA within South African higher education institutions and to make important recommendations about practical implementation issues of the code and identify functional areas that might need attention.

## **1.6 Research questions**

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The study endeavoured to answer the following research questions:

- How has the transition from AACR2 to RDA been since its roll out in South Africa?

Sub Questions:

- Has the implementation of RDA overcome most of the limitations that AACR2 had concerning resource cataloguing within a digital environment?
- Are there any perceived limitations to the new cataloguing standard?

- Are there any advantages of RDA as compared to AACR2?
- How do cataloguers perceive the new cataloguing standard, RDA?
- Have there been major issues concerning the training and implementation of RDA?

## **1.7 Ethical statement**

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The researcher adhered to the ethical guidelines of the Research Committee of the University of the Western Cape (University of The Western Cape Humanities Research Ethics Committee, 2014). The following guiding principles steered the research: honesty and integrity, using safe and responsible methods, and adhering to fairness and equity of participants and stakeholders. The researcher respected the rights of the participants and assured anonymity. The researcher refrained from divulging any personal details or institutional affiliation to ensure anonymity, the researcher rather referred to Library 1, Library 2, Library 3 and Library 4. The researcher obtained informed consent from the research participants based on adequate information on the project provided via an information sheet that accompanied the consent forms that participants signed. Participation in this research project was voluntary and participants could withdraw at any stage of the research process.

The researcher obtained ethical clearance from the University of the Western Cape (UWC), University of Cape Town (UCT), Cape Peninsula University of Technology (CPUT), and Stellenbosch University (SU) prior to the study (See Appendices - A, B, C and D).

## **1.8 Scope and limitations of the study**

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### *Scope:*

The opinions of cataloguers from CPUT, UCT, SU and UWC were gathered. As all four institutions are situated in the Western Cape, in the immediate geographical area where the researcher resides they were a logical choice for this study.

### *Limitations:*

The limitations of this study revolved mainly around the small population size and the fact that it was non-random and self-selected. There was the possibility that cataloguers from different institutions might have a diversified opinion about the questions posed.

Due to the size and extent of the population, it was impossible to generalize. The researcher attempted to identify trends that can possibly benefit cataloguers in other tertiary institutions.

## **1.9 Significance of the study**

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From a South African perspective, information regarding the inception and initial implementation of RDA was shrouded in ambiguity. At the time of the research, there was no evidence of any study on the subject, as can be seen in the literature review.

The importance of this research is that South African researchers will have a point of reference from which to conduct further research on the subject.

## **1.10 Outline of chapters**

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Chapter 1 includes a short introduction to the research project, to clarify its scope and focus. It also includes a detailed description of the development and purpose of cataloguing in general and outlines RDA's basic concepts and position within the spectrum of cataloguing.

Chapter 2 presents a detailed literature review with specific reference to the findings and conclusions of previous studies. It also serves to identify the gap in information pertaining to RDA and highlights the need to conduct this specific study.

Chapter 3 serves to present the research design and methodology based on the literature review conducted in chapter 2. This includes a description of the research participants and data collection methods.

Chapter 4 is a presentation and transcription of the data analysis obtained from the primary data collection tools used in the study. It concludes with a summary of the findings.

Chapter 5 summarizes and interprets the main research findings and provides an overview of the theoretical contributions of the research presented in this thesis.

Chapter 6 supplies a reflection on the work presented in this thesis and it concludes with recommendations and directions for future research.

### **1.11 Concluding summary**

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In today's ever-increasing digital environment library users are used to having information at their fingertips, because of online available information from the internet. Library users' expectations have changed because of this and even the resources that cataloguers are creating metadata for has changed and cataloguers are expected to create metadata for resources that might not have even existed the previous day.

This chapter served to sketch the background of the study and relay information regarding the study's objectives. It continued to illuminate the theoretical framework that has been chosen as a lens for the study. WEMI was used to determine how well RDA manages to make resource discovery possible when used to describe resources. The chapter also includes a discussion of the research problem, research questions and touches on matters such as ethical principles, the scope and limitations of the study. It concludes with of an outline of what will follow in the coming chapters. The next chapter provides a full description of the literature that was reviewed for the study, highlighting common themes discovered within the literature and illuminating why South African higher education institutions where the focus of this study.

## CHAPTER 2 - LITERATURE REVIEW

### 2.1 Introduction

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The inclusion of a literature review in research is of importance as it gives an indication of gaps that exist within a given research field and assists in steering the research in a specific direction. This chapter will serve to identify the gaps within the knowledge sphere of cataloguer perceptions on RDA as a cataloguing standard. It will continue to give an indication of why the researcher specifically targeted South African higher education cataloguers as participants for her study.

The emergence of a new cataloguing standard is for many like the appearance of a fire engine that simultaneously comes with a sense of relief, but also a big dose of bewilderment. Relief because the previous standard AACR2 were increasingly riddled with inconsistency and other issues, which made cataloguers' work difficult in the recent past. Bewilderment about what was going to change, how libraries were going to deal with those changes and what steps would assist in easing the process.

Resource Description and Access (RDA) has certainly gone through its paces since 2005 when the Joint Steering Committee (JSC) for the Development of RDA first decided to start work on a new cataloguing standard that would be better suited for the digital environment. The Library of Congress (LC) have been intimately involved in the development and implementation of RDA as part of its strategic plan for the years 2008 to 2013 and played a leading role in the initial testing of the new standard (Morris and Wiggins, 2016). Several of its staff served as members of formal JSC groups between 2011 and 2013.

McCutcheon (2012b), points out some important milestones that RDA have reached since its inception. November 2008 saw the distribution of a full draft of RDA. The year 2010 gave birth to the online product (The RDA Toolkit) during the month of June, with testing of the product starting on 1 October 2010 (Hanson and Parks, 2013). Since November 2011, the Library of Congress resumed cataloguing and continued to train

its cataloguers in the new standard with full adoption of the standard following on 31 March 2013 (McCutcheon 2012a).

### **2.1.1 Factors related to the implementation of a new cataloguing standard**

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Many libraries globally realized that there were financial implications to consider when considering RDA implementation. This included both initial and on-going costs. Maurer and Panchyshyn (2014), found implementation costs to be higher and the ongoing costs more on par with the related cost associated with cataloguing via AACR2.

#### ***Initial costs***

One of the first financial matters that needed consideration was costs related to staff training. This not only included attending training sessions, but also the preparation of institutional training material and the impact training would have on a cataloguing department's production time as mentioned by Turner (2014). Some libraries were in the privileged position that their unions covered their training costs (Hanford, 2014), which allowed them to stay abreast of new developments. Maurer and Panchyshyn (2014) found that although their training costs initially rose it decreased over time, something that other libraries worldwide also found. Hanford (2014), specifically felt that RDA training should not be an expensive operation as a lot of the material was freely available at no cost.

Apart from training both Chong Luo and Qi (2014), and Aliverti, Behrens, and Schaffner, (2016), mentioned the financial impact related to the translation of RDA and the RDA toolkit as something affecting libraries from both the developed world as from the developing world. Of course, this was something that would only affect libraries from countries whose cataloguing language was not English. However, in both the German speaking countries and China there was a need for the translation of RDA as well as the RDA Toolkit into the indigenous languages, which suggested an initial monetary investment.

### *Ongoing costs*

Cataloguers from around the world identified the following ongoing costs that needed consideration during RDA implementation and thereafter:

- Annual subscription fees to the RDA Toolkit was mentioned by quite a few authors including Maurer and Panchyshyn (2014), Hanford (2014), and Chong Luo and Qi's (2014). Hanford (2014), however found it to be a useful tool as it included valuable elements such as the "LC-PCC PS, mappings, and shared workflows". Although this was not a matter of concern to many libraries in developed countries, cataloguers from developing countries needed to consider the financial impact that this might have on the successful roll out of RDA within their countries. In certain countries where resources are not readily available to all libraries within the different sectors, creative solutions had to be found to assure equitable distribution. Chong Luo and Qi's (2014), for instance suggested their government could assist with this cost to ensure access to all libraries, even in poorer areas.
- There was an increase in cost related to the creation of authority records, as they simply took longer to create in RDA. Maurer and Panchyshyn (2014) specifically identified this as an expensive aspect of adopting RDA as it influences vendor charges related to authority control. However, Hanford (2014), felt that making use of a vendor for updated authority records had assisted them to make a smooth transition to RDA.
- At Duke, Turner (2014), reported an increase in ongoing cost since Duke opted to continue to use AACR2 for copy cataloguing and therefor they had to conserve two sets of rules – a time consuming process.

When considering implementation, its cost and related staff effort, it is important for managers to focus their attention on the benefits that the new standard encompasses. Maurer and Panchyshyn (2014) highlighted some of these starting with the fact that it is an international accepted, user focussed standard. They continue to say that RDA has collaboration at its heart and its inherent ability to make data interoperable, not only in a database environment, but also on the internet was a welcome benefit. The metadata that cataloguers create when using RDA makes it more accessible and



computer friendly. Another very important factor that puts RDA ahead of AACR2 is the fact that cataloguers can make use of direct transcription or recording data as they find it, making the data more machine friendly (Maurer and Panchyshyn, 2014). By using RDA, Duke could continue to contribute to the LC/NACO authority file, which assists in time efficiency.

## **2.2 Reception of RDA from the cataloguing community**

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The Joint Steering Committee for Development of RDA (2000) planned for and implemented a test period for RDA starting in October 2010. All three United States national libraries, as well as a selection of academic, public and special libraries were involved to ensure adequate coverage. Training varied from institution to institution, but mostly took shape in the form of two one-hour presentations, a webinar and several shorter sessions whose aim was to explain important differences between RDA and AACR2 (McCutcheon, 2012a).

### **2.2.1 United States of America cataloguer perspectives**

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In the following sections, an in-depth look will be taken into the implementation process as described by several authors from various libraries within the United States of America (USA). A summary of unique aspects of various papers is included to ensure a complete description of the various processes. Each new discussion starts with the author/s details and the institution or country that the paper represented. A summary of common themes then follows in section 2.4. Finally, this study's questionnaire outcomes were compared to these themes from the literature as related in Chapter 5.

#### **2.2.1.1 Kent State University Libraries as described by Maurer and Panchyshyn (2014).**

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Maurer and Panchyshyn (2014) described the process of RDA implementation by an early adopter of the standard, Kent State University Libraries (KSUL). Although KSUL did not form part of the official test partnership, they chose to take part in the copy cataloguing section of the test informally. Participating in this way allowed their

cataloguers to try out the standard, opened networking opportunities and gave them access to the training materials available during the test. When the test period concluded professional cataloguers performing original cataloguing continued with their internal training and learned from each other's experiences. The collaboration between staff and cataloguers from other institutions proved to be invaluable during the learning period. Cataloguers at KSUL discovered that continual training over a lengthy period better prepared them for actual work in RDA.

Paraprofessionals that contribute to the copy cataloguing at KSUL preferred to make use of pre-defined guidelines even though they were making use of RDA records before their professional counterparts started using RDA exclusively.

Maurer and Panchyshyn (2014), focussed on the decision-making processes during the implementation at KSUL and the authors' intention were that other managers could use the information during their own implementation processes. One of the recommendations that Maurer and Panchyshyn (2014) made was that the entire cataloguing department should start with the new standard simultaneously and journey together to learn from each other's experiences. KSUL's decision-making regarding cataloguing standards are of importance due to their contribution to the OhioLink Central Catalogue and their contributions to the Name Authority Cooperative program (NACO).

KSUL's RDA implementation process was fast-tracked because of the national libraries' decision for full adoption of RDA and they started producing an increased amount of RDA records that were mostly copy cataloguing records. These included hybrid records which are equal to non-RDA records with some RDA elements inserted into them (Maurer and Panchyshyn, 2014). Therefore Hybrid records = non-RDA records + added RDA elements. When cataloguers were inserting RDA elements into old AACR2 records, they become more useable in an RDA environment, even though they essentially became hybrid records.

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### 2.2.1.2 Duke University as described by Turner (2014).

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Turner (2014) described the implementation process as experienced by cataloguers at Duke University Library. Turner (2014), noted that there were substantial reservations upon the implementation of RDA, however with the Library of Congress (LC)'s announcement that all Name Authority Cooperative (NACO) records would be in RDA form April 2013 onward, Duke felt pressured to join others and started training their original cataloguers in RDA during 2012.

Duke found that within a year after implementation two thirds of their records were in RDA. They recommended not adding fields to records geared specifically towards a post-MARC system, but rather waiting for the new system, before adding them. This included fields 336, 337 and 338.

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### 2.2.1.3 RDA implementation and training issues across United States academic libraries as described by Park and Tosaka (2015).

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This study conducted by Park and Tosaka (2015), attempted to gain a detailed understanding of cataloguers' views on RDA within higher education institutions located in the United States of America. They wanted to reveal information on RDA implementation processes, the type of training cataloguers within these institutions were exposed to, and what the view of these cataloguers were regarding RDA and its possible effect on catalogues. Their study made use of interviews conducted via email as to permit participants the time and opportunity to give responses that were insightful and thorough. They found that the study yielded a richness of data their previous online survey in 2014 could not achieve (Park and Tosaka, 2015).

Participants were volunteers from their previous study and included staff from both large higher education institutions and smaller institutions or so called "four-year colleges and universities" (Park and Tosaka, 2015). The interviewees were all heads of cataloguing or metadata departments within US higher education libraries.

They decided to make use of e-mail interviewing because of the geographically dispersed locality of participants. It allows those being interviewed the option of

completing the interview at a time that fits into their routine, and as a result provides in-depth, insightful responses as Meho (2006) cited by Park and Tosaka (2015), states. Park and Tosaka (2015) originally planned to devise a coding/categorization scheme for structured data analysis. Due to the small amount of interview participants (twelve in total), and few questions (only eight), they decided not to make use of a data analysing coding scheme. They opted to analyse the data question by question without a special, formalized coding scheme.

Although Park and Tosaka (2015), identified limitations in their study they found that, the interviews did yield various perspectives on RDA adoption processes that were very useful and will be discussed in the common themes in Section 2.4. Their study was important as it set out to determine which training methods cataloguers favoured and which were most beneficial when applied. This was something, which previous studies had not addressed.

### **Overview of prior studies on RDA training**

In Park and Tosaka's (2015), literature review, they covered previous studies performed in other countries such as Australia, New Zealand, Canada, and Great Britain. These initial studies revealed that participants indicated inadequate knowledge about RDA. These studies also revealed that cataloguers expressed concern about RDA preparation while still having to perform their day-to-day tasks.

### **Interview results**

The responses indicate that LCs RDA implementation on March 2013 was something that acted as a catalyst for wide adoption across various institutions (Park and Tosaka, 2015). This might be due to so many libraries' reliance on LC where their copy cataloguing is concerned.

Park and Tosaka (2015), revealed a trend that permanently employed cataloguers making use of PCC guidelines where the ones who had to make the transitions to RDA earlier. While some cataloguers creating original records continued to do so using AACR2.

The smaller libraries included two early adopters of RDA. Some who adopted RDA as early as January 2012 and others who had not adopted RDA even after LC's full implementation of RDA.

Park and Tosaka's study discovered that some cataloguers who received training still did not feel comfortable to catalogue using RDA exclusively. These cataloguers' exposure to RDA was however limited to the enhancement of newly imported RDA records.

### **Concluding summary**

Park and Tosaka (2015) found that there were notable differences between RDA adoption practices within the two different kinds of higher education libraries, although the differences were more articulated than was found in their previous study.

Transcending any official affiliations, the participants' opinions on RDA and its effect on the cataloguing community fluctuated from positive support to severe disapproval. Despite this, most participants still felt compelled to follow suite once LC announced its full adoption.

Park and Tosaka's (2015) study provided a comprehensive view of RDA knowledge and training needs among USA cataloguers. The study's focus on academic libraries in the USA, found that training has served to improve cataloguers' knowledge about RDA. In spite thereof, the study still found that the knowledge on a wide spectrum of RDA related matters remained low, just prior to the full implementation of the standard in March of 2013. The study's most significant contribution lay within its discovery of the difference of RDA knowledge displayed between large higher education universities and smaller, 4-year colleges and universities in the United States of America (Tosaka and Park, 2014 as cited in their 2015 paper). Their results served to highlight the need for training programs geared toward smaller libraries and having access to training even in the light of limited resources or "institutional affiliations".

Another important matter that participants voiced were that training needed to be cost effective, accessible over a wide platform, and deliverable within a variety of different circumstances.

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#### 2.2.1.4 Central Connecticut State University as described by Hanford (2014).

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Dana Hanford (2014) discussed the implementation process of RDA at a medium-sized higher education library, Elihu Burritt Library at Central Connecticut State University (CCSU). This library faced a decrease in staff during 2010 due to retirements, and budget cuts, just prior to the release of the RDA Toolkit in June that year. Leaving them with two professional cataloguers that included the head of the department, and one paraprofessional cataloguer. When the RDA Toolkit was officially published Elihu Burritt Library started preparations for RDA implementation. Apart from their normal bibliographic duties, the cataloguing department at CCSU also contributes authority records to NACO. Their catalogue being a collaborative catalogue, called Consuls, includes records from not only CCSU, but also from Southern Connecticut State University, Western Connecticut State University, Eastern Connecticut State University, and the Connecticut State Library.

By the end of 2010, the CCSU cataloguers noticed that some “early adopters” of RDA were already contributing RDA records to OCLC. This made them realise that it was inevitable that these records would appear in their shared catalogue, Consuls. At that time, they came to a decision to download a test set of RDA records to see how their Millennium system would cope with the records. This set included 25 newly created RDA records, all in MARC format. A concern expressed at the time was how these records would display in both their back-office view and on their user interface. They broached this topic on a consortium level and came to a decision to make observations and then provide feedback to the other members of their consortium. The CCSU cataloguers decided to download these records as they were, including some RDA fields, which they suppressed from display on their user interface. This was to ascertain that the records would not cause confusion among users. They did however not wish to delete them as these fields might be of importance later during implementation.

Something that the CCSU cataloguers were all concerned about was the omission of the general material designators (GMDs) in the 245 field and what affect this might have on their user interface.

Hanford's study included feedback from librarians outside the technical domain and patrons on the display of RDA records in the catalogue. For this purpose, a focus group was selected and Hanford (2014) found that some of the problems expressed by them could be overcome by suppressing the given fields. This was however not the case for all problematic fields, for example the multiple publication dates as displayed in the 260 field (Hanford, 2014). The information gathered from the focus group was discussed with members of the Connecticut consortium. All the members agreed that the new 336-338 fields should be suppressed. A decision was reached not to add the GMD locally to the RDA records, as this was information readily available in other fields and easily accessible to patrons. Another important recommendation was not to make local changes to RDA records, other than the suppression of some fields. The members of the consortium also decided not to delete any MARC fields in emerging RDA records, as their functionality might only prove significant in the future.

### **U.S. National Libraries RDA test project**

CCSU forms part of the Online Audiovisual Cataloguers/Music Library Association, which participated in the RDA Testing Funnel, as part of the U.S. National Libraries RDA Test Project in April 2010. This offered them the opportunity to receive RDA training materials, gain RDA cataloguing experience in unison with other cataloguers, and included free access to the newly released RDA Toolkit. Still, as the actual test was approaching Hanford (2014) started relying more on the other material that they had also received, such as the documents from the JSC and LC, which she used to give guidance in the preparation of her test records. This material was freely available from LCs website. At CCSU they would only make use of cataloguer judgement when all other routes had been exhausted and in doing so focussed on the user by creating the most efficient "access or description possible".

### **Training during the U.S. National Libraries RDA Test Project**

Due to the dwindling staff numbers at Elihu Burritt Library a decision was made that the head of the department (a cataloguer herself), would be the only person to participate in the test and only take part in the "bibliographic record creation portion of the Test Project" (Hanford, 2014). However, the other cataloguers would still have access to the training material and the Toolkit.

CCSU has set up a wiki, updated with their institutional policies and other documentation of interest. This allowed them to stay in tune within a national milieu and were all preserved on the wiki. When selected for the test, they started a new folder on the wiki page pertaining to the Test Project and its training resources and updated it continually. CCSU cataloguers opted to familiarize themselves with the RDA Toolkit content, and navigation via self-training, as their staff numbers were so limited (Hanford, 2014).

Hanford (2014), found that the most beneficial way to get to know the new guidelines was to start using them and applying it in the creation of new records. Each test participant had to create “practice records” and then analyse the records created by other participants, after which a discussion followed on the “Testing Funnel wiki”. Hanford (2014), found the remarks and “insights” by fellow participants to be invaluable during the training period prior to the test.

### **Insights gained from test participants**

At CCSU, they did not only keep track of the test records during the test, but also of all other records created in RDA. This assisted with a progress review that she did after three months. From this, she learned that the average time for the creation of a bibliographic record using RDA “decreased” by about 40% when cataloguing printed material, and by 25% for “non-printed materials” as they became familiar with RDA and the RDA Toolkit. The print material they catalogued were limited to books only and as there were not many examples of non-print material provided by the toolkit they found the cataloguing of print material to be easier.

During this period something they considered was whether the records they were creating in RDA was of more value to their users. They all felt that creating a bibliographic record in RDA acted as an exercise and helped them to start thinking in FRBR, as opposed to creating something different at that point. Hanford (2014) made the discovery that only once a replacement for MARC were found, will records created in RDA start looking and acting differently.



### **CCSUs RDA implementation plan**

After the test had been completed the cataloguers at CCSU wanted to continue using RDA, but they were concerned about the amount of time this might consume as they were busy learning. At that time, they still found it to be faster to catalogue using AACR2. As they wanted to continue contributing authority records via NACO, the staff were also getting used to the authority record creation process in RDA. CCSU planned for full adoption of RDA and it included gradually doing less and less cataloguing in AACR2 until they could continue exclusively using RDA. They opted not to create local policies, but rather make use of the LC Policy Statements that would later be called LC-PCC PS (Library of Congress-Program for Cooperative Cataloguing Policy Statements), Library of Congress RDA Core recommendations, and PCC guidelines whenever available. This timesaving venture has served them and their catalogue well.

CCSU made only a few, minor changes to their daily work routine that assisted in streamlining their item-processing schedule. As a further time-conserving effort, they also created templates within Connexion that reflected the formats they most commonly needed to use. At that time, they felt it was possible to allow student workers to continue with many of the tasks done previously by copy cataloguers. These included tasks such as the printing of the book labels and the final quality checks. The only remaining copy cataloguer could then take over all remaining basic copycat duties. Student workers and the copy cataloguer received “step-by-step, easy to follow guidelines” that were specifically geared towards these tasks. All records requiring enhancement was send to a cataloguer.

Hanford (2014) continually monitors their output, which included both their RDA and AACR2 records for original and copy cataloguing, at the time. During 2011, they applied RDA rules whenever time allowed and by the end of 2011 most of their records were in RDA. In this fashion, they made a full transition to RDA by April of 2012.

### ***Ongoing costs***

What is hard to relay is the amount of cost in terms of staff hours. They devoted an adequate amount of time in relation to training and for the creation of test-records for

use in the test, but they did not perceive this to have a drastic impact on the departments normal functioning. The only noticeable change was a small backlog in their non-prioritized gift items, which was quickly rectified.

Other staff activities related to RDA implementation that were hardly perceivable were:

- discussions with the consortium cataloguers,
- adjustments to the interlibrary loans, and
- Keeping abreast with RDA/MARC21 updates.

Activities such as those mentioned above replaced similar activities previously undertaken in their daily routine for AACR2.

A challenge that the CCSU consortium was still facing was that of diversified policy implementation. Although the consortium has a lot of jointly accepted policies that are implemented across the board, they still have some diversified local policies and the different institutions within the consortium are not all on the same level of RDA implementation.

Another challenge came about when the Connecticut General Assembly decided to amalgamate the Connecticut State University System and the Connecticut Community College System under one governance systems called, ConnSCU (Connecticut State Colleges and Universities) in July 2011 (Board of Regents for Higher Education, 2011). According to Hanford (2014), if they do decide to merge, the different institutions' catalogues will have to do an in-depth analysis and further standardization of policies and records.

CCSUs early adoption of RDA has put them in a position where they could assist other libraries with advice regarding what they have learned. The members of the consortium started to meet periodically with cataloguers from the community college libraries to assist in the facilitation of RDA training and to discuss the possibility of a merge of their catalogues. As part of this process, they have been busy with the creation of joint policies within the consortium for “hybrid records”, discussing their user interface, and about how some MARC21 fields might display in the integrated library system (ILS).

## **Concluding summary**

With the knowledge gained during and after the U.S. National Libraries RDA Test Project, CCSU had discussions with the E. Burritt Library staff, the consortium libraries, and with the community college libraries concerning RDA and non-RDA records. CCSU was also able to re-evaluate departmental workflows according to their reduced staff level and include revised procedures based on RDA guidelines. They viewed the decreased staff level and the adoption of an emerging cataloguing standard as an opportunity, and not a crisis, and chose to embrace it fully and grow.

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### **2.2.1.5 University of Chicago as described by Hanson and Parks (2013).**

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Hanson and Parks' (2013) interview with Christopher Cronin, from the University of Chicago, revolved around the implementation processes experienced at the University of Chicago. They formed part of the official RDA test in the United States of America. The University of Chicago (UCHI) contributes to the following sections of the Program for Cooperative Cataloguing (PCC):

- Monographic Bibliographic Record Cooperative,
- Name Authority Cooperative,
- Subject Authority Cooperative, and
- Cooperative Online Serials.

FRBR had been a point of active discussion within UCHI's library, which included being abreast of RDA's development as it unfolded. Most of UCHI's cataloguers actively embraced the opportunity to participate in the USA test, regardless of day-to-day duties.

At the University of Chicago, they have a centralized cataloguing unit, but also cataloguers working independently in their "law, East Asia, and maps sections". Also, the Special Collections Research Centre at the university creates metadata that is not captured in MARC format. All original cataloguers from these various departments were involved in the making of policy decisions. Cronin, as purported by Hanson and Parks (2013) said that they consulted the Library of Congress' documentation prior to policy formulation, as they are a PCC institution and prefer not to create and maintain

many local policies. Due to this, their policies did not differ vastly from that of the national policy statements.

### **Training at University of Chicago**

In preparation for the RDA test, Cronin, and the head of their serials cataloguing department attended the “RDA Train-the-Trainers” seminar presented by Barbara Tillett and Judy Kuhagen of the Library of Congress (Hanson and Parks, 2013). The one-day seminar, specifically geared toward the RDA test partners, was videotaped at the time. They received printed training material at the seminar but did not start with in-house training until the publication of the RDA Toolkit. They created an RDA Website containing material on all RDA-related matters; and loaded sample records in RDA format for divergent resource types and formats as a test set. This test set was used to see what the functionality of the records was in their user interface. An inter-departmental working group was convened that included cataloguing staff, but also personnel that served the patrons, and IT personnel, as decisions had to be made about the configuration of the RDA records view on the patron interface. For this purpose, they used 42 pre-created sample records. During August 2010, their training program started and included all cataloguers from UCHI and one of their neighbour institutions. They made use of the Library of Congress’ video recorded session, but allowed time for questions, discussions, and various exercises. The sessions did not include any locally developed training material, and neither were external facilitators used. UCHI cataloguers benefitted from an extended training period as it allowed them to give attention to their individual fields of speciality, get used to the new rules and the new MARC fields, make their own subject appropriate notes, get used to navigating the RDA Toolkit. Due to this approach, the cataloguers felt that their normal tasks and workloads did not suffer because of the test. Cronin, as cited by Hanson and Parks (2013), indicated this to be the best approach to training and highly recommended it.

Although different training approaches for professional and paraprofessional cataloguers were not followed, the paraprofessional staff at UCHI normally rely upon the “procedural documentation” provided to them. At UCHI, they mostly accept copy-catalogued records as is, although they initially submitted all records for quality control to professional cataloguers. This process ended in May 2011, since they came across

little problematic records. From then on paraprofessional staff at UCHI will submit copy cataloguing to professional staff for review only if they believe the record might need enhancement.

At UCHI, all professional cataloguers were involved in the test, which resulted in a greater amount of RDA data created by them during the test. The staff created 1202 authority records, 1301 original bibliographic records, 50 copy cataloguing bibliographic records, and 20 Dublin Core records in XML. The bibliographic records they created included records for monographs, serials, sound recordings, mixed materials, visual materials, integrating resources, cartographic resources, legal materials, and computer files, from different subject areas, in different languages. They decided not to exclude any material except for their Electronic Cataloguing in Publication contributions, which they only started doing in RDA after the test period was completed.

### **Concluding summary**

According to Cronin, the RDA test has served as a time of professional development for many staff members, who were able to share their experiences with other cataloguers outside of UCHI. UCHI opted to implement RDA fully from 1 January 2011 (Hanson and Parks, 2013).

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#### 2.2.1.6 A discussion on the use of RDA by legal libraries as described by Helen Doyle (2015).

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In this article Doyle showcased RDA's unique abilities and how its improvements had the potential to be employed within a specific resource milieu. As many academic libraries includes a legal section and the article specifically focuses on RDA's practical implementation in this setting it has been included in this literature review.

Based on RDA's internal structure and its unique way of creating interconnections within the bibliographic universe, it can be used with great efficiency in this setting (Doyle, 2015). This is a result of the desire amongst legal practitioners to have their various resources connected in some way, linking tried and trusted material, current online material, and internal tacit knowledge in an efficient way and making it more

accessible. Doyle (2015), was proposing to use practice areas within the legal field as works and then defining different forms of contract law within a given knowledge centre (such as textbooks, journal articles, precedents or online documents as expressions of the practice area). From there Doyle (2015) further proposed to identify the actual physical material owned by that knowledge centre as items and the personification of the manifestations of the expressions. This is a revolutionary idea that can utilize RDA's interconnectivity even between precedents that partners at legal firm were currently working on. On applying this, Doyle (2015) had found that searching for a specific case analysis had become far simpler due to the links that the new method has provided. As this transfers control of navigation to the user of the catalogue, resource discovery, access to information and user experiences have improved. Doyle concluded by urging librarians in this area of expertise to keep exploring RDA's potential in a creative manner.

## **2.2.2 Cataloguers views from other developed countries**

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### **2.2.2.1 German speaking countries as described by Aliverti, Behrens, and Schaffner, (2016).**

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Aliverti, Behrens, and Schaffner's (2016), paper described a three-year project on the implementation of RDA within Germany, Austria and German speaking Switzerland, which came to a completion at the end of 2015. Sixteen allies participated in the project based on their historic collaboration of more than a decade, the use of mutual standards, and their joined membership in the policy body called the Committee for Library Standards. The participants included representatives from national libraries, public libraries, special libraries and other library consortia.

Aliverti, Behrens, and Schaffner (2016) stressed that RDA's name recounts its purpose, namely for description of resources in such a way that they are made accessible. According to them the standard focuses its attention on the user and what questions the user might want to have answered when searching and locating resources.

Aliverti, Behrens, and Schaffner (2016) stated that because of the diverse nature of the three countries' culture and legislative structures, the adoption of RDA was a prerequisite to future collaborative sharing of information.

In Germany, higher education libraries mostly belong to one of six regional library networks. Although academic libraries in Germany use different cataloguing formats, cataloguing rules are applied consistently according to the Rules for Descriptive Cataloguing in Academic Libraries.

In Austria, higher education and administrative libraries are included in the Austrian Library Network, with more than eighty of them contributing to online cataloguing.

Switzerland's library milieu is diverse despite its size and there are two main library networks. The Swiss have no national, coordinated cataloguing program that guides bibliographic data, authority data, and subject headings. RDA adoption would be an important step forward for Swiss libraries, as records will become more standardized easing cooperation and the sharing of data.

Aliverti, Behrens, and Schaffner (2016), state that to achieve a unified system of corporate data exchange in the German speaking countries, it was important to get as many institutions involved as possible. Another need identified was to have RDA translated into German and for the translation to be continually updated and enhanced. To help achieving this, the sixteen participant organizations were unified and then divided into working groups that would focus on various specialist areas.

The first step of implementation saw an agreement about special material which, included music, maps, legal works, religious material and rare materials. For this purpose, a working group of experts was born in 2015 and the creation of Rules for Cataloguing of Literary Estates and Autographs (Regeln zur Erschließung von Nachlässen und Autographen, RNA) would be their prerogative.

Another important aspect of the implementation project was to ensure the development of shared policy statements, the continual update of training material and the establishment of the RDA-Info-Wiki. The wiki was important as it ensured that participants would all remain informed of any changes or decision implications.

Currently the German National Library serves as a European representative on the European RDA Interest Group. One of the functions thereof is to clarify European cooperation of RDA users and to ensure equal representation in RDA committees.

While the RDA working group was working on the establishment of German policy statements, they focussed their attention on instructions that needed clarification, for use in the unique linguistic and cultural milieu required in the German speaking countries.

Institutions within the German-speaking countries have been creating bibliographic and authority records using RDA since January 2016.

Where the cataloguing of special materials was concerned, the German-speaking countries opted not to pursue a full integration between the Rules for the Cataloguing of Literary Estates and Autographs Rules (Regeln zur Erschließung von Nachlässen und Autographen, RNA) and RDA. They rather decided to work on the creation of guiding principles that could be used by both and clearly define the bibliographic and authority headings of the rules.

Another matter that the inception of RDA highlighted was the need for cooperation between all cultural bodies, as it would ensure the interoperability of the rules. Something else that this study revealed was that RDA would have to be upgraded to ensure optimization of guidelines for non-traditional library material such as graphic resources and articles that are safeguarded by museums.

The three national libraries that participated in the project have developed a layered cataloguing structure that allows for different levels of description, a basic one, a medium one and then a full one that allows for the transcription of all elements that exists within a resource.

Aliverti, Behrens, and Schaffner (2016) conclude that the process of implementation has seen cataloguers being very positive about RDA. There is also an acknowledgement of the fact that further input will be required by the German-speaking countries to bring about further advances in RDA's development.



From their paper, it became clear that the German speaking countries as a unit have unique challenges that needed to be addressed to ease RDA adoption. It also became clear that the adoption of RDA would bring about renewed opportunities for collaboration and ease the exchange of data. As the German speaking countries displays a unique linguistic and cultural milieu, participants had to ensure that German policy statements needed to include clear instructions in this regard. Apart from that, some further challenges as well as positive aspects of RDA that the German cataloguers expressed will be discussed under point 2.4.9.

### **2.2.3 Cataloguer perceptions from other areas and developing countries**

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#### **2.2.3.1 Turkey as described by Atilgan, Özel, and Çakmak (2014).**

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Atilgan, Özel, and Çakmak (2014) conducted a study in Turkey on the perceptions of academic cataloguing staff using RDA regarding the implementation of the standard. Their study is of importance to this current study as it covers RDA implementation within Turkish higher education libraries, located within a developing country, and covers the same spectrum of libraries, as does this study. According to Atilgan, Özel, and Çakmak (2015), various higher education libraries in Turkey, on examining RDA identified some immediate benefits and are anticipating further enhancements as libraries continue to make use of the new standard.

Their research shed some light on the problems that developing countries are experiencing with the implementation of RDA as a cataloguing standard, which included technical issues and highlighted the need for improvement in their integrated library systems. It however stresses that, cataloguers in general within Turkish higher education institutions believed RDA was invaluable to ensure resource discovery, that it helped to improve online processes and assisted in the creation of a catalogue suited for use in an advanced library. Dana Hanford (2014) on the other hand does not support the view on resource discovery but found that with the suppression of some MARC fields, metadata librarians that participated in the RDA test conducted in America believed it would improve description precision.

In Turkey, apart from bibliographic description of Turkish material, English, German, and Italian material are also included in Turkish catalogues. Apart from these Turkish cataloguers, also create cataloguing records for Ottoman Turkish and Arabic materials to ensure all resources related to their rich cultural history is included (Atilgan, Özel, and Çakmak, 2014).

In summary most cataloguers within Turkish higher education institutions were positive towards RDA because it assisted in resource discovery, improved online processes and assisted in the creation of a superior catalogue.

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#### 2.2.3.2 China as described by Chong Luo and Qi's (2014).

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Chong Luo and Qis (2014) took a deeper look at RDA research conducted in China. Research among academics in China on RDA had a slow start with only two studies in 2006 and another study in 2009. Since RDAs, official launch the interest in the new standard has grown rapidly. Chinese researchers focused mainly on three things: the basic principles of RDA drawing the most interest, followed by RDA as compared to Chinese cataloguing rules and, lastly RDA's localization discussed against the background of the Chinese cataloguing milieu.

By mid-2012, the translation of RDA into Chinese started with experts from not only the American Library Association and the National Library of China represented, but also from various other important institutions. An initial draft of the translation was finished by November 2012. Some of the characteristics of the RDA Chinese translation are:

- The Chinese translation is faithful, expressive and elegant.
- The terminology includes that of RDA, AACR2 and ISBD; updated with new information until July 2013.
- All examples provided is in both Chinese and English, and clarifying notes ensured that no deviations from the original text occurred.

Chong Luo and Qi's (2014) found that cataloguer opinions differ, but most Chinese librarians were not against the implementation of RDA and according to most

integration into the international library, community seems inevitable due to the increase in data exchange.

For adoption of RDA in China, the road was not without obstacles. China is a non-English country and has divergent cataloguing practices. RDA is complex in both its terminology, and the FRBR and FRAD concepts upon which it resides. Another concern raised by the Chinese cataloguing community is the potential of inconsistency that RDA's flexibility might hatch. In China, there are different cataloguing standards for Chinese and foreign language material. Description of foreign language material is performed, by following the Descriptive Cataloguing Rules for Western Languages, which aligns with ISBD, and AACR2, and is done in CNMARC format. The description of Chinese resources is done using the Chinese Cataloguing Rules, which is a Chinese adapted version of ISBD, done in MARC21 format, accommodating the characteristics of local resources and users' methods of searching. These standards differ in both description and authorized access points. The question arose whether to create different policies for the two or whether to seize the opportunity to adopt a single set of rules. A decision was reached to commence with the foreign language resources first and that the Chinese resources should be looked at during a later stage. This made sense since the Chinese Cataloguing Rules would require substantial editing to align with RDA principles and the two conceptual models upon which it resides.

There are certain preconditions for RDA implementation in China:

- To adopt policies that considers the unique circumstances of the Chinese library community.
- It will be easier to implement RDA where the cataloguing of Western language material is concerned, but local policies are needed.

There is a need for the vigorous promotion of RDA. Within the Chinese cataloguing community, there is no definite plan for implementation and as a result, training has not seen the support it needed. Another issue related to implementation is the resulting cost in both staff time and continued cost. Not only do the Chinese need to consider the annual subscription fees to the RDA Toolkit, but also the substantial initial investment of both staff time and money. It will be important to start by developing a body that

will coordinate the implementation process. This body will not only have to coordinate the process but will also be responsible for the planning of the role out as a whole. Chong Luo and Qi's (2014) suggested that the National Library of China might be a viable candidate for this function with assistance from public, academic and scientific libraries. This would result in expanding inter-library cooperation and laying the foundations for the acceptance of policies over a wide landscape.

Such a body would be responsible for the following:

- The acquisition of national funding to assist in the localization process and to advocate RDA on a national level.
- Rallying experts to create local RDA policies and tweak instructions.
- Creating a website and publishing books and manuals to assist in the process of policy formulation, diversify user feedback and as a news medium on the development process.
- A Chinese version of the RDA Toolkit will have to be developed.
- Facilitating training on a national level via facilitator and online training.
- Conducting an RDA test and revising policies according to the outcome of the test.

Another recommendation was to create local cataloguing policies. For ease of cataloguing, it would be helpful to develop an RDA Concise Manual and other training materials that would guide cataloguers when creating MARC21 records using RDA. They also suggested that the Chinese government could be approached to carry the cost of the RDA Toolkit, which would allow even libraries in poorer areas to be able to access it.

An official RDA test period should be facilitated that would involve cataloguers from various industries. Areas of focus during the test period should include:

- The establishment of RDA's functionality within the Chinese library environment concerning accuracy and access.
- To determine whether records created, using RDA will be compatible to records already contained in catalogues.

- The testing of RDA's operability to establish how comfortable cataloguers are when applying the standard in the local setting and their ease in using the Chinese version of the RDA Toolkit.
- Establishing financial implications to implementation.

Following the test period Chong Luo and Qi (2014) advise that a survey could determine the results of the test and should include both objective and subjective questions.

Cataloguer perspectives revealed by Chong Luo and Qi's paper are found under section 2.4.9.

## **2.3 South African situation**

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While conducting the literature review it became clear that there was no published material available about RDA's implementation in South Africa. The researcher then contacted Ms. Marietjie de Beer (2016), the acting chairperson of the RDA-SA Steering Committee who provided the following information via email.

### **2.3.1 RDA and the National Library of South Africa (NLSA)**

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The National Library of South Africa (NLSA) was instrumental in the national roll out of RDA within a South African context. This process started in 2009 when members of the NLSA first introduced RDA to the South African cataloguing community. In the period following this introduction, the RDA-SA Steering Committee (RDA-SA SC) was established to provide guidance to the South African cataloguing community during the implementation period. In April 2012, this committee reached a decision to proceed with the implementation process in South Africa. This decision was informed by several factors. The first being the South African NACO (Name Authority Cooperative) members - libraries that constitute authoritative record descriptions of South African names and series that forms part of the Library of Congress's (LC) global name authority file, available globally via WorldCat. As NACO is a subdivision of the Library of Congresses Programme for Cooperative Cataloguing (PCC), the US RDA Test Coordinating Committee's decision to start implementing the new cataloguing

standard by March 2013 implied that the South African library members of SA NACO would have to implement the standard as well. Another factor influencing the decision was the fact that South Africa is an English-speaking cataloguing country.

The RDA-SA Steering Committee was in favour of a phased implementation approach that would include a training program spanning May 2013 to 1 August 2014. This approach has proven successful during the implementation of new ideas as it assists in overcoming resistance to change. Libraries impacted by LCs RDA decisions more directly would have to implement RDA first, although on a voluntary basis, and other libraries could join in when they considered themselves ready to make the leap.

In preparation of the first workshop hosted by the Interest Group for Bibliographic Standards in June 2013, RDA's official launch took place in March of that year. To ensure a smooth transition from AACR2 to RDA the NLSA was awarded a conditional grant by the Department of Arts and Culture. The use of workshops was a global phenomenon in the supplementary training of people responsible for the creation of authority records.

The NLSA initially hosted four RDA Workshops facilitated by experts from the NLSA and higher education institutions across four South African provinces. These included Port Elizabeth in the Eastern Cape, Bloemfontein in the Free State, Pretoria in Gauteng and Durban in KwaZulu Natal. Due to popular demand, another workshop had to be hosted in Cape Town in the Western Cape.

The workshop program covered the following subjects: an RDA Toolkit demonstration; guidelines for RDA cataloguing for printed as well as audio-visual resources; RDA cataloguing guidelines for text-based electronic resources, and RDA cataloguing guidelines for serials and journals, name authority access points (personal and corporate names) and series access points. A distinctive feature of the workshops was the interaction between presenters and attending delegates, and the way in which various people shared their knowledge, thoughts and interpretations. The general feedback was very positive, and delegates found the sessions to be both practical and informative.

The aim of the RDA-SA Steering Committee was to ease the transition from AACR2 to RDA by providing training to as many cataloguers as possible. Training sessions were both intuitive and well organized and excellent results were achieved. Among the attending delegates were South Africans as well as librarians from neighbouring countries, which were Namibia and Botswana.

The lull in the South African literature regarding RDA seems to suggest that the cataloguing community has opted to adopt the new standard and work it as best they can. As mentioned before, there has been little information regarding the responses of cataloguers after the actual test period. Some research still needs to be done to address the shortfall of information on the subject and assist those with a passion for the art of cataloguing by better informing them.

## **2.4 Common themes identified globally**

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As Park and Tosaka's (2015) literature review covered information from various countries, their information acted as a good starting place. They found that many cataloguers from Australia, New Zealand, Canada, and Great Britain did not believe they possessed adequate operational knowledge in relation to RDA. These cataloguers reported a limited exposure to RDA that did not transcend the enhancement of newly imported RDA records (Park and Tosaka, 2015). Due to views like this training is seen as a crucial element of successful RDA adoption.

Awareness is another important aspect, as Chong Luo and Qi (2014) showed that a lack of awareness had led to the slow adoption of RDA in China. Since more information about the standard became available, training has been on the increase (Chong Luo and Qi, 2014). In Turkey Atilgan, Özel, and Çakmak (2014) indicated it as a top priority to ascertain an even and effective conversion to the new cataloguing standard. Thus, Maurer and Panchyshyn's (2014) argument for advocacy of the new standard is certainly of utmost importance.

Park and Tosaka (2015) found that the fact that RDA still operates within a MARC environment made for a smooth transition to RDA in both small and large higher education libraries. According to Park and Tosaka's (2015), this is a result of the RDA

developers, insistence, that it should be compatible with AACR2's structure. Their participants felt that in a post-MARC era, bibliographic description would be less taxing, as cataloguers would be able to harness RDA's interconnected links. An opinion that many of cataloguers holds is that RDA's full potential will not be realised until a replacement for MARC is found and cataloguing can move into a linked data environment (Hanson and Parks, 2013).

De Beer (2016), Maurer and Panchyshyn (2014), Park and Tosaka (2015) and Turner (2014) all believed LCs full adoption had acted as a catalyst in the resulting international adoption of RDA. This was true for other important players in the cataloguing arena as well, like PCC. The national libraries in various countries had a role to fulfil within the adoption, roll out and training of RDA. This was true in America (Hanford, 2014; Maurer and Panchyshyn; 2014; Turner, 2014), South Africa (De Beer, 2016), and globally (Chong Luo and Qi, 2014; Park and Tosaka, 2015). The RDA-SA SC's decision to embrace RDA was influenced by NACO membership, and because South Africa's cataloguing is done in English.

Many of the papers talked about the do's and don'ts of RDA implementation, including training insights, and the financial implication of RDA implementation. An important matter was the allocation of adequate time in preparation for RDA implementation, and training. Maurer and Panchyshyn (2014) reported that it better prepared them for actual work in RDA. Cronin believed that it ensured that their normal schedule was not affected during the test period (Hanson and Parks, 2013).

#### **2.4.1 Initial vs later perceptions**

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Although some cataloguers voiced initial reservations regarding RDA, most of these were resolved (Turner, 2014). In general, German cataloguers were very positive about the new standard, expressing a fondness for describing resources according to "FRBR entities" and preferring RDA's method of describing content, media and carrier type. Something that Park and Tosaka (2015) ascribed RDA's ability to produce good metadata to.



Chinese cataloguers believed RDA would ease data exchange on an international level (Chong Luo and Qi, 2014). Cataloguers from Australia, New Zealand, Canada, and Great Britain voiced concern about day-to-day operations whilst preparing for RDA (Park and Tosaka, 2015). However, an American cataloguer from a small academic library voiced the opinion, that once they were familiar with RDA they saw a decrease in record creation time of up 40% when cataloguing printed material, and 25% when cataloguing “non-print materials (Hanford, 2014). Overall many cataloguers, once practised in its application, were positive about the standard, and believed that its ability to fulfil patrons’ information needs was a definite positive characteristic of the standard. Many libraries have opted to proceed with full implementation after participating in an RDA test, as they found RDA to be the way forward (Park and Tosaka, 2015; Hanson and Parks, 2013; Maurer and Panchyshyn, 2014; Hanford, 2014).

Park and Tosaka (2015) found that not much of a difference existed between responses from larger or smaller higher education libraries. They recorded both positive and negative responses, discussed under point 2.4.9.

#### **2.4.2 Views on training**

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Cataloguers in the US public library sector rated training as a top priority of RDA adoption (Lambert, Panchyshyn and McCutcheon, 2013 as cited by Park and Tosaka, 2015). Australian and New Zealand cataloguers voiced the opinion that they needed up to two-days of full training, while others felt they needed training with no time limit, as well as access to guidance until they felt comfortable with the new standard (Park and Tosaka, 2015). This might be reasonable considering some US cataloguers believing that the training they received had not been enough to make them comfortable in applying RDA rules (Park and Tosaka, 2015). In fact, some US cataloguers doing original cataloguing were still making use of AACR2 exclusively (Park and Tosaka, 2015).

When learning RDA, it is important to get to know the constructs of RDA and FRBR first as it brings clear understanding regarding entity type and navigation within an RDA milieu (Hanson and Parks, 2013). Many libraries expressed appreciation towards PCC, OCLC, for the way the RDA test and rollout were handled. Sanner (2012) as

purported by Park and Tosaka (2015), reported that cataloguers believed training had improved their operational knowledge of RDA. Duke's staff found the material that was on offer by LC and PCC assisted in the training of their staff (Turner, 2014). Turner (2014) also emphasised that it was the commitment and determination displayed by their staff and staying informed that assisted in successful implementation. Park and Tosaka (2015), found that training has served to improve cataloguers' knowledge about RDA, but further revealed that there was a vast difference in knowledge between larger and smaller higher education institutions. When training staff, it is important to focus on the basics. This is something that Turner (2014); Aliverti, Behrens, and Schaffner (2016); the Tosaka and Park study conducted in 2014 and cited by Park and Tosaka (2015), all revealed. Apart from that Australian and New Zealand cataloguers wanted the training to be practical in application (Kiorgaard, 2010; Todd, Stretton and Stewart, 2010 as purported by Park and Tosaka, 2015).

KSUL paraprofessional staff preferred to make use of pre-defined guidelines as this was something that they had also done during AACR2 copy cataloguing (Maurer and Panchyshyn, 2014). The copy cataloguing activities at CCSU followed the same trend of following predefined guidelines (Hanford, 2014).

As the NACO RDA training was a prerequisite, Duke decided to go ahead with the training presented as videos and slide shows (Turner, 2014). Some of the training consisted of self-training using slides in addition to both large- and small-group meetings. Large group meetings included information on the differences between AACR2 and RDA, and further highlighting options that could be viewed on OCLC, such as relationship designators. During small group meetings, bibliographic records created by participants were discussed and these meetings were rated very beneficial.

Questions that Duke had to answer once it became clear that RDA's adoption was a foregone conclusion, was whether and when to adopt RDA, what route to follow, and what training to offer (Turner, 2014). What stood out was that a more direct route of training was more beneficial, and the online training material further contributed to a time efficient training process.

Turner (2014), made the following recommendations about RDA training from the experiences they had at Duke:

- Training can be shortened and yet remain effective when cataloguers commit to keeping abreast of changes and continue the learning process by applying RDA's rules daily.
- When training staff it is important to focus on the basics and RDAs underlying principles.

The Canadian study revealed that training was a primary area of concern within the cataloguing community (TSIG RDA Training Needs Assessment Working Group, 2010 as cited by Park and Tosaka, 2015). The British Library's questionnaire revealed the same trend (Danskin (2010) as cited by Park and Tosaka, 2015). The amount of time allocated, was considered an important aspect of successful training outcomes. All cataloguers displayed a preference to peer learning as opposed to online training methods such as webinars.

In the USA "hands-on training underpinned by training exercises was mentioned as the preferred method of learning (Danskin, 2010; Kiorgaard, 2010; Todd et al., 2010; TSIG RDA Training Needs Assessment Working Group, 2010 as cited by Park and Tosaka, 2015). However, this was not something that was anticipated when the planning for the training was done. The Canadians in fact expected self-learning methods to be costly and not as accessible to all participants, and therefore preferred the "online training approach. Webinars was a preferred method of training due to the available web-based technology (TSIG RDA Training Needs Assessment Working Group, 2010 as cited by Park and Tosaka, 2015).

Sanchez (2011), as cited by Park and Tosaka (2015), found that only 30 percent of the participants she approached felt their knowledge of RDA was "above average". Issues raised in the Sanchez study revolved around learning, training, whether RDA adoption would impede throughput and how it would affect daily work schedules. Sanner (2012) as cited by Park and Tosaka (2015) send a questionnaire to heads of cataloguing departments of higher education institutional libraries in the US who formed part of the Association of Research Libraries (ARL).

Park and Tosaka (2015) reported that “peer learning” was most useful when conducting training sessions as it put participants at ease. Their results also showed that to facilitate a smooth conversion to RDA, training of at least 100 hours were desirable.

Cronin, as purported by Hanson and Parks (2013) suggested rather making use of the training material available from PCC, than creating one’s own training manuals.

In China, RDA training has been on the increase since a greater awareness of the standard ensued. This included a training session with Barbara B. Tillett, chair of the Joint Steering Committee for the development of RDA, attended by 200 cohorts Chong Luo and Qi (2014). Chinese cataloguing experts, Hu Xiaojing and Shen Zhenghua also hosted sessions to advocate RDA. A lack of awareness has caused the adoption of RDA to be slow in China. The Shanghai Library however has actively been using RDA since July 2013. They have developed policies for the use of RDA for Western language resources. From their participation, three important factors came to light being: allow for adequate preparation, cataloguers should be aware that cataloguing in RDA might require additional time and they also realised that the creation of cataloguing records using RDA was not as hard as people imagined it to be (Chong Luo and Qi, 2014).

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#### 2.4.2.1 Training material

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Not all the authors addressed this aspect, but some expressed appreciation for both the quantity and quality of the training material provided. Many institutions globally made use of the LC training material that was available and did not develop local training material. Among these were Kent State University Libraries (Maurer and Panchyshyn, 2014) and the University of Chicago (Hanson and Parks, 2013). Some of this material included recordings of a seminar hosted by LC, which could be used for in-house training (Hanson and Parks, 2013). Duke (Turner, 2014) specifically stated that the online training material supplied by LC and PCC simplified their training processes although they did not make use of that exclusively. Park and Tosaka (2015) however reported some inconsistency with the LC training material highlighting the need for consistent, reliable, and up to date training material that included adequate information on “non-book” and non-English resources. Park and Tosaka (2015) noted a substantial

divide between small and large higher education institutions relating to the amount of training material and the venues of training delivery with larger institutions having access to more resources than their smaller counterparts had. The larger library participants reported being fortunate to have access to not only their own institutional training material, but also had the opportunity to attend seminars, “webinars”, while also having access to the freely available material from LC (Park and Tosaka, 2015). The smaller library participants reported having to rely on the online material that was available, “webinars”, and they mostly adhered to training at their own pace using these (Park and Tosaka, 2015). At Central Connecticut State University only the head of the cataloguing department participated in the official test, due to staff constraints, however the other staff members still had access to the training material provided by LC and the RDA Toolkit (Hanford, 2014).

Whereas it is noteworthy that many English-speaking countries opted to make use of the LC and PCC training material exclusively with some additional training employed in certain instances, this was not an option available to non-English speaking countries in both the developed and developing world. These countries were the German speaking countries including Germany, Austria, and German-speaking Switzerland as well as China (Aliverti, Behrens, and Schaffner, 2016; Chong Luo and Qi, 2014). However, the material developed in the German-speaking countries was kept as close to that of LC as possible (Aliverti, Behrens, and Schaffner, 2016). As the Chinese, where still in the process of developing Chinese training material it is impossible to tell what approach was taken there.

Canadian, British, Australian, and New Zealand cataloguers, felt that training should be practical while covering topics such as basic principles of cataloguing in RDA, differences between AACR2 and RDA or FRBR concepts, new elements and changed instructions, RDA vocabulary, RDA within a MARC 21 milieu, and how to use the RDA Toolkit (Park and Tosaka, 2015). Park and Tosaka (2015) identified a need for the development of training material specifically suited to the bibliographic description of “non-book” resources, and resources in languages other than English. The paper by Atilgan, Özel, and Çakmak (2014) was the only one mentioning cataloguer’s need for

information on non-RDA related topics during training, such as the management of staff, schedules, digital collections, and “change management”.

Park and Tosaka’s (2015) study identified the existence of a gap between cataloguers day-to-day cataloguing practice and RDA principles based on the FRBR framework. As RDA moves us to a linked data scenario, there is a real need to address this situation.

Training of German cataloguers in authority data included a broad overview of RDA and FRBR and a discussion of the RDA Toolkit (Aliverti, Behrens, and Schaffner, 2016). All German training materials were ready for use by March 2015 the training schedule included the following six modules: One - Fundamentals including FRBR, and the RDA Toolkit. Two - Basics of RDA cataloguing theory including new elements in RDA, and preferred source of information. Three - Basics of RDA cataloguing-practice including composite description, policy statements related to elements for manifestations, expressions, and works and their relationships. Four - Authorities instructions and policy statements. Five A - RDA advanced - monographs. Five B - RDA advanced - serials. 6 - Special Topics including rare books (Aliverti, Behrens, and Schaffner, (2016).

Cataloguers of Atilgan, Özel, and Çakmak’s (2014) study, reported the following among their top training topics: a session on FRBR and FRAD, and on how the two concepts should be used in the creation of links to other RDA “entities”.

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#### 2.4.2.2 Training networks

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Collaboration both on an intuitional and inter-institutional level was a positive aspect of the training that many cataloguers mentioned (Hanford, 2014, Maurer and Panchyshyn, 2014, Park and Tosaka, 2015 and Turner, 2014). Cataloguers from the German speaking countries specifically felt that networking both during and post training were invaluable to the training process and that it would in future ease record sharing within their networks (Aliverti, Behrens, and Schaffner, 2016). Continued collaboration on an international cataloguing level is what also made Chinese cataloguers realise that they would have to consider the possibility of adapting RDA (Chong Luo and Qi, 2014).

Hanford (2014) found the remarks and “insights” by fellow participants of the RDA test to be invaluable during the training period prior to the test. CCSUs early adoption of RDA has put them in a position where they could assist other libraries with advice regarding what they have learned (Hanford, 2014).

In today’s digital environment, there are many opportunities to engage in networking which include online aids, virtual learning, and the use of wikis to ensure information flow to all participants. Countries both in the developed and developing world made use of some of these platforms to a lesser or greater degree (Aliverti, Behrens, and Schaffner, 2016, Chong Luo and Qi, 2014 and Hanford, 2014).

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#### 2.4.2.3 Training format

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Park and Tosaka (2015) found that training environments in the various library sectors were diversified, and that in general academic libraries benefited from a budgetary and resource rich environment that other libraries might not have access to. Many used various methods of training including blended learning, on the job training of which cataloguing supervisors and occasionally original cataloguers were mostly in charge of (Park and Tosaka, 2015). Sanner (2012) found that most American Research Libraries made use of “webinars” and internal collaborative training, after which they attended “national association workshops/presentations and web-based courses” (Park and Tosaka, 2015). In the German speaking countries, training was done independently, and the various partners conducted the training according to their needs; as above some used blended learning, while others used on the job training (Aliverti, Behrens, and Schaffner, 2016). In the Park and Tosaka (2015) study cataloguers enjoyed group sessions where they had the opportunity to discuss their individual progress and highlight issues that they might have come across. The cataloguers from Park and Tosaka’s (2015) study felt that it enhanced their learning as individuals learned from each other’s experiences. Many cataloguers have the view that it is best to get to know a new system through experience in actual cataloguing practise.

Cataloguers from both developed and developing countries expressed the opinion that staff benefitted from an adequate training schedule that allowed enough time for

personal development. KSUL supported this view as they felt that staff benefitted more from continual training over a longer period (Maurer and Panchyshyn, 2014). Their cataloguers felt that the repetitive nature of this assisted in building their tacit knowledge of the new standard and better prepared them for actual work in an RDA cataloguing environment (Maurer and Panchyshyn, 2014). Cataloguers at Duke found that formal training could be shortened on the condition that staff were allocated time to stay abreast of continual developments (Turner, 2014).

The German-speaking cataloguers benefitted from a training schedule that advanced from fundamental, basic principles to matters that are more complex.

Some institutions in America made use of different training approaches for their professional and paraprofessional or copy cataloguers (Hanford, 2014 and Hanson and Parks, 2013), but this was not a trend everywhere.

Participants from Park and Tosaka's (2015) study reported spending about 450 hours of training in larger higher education institutions. While smaller higher education institutions reported only about a quarter of that time which was spent on modules that was provided by PCC and attending training sessions on offer by other associations such as "the Music Library Association and Online Audiovisual Cataloguers". Apart from official training sessions, most participants reported an additional 110 hours of group discussion sessions.



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#### 2.4.2.4 Training feedback

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Hanford (2014) reported that cataloguers felt that the collaborative aspect of training enriched and "expedited" the learning process, but that training need not be expensive as a lot of the material is freely available at no cost. This collaborative process was very helpful in such a small department, as they could share experiences with others working at much larger organizations.

Park and Tosaka (2015) found that cataloguers favoured group training methods as it put them at ease and expedited their learning experience. At Duke, cataloguers found small group meetings to be very beneficial as it gave them the opportunity to discuss



bibliographic records that they created, and participants could learn from each other's experiences (Turner, 2014).

A distinctive feature of the South African workshops was the interaction between presenters and attending delegates, and the way in which various people shared their knowledge, thoughts and interpretations (De Beer, 2016). The general feedback was very positive, and delegates found the sessions to be both practical and informative (De Beer, 2016).

Park and Tosaka (2015) found that training schedules mostly included the following areas of interest:

- Differences between AACR2 and FRAD – which most of the participants highlighted as being useful,
- Discussion on FRBR, and the divergent content of RDA – seen as being second to the above
- Kidane (2013) noted that the availability of free training material would be a prerequisite for the global implementation of RDA (Park and Tosaka, 2015).
- Lambert, Panchyshyn, and McCutcheon (2013) felt that training was a top priority in public libraries and that it should be made available at a low cost due to budgetary constraints and lack of administrative support within certain libraries (Park and Tosaka, 2015).
- Park and Tosaka (2015) reported that the participants from their interview study did not report major problems during the preparation period. Issues reported were, inconsistency in the training documents with certain areas not addressed at all. Another problem was the fact that current OPAC systems were unable to cover all the RDA elements.
- Cronin, as cited by Hanson and Parks (2013), expressed the opinion that there was an eagerness amongst staff to continue with RDA, as they believed that cataloguing in RDA had definite positive implications, especially its ability to fulfil patrons' information needs. Positive and negative opinions about RDA follow under point 2.4.9

### **2.4.3 View on AACR2 vs RDA in digital resource description**

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When comparing AACR2 to RDA, in relation to overcoming the limitations regarding digital resources, only one study mentioned this specifically. Morris and Wiggins (2016) believed RDA's flexibility assisted in the description of digital and other related material.

### **2.4.4 Ease of record creation using RDA**

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There were some of KSUL's copy cataloguers who expressed concern about RDA's flexibility, as editing local records according to institutional policy, might extend editing times (Maurer and Panchyshyn, 2014). When KSUL opted to upgrade records of reduced quality, they uploaded these upgrades directly onto OCLC WorldCat so that other users could also benefit from the upgrades. Chinese cataloguers also expressed concern about RDA's flexibility as it might lead to inconsistency in record creation, but most of their cataloguers felt that it was easier to apply RDA than what they expected (Chong Luo and Qi, 2014). At KSUL cataloguers observed that, the creation of authority records took longer than when they used AACR2 (Maurer and Panchyshyn, 2014). However, cataloguers from other higher education libraries thought that the additional elements added to authority records brought greater clarity (Park and Tosaka, 2015). Cataloguers from higher education libraries in the US liked the transcribe-what-you-see principle that RDA observes (Park and Tosaka, 2015).

### **2.4.5 Advantages of working in a digital environment**

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One of the advantages of working in a digital environment is that it makes the sharing of information easier. Turkish cataloguers also expressed the opinion that it streamlined online processes (Atilgan, Özel, and Çakmak, 2014).

### **2.4.6 Changes in staff and workflow routines**

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Hanford (2014) reported some minor alterations to Central Connecticut State University's workflows that served to shorten item process times and others reported an initial impact due to training that later diminished. Park and Tosaka (2015) reported

that editing of hybrid records also had an initial impact on some libraries' workflows. According to Maurer and Panchyshyn (2014), KSUL decided to incorporate new RDA records into their AACR2 catalogue rather than re-catalogue old AACR2 records as to ensure less of an impact on their workflow routines. Where access points were concerned Maurer and Panchyshyn (2014), said that there needed to be a balance between required access and the productivity of their cataloguers.

Park and Tosaka's (2015) participants felt that once the cataloguing world enters a post-MARC era, bibliographic description would be less time consuming, as cataloguers would be able to harness RDA's interconnected links. RDA has the potential to influence library data re-use positively and highlight a much larger scope of information to the user. Other participants felt it would have served them better if RDA implementation happened only once a replacement of MARC had been found. They had hoped that this would cultivate a period of advocacy for library catalogues, while working with vendors to ensure a data environment much better suited to user expectations.



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#### 2.4.7 RDA Toolkit

This was not something that all the authors touched on, but German cataloguers thought that the fact that it was readily available online and searchable was a useful aspect of the Toolkit when navigating RDA's numerous rules (Aliverti, Behrens, and Schaffner, 2016). This was not an opinion shared by all cataloguers from developed countries, as some American cataloguers found it not to be very user friendly until one grew more familiar with the concepts within FRBR and RDA (Hanford, 2014). Hanford (2014) mentioned that the shared workflow included under the Tools Tab of the first edition of the toolkit was useful as it contained examples even though it lacked enough audio-visual examples. As the Toolkit forms such a pivotal part of RDA she was determined to get to know the "content and arrangement of this product rather than rely on the supplemental documentation" that formed part of the material that they received as participants of the test project (Hanford, 2014). Both German and Chinese cataloguers realised the importance of having a local translation because of its integral role in RDA (Aliverti, Behrens, and Schaffner, 2016 and Chong Luo and Qi, 2014).

### 2.4.8 WEMI elements

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Some cataloguers were positive about the way in which RDA allows cataloguers to relay the relationships between the WEMI elements, and other related elements such as people, families or corporate bodies. Were non-library material hosted by museums are concerned RDAs formulation of the WEMI entities would have to be reassessed (Aliverti, Behrens, and Schaffner, 2016). Aliverti, Behrens, and Schaffner (2016) explains that in archival cataloguing the origin of an object is of more importance than the title (which in traditional cataloguing forms the heart of a record) and therefor RDA will have to see further developed to align with the needs of users in this context.

### 2.4.9 Perceptions about RDA

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This section includes mostly a summary about the perceptions of cataloguers on the new standard, RDA, with two exceptions, that of Hanford's (2014) focus group and that of Cronin's external feedback (Hanson and Parks, 2013). The CCSU cataloguers wanted feedback from librarians outside the technical domain and patrons regarding the display of RDA records incorporated into their catalogue. Hanford (2014) prepared a presentation called, "RDA for the Non-Cataloguer" to show to a focus group that could provide feedback about the RDA records. The feedback from the focus group (both positive and negative) follows under point 2.4.9. Cronin reported that external people did not notice much of a difference in the display of their records, because of applying RDA in the confines of the limiting MARC format (Hanson and Parks, 2013). The inclusion of the 336-338 fields has not rendered any response from patrons at UCHI and since they never instituted the GMD in their AquaBrowser catalogue interface, the omittance of the GMD made no difference to them (Hanson and Parks, 2013).

As was seen elsewhere, cataloguers from German speaking countries were excited about the prospect of getting started with RDA (Aliverti, Behrens, and Schaffner, 2016). Although no formal surveys on cataloguer responses have been done there has been some feedback obtained during the training sessions conducted. Cataloguers expressed a fondness of being able to describe resources according to "FRBR entities" Aliverti, Behrens, and Schaffner, (2016). German cataloguers were generally very

positive about RDA and thought that continued input from participants within the German speaking countries would bring further advances (Aliverti, Behrens, and Schaffner, 2016).

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#### 2.4.9.1 Limitations of RDA

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Cataloguers from various parts of the world raised the following concerns:

- Cataloguers from developed and developing countries saw RDA's flexibility as a limiting factor of the standard that might lead to inconsistency. This was a concern expressed by both KSUL (Maurer and Panchyshyn, 2014) and Chinese cataloguers (Chong Luo and Qi, 2014).
- One study highlighted the importance of breaching the gap between daily cataloguing practice and RDA principles based on the FRBR framework as RDA steers cataloguers towards a linked data scenario (Park and Tosaka, 2015).
- German cataloguers expressed concern about RDA's numerous instructions (Aliverti, Behrens, and Schaffner, 2016).
- Cataloguers from the German-speaking countries also realised that common ground between RNA (Regeln zur Erschließung von Nachlässen und Autographen = Rules for Cataloguing of Literary Estates and Autographs) and RDA in the form of a policy statement would have to be found. This led to the creation of guiding principles that could be applied in both RDA and RNA (Aliverti, Behrens, and Schaffner, 2016).
- In Turkey, some technical issues were reported during RDA implementation, which illuminated the need for an improved integrated library system within Turkish libraries (Atilgan, Özel, and Çakmak, 2014). This is an important matter as Aliverti, Behrens, and Schaffner (2016) also felt that technical considerations needed attention to ensure the exchange of data, especially because of the different cataloguing formats (MARC 21, Aleph Sequential: ASEQ and PICA) that was in use in German speaking countries.
- Some cataloguers felt that RDA added additional problems in their cataloguing workflows, instead of creating better solutions (Park and Tosaka, 2015).

- An important matter identified during the US RDA test was that RDA instructions were poorly constructed and were not easy to follow (United States RDA Test Coordinating Committee, 2011 as cited by Park and Tosaka, 2015).
- The opinion that the relator term “author” was redundant as this is something automatically generated by the user interface, was voiced (Hanford, 2014).
- Adding the information in the 336-338 fields in bibliographic records, as it was not usable within a MARC environment (Hanson and Parks, 2013). Reports from librarians and users outside of the cataloguing department relayed confusion with regards to the display of these fields as it made the records look cluttered and CCSU opted to suppress these fields (Hanford, 2014), while Turner (2014) reported that Duke decided to omit them completely.
- The display of multiple publication dates in the 260 field, a hallmark of early RDA records, was voiced as a major concern (Hanford, 2014).
- The display of the title in capital letters (another hallmark of initial RDA records) was something that the members of the focus group did not find appealing, even though it did not affect retrieving the source (Hanford, 2014).
- Some problems expressed by users could be overcome by suppressing the identified fields, but this was not the case for all problematic fields, which included the multiple publication/copyright dates in the original 260 fields (Hanford, 2014 and Hanson and Parks, 2013).
- The fact that the RDA Toolkit did not have an index, something that has since been resolved (Hanson and Parks, 2013).
- UCHI have elected not to extend RDA to non-MARC metadata as structures such as Dublin Core does not integrate well with RDA (Hanson and Parks, 2013).
- Chinese cataloguers expressed an opinion that the examples used in RDA were not user friendly and not representative of the MARC21 format that many of them knew (Chong Luo and Qi, 2014).
- According to some cataloguers, the English language bias had not been eliminated (Park and Tosaka, 2015).
- Chinese cataloguers found the fact that China is a non-English country and additionally uses divergent cataloguing practices (using two separate standards

when cataloguing Chinese material and foreign language material) created compatibility issues.

- Chong and Qi (2014) study also voice the opinion that RDA's complexity in both terminology and conceptual context was a challenging aspect of the new standard.
- A Chinese version of the RDA Toolkit would need to be developed as the toolkit forms such an integral part of the standard.
- Morris and Wiggins (2016) felt that inter library loan systems and user interfaces harvesting RDA metadata would need development to fully harness RDA's full potential.

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#### 2.4.9.2 Mixed reactions

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There were mixed reactions from Hanford's (2014) focus group about the MARC 1XX and 7XX relator terms used.

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#### 2.4.9.3 Advantages of RDA

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The following advantages and benefits of RDA from both developed and developing countries has been highlighted by the literature review and will be showcase under the following bullet points:

- Duke could continue to contribute to the LC/NACO authority file as well as continue to publish cataloguing in publication data in collaboration with LC for works produced by Duke Press (Turner, 2014).
- Hanford's (2014) focus group felt that RDA records were preferable to the old records as they were clearer in the display of descriptive elements.
- Park and Tosaka (2015) reported that metadata created while using RDA leans itself more towards the electronic knowledge environment, is usable in various computer platforms and is user friendly.
- In view of the previous point as well as because of RDA's ability to allow for links between interrelated resources and related entities, as well as the descriptions of material in various formats, according to Morris and Wiggins (2016) and Aliverti, Behrens, and Schaffner (2016) the sharing of metadata

internationally would be streamlined. Due to this Atilgan, Özel, and Çakmak (2014) anticipated information displayed in library interfaces and resource discovery to be far more advanced which would lead to the creation of an advanced catalogue.

- Doyle (2015) found that RDA's unique structure and its ability to create links between resources has great potential within a legal setting. She explained that it improved navigation of the catalogue, finding associated resources, improved resource discovery, and ultimately ensured a positive user experience (Doyle, 2015).
- RDA's flexibility allows for greater cataloguer judgement (Turner, 2014).
- The omission of the GMD was received positively by CCSU cataloguers and patrons as the information could easily be obtained from the data contained in the 3XX and 5XX MARC fields (Hanford, 2014).
- Users preferred RDA records to AACR2 records as they considered them clearer in both display and descriptive elements even though they did not find resource discovery to be substantially better (Hanford, 2014).
- The distinct use of the 37X fields in authority records were positively received (Hanson and Parks, 2013).
- The omission of abbreviations was a definite positive element of RDA (Hanford, 2014; Hanson and Parks, 2013; Maurer and Panchyshyn, 2014, and Park and Tosaka, 2015).
- The omission of the rule of three, which allows cataloguers to transcribe as many authors as needed, was also welcomed (Hanson and Parks, 2013).
- German cataloguers preferred the new way of describing content, media and carrier type and the way in which RDA allows cataloguers to relate the relationships between "WEMI, persons, families and corporate bodies" (Aliverti, Behrens, and Schaffner, 2016).
- The fact that there were few changes between AACR2 and RDA's bibliographic description when cataloguing standard monographs in MARC 21 format was also seen as a strength (Park and Tosaka, 2015).



- Park and Tosaka (2015) concluded that RDA's easily understood format was a favourite aspect among RDA users as it allows cataloguers to transcribe-what-they-see.
- According to Morris and Wiggins (2016), the most noted benefit expressed by LC staff members was the flexibility the new standard allows for when making cataloguing decisions.
- Cataloguers from the USA found the instructions to be more straightforward than AACR2 instructions, which improved the sharing of metadata internationally (Morris and Wiggins, 2016).

#### **2.4.10 Policy development in an RDA milieu**

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The development of local policies - a matter of interest during RDA implementation – was approached differently by different libraries internationally. Some libraries chose to use the LC and PCC policies as is, others developed local policies in view of their own unique circumstances, while others stressed the importance of consulting LC and PCC guidelines when developing policy. For instance, as KSUL is a NACO contributor, PCC (Program for Cooperative Cataloguing Policy Statements) guidelines were followed for name authority records and their policy formulation was further informed by the trends on a national level (Maurer and Panchyshyn, 2014).

As uniformity is such an important aspect of cataloguing and allows for the sharing of metadata among associates, KSUL as an institution made policy decisions in unison to streamline institutional implementation (Maurer and Panchyshyn, 2014). KSUL found it useful to adopt local policies regarding copy cataloguing and used their previous copy-cataloguing checklist used for AACR2 as a foundation for their new checklist for RDA copy cataloguing. Other libraries preferred to consult with PCC, and then rather apply those policies, than creating local ones (Hanson and Parks, 2013).

The following matters guided libraries to make certain policy decisions:

- LC's decision to implement RDA fully has been instrumental in libraries updating their guidelines and documentation of material that is of interest to their users. According to Maurer and Panchyshyn (2014), KSUL was informed

during the process of policy formulation by the trends on a national level. This was something that De Beer (2016) from South Africa also mentioned. According to Aliverti, Behrens, and Schaffner (2016) due to their unique linguistic and cultural milieu, and different cataloguing traditions the German-speaking countries had to develop shared policy statements in German accessible to all three countries' libraries.

- Because of NACO membership leading to contributing to the name authority file, many libraries worldwide needed to consult PCC guidelines during policy creation (De Beer, 2016, Hanford, 2014, Hanson and Parks, 2013 and Turner, 2014).

#### **2.4.11 Concluding summary**

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The literature review served the purpose of informing the researcher about the gaps in information and assisted in the development of the research purpose, design and research questions.

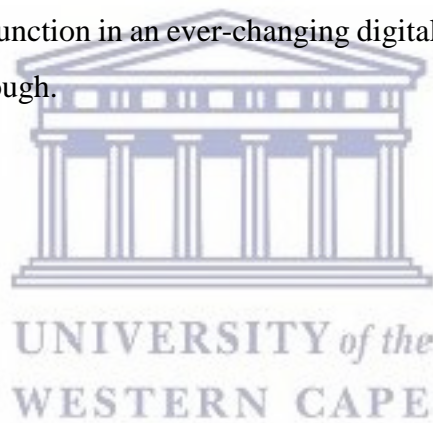
If one considers the fact that previous changes in cataloguing standards were associated with little information, even less assistance and cataloguers often had to work in isolation, the inception of RDA has been associated with much effort from the creators to ease implementation. RDA lives in a digital environment where time and space constraints have become less of an issue with many online tools to assist those involved. Cronin, as purported by Hanson and Parks (2013), applauded the general cataloguing community for the way they have worked toward a common goal that will serve to meet user needs in a more effective way. Park and Tosaka (2015) reported that their interviews revealed the dedication and passion cataloguers were willing to invest in enhancing their skills to ensure that the resources they were cataloguing were discoverable to their users.

Many cataloguing departments worldwide realised at some point that the adoption of RDA was an ineluctable reality. This is due to many diverse factors that influenced each library in a greater or lesser fashion. Cataloguing departments globally realised that once the Library of Congress made the move to RDA because of cooperative

cataloguing strategies that have been in place for many years, they would also have to take the plunge. RDA's adoption was necessary for continued cooperation and collaboration (Aliverti, Behrens, and Schaffner, 2016; Chong Luo and Qi, 2014).

A positive aspect of the adoption of RDA in today's digital environment is that it eases the sharing of metadata and inter-institutional collaboration. RDA's relatively easy adoption has been largely attributed to its similarity to AACR2, and its initial implementation in the existing MARC environment (Park and Tosaka, 2015). Both Park and Tosaka (2015) and Hanson and Parks (2013) highlighted the fact that a replacement for MARC would none the less be the only way to harness all of RDA's potential as it has the potential to give value to library data outside of the library sphere. Hanford (2014) supported this view as she realized that it will only be then that records created in RDA would start looking and acting differently.

To conclude Park and Tosaka (2015) stressed the importance of cataloguers continuing to hone their skills and to function in an ever-changing digital world. This is something that cannot be stressed enough.



## CHAPTER 3 - RESEARCH DESIGN AND METHODOLOGY

### 3.1 Introduction

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This chapter will discuss in detail the research foundations upon which this study resides. As the research design acts as a compass that steers any research project, it is important that the parameters upon which the research reside is clearly defined. A discussion on the purpose of the study is included. The chapter will also revisit the research questions the study was seeking to answer. Then a closer look will be taken at the study's research design and the reasons the specific methodology was chosen. Zoning in on the participants of the study, the research sites included in the study, will be described and continue to define the parameters of the population and the reasons why sampling was not necessary.

### 3.2 Purpose of the study

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The purpose of this study was to gain knowledge regarding the state of RDA implementation within a South African context and in doing so assist institutions and individual cataloguers employed there to successfully continue creating bibliographic records of quality.

This research endeavoured to find answers to the following research question:

- How has the transition from AACR2 to RDA been since its inception?

The study further aimed to answer the following sub questions:

- Has the implementation of RDA overcome most of the limitations that AACR2 had concerning resource cataloguing within a digital environment?
- Are there any perceived limitations to the new cataloguing standard?
- Are there any advantages of RDA as compared to AACR2?
- How do cataloguers perceive the new cataloguing standard, RDA?
- Have there been major issues concerning the training and implementation of RDA?

### 3.3 Research design and methodology

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A research design can be defined as the outline that a researcher must create to obtain answers to their research questions (SAGE research methods, 2017). The research design is what steers the researcher's study (Terre Blanche, Durrheim, and Painter, 2006). Therefore, the research design is what gives direction to the study. When choosing a research design the researcher is guided by the problem that they want to examine, and by the research questions and according to (Terre Blanche, Durrheim, and Painter, 2006), it ascertains that informed, reliable assumptions can be made at the end of a study.

According to Kraska (2010), qualitative research is geared to include a diversity of research methods and methodologies that can provide complete, comprehensive accounts and seek to mirror the complex and informative nature of our social interaction with the world around us. It is used to observe phenomena for a long enough time to gain understanding of what deductions might be made through that observation (Stake, 2010). Qualitative research acknowledges personal experiences, within a given situation, and then gains fresh perspective into the phenomena being studied (Stake, 2010). Quantitative research methodologies on the other hand are normally allied to the study of measurable "properties" and the relationship that might exist between them (Brewer and Headlee, 2010).

For this study, a qualitative research design was chosen, as quantitative research will not suffice to reveal the detailed perspectives that cataloguers have about RDA. As it was, the perspectives and opinions of people that the researcher was after, a qualitative study would be the only research design that could meet the requirements.

There are various approaches when conducting qualitative research, which all lead to different outcomes. According to, Hesse-Biber and Leavy (2011), this is a result of the joining of various research perspectives and forms a pivotal part of conducting "problem-centric" research which has at its heart research questions. Hesse-Biber and Leavy (2011) highlight three main areas of qualitative research approaches: post-positivist, interpretive, and critical. For this study, a phenomenological approach was

chosen as it assists to bring understanding of how individuals experience a certain phenomenon. Or as Smith and Osborn (2009) puts it requires an in depth look at participants' world, in this case their immediate work environment and continues to take a deeper look at how a person experiences a given event, in this case the inception of RDA within a South African milieu. A phenomenological approach resides under interpretive research and in this instance; it was used more for its philosophical foundation than as a method per se.

As this research is of an interpretive nature, it set out to gain implementation details from cataloguing supervisors and then to gain more focussed individual insights from cataloguers. A phenomenological approach is double layered as it involves first how participants are experiencing a phenomenon and then continues with the researcher setting out to interpret participants' experiences and what their observations of a phenomenon might say about the phenomenon (Smith and Osborn, 2009).

The use of a qualitative method is of importance to gain a deeper understanding of the functionality of RDA within the participant's world, cataloguing in general and their chosen institutions more specific.



### 3.4 Research sites

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As the selection of research sites is crucial to the success of any research project, careful consideration was taken to achieve maximum harvesting of data. Factors for consideration were ease of access to people involved in the study, data collection techniques and building rapport with the relevant stakeholders that would be involved in the process (Pickard, 2007).

The researcher has opted to perform the research within higher education facilities because these institutions are normally at the forefront of new developments in knowledge areas and thus makes a good choice for conducting research. Four higher education institutions located in the Western Cape were selected as research sites to conduct this study. The four institutions that were included all formed part of an inter-institutional higher education consortium formed in 2002 called CALICO, born for the

development of a strong higher education wing within the Western Cape area, by collaboration on an inter-institutional level (CHEC, 2017). The purpose of this consortium was to ensure a course of action that would breed development of the Twenty-first Century knowledge economy on a local, national, and international level (CHEC, 2017).

### **3.5 Research Population and Sampling Method**

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Library and information science falls within the remit of the social sciences or arts faculties within many higher education institutions. Within the social sciences a researcher views the concepts of population and sampling from within a specific interest into the worldview and lived experiences of the people involved within a specific study as described in section 3.5.1 to 3.5.3.

#### **3.5.1 Population**

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Salkind (2010) defines a population as the complete group of potential participants that a researcher wishes to study or from whom one wants to make an interpretation. It is important to define the population plainly, as it forms an essential part of a study's research design. In addition, the way in which the population is defined dictates the scope of the inferences resulting from the research effort.

When a small population is selected (as in the current study), it is possible to gain insight from every member of the population resulting in greater clarity regarding the outcomes of the study. As George Snedecor and William Cochran (1980), cited by Salkind (2010) wrote, "... it is the sample we observe, but the population we wish to know". Thus, if it is possible to get data from a complete population it will increase clarity and assist in painting a more complete picture about the perceptions of the given population. This fits in well with the approach chosen for this study as interpretative phenomenological studies are best employed within a small sample size (Smith and Osborn, 2009). This allows the researcher to analyse data on individual responses or in this case a question-by-question level and reveal detailed experiences from individuals

within a pre-selected group as opposed to making general claims (Smith and Osborn, 2009).

As a population, the researcher chose to select cataloguers employed by higher education institutions in the Western Cape, where the universe includes all metadata librarians in higher education institutions located in the whole of South Africa. Cape Peninsula University of Technology (CPUTs) cataloguing department consists of four cataloguers, University of Cape Town (UCTs) cataloguing department consists of five cataloguers, Stellenbosch University (SUs) cataloguing department consists of six cataloguers and University of the Western Cape (UWCs) cataloguing department consists of four cataloguers. A total number of eighteen participants participated.

### **3.5.2 Sampling**

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According to Kalton (1983), sampling can be described as the method used when choosing a certain number of participants from a given population. According to Vogt (2005), a sample should be representative of the population from which it has been selected. In social research, these might often be individuals from a certain group, selected in a random fashion, as this ascertains representativeness (Kalton, 1983).

As sampling depends greatly upon the research design and the focus of this research was to gain data regarding the personal insights of cataloguers the research focussed specifically on higher education institutions to get a better understanding within a specific target group. As the population targeted was relatively small, there was no need to make use of sampling. To assure anonymity the results referred to the different institutions as Library 1, Library 2, Library 3 and Library 4 where appropriate and no personal information about participants was divulged.

### **3.5.3 Research participants**

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Participation in this research project was two-fold.

Firstly – the heads of cataloguing departments also called cataloguing supervisors at the four higher education institutions participated in a survey about the implementation



processes and procedures; highlighting policy implementations and training methods followed.

Secondly – cataloguers from the four higher education institutions participated in a concurrent survey about their perceptions upon the implementation; and during and after the training.

### **3.6 Data collection methods**

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#### **Primary data collection**

This was done via the administration of two concurrent online questionnaires sent to the following four Western Cape higher education institutions.

#### **Secondary data collection**

For the collection of secondary data databases, online sites, blogs, emails, dictionaries, encyclopaedia, and books were consulted to obtain information. This was done to lay a solid informative foundation for the study. This secondary data was used throughout the thesis, but mostly in Chapter 1, the background to the study and in Chapter 2, the literature review. All secondary sources have been referenced as is evident throughout the thesis.

The logo of the University of the Western Cape, featuring a classical building facade with columns and a pediment, with the text 'UNIVERSITY of the WESTERN CAPE' below it.

### **3.7 Data collection tools**

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Two semi-structured questionnaires, which included open-ended questions to make provision for individual insights from the participants, were used as data collection tools. The researcher believes that a better understanding can be gained from the personal insights of individual people and that these insights can be of use to other cataloguers in future. This is something that a survey approach to data collection (of which questionnaires is one method) often sets out to achieve as it gathers information about participants’ “attitudes, beliefs and behaviours” (Ravitch and Carl, 2016). According to Ravitch and Carl (2016), the advantages of using questionnaires for data collection are:

- They are a useful tool to collect data from participants dispersed over different locations.
- The responses collected from participants are easily compiled.
- It is an easy method to collect a substantial amount of data from a population during a short time frame.
- They are a cost-effective way of gaining information with limited resources.
- People participating in a study can remain anonymous.
- It is possible for a researcher to quickly analyse the data collected via questionnaires.

Apart from these benefits they are deliverable in a variety of formats, that is in person, or via electronic means, either by email or web-based. As they are easily deliverable it allows participants adequate time to complete them.

Ravitch and Carl (2016), mention the following disadvantages when using questionnaires for data collection tools:

- Participants interpretation of questions may vary, which might potentially lead to them reflecting their own individual interpretation.
- Data gained from questionnaires are not always rich in detail, which might make it hard to analyse.
- The data collected do not always allow for contextualization, which might lead to a limited amount of information gained through the process.
- They are most effective when their questions are used to gain objective insight.

Considering the advantages of questionnaires, and the fact that questionnaires are used to gain individual insight from a diverse population, the researcher found this to be a cost-effective way to collect data from participants. To counteract the disadvantages mentioned above the researcher gave detailed information before the start of each section, pertaining to that section specifically. As this research required personal insight from cataloguers that involved objective opinion regarding the new cataloguing standard, the researcher found it to be an effective method of data collection. To ensure detailed responses from the participants, the questionnaire was designed to include open-ended questions that would also relay subjective opinion.

Two concurrent web-based questionnaires were used to collect data from participants. Google Forms was selected as a data collection tool due to its ease of use. It allows for a wide variety of choices regarding question style. Once a questionnaire is completed, it is easily shared with participants and it offered the added benefit of being able to collect responses, manage them and analysing your results.

The two questionnaires that were used were:

- An informative questionnaire regarding institutional policy implementation and other logistic aspects surrounding the implementation of RDA. This was sent to the heads of cataloguing departments at the four academic libraries in the Western Cape. The data was then analysed by means of Google Forms. Google Forms has a function to capture and analyse data collected, relays it in the form of Excel spreadsheets, and provide textual and visual material in the form of a report in PDF format.
- An online questionnaire with some open-ended questions relating to personal views held by cataloguers employed at the four CALICO cataloguing departments.

During the literature review, the researcher noted aspects of interest that would be valuable to the study and included personal insight gained during a training course she attended, to assist in formulating the questions that was included in the questionnaires. Both questionnaires were designed to obtain insight into the perceptions of cataloguing professionals within higher education institutions in the Western Cape.

### **3.7.1 Questionnaire design – cataloguing supervisors**

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This questionnaire (see Appendix E) was directed at Heads of cataloguing departments within higher education institutions in the Western Cape and was designed to obtain insight into RDA implementation from the various institutes.

It consisted of two main sections that touched on policy formulation and other logistical aspects regarding RDA implementation. The questionnaire contained a total of nine questions, and nine sub-questions. There were some of the questions in linear scale;

some closed ended questions requiring a choice between two or more options, and finally some open-ended questions requiring personal insights from participants. The two sections included in the questionnaire dealt with the following two main areas of interest:

- In what way the implementation of RDA influenced policy formulation and other logistical aspects surrounding the day-to-day operations of cataloguing departments.
- The views of cataloguing staff under the different cataloguing department heads remit about the new cataloguing standard, RDA.

Section 1 included questions related to policy decisions, and logistical aspects such as staff training decisions, and daily operational implications. Section 2 included only two questions, one dealing with the opinions of the cataloguers in each head's department and the other about their views regarding RDA.

An asterisk next to a question's number was an indication that the question was compulsory. This rule applied to all the questionnaires with one exception. One of the research ethics committees of a single institution asked the researcher to remove the compulsory factor from all the questions. Participants from that library thus received the same questionnaire with a single difference, which was all questions were marked non-compulsory.



### **3.7.2 Questionnaire design – cataloguers**

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This questionnaire (see Appendix F) was directed at cataloguing professionals within higher education institutions in the Western Cape, consisted of six main sections reflecting the research questions as foundation for this study. It was designed to obtain insight into the use of Resource Description and Access during its adoption. The questionnaire contained 22 questions with eight of them containing sub questions. There were some of the questions in linear scale; some closed ended questions requiring a choice between two or more options, and finally some open-ended questions requiring personal insights from participants.

Section 1 included questions related to the transition period to RDA and included questions on the implementation period, training decisions, training material, training perceptions, and finally about the effect RDA implementation had on daily operational matters. Section 2 was about views from cataloguers about RDA as compared to AACR2 and included questions revolving record creation, working in an online environment, and using the RDA Toolkit. Section 3 revolved around the WEMI model and questions were designed to elicit responses about RDA's ability to describe resources and establish links between the RDA group 1 entities and any other relational data. Section 4 zoned in on the limitations of RDA, whereas section 5 focussed on the advantages of RDA. Section 6 included only two questions, designed to elicit responses from cataloguers about their ultimate view on RDA.

An asterisk next to a question's number was an indication that the question was compulsory. This rule applied to all the questionnaires with one exception. One of the research ethics committees of a single institution asked the researcher to remove the compulsory factor from all the questions. Participants from that library thus received the same questionnaire with a single difference, which was all questions were marked non-compulsory.



### **3.8 Pre-testing the questionnaire**

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The researcher tested the questionnaire by sending it to cataloguers that were personally known to her but did not form part of the population that would eventually be asked to complete the questionnaire. Through this process and by feedback received, the researcher could identify and address some functional issues experienced. Once this was done, the researcher again circulated the questionnaire and no further functionality problems were experienced.

### **3.9 Administration of questionnaires**

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Contacting and getting hold of the various cataloguing heads were different at each institution. Two of the department heads' contact details (including both telephone

number and email information) was obtained easily from two separate fellow master's students that attended coursework classes with the researcher.

As some of the institutional information was needed prior to the proposal submission, the researcher contacted both department heads telephonically. The researcher got hold of the other two department heads by contacting their place of work, upon explaining her business obtained their contact details and proceeded to contact them.

The rest of the process was similar for all four department heads. The researcher spoke to them individually, supplying personal details relating to her institutional affiliation, the reason for the research and the timeframe within which they would have to assist with the research. All four cataloguing heads were open to the prospect of participation of both themselves and their staff. The researcher followed-up the telephonic conversation with an email of confirmation.

The heads of cataloguing then approached their staff regarding participation and once they gave their consent to participate, the heads of cataloguing then supplied their email details to the researcher.

During the period of 18 months prior to the primary data collection, the researcher contacted the heads of cataloguing once or twice to report on the progress of proposal submission, ethical clearance, and institutional permission from their institutions, and the expected timeframe of data collection. During this time information sheets were distributed to the various participants, consent forms were emailed to the participants and the signed forms collected again via email.

Once the researcher obtained institutional permission from the institutions, the first questionnaires were distributed. As this was a web-based questionnaire, each participant received an email from the researcher that included general information about the questionnaire and a link to gain access to the questionnaire.

Some of the participating libraries were in the process of implementing a new library information system at the time, therefore not all participants responded immediately. However, it needs to be said that all participants showed a positive attitude towards completing the questionnaires. A small number of participants that did not complete

the questionnaire within a 1-48 hour-window after receipt. Once a reminder was sent, the questionnaire was completed timeously.

### **3.10 Capturing of data**

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In this study, data was captured using an online tool called Google forms. Google forms has a professional, easily deliverable format that can be used online. It can also be used to perform the data analysis once participants have completed the online questionnaires.

### **3.11 Data analysis and interpretation**

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When conducting research, the process involves both analysis; breaking things down into their components and synthesis; putting them back together in ways that are often different from what they were before (Stake, 2010). Most qualitative research studies revolve around the concept of collecting people's observations and tapping into their personal knowledge. The researcher then interprets the observations through a process of analysis and interprets the findings through a process of synthesis and re-interpretation. Through this process, qualitative researchers often end up putting things into new perspectives, forming new interpretations and in turn new things to be observed. The qualitative researcher's work is often intuitive and revolves around what they are finding as they continue with their research, but always circles back to the original research question that needed to be answered (Stake, 2010). It is a wonderful process of discovery and re-discovery and often leads to a completely new discovery. As Stake (2010) puts it so eloquently, we continually move from one discovery to the next and in the process come to reshape, come to new understanding of how things work and thus further our own and hopefully others' insights.

The researcher recently had the opportunity to attend a workshop on qualitative research and because of her own experiences of what Stake explains above could relate to the guidance of the presenter for the need of a research journal – a safe place to keep all those discoveries, experiences and the minute data capsules together in one place. This is something that Stake (2010) also encourages researchers to do.

The researcher did additional data analysis by analysing the question answers one at a time and keeping track of the data in an Excel spreadsheet. This analysis was representative of the questionnaire data and was presented in the form of a narrative text, enhanced with graphs that were representative of the data and provided by Google Forms. The researcher chose this method because there were only 17 participants and only 9 supervisor questions (with 3 containing sub questions) and only a total of 22 catalogue questions (with 8 containing sub questions). Considering the small amount of questions and low number of participants it would not have made sense to make use of a formal coding scheme for data analysis apart from that done by Google Forms. This was in line with what Park and Tosaka did in their 2015 interview study where they opted to analyse the data question by question without a special, formalized coding scheme (Park and Tosaka, 2015).

### **3.12 Concluding summary**

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In this chapter, the researcher zoned in on the purpose of the study, followed by a discussion surrounding the research design and the methodology employed in the study. The study employed a qualitative research design assisted by a phenomenological philosophy to gain insight into how cataloguers experienced the implementation and adoption of RDA by means of two concurrent web-based questionnaires via Google Forms.

The researcher selected higher education institutions as research sites as they are normally at the forefront of new developments and thus makes a good choice for conducting research. As cataloguers are a rare breed within the library world, the researcher realised early on that the population group she would be targeting would be small. However, when working with a small population it is possible to gain insight from every member of the population resulting in greater clarity regarding the insights held by the population. To ascertain a complete picture the researcher there for included both cataloguing heads as well as cataloguers as research participants.

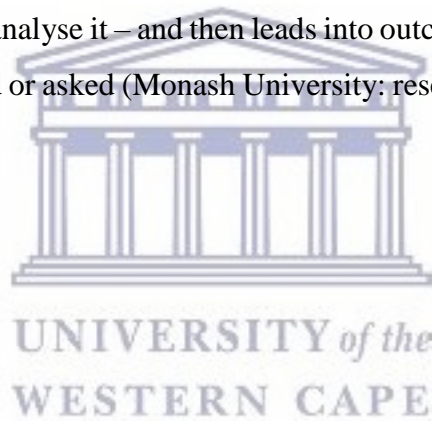
As stated before qualitative research acknowledges personal experiences and brings fresh perspective into the phenomena being studied (Stake, 2010). For this study, a



phenomenological approach was chosen as it assists to bring understanding of how individuals experience a certain phenomenon. In this instance, how cataloguers experienced the implementation processes surrounding RDA. The researcher then interprets the observations through a process of analysis and interprets the findings through a process of synthesis and re-interpretation (Stake, 2010).

As mentioned in the section above the researcher opted to do the analysis on a question-by-question basis herself, with enhancing analysis added from the platform Google Forms. Google Forms collects responses, manages them and does an analysis of the results.

The resulting data was presented in the form of narrative text or reflective writing (which follows in chapter 4), together with graphs that were representative of the data. Reflective writing allows a researcher to zone in on some phenomenon and forms the foundation for further study (Hesse-Biber and Leavy, 2011). It helps the researcher to describe a phenomenon – analyse it – and then leads into outcomes or action about what else needs to be discovered or asked (Monash University: research and learning online., 2017).



## CHAPTER 4 – DATA ANALYSIS AND INTERPRETATION

### 4.1 Introduction

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Researchers conduct qualitative research to understand social phenomena and this study is no exception. This study was designed to explore the views and perceptions of higher education librarians in the cataloguing field surrounding the role-out of the new cataloguing standard, RDA. In this study, the lens through which the researcher purposed to gain greater understanding about the reception of RDA within the cataloguing community has been WEMI.

Data analysis forms a pivotal part of qualitative research. Despite the format that the data might be represented in, it is the analysis thereof that determines the usefulness of the research and the re-usability of the information contained therein. As this study employed a phenomenological, philosophical approach, its analytical focus zoned in on the experiences of the participants during RDA adoption in South Africa. As Ravitch and Carl (2016), prescribed the data was transcribed to reflect responses faithfully.

### 4.2 Analysis of cataloguing supervisor questionnaire

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The supervisors' questionnaire was designed to obtain insight into the implementation of RDA from the heads of cataloguing departments within higher education institutions in the Western Cape, South Africa. The questionnaire covered two different sections containing nine questions.

Four heads of cataloguing departments were asked to complete the questionnaire of which all participated and completed the questionnaire.

The next sections will share a detailed description of the supervisor questionnaire, transcribing each question with its related data as collected from the participants. Note that where an asterisk is shown next to a question it was how the participants from three of the four participating libraries would have seen the questions that were indicated as compulsory.

## Section 1 – RDA policy decisions

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The first section of the Supervisor Questionnaire revolves around the way in which RDA implementation has influenced policy decisions and daily operations within a given cataloguing department.

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### 4.2.1 – RDA policy decisions

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#### **Question 1\* - How were policy decisions surrounding RDA made and who were involved with the creation of policy?**

This was an open-ended question and the participants' responses are transcribed below:

- *“All cataloguers were involved in meetings, discussions, questions that arose.”*
- *“As we do all our cataloguing on OCLC WorldCat, we were bound by their policies and those of the Library of Congress. I was also a member of the SA Joint Steering Committee, so we followed their policies.”*
- *“National level - RDA-SA Steering Committee (Local).”*
- *“Our decisions were based on the recommendations from the RDA-SA Steering committee. All cataloguers were involved.”*

From these responses, it can be deduced that all cataloguers were involved with the creation of policies and that policy decisions were based mainly on the RDA-SA Joint Steering committee decisions.

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### 4.2.2 – Differences between institutional and LC policies

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#### **Question 2 - When RDA cataloguing policies were created, did they differ significantly from Library of Congress (LC) policies?**

Participants could choose between yes or no.

All four participants responded that their policies did not differ much from those of the Library on Congress policies. This is not surprising as this was a global trend. As libraries were all making contributions to Library of Congresses Programme for

Cooperative Cataloguing via WorldCat, aligning their policies to those of LC would make sense.

**Question 2.1 - If your answer was 'yes' to Question 2, please elaborate further on these differences.**

This was an open-ended question, but none of the participants had to respond to it as they all answered “no” to the previous question.

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#### 4.2.3 – Staff attendance of RDA training

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**Question 3 - Did all your cataloguing staff attend RDA training prior to RDA implementation at your organization?**

Participants could choose between yes and no.

All four participants responded positively to this question, giving an indication that the cataloguers from all four libraries did attend the RDA training prior to the different libraries implementing RDA.

It is of interest that most cataloguers from the four institutions seemed to have attended the official training that the RDA-SA Steering Committee (refer to question 3.1 below) offered. As the RDA-SA SC was tasked to ease the transition from AACR2 to RDA, it might be deduced that this was a contributing factor. Apart from that, the fact that all these libraries contributed to WorldCat could have also been a contributing factor.

##### 4.2.3.1 – Training format

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**Question 3.1 - What format of training was used?**

On the question what format of training was used, Participants could choose from the following:

- Facilitator training via the RDA-SA Steering Committee
- In-house training making use of webinars
- A combination of the previous two options.
- Other

All the participants selected the first choice, which indicated that all the staff employed at the time of the implementation attended the training offered by the RDA-SA Steering Committee.

---

#### 4.2.4 - Professional and paraprofessional staff training

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##### **Question 4 - Were different training approaches used for professional and paraprofessional staff?**

Participants could choose between yes or no.

All four participants responded negatively to this question, giving an indication that all staff employed at the four libraries during implementation got the opportunity to attend the RDA-SA Steering Committee training.

##### **Question 4.1 - If your answer was yes in Question 4, how did the training of these two groups differ?**

None of the participants responded to this question as they all answered “no” to the previous question and no response was required.

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#### 4.2.5 - NLSA training and online help

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##### **Question 5\* - Do you feel that the training and online help that are available on the National Library of South Africa's website has been of value to your staff and eased the implementation process?**

Participants could choose from the following:

- Yes
- No
- We do not make use of the online help that is offered by the National Library of South Africa, at our institution.
- Other

Three of the four participants indicated that they did not make use of the online help on offer via the National Library of South Africa's website, at their institution. The remaining participant indicated that they did. This might be because participants felt

that the RDA-SA SC training adequately prepared them in using RDA. This non-use of the online help function could be the subject for some further investigation.

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#### 4.2.6 - Workflow changes

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##### **Question 6\* - Has there been any staff or workflow changes because of RDA adoption?**

Participants could choose between yes or no.

Three of the participants gave an indication that there were no staff or workflow changes due to RDA adoption. The remaining participant acknowledged to some changes resulting from RDA adoption. As most participants indicated that there were minimal to no changes in staff routines, it can be deduced that the transition from AACR2 to RDA happened smoothly.

##### 4.2.6.1 – Impact of changes on workflow

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##### **Question 6.1 - If you answered yes in Questions 6, were these changes minimal or extensive?**

The participant, who responded that there were staff and workflow changes because of RDA adoption, indicated that these changes were only minimal.

Question 6.1's result strengthens the perception created by question 6's findings that staff routines were not negatively impacted by RDA adoption.

##### **Question 6.2 - If you perceive these changes to have been extensive, could you please elaborate on this.**

This was an open-ended question. However, no answers were required for this question as three of the four participants responded negatively to Question 6, and the remaining participant responded that changes were only minimal in Question 6.1.

---

#### 4.2.7 – External feedback about RDA

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##### **Question 7\* - Have you received any feedback about the RDA transition from librarians and staff outside of the technical services department?**

Participants could choose from the following:

- Mostly positive
- There were some reservations

Three of the participants gave an indication that they did not receive any feedback from librarians or other staff outside the technical services department. The remaining participant did receive feedback from people external to the technical services department. As most participants did not have information to share in this regard, one might deduce that neither external staff nor patrons were asked to share their perceptions or that there were no major issues to report.

#### 4.2.7.1 - Nature of feedback

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##### **Question 7.1 - If your answer was 'yes' to Question 7, was the feedback:**

Participants could choose from the following:

- More positive in nature
- More negative in nature

The participant that did receive feedback external to the technical services department commented that the feedback was mostly positive in nature.

As only one of the cataloguing heads answered this question, it would be very hard to draw any solid conclusions relating to external feedback.

#### 4.2.7.2 – Impact related to feedback

---

##### **Question 7.2 - If the feedback has lead you to make any changes to your policies, please give detail of this.**

This was an open-ended question. There were no answers to this question as most participants did not receive any feedback external to the technical services department and the remaining participant received mostly positive feedback, thus not necessitating any changes to their policies.

## Section 2 – Views on RDA

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The second section of the Supervisor Questionnaire revolves around cataloguer views about the new cataloguing standard, RDA.

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### 4.2.8 – Cataloguers response to RDA

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#### **Question 8\* - In your opinion was the response from cataloguing staff to RDA**

Participants could choose from the following:

- Mostly positive
- There were some reservations

The participants were equally divided when they responded to this question, with half of them responding that cataloguing staff were, “Mostly positive”, and the other half responding, “There were some reservations”. As the results in this question returned an average response, the results of the subsequent question 8.1 were of more importance.

#### 4.2.8.1 - Overcoming reservations

---

#### **Question 8.1 - If you answered that there were reservations, have they been overcome?**

Participants could choose between yes or no.

The two participants who acknowledged the presence of some reservations from their cataloguing staff (in the previous question), responded that these reservations have been overcome. When comparing this to the results in Question 8, where half of the participants were “Mostly positive”, it can therefore be assumed that the responses to RDA leaned towards the positive.

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### 4.2.9 – Supervisor response to RDA

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#### **Question 9\* - Overall would you agree that RDA as the new cataloguing standard has brought about improvement with regards to bibliographic description of records in your library?**



Participants could select from a linear scale from 1 to 5 where:

- 1 represented strong disagreement
- 2 represented substantial disagreement
- 3 represented a neutral response
- 4 represented substantial agreement
- 5 represented strong agreement.

Two of the participants selected the median indicating being neutral to improvements regarding bibliographic description. Of the remaining participants, one selected 'agree' and the other 'strongly agree'. Figure 4.1 reflects that most heads of cataloguing departments in Western Cape higher education are leaning towards neutral to very positive responses regarding RDA improving bibliographic description of catalogue records.

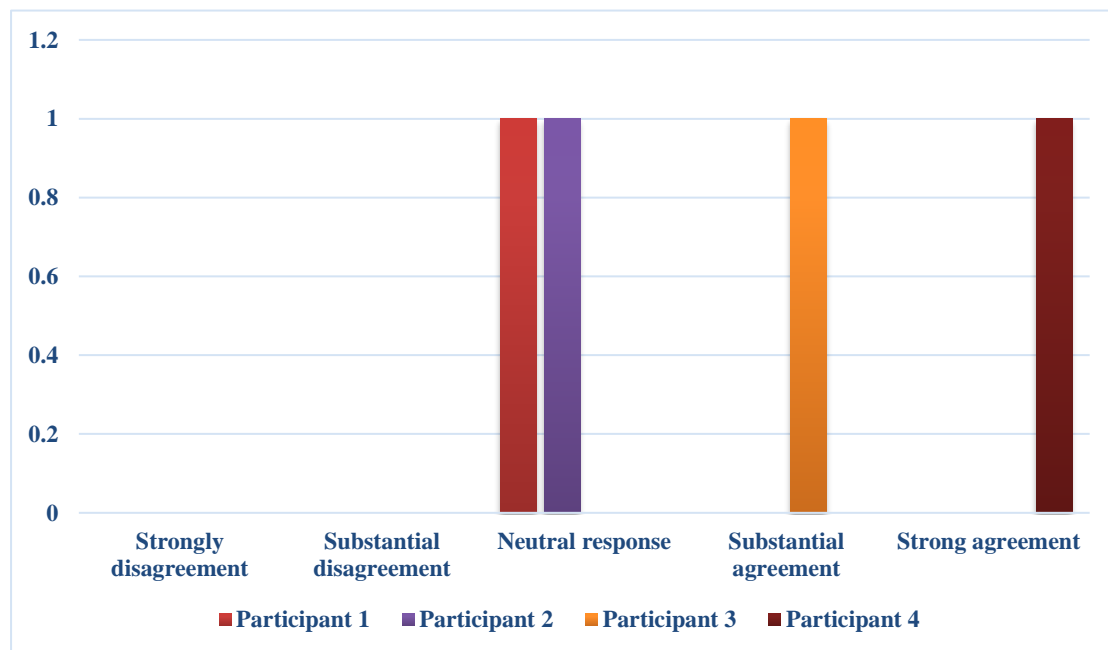


FIGURE 4.1 - SUPERVISORS' RESPONSE TO RDA

### 4.3 Analysis of cataloguer questionnaire

---

The Cataloguers Questionnaire was designed to obtain insight into the use of Resource Description and Access from cataloguing professionals within higher education institutions in the Western Cape, South Africa. The information recorded in this questionnaire was considered as confidential and no personal or institutional information was divulged when the resulting data was processed.

The questionnaire covered six different sections containing 22 questions. Some questions required only 'yes' or 'no' answers; some gave a choice reflected on a linear scale, and a limited number required participants to supply detailed answers.

A total number of thirteen cataloguers were asked to complete the questionnaire. All thirteen participants completed the questionnaire resulting in a 100% response rate.

The data analysis of the cataloguers' questionnaire follows the sequence of the actual questions asked in the questionnaire.

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#### 4.3.1 – Years of cataloguing experience

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##### **Question 1\* - How many years of cataloguing experience have you got in total?**

This was an open-ended question.

The responses have been grouped into 10-year increments, namely 1-10 years, 11-20 years, 21-29 years, and 31 years and above. From Figure 4.2 five cataloguers belonged to the first group (1-10 years), four to the second group (11-20 years), two to the third group (21-29 years), and two belonged to the final group (31 years and above).

The person most recent to the cataloguing profession had one year of experience while the most experienced person acknowledged to 35 years of being a cataloguer. It was therefore clear that the participants who completed the Cataloguer Questionnaire had adequate operational knowledge to give informed feedback regarding RDA's implementation in South Africa.

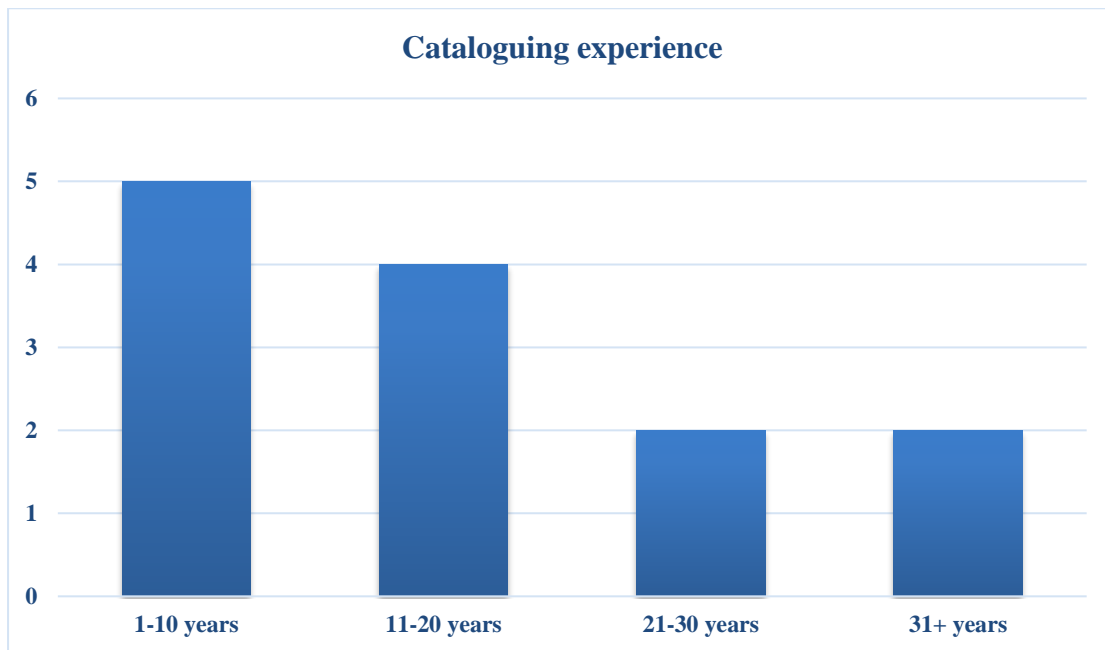


FIGURE 4.2 - CATALOGUING EXPERIENCE

### Section 1 – Perceptions on the transition period from AACR2 to RDA

The first section of the Cataloguer Questionnaire revolved around how cataloguers have experienced the transition period from AACR2 to RDA. The questions contained in the section aimed to reflect responses about the transition period following RDA implementation.

#### 4.3.2 – RDA implementation year

#### Question 2\* - Since when has your institution been creating cataloguing records using RDA?

The participants had a choice of six different dates ranging from 2011 to 2017 when this study was conducted.

Figure 4.2s pie graph reflects that one library started using RDA in 2013, two libraries in 2014, and the fourth library only started using RDA in 2015. It is therefore clear that the duration of creating RDA catalogue records ranged from two to four years within the different institution.

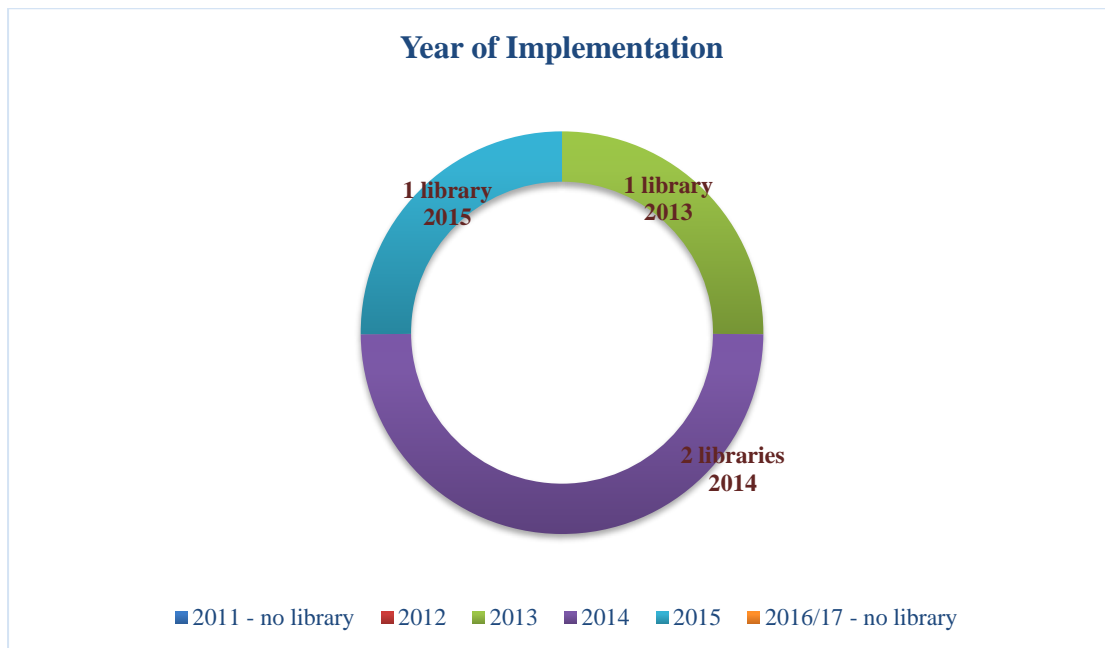


FIGURE 4.3 - RDA IMPLEMENTATION YEAR

#### 4.3.3 - Training prior to RDA implementation

**Question 3\* - Did all your cataloguing staff in your library attend RDA training prior to RDA implementation at your organization?**

Participants could choose between yes or no.

Twelve of the participants acknowledged receiving RDA training prior to the implementation thereof. The cataloguer who did not attend training prior to implementation was appointed in the specific cataloguing department after the implementation of RDA.

As the only person who did not attend training due to being employed as cataloguer after the RDA implementation period, results indicate training attendance of a substantial majority (refer to Figure 4.4) of staff from cataloguing departments in higher education institutions in the Western Cape.

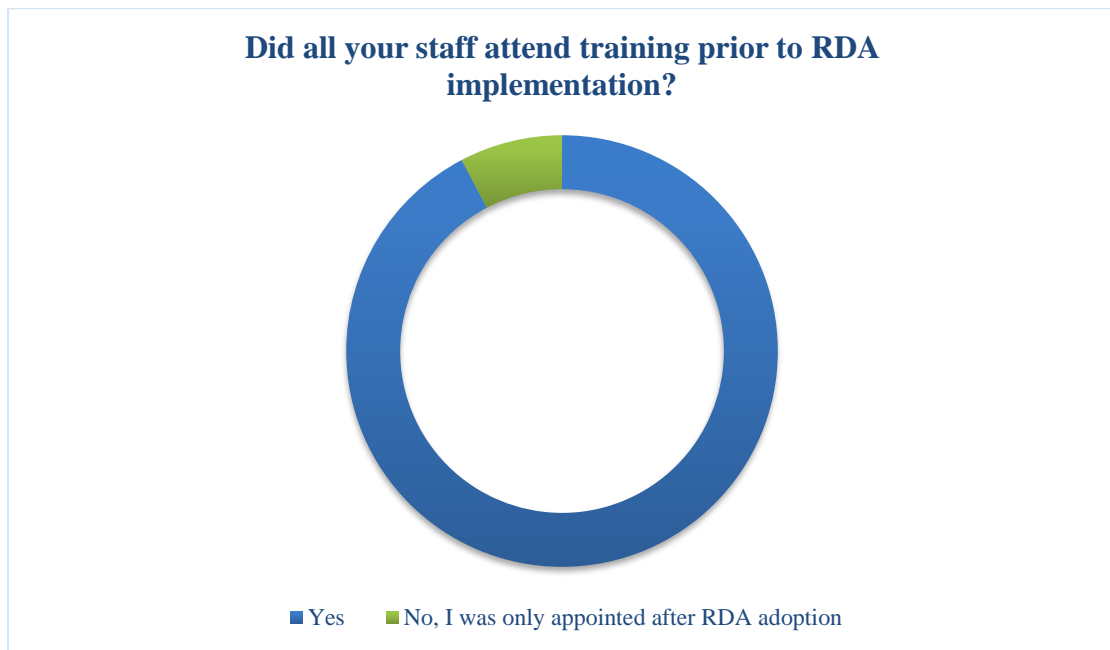


FIGURE 4.4 - TRAINING PRIOR TO RDA IMPLEMENTATION

#### 4.3.3.1 - Training format

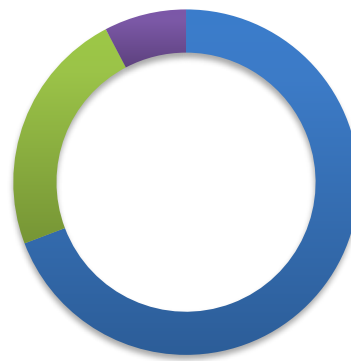
#### **Question 3.1\* - What format of training was on offer?**

Participants could choose from the following:

- Facilitator training via the RDA-SA Steering Committee
- In-house training making use of webinars
- A combination of the previous two options.
- Other

Figure 4.5 reflects that all nine participants employed at the participating institutions attended the facilitator training hosted by the RDA-SA Steering Committee prior to RDA implementation. Three participants who attended the facilitator training, had additionally done in-house training via webinars. These three participants that completed dual training were from two separate libraries. There were no responses to “other”. When referring to the graph, please note that the blue and green sections in unison represented the number of trainees attending the facilitator training for the RDA-SA Steering Committee.

### Cataloguer feedback on the training format they attended



- Facilitator training via the RDA-SA Steering Committee
- In-house training making use of webinars
- A combination of the previous two options.
- Other: on the job training (person employed after RDA adoption - refer to Figure 4.4)

FIGURE 4.5 - TRAINING FORMAT

#### 4.3.4 - Professional and paraprofessional training

##### **Question 4\* - Were different training approaches used for professional and paraprofessional staff?**

Participants could choose between yes or no.

Eleven of the thirteen respondents indicated that both professional and paraprofessional staff attended the same training. The two remaining cataloguers from the same academic library however indicated that their professional and paraprofessional staff followed different training routes.

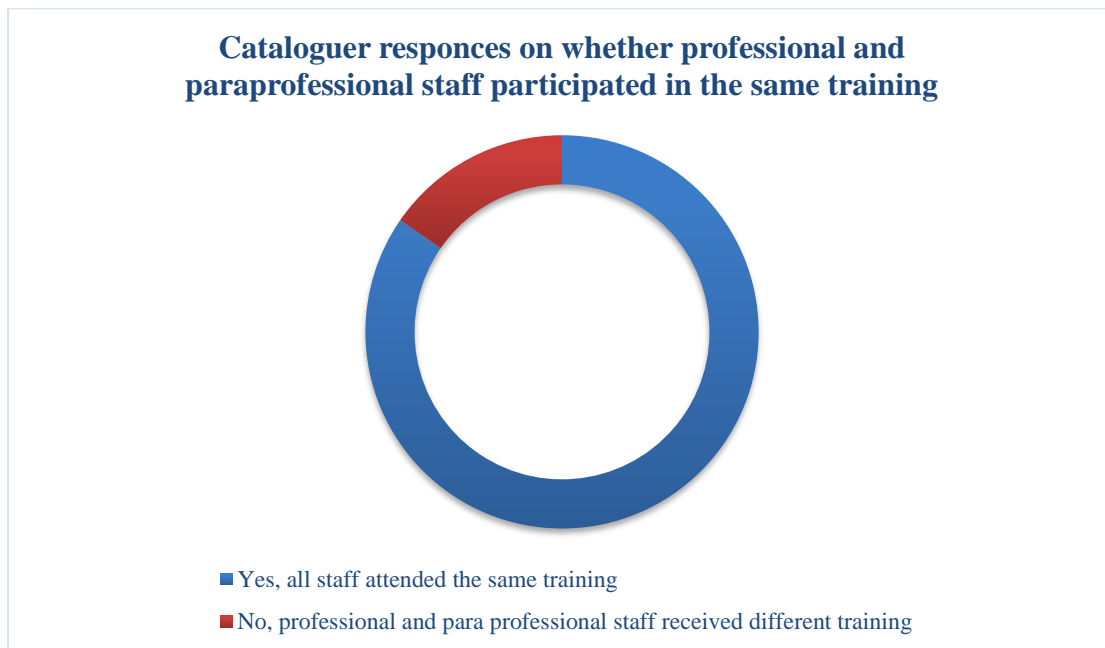


FIGURE 4.6 - PROFESSIONAL AND PARAPROFESSIONAL TRAINING

#### 4.3.4.1 – Training differences

##### **Question 4.1 - If your answer was yes in Question 4, how did the training differ?**

This subsequent question was an open-ended question, requesting the participants to supply details about divergent training approaches for professional and paraprofessional staff. Only one respondent answered this question. The response is transcribed below:

- *“Paraprofessional staff was not required to attend external training.”*

This is in contrast with the RDA-SA SC training policy that all cataloguers may attend training.

#### 4.3.5 – Perceptions about NLSA training material

##### **Question 5\* - Do you feel that the training and online help that are available on the National Library of South Africa's website has been of value to you?**

Participants could choose from the following:

- Yes
- No

- We do not make use of the online help available on the National Library of South Africa's website.
- Other

It needs to be clarified, that if a person selected “other”, they could give a more detailed answer, as it was open-ended. The two participants’ responses to the “other” option is transcribed below:

- *“I did not make use of it”*
- *“No idea since I haven't attended the course at that time.”*

Eleven (orange segment) plus one participant (green segment) of the participants (a considerable majority) responded that although they had access to it, they did not make use of the online help available on the website of the National Library of South Africa. The reason for adding the orange and green segments’ outcomes was that the answer was ultimately the same. One participant did make use of the online help, while the final participant did not attend the initial training as he/she only joined the department recently and was therefore not aware of the online help. Refer to figure 4.7 below.

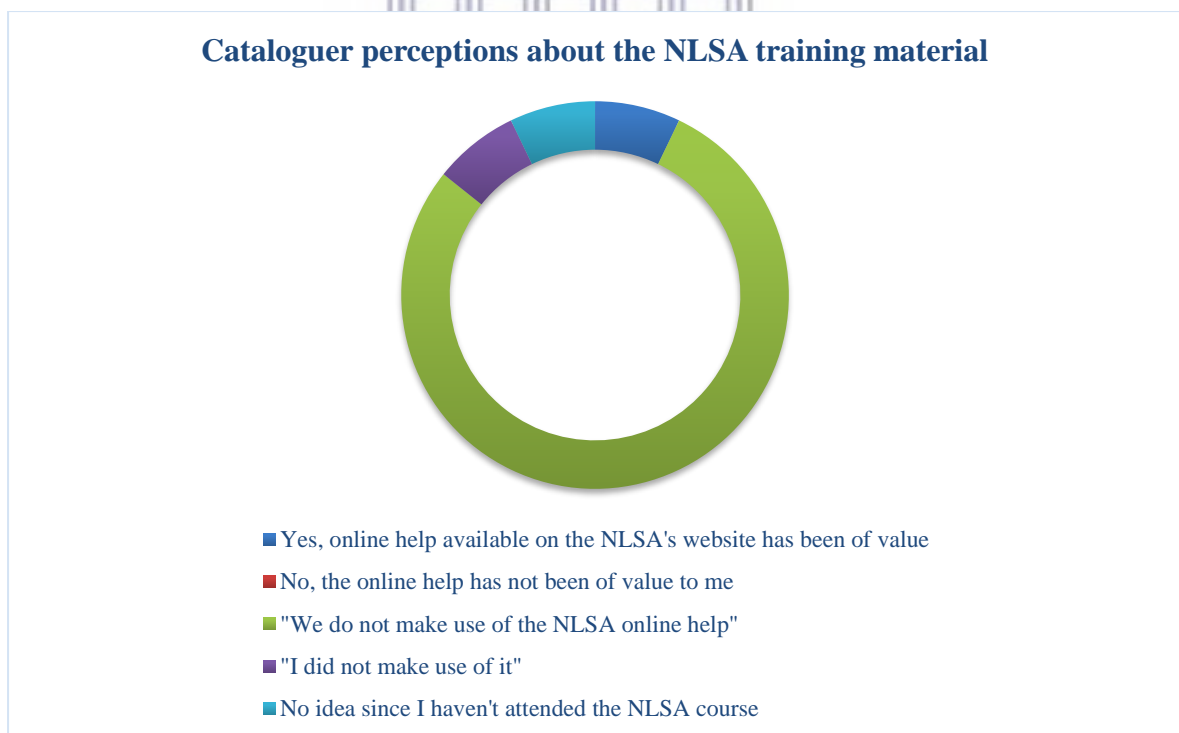


FIGURE 4.7 - PERCEPTIONS ABOUT NLSA TRAINING MATERIAL



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#### 4.3.6 - Staff and workflow changes related to RDA adoption

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##### **Question 6\* - Has there been any staff or workflow changes because of RDA adoption?**

Participants could choose between yes or no.

Nine of the participants indicated no staff or workflow changes because of RDA implementation. The remaining four participants were all from one library and acknowledged staff and workflow changes. It is of interest that only one library felt that there were staff and workflow changes. This will be discussed further in the next paragraph.

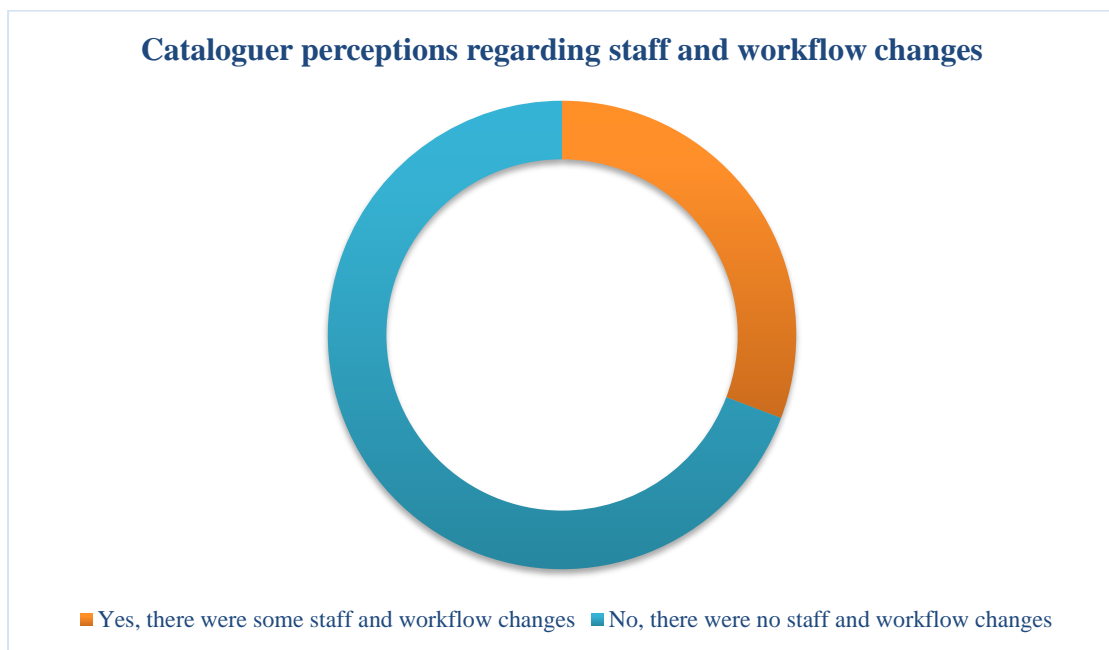


FIGURE 4.8 - STAFF AND WORKFLOW CHANGES RELATED TO RDA ADOPTION

##### 4.3.6.1 - Extent of changes

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##### **Question 6.1 - If you answered yes in Question 6, were these changes minimal or extensive?**

Participants could choose between 'Minimal' or 'Extensive'

Three of the four participants who acknowledged that there were changes in workflow, see previous question, felt that the resulting changes were minimal, while one participant experienced the changes as extensive. When reflecting on the previous question RDA adoption had very little impact on most of the participating institutions workflow and did not impact staff negatively.

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#### 4.3.7 - Extensive changes

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**Question 7 - If you perceive these changes to have been extensive could you please elaborate on these?**

This was an open-ended question requesting elaboration of reasons for the previous answer. Although only one cataloguer perceived the changes to be extensive, two responses were received. The responses are transcribed below:

- One respondent that perceived the changes to be minimal said, *“It was not extensive, but one spent more time to get used to the new program”*.
- The second participant and only one that needed to answer this question responded –responded, *“Everything”*

As the first participant believed the changes to be minimal, and yet felt they had to spend more time getting to know the program, the other participant expressing extensive changes might have felt even more pressurized spending time to get to know all the changes.

#### **Section 2 – RDA’s success in overcoming AACR2’s limitations**

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The second section of the Cataloguers Questionnaire investigated whether the implementation of RDA has overcome the limitations that AACRs had with regards to cataloguing in the digital environment. This section focussed on the cataloguing and bibliographic description of newly emerging resources in various developing formats.

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#### 4.3.8 - Cataloguing records created using RDA

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**Question 8\* - In your opinion does creating a catalogue record in RDA differ vastly from creating a catalogue record of the same work in AACR2?**

Participants could choose between yes or no.

Four participants (just under a third of the total group) from three different libraries felt that creating a catalogue record using RDA as opposed to AACR2 differed vastly. The remaining nine participants (just over three thirds of the total group) again from three different libraries felt that there were no major differences between using RDA as opposed to using AACR2. From these results, it can be said that more than two thirds of staff felt that there were no major differences between cataloguing using AACR2 and cataloguing using RDA.

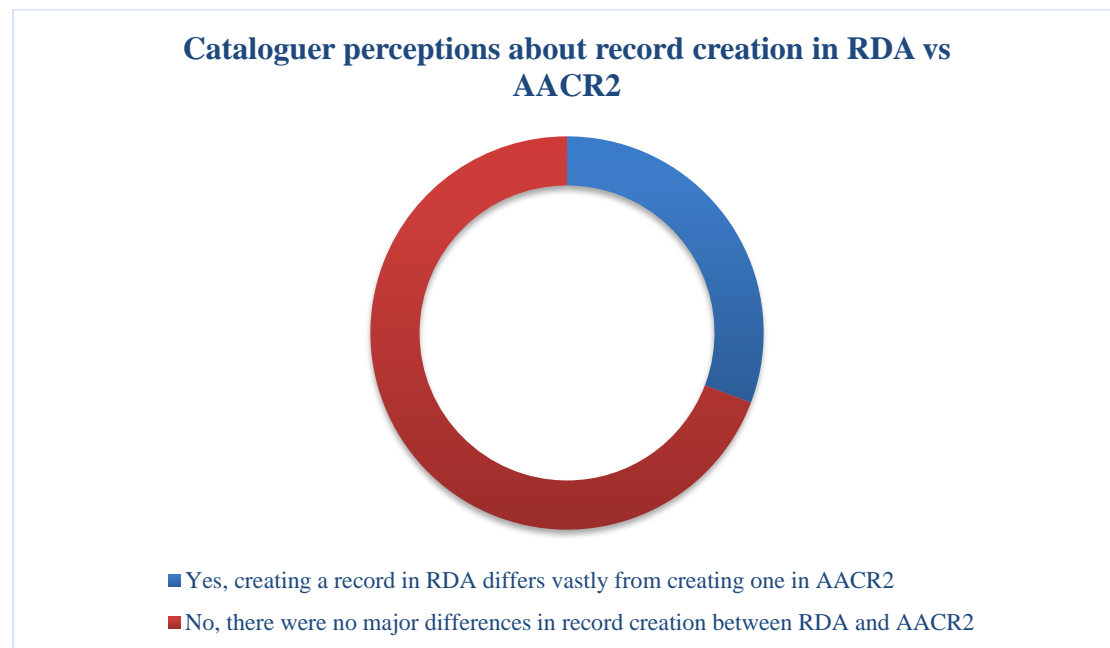


FIGURE 4.9 - CATALOGUING RECORDS CREATED USING RDA

#### 4.3.8.1 - Perceptions regarding differences

##### **Question 8.1 - If your answer was yes in Question 8, how much does it differ?**

Participants could select from a linear scale from 1 to 5 where:

- 1 represented vast differences
- 2 represented substantial differences
- 3 represented an intermediate amount of differences
- 4 represented secondary differences
- 5 represented slight differences

Of the four participants who indicated major differences in the previous question, three (all from different libraries) selected option 3, representing an intermediate amount of differences. The remaining participant selected option 4 an indication that the changes were only secondary. From these responses, it can be deduced that although these four participants perceived there to be major differences (as indicated in the previous question), most of these participants found the changes not to be considerable.

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#### 4.3.9 - Ease of record creation in digital format

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#### **Question 9\* - With what ease, can you create a catalogue record for an item that is published only in digital format?**

Participants could select on a linear scale from 1 to 5 where:

- 1 represented a small amount of ease
- 2 represented a minor amount
- 3 represented an intermediate amount
- 4 represented a substantial amount
- 5 represented a great amount of ease

Six of the participants from two different libraries felt that it took considerable effort to create a catalogue record for a resource that is only available in digital format. Another six participants also from three different libraries felt that it was only slightly easier and the remaining participant felt that it was relatively easy to create a record for material in digital format.

It can be deduced that cataloguers found it relatively to very easy to create a bibliographic record for items in digital format.

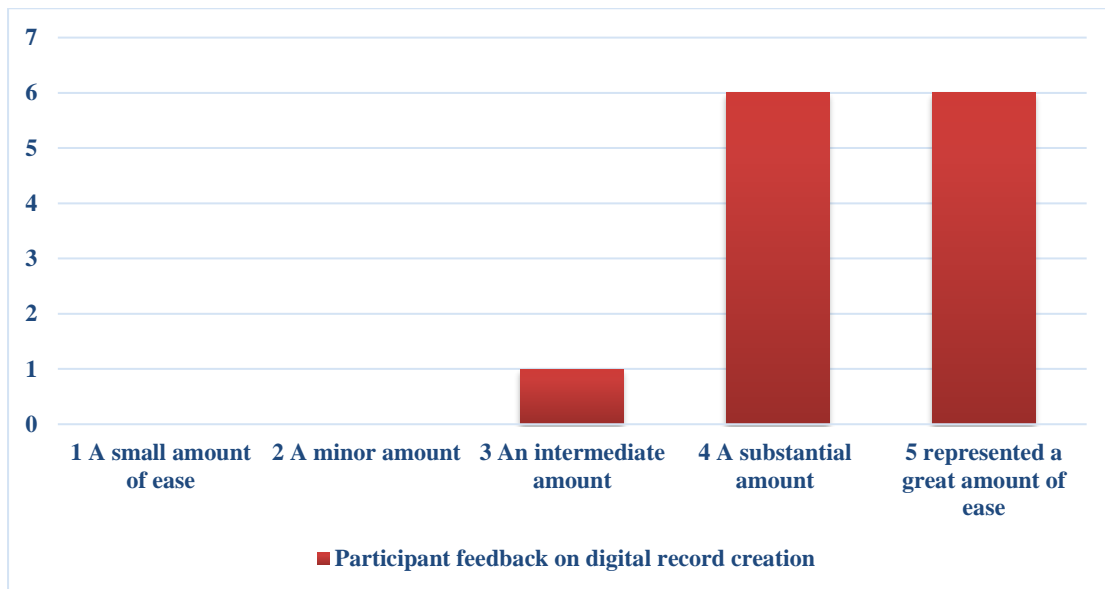


FIGURE 4.10 - EASE OF RECORD CREATION IN DIGITAL FORMAT

#### 4.3.10 – Online working environment and RDA toolkit utilization

##### Question 10\* - Does working in an online environment using the RDA Toolkit make the creation of cataloguing records easier?

Participants had the following options:

- Yes
- No
- Not applicable
- Other



To clarify, if a person selected “other”, they could then give a more detailed answer that was open-ended. There were two participants who selected this option and their responses were:

- “Not really”
- “Toolkit available but very seldom used”

Ten participants representing all four libraries felt that working in an online environment using the RDA toolkit made the creation of cataloguing records easier. While two participants – including the ‘not really’ response indicated previously - from two divergent libraries indicated that the RDA toolkit did not make the creation of cataloguing records easier. The remaining participant felt that although the RDA

Toolkit was available at their institution, it was seldom used. Figure 4.11 reflects that a total of more than three quarters of the cataloguers believed working in an online environment using the RDA Toolkit made the creation of cataloguing records easier.

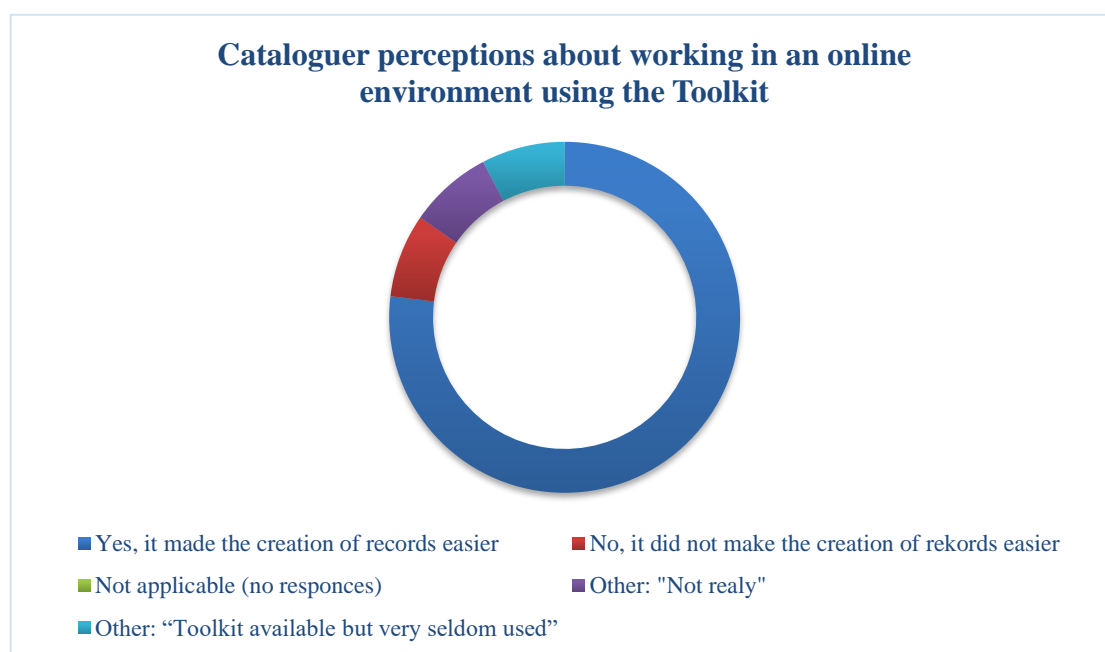


FIGURE 4.11 - ONLINE WORKING ENVIRONMENT AND RDA TOOLKIT UTILIZATION

#### 4.3.11 - User satisfaction: RDA toolkit updates

**Question 11\* - The RDA Toolkit is regularly updated. Does this enhance user satisfaction when creating a bibliographic record?**

Participants could choose from the following:

- Yes
- No
- Sometimes
- We do not make use of the RDA Toolkit at our institution.
- Other

Seven (of the participants from three different libraries) felt that the continual updates of the RDA Toolkit assisted to enhance their user satisfaction. Three participants from two different libraries said that it only enhanced user satisfaction "sometimes". One participant indicated that the regular updates did enhance user satisfaction and assist in the creation of bibliographic records. The responses from the

remaining two participants that work at the same library had chosen the ‘other’ option. Their responses are transcribed below:

- “We use it so seldom that we cannot answer this question”
- “We do not make use of the RDA Toolkit at our institution.”

Refer to figure 4.12 below.

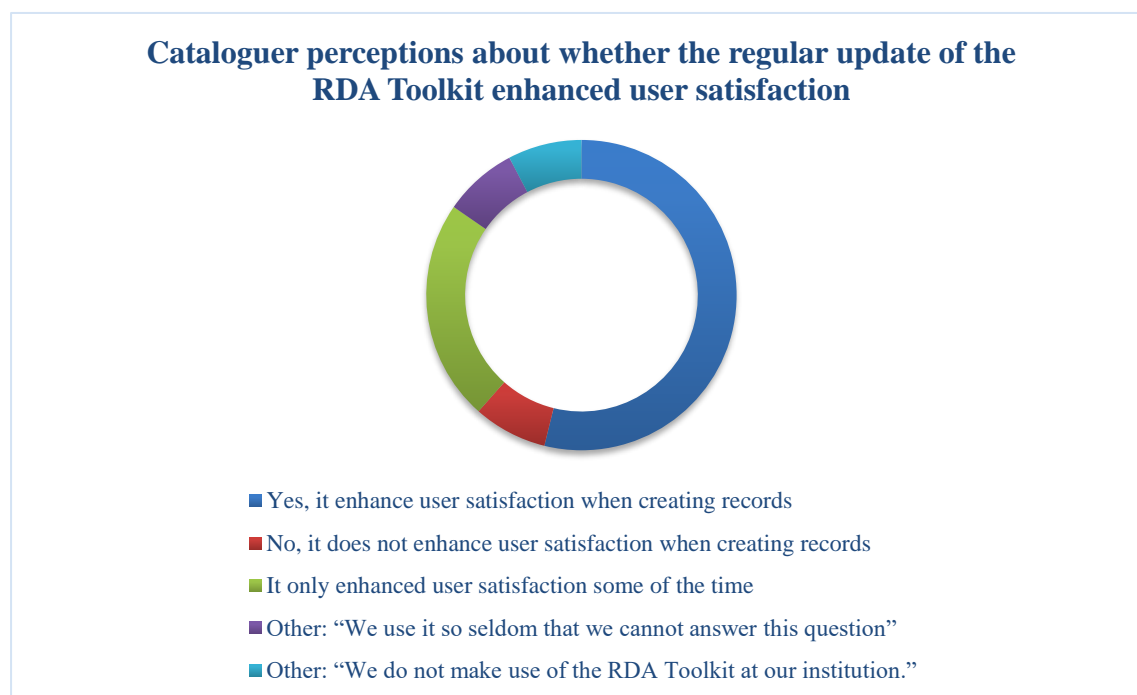


FIGURE 4.12 - USER SATISFACTION: RDA TOOLKIT UPDATES

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#### 4.3.12 - RDA toolkit update perceptions

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#### **Question 12\* - Do you believe these updates are a positive feature of RDA?**

Participants could choose from the following:

- Yes
- No
- Not applicable

Ten participants from all four libraries felt that the continual updates of the RDA Toolkit were a positive feature of the standard. One participant responded that they did not see the continual updates as a positive feature of RDA. The remaining two participants from the same library chose the third answer, “Not applicable”. This

would make sense as these last two participants gave the following answers in question 11 that asked, “The RDA Toolkit is regularly updated. Does this enhance user satisfaction when creating a bibliographic record?” – see transcription below.

- “We do not make use of the RDA Toolkit at our institution.”
- “We use it so seldom that we cannot answer this question.”
- Refer to figure 4.13 below.

It can be concluded, however that most participants were positive about the RDA Toolkits updates as it ensures that the information contained therein is up to date.

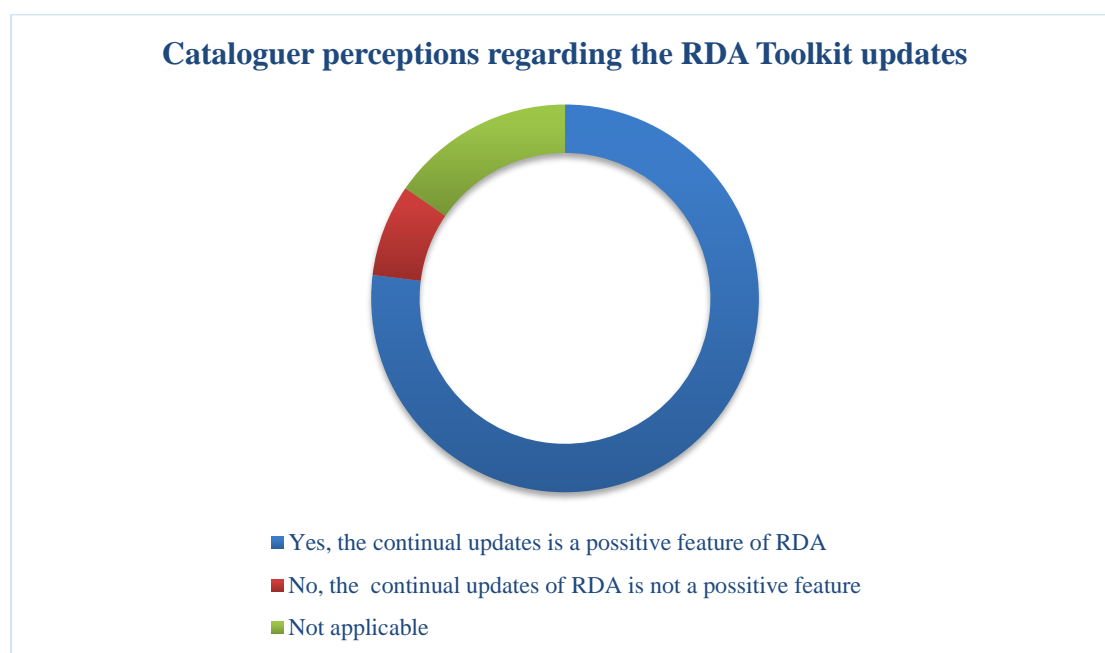


FIGURE 4.13 - RDA TOOLKIT UPDATE PERCEPTIONS

#### 4.3.12.1 - RDA toolkit utilization: positive aspects

**Question 12.1 - If you answered yes in Question 12, how has it assisted you personally in achieving cataloguing excellence?**

This was an open-ended question.

Of the eleven participants, positive about the RDA Toolkit regular updates, only nine responded to this question. The nine responses on how it assisted them in achieving cataloguing excellence are transcribed below in no order of preference:

- “Bibliographic records are more complete.”
- “It makes it easier to refer to.”



- *“I can refer to it.”*
- *“They are giving clear understanding to both cataloguer and user.”*
- *“Simply because where ever I was getting confused I was able to consult automatically and carried on without waiting for someone to come to explain to me.”*
- *“It assists us in creating RDA records for material that we do not work with on a regular basis, e.g. maps, X-rays, etc.”*
- *“Keeping one updated with the latest trends in cataloguing.”*
- *“It is always available online and saves time when you want to check a rule.”*
- *“It hasn't had any particular impact on me, as I use it only rarely (I find OCLC's MARC field help much more useful), but in general I feel that something that is kept up-to-date is better than something that isn't.”*

As to how it assisted them in achieving cataloguer excellence the following commonalities were identified: cataloguers felt that it was easily available online, user friendly, assisted them to gain clear understanding, clarify matters when they had uncertainties, was informative regarding rarely catalogued resources, and assisted them in keeping abreast of new developments related to cataloguing.

#### 4.3.12.2 - RDA toolkit utilization: negative aspects

**Question 12.2 - If your answer was 'no' in Question 12, please highlight some areas of specific interest.**

The only person who answered negatively to Question 12 responded as follows:

*“There is not much change from RDA to AACR2. It's only few changes.”*

### **Section 3 - With what ease can cataloguing records be created using RDA when describing works, expressions, manifestations and items (WEMI)?**

---

The third section of the Cataloguer Questionnaire dealt with the ease of creating catalogue records when describing works, expressions, manifestations and items. This relates specifically to the various relationships that exist between the different entities within the WEMI model or the FRBR Group 1 entities expressed as Work, expression, manifestation and item. This section of the questionnaire also links more directly to the theoretical framework.

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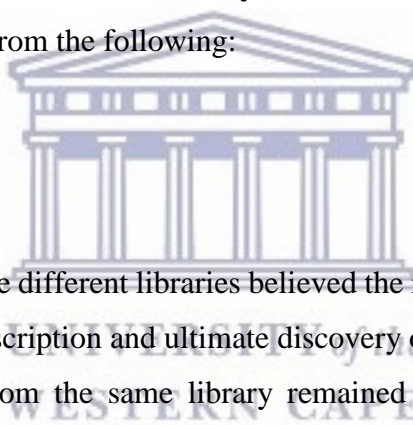
#### **4.3.13 - WEMI aspects related to resource description and discovery**

---

**Question 13\* - In your opinion does the integral relationships in the WEMI model make the description and ultimate discovery of resources intuitive to the user?**

Participants could choose from the following:

- Yes
- No
- Neutral



Nine participants from three different libraries believed the integral relationships in the WEMI model made the description and ultimate discovery of resources intuitive to the user. Two participants from the same library remained neutral and the final two participants from two different libraries responded negatively.

From the responses it can be deduced that many cataloguers (almost a third of the population) believed the integral relationships in the WEMI model made the description and ultimate discovery of resources easier to the user leading to greater user satisfaction.

**Cataloguer perceptions about whether the integral relationships in the WEMI model make the description & discovery of resources intuitive to the user**

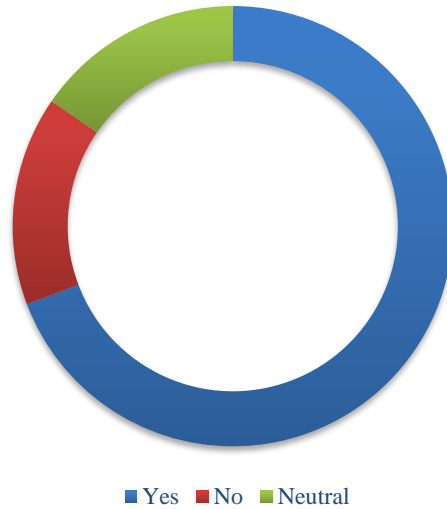


FIGURE 4.14 - WEMI ASPECTS RELATED TO RESOURCE DESCRIPTION AND DISCOVERY

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4.3.14 - WEMI and familial affiliations

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**Question 14\* - Do the relationships that exist between a work and the different expressions thereof assist in the establishment of a familial affiliation between the various entities that are so bond together?**

Participants could choose between yes or no.

Twelve of the thirteen participants (a substantial majority) representing all four libraries felt that the relationships existing between a work and the different expressions thereof assisted in the establishment of a familial affiliation between the various entities in RDA. Only one participant responded negatively to this question.

**Do the relationships between a work and its different expressions assist in the establishment of a familial affiliation between the various entities?**

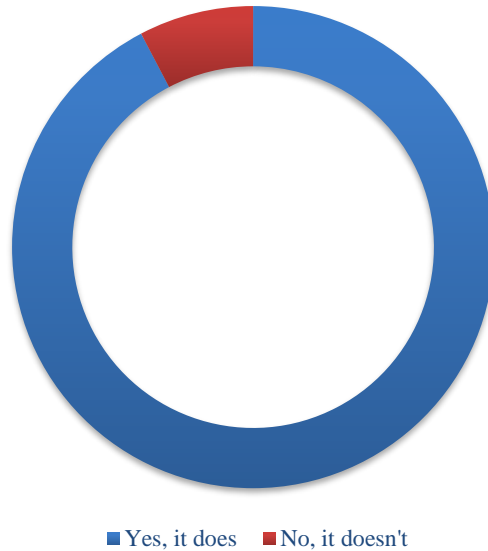


FIGURE 4.15 - WEMI AND FAMILIAL AFFILIATIONS

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#### 4.3.15 - Link between manifestations and expressions

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**Question 15\* - Does the link between an expression and a manifestation thereof assist to direct a user to both the expression and its various manifestations?**

Participants could choose between yes or no.

Figure 4.16 reflects that twelve, a substantial majority of the participants representing all four libraries believed the link between an expression and a manifestation thereof assisted to direct a user to both the expression and its various manifestations. Only one participant responded negatively to this question.

**Does the link between an expression and its manifestations assist to direct a user to both the expression and its various manifestations?**

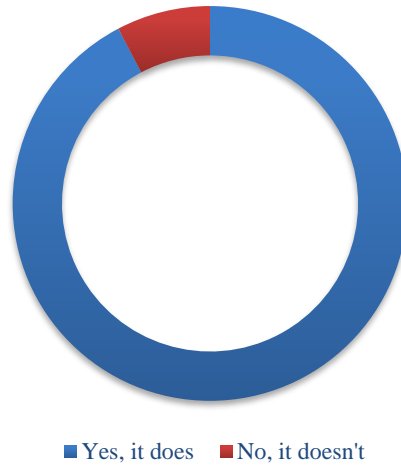


FIGURE 4.16 - LINK BETWEEN MANIFESTATIONS AND EXPRESSIONS

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#### 4.3.16 - Link between manifestations and items

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**Question 16\* - Does this also apply to the relationship between the various manifestations and the items that might represent these manifestations? ODLIS defines a manifestation in FRBR (Functional Requirements for Bibliographic Records) as the result of a single act of physical embodiment/production of a specific expression of a creative work, for example, an edition of one of the variant texts of a literary work.**

Participants could choose between yes or no.

Eleven (more than three quarters of the total group) of the participants representing three different libraries believed the relationship between the various manifestations and the items that represent them assisted to direct a user to both the manifestation and any items that represent that manifestation. Two participants from the same library responded negatively to this question.

**Do the relationships between various manifestations and the items that represent them assist the user to find both the manifestations and the items?**

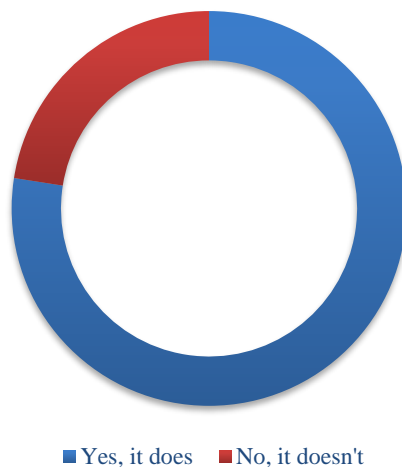


FIGURE 4.17 - LINK BETWEEN MANIFESTATIONS AND ITEMS

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#### 4.3.17 - Links between WEMI and other relational elements

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**Question 17\* - Does the establishment of links between a work, in its various forms and its creator or its subject further enhance resource description and discovery?**

Participants could choose between yes or no.

Twelve participants from all four libraries responded positively to this question, indicating that RDA can establish links between a work and its various forms, creator(s) and subjects. Only one participant responded negatively to the question.

Figure 4.18 indicates that a substantial majority of the cataloguers (twelve of the thirteen) believed that the links between the FRBR group 1 entities and other RDA elements assisted in the description and discovery of resources.

**Does the establishment of links between a work, in its various forms and its creator or its subject further enhance resource description and discovery?**

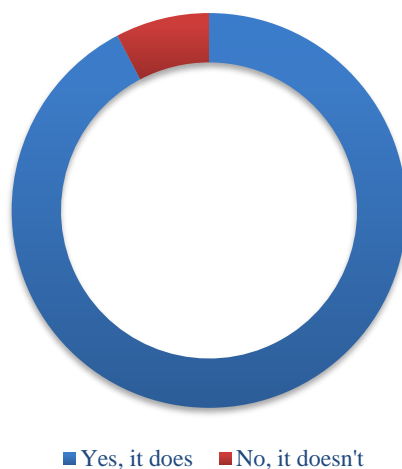


FIGURE 4.18 - LINKS BETWEEN WEMI AND OTHER RELATIONAL ELEMENTS

#### 4.3.18 - Ease of establishing relationships using RDA

**Question 18\* - Considering the previous question, with what ease can these relationships be established using RDA as a cataloguing standard?**

Participants could select on a linear scale from 1 to 5 where:

- 1 represented considerable effort
- 2 represented some effort
- 3 represented a slight amount of effort
- 4 represented substantial amount of ease
- 5 represented a great amount of ease.

Ten of the participants indicated that it was relatively to very easy to establish links between the various elements in the WEMI model by using RDA as a cataloguing standard. Two participants from two divergent libraries felt it was normally easy, and one participant felt that it was very difficult to establish these links using RDA. This is an indication that RDA fares well in resource description when looking at it through the WEMI model.

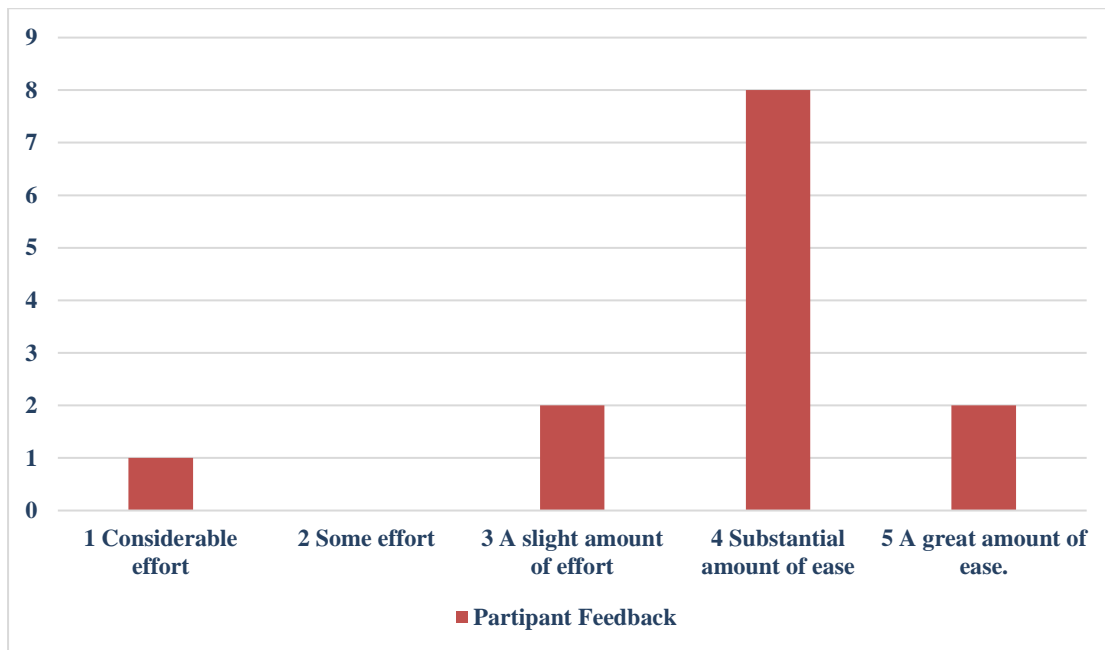


FIGURE 4.19 - EASE OF ESTABLISHING RELATIONSHIPS USING RDA

## Section 4 - Limitations of RDA

Section four of the Cataloguer Questionnaire focussed on perceived limitations that cataloguers have identified within the new cataloguing standard.

### 4.3.19 - Perceived limitations of RDA

**Question 19\* - Are there any perceived limitations to RDA as a cataloguing standard?**

Participants could choose between yes or no.

Twelve, a substantial majority of participants, indicated no real limitations to RDA as a cataloguing standard, while the remaining participant indicated some limitations. This is an indication that cataloguers virtually perceived no limitations to RDA. Considering the ease of using the WEMI model, indicated in the previous section, it can be deduced that cataloguers from higher education institutions in the Western Cape were generally positive about the new standard.



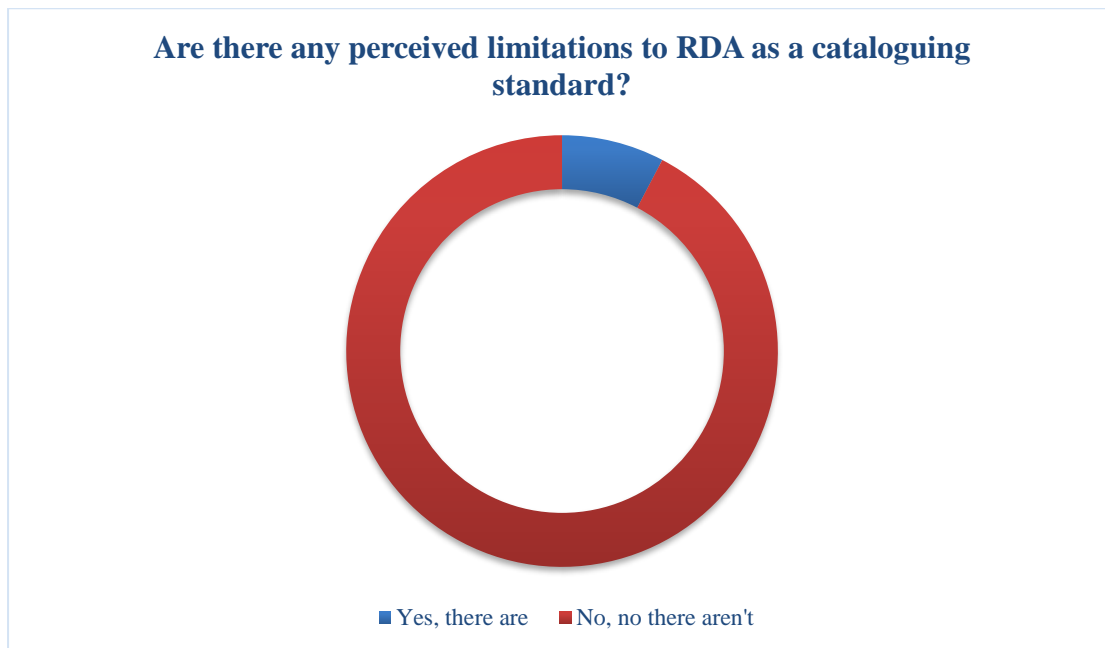


FIGURE 4.20 - LIMITATIONS OF RDA

#### 4.3.19.1 - Overcoming limitations

**Question 19.1 - If your answer was 'yes' in Question 19, what steps might be taken to overcome some of these limitations?**

The single participant that felt there were some limitations chose not to respond to this question therefore no discussion is possible.

### Section 5 - Advantages of RDA as opposed to AACR2

The fifth section of the Cataloguer Questionnaire focussed on perceived advantages that were identified by cataloguers using the standard.

#### 4.3.20 - Advantages of RDA

**Question 20 - Are there any major advantages to RDA as opposed to AACR2? \***

Participants could choose between yes or no.

Figure 4.21 reflects seven (totalling just over half of the respondents) from three of the libraries believed there to be major advantages to RDA as opposed to AACR2. The

other six cataloguers representing all four libraries believed that RDA's advantages not to be major as opposed to AACR2.

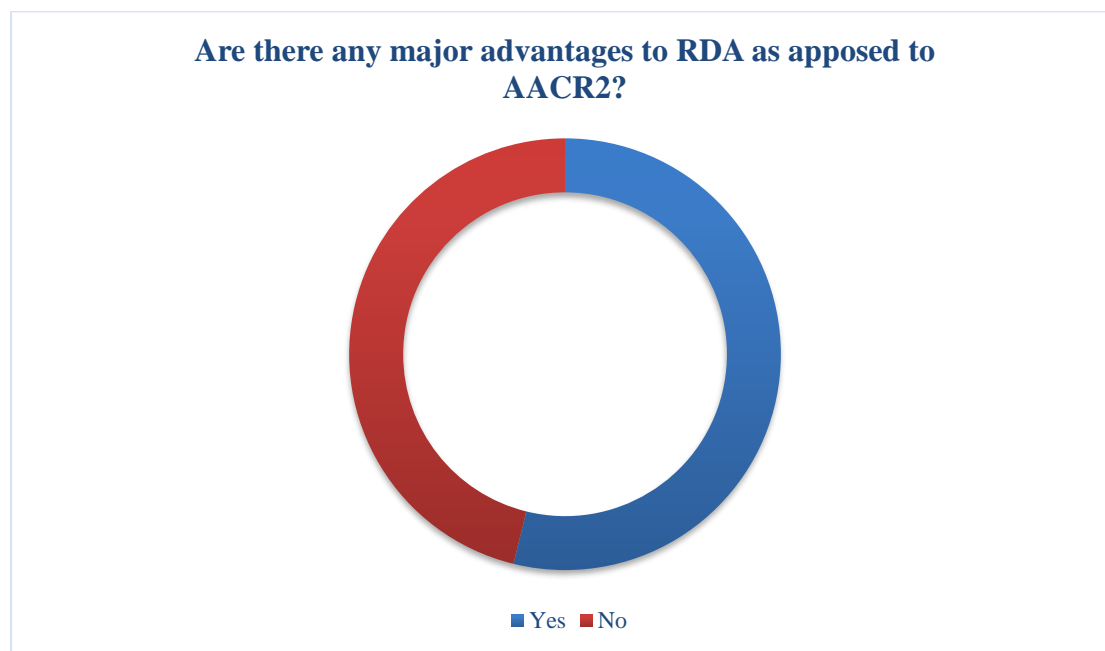


FIGURE 4.21 - ADVANTAGES OF RDA

#### 4.3.20.1 - Top advantages

**Question 20.1 - If your answer were, 'yes' in Question 20, in your opinion what would the top five advantages be? (You may list less)**

This was an open-ended question.

Responses received from the seven participants are transcribed below in no order of preference:

- *“Flexible, terminology better, online, user needs, new types of resources (accommodate).”*
- *“I find it: -more logical, clearer, user-friendly, easier, better suited to electronic publications.”*
- *“RDA is brief and clear. RDA has no abbreviations.”*
- *“Information to describe material can be gathered from anywhere; though not visible now, RDA does prepare the way for future developments in data management, specifically linked data; information can be used as you see it without extensive cataloguing background as needed in AACR2.”*

- *“RDA focuses more on the end user. The data reflects a more exact representation of the resource being described. Fewer abbreviations are used in RDA as opposed to AACR2. You can list all the authors that contributed to the book whereas in AACR2 if the book has more than three authors, only the first one is mentioned. Relationship designators are used in RDA so that the user can know exactly what everyone's involvement is, e.g. illustrator, producer, photographer, etc.”*
- *“RDA fields 336, 337, and 338. Provides a user with information to differentiate between different media types.”*

Responses made it clear that participants found RDA to be better suited for digital resource description and that RDA assisted in making the description of resources easier because of its enhanced terminology, flexibility, and the clarity it brings leading to meeting user needs.

## Section 6 – Cataloguer response to RDA

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Section six of the Cataloguers Questionnaire set out to determine how cataloguers from higher education institutions located in the Western Cape responded to RDA as it focussed on the end user.

### 4.3.21 - Responses to RDA

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#### **Question 21\* - In your opinion was the response to RDA...**

Participants could choose from the following:

- Mostly positive
- There were some reservations

Six of the participants representing three different libraries felt that the response was mostly positive. The remaining seven participants again representing three different libraries felt that there were some reservations. The results indicate that just over half of the participants had some reservations concerning RDA as the new cataloguing standard.

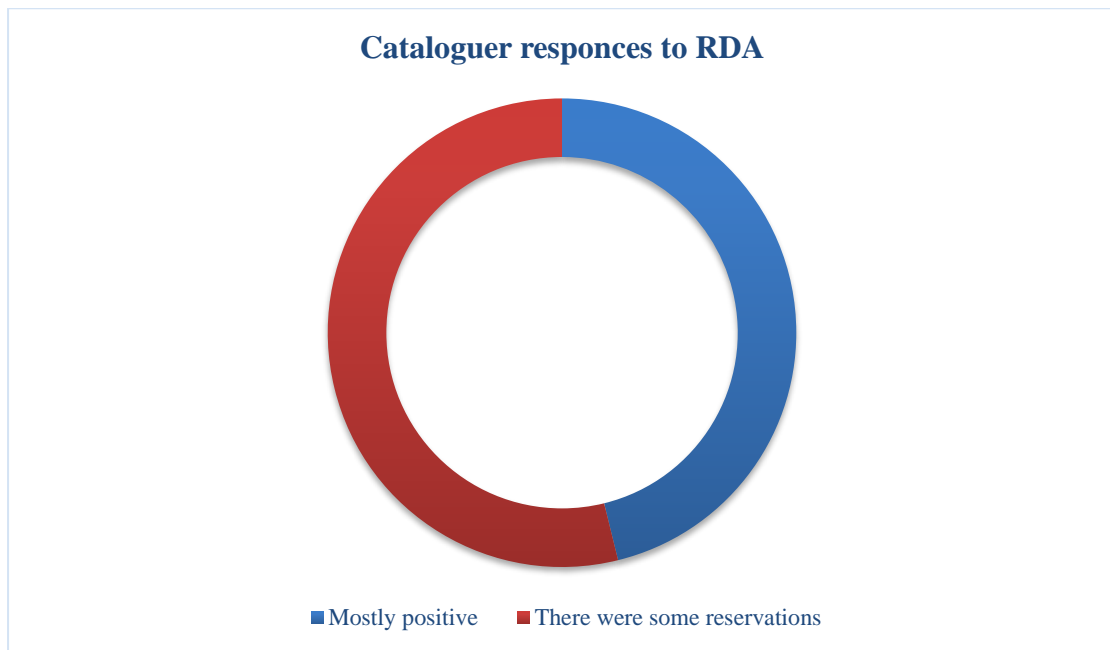


FIGURE 4.22 - RESPONSES TO RDA

#### Question 21.1 – Initial vs later perceptions

**Question 21.1 - If you answered that there were reservations, have they been overcome?**

Participants could choose between yes or no.

All seven of the participants who indicated that initial reservations regarding RDA existed, answered that these reservations were overcome. It can therefore be deduced that participants are generally inclined to be moderately to very positive about RDA as a cataloguing standard.

#### 4.3.22 – Perceptions about RDA as the new cataloguing standard

**Question 22\* - Overall would you agree that RDA as the new cataloguing standard has brought about improvement with regards to bibliographic description of records?**

Participants could select on a linear scale from 1 to 5 where:

- 1 represented strong disagreement
- 2 represented substantial disagreement
- 3 represented a neutral response

- 4 represented substantial agreement
- 5 represented strong agreement.

The participants were moderately divided with one participant choosing option 4, while the rest of the group were equally divided (six each) between option 3 and 5. More than half of the participants strongly or substantially agreed with the statement that RDA as the new cataloguing standard has brought about improvement with regards to the bibliographic description of records. Less than half of the participants were neutral, there for it can be deduced that cataloguers at Western Cape higher education libraries were neutral to mostly positive about RDA as the new cataloguing standard.

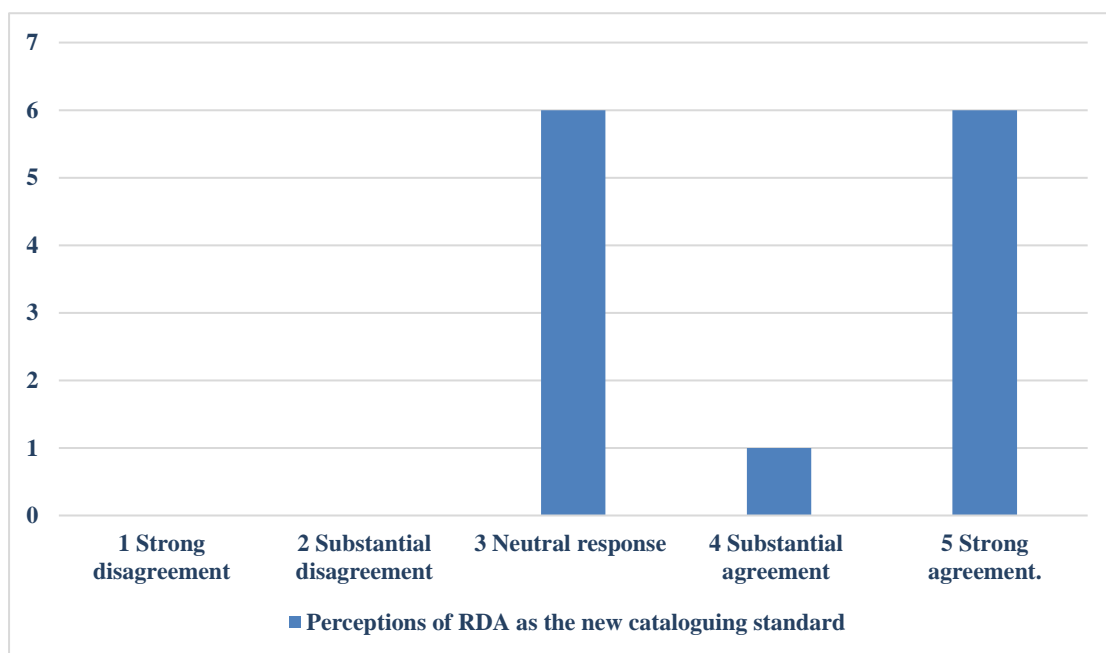


FIGURE 4.23 - PERCEPTIONS ABOUT RDA AS THE NEW CATALOGUING STANDARD

## 4.4 Concluding summary

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This chapter served to present, summarize and analyse the questionnaire responses from both the heads of cataloguing departments located in the Western Cape and their cataloguing staff relating to RDA as the new cataloguing standard in an ever-fluxing information age.

In Chapter 5 a discussion of the findings based upon the questionnaire results will be given.



## CHAPTER 5 – DISCUSSION OF FINDINGS

### 5.1 Introduction

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As the researcher set out on this journey, she was not sure what to expect or even what the results might reveal but had an intrinsic belief in the importance of cataloguing as a profession. She wanted to be able to reveal to colleagues, library administrators, and all those dependent upon high quality library services what could be revealed about RDA and how it might influence the age-old function of creating discovering tools for library material.

This chapter will discuss the questionnaires findings presented in the previous chapter drawing on the WEMI model and aligning it to the literature review.

### 5.2 Discussion of findings

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As was seen in previous studies from around the globe, in South Africa decisions regarding RDA adoption were also guided by the decisions made by the local steering committee. It is important to note that South African adoption of RDA was also influenced by local libraries' participation as NACO members as was the trend on an international level. These libraries were responsible for contributing South African names and series for inclusion in the Library of Congress's (LC) global name authority file, available for global use via the WorldCat platform. As the Calico libraries, are members of NACO and are involved in corporate cataloguing via OCLC WorldCat, these institutions, as many international institutions were bound by the Library of Congress policy documents. Another international trend was observed in the South African study namely that most cataloguing departments involved in the study included their staff in the decision-making processes related to RDA implementation.

Cataloguing participants, which included two department heads, cataloguing experience ranged from 1 year to 35 years. Only four of the participants had less than ten years cataloguing experience. The chronological implementation span amongst participating institutions were from 2013 to 2015.

### **5.2.1 Initial vs later perceptions**

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When looking at Question 21 of the Cataloguers Questionnaire and Question 8 of the Supervisor Questionnaire, it is apparent that participants were generally inclined to be moderately to very positive about RDA as a cataloguing standard. This was specifically because the participants who said that, “there were some reservations” all reported that these were overcome in the subsequent questions. This reaction mirrored the international trend where initial reservations regarding RDA were later overcome (Turner, 2014).

Only one supervisor received feedback external to the technical services department as indicated in Question 7.1, and this feedback was mostly positive. However, due to the lack of input from the remaining supervisors it is difficult to come to a valid conclusion about this feedback.

### **5.2.2 Views on training**

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The participating institutions indicated that all their staff employed at the time of RDA implementation attended RDA-SA SC training across the board. Both professional and paraprofessional staff members were included in facilitator training offered by the RDA-SA Steering Committee. This was something that libraries in both developed and developing countries had done. Only two participants of the Cataloguing Questionnaires indicated in Question 4 that there were differences between professional and paraprofessional staff training. Hanford (2014), Hanson and Parks (2013) as well as Maurer and Panchyshyn (2014) also reported different approaches where the training of professional and paraprofessional staff were concerned.

#### **5.2.2.1 Training material**

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A limited number of participants indicated making use of additional material other than that which they had received at the official RDA-SA Steering Committee training that included webinars (Question 3.1 – Cataloguer Questionnaire). As is mentioned in Question 3 of the Cataloguer Questionnaire all participants employed at the given institutions attended the RDA-SA SC training and made use of that training material.



Regarding the training material and online help available on the National Library of South Africa's website, very few made use of the facility, with only one indicating that they found it to be useful (Questions 5 of both the Supervisor Questionnaire and Cataloguer Questionnaire).

The workshop-oriented training offered by the RDA-SA Steering committee as reported by De Beer (2016) included the following topics:

- RDA Toolkit demonstration;
- Guidelines for RDA cataloguing for printed as well as audio-visual resources;
- RDA cataloguing guidelines for text-based electronic resources;
- RDA cataloguing guidelines for serials and journals,
- Name authority access points (personal and corporate names) and series access points.

Most of these topics were also included in training material in other countries (Park and Tosaka, 2015). Atilgan, Özel, and Çakmak (2014) were the only ones that listed non-RDA topics where training was concerned that included management of staff, schedules, digital collections, and “change management”.

The RDA-SA SC workshops were well attended, and participants included delegates from neighbouring countries, who gave positive feedback regarding the workshops (De Beer, 2016). In this regard, it can be said that the RDA-SA SC seemed to have succeeded in their goal to ensure a smooth transition to RDA within a South Africa context. Especially in the light of the fact that the 92.3% of participants in the Cataloguers Questionnaire reported that there were very few perceived limitations to the standard. Which might be a result of the training they had received. This point would require some further investigation to clarify.

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#### **5.2.2.2 Training networks**

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Globally, collaboration was a positive element of RDA training (Aliverti, Behrens, and Schaffner, 2016; Hanford, 2014; Maurer and Panchyshyn, 2014; Park and Tosaka, 2015; Turner, 2014). South Africa was no different as De Beer (2016) mentioned that the interaction between presenters and attending delegates, and the way in which

various people shared their knowledge, thoughts and interpretations was a distinctive feature of the South African workshops. In general, the South African workshop attendees were very positive and found the sessions to be both practical and informative. This study's questionnaires did not specifically cover this aspect, but as the researcher felt it was an important aspect of the training process, she included it in this discussion nonetheless, with a recommendation of some future investigation.

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### **5.2.2.3 Training format**

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All the cataloguing heads, together with their staff attended facilitator training on offer by the RDA-SA Steering Committee (Questions 3 of both the Supervisor Questionnaire and Cataloguer Questionnaire). Some participants indicated that they additionally made use of webinars (Question 3.1 of the Cataloguer Questionnaire). South African cataloguers were fortunate as the Department of Arts and Culture bestowed a grant to assist the RDA-SA Steering Committee to facilitate the workshops nationally and ensure ease in the transition from AACR 2 to RDA.

Park and Tosaka (2015) found that training environments in the various library sectors were much diversified and that different methods of training including blended learning and on-the-job, training were used. Many libraries used LC's training material exclusively (Hanford, 2014; Hanson and Parks, 2013; Maurer and Panchyshyn, 2014; Turner, 2014).

### **5.2.3 View on AACR2 vs RDA in digital resource description**

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Most of the questionnaire participants felt that the description of emerging digital resources did not differ vastly between the two standards (Question 8 and 8.1 of the Cataloguer Questionnaire). This becomes clear especially when one considers the results of Question 8.1 where most respondents indicated the differences between creating catalogue records using RDA compared to AACR2 were substantial.

This might be because of RDA's AACR2 foundations and because of the limiting MARC environment that RDA still functions in. From among the studies described in chapter two only one study touched upon this point and that was the one by Morris and

Wiggins (2016) concluding that RDA's flexibility assisted in the description of digital and other related material.

#### **5.2.4 Ease of record creation using RDA**

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Just more than half of the questionnaire participants felt that it was relatively easy to create a record for digital items when employing RDA (Question 9 of the Cataloguer Questionnaire). However, the remaining participants expressed concern about the creation of records for digital resources. Globally some concerns were expressed about RDA's flexibility by some cataloguers (Chong Luo and Qi, 2014; Maurer and Panchyshyn, 2014). Many cataloguers however expressed the opinion that RDA's additional elements in authority records were a plus, as well as its transcribe-what-you-see principle (Park and Tosaka, 2015).

#### **5.2.5 Advantages of working in a digital environment**

---

Most of the questionnaire participants felt that working in a digital environment was a positive feature of RDA and that it helped them to save time due to it being an online tool (Question 10 of the Cataloguer Questionnaire). Participants expressed the opinion that it kept them in tune with the latest cataloguing trends, as it is easily accessible and pre-empts confusion when dealing with rarely catalogued resources. This ties in well with Turkish cataloguers who acknowledged that it streamlined online processes (Atilgan, Özel, and Çakmak, 2014). It also assisted in the sharing of information (Chong Luo and Qi, 2014).

#### **5.2.6 Changes in staff and workflow routines**

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As there was just one person that found the transition to RDA to be difficult and all other participants (both supervisors and cataloguers) reporting that there were no drastic changes to staff and workflow routines (Question 6 of both questionnaires) it can be said that RDA adoption had little effect on catalogue departmental logistics. This ties in well with global reports by Hanford (2014) as well as Park and Tosaka (2015)

indicating only minor changes in cataloguing routines and initial effect on workload cause to additional training wearing off soon.

### **5.2.7 RDA Toolkit**

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Most questionnaire participants expressed the opinion that working in an online environment using the RDA toolkit made the creation of cataloguing records easier. Some however did not make use of the RDA Toolkit at all (Question 11 of the Cataloguer Questionnaire). Those using the Toolkit said they found the continual updates of the RDA Toolkit to be enhancing and ensuring user satisfaction (Question 12 of the Cataloguer Questionnaire). The fact that it is readily available and searchable was something that cataloguers from both the German speaking countries and some in America enjoyed (Aliverti, Behrens, and Schaffner, 2016 and Hanford, 2014).

### **5.2.8 WEMI elements**

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Most questionnaire participants expressed the belief that the integral relationships in the WEMI model made the description and ultimate discovery of resources intuitive to the user (Questions 13 of the Cataloguer Questionnaire). This included the establishment of links between the various WEMI elements that is works, expressions, manifestations, and items (Questions 14-16 and 18 of the Cataloguer Questionnaire). Aliverti, Behrens, and Schaffner (2016) shared these views. However, the German speaking cataloguers also felt that a reassessment of the application of WEMI elements was needed in relation to museum artefacts and non-library material (Aliverti, Behrens, and Schaffner, 2016).

When relating this to the theoretical framework it can be deduced that cataloguers believed that RDA simplified the description process and the creation of links between the various elements of WEMI. As a result, it can be said that RDA as a cataloguing standard held its own when gaged against the elements of the theoretical framework; works, expressions, manifestations and items. Not only that but, RDA also made it easier for users to not only discover the information they needed, but also discover

related material via the various links within the WEMI structure. All of which assisted in the creation of a catalogue that is user friendly and interoperable.

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#### **5.2.8.1 Ease of establishing links between WEMI elements and relational data**

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Most questionnaire participants agreed that it was relatively to very easy to establish links between the WEMI elements and their relational data (Questions 17 of the Cataloguer Questionnaire). German speaking cataloguers (Aliverti, Behrens, and Schaffner, 2016) shared this opinion.

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#### **5.2.9 Limitations of RDA**

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Only a lone participant to this study expressed some perceived limitations to RDA as a cataloguing standard (Question 19 of the Cataloguer Questionnaire). Overall, it would seem the participating South African cataloguers believed RDA had very few limitations. As this was not the opinion of cataloguers globally, it might be that these South African cataloguers were either better prepared during training or that the MARC environment that still houses RDA has brought about little changes in daily cataloguing. If this is the case, South African cataloguers had the opportunity to focus on the positive changes that RDA has brought about. What is noteworthy is that Park and Tosaka (2015) found that higher education libraries in America also seemed to have seamlessly transitioned to RDA - a fact that they also ascribed to the minimal difference in metadata created and still captured in the MARC environment.

Reflecting on the fact that 92.3% of these South African cataloguers attended the facilitator training on offer by the RDA-SA SC it might very well be that this was another reason why they did not find cataloguing in RDA to be challenging. The other possibility is that the questionnaire did not allow participants enough opportunity to relay their opinions regarding this matter. Regardless of the reason, it might be necessary for future research to give this some further attention.

### 5.2.10 Advantages of RDA as opposed to AACR2

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Just over half of the questionnaire participants expressed the belief that RDA as a cataloguing standard had major advantages when compared to AACR2 (Question 20 of the Cataloguer Questionnaire). The other participants believed there to be no major advantages to RDA, although they still favoured RDA.

The advantages indicated by questionnaire participants included that:

- RDA gives greater clarity (see advantages of RDA in section 4.3.20.1), a view also expressed by other cataloguers globally (Park and Tosaka, 2015).
- RDA is more concise.
- RDA has greater flexibility, an opinion voiced also by Turner (2014), that felt it allows for greater cataloguer judgement. While Hanford (2014) only made use of it when all other routes were exhausted and keeping the user in mind when creating the best “access or description possible”.
- RDA is more logically structured. Park and Tosaka (2015) supports the opinion that users preferred RDAs easily understood format, because RDA prescribes to the transcribe-what-you-see idea.
- RDA is user friendly as an online resource. Global cataloguers also had this view and added that its user friendliness lies within its ability to create metadata that eases the exchange of knowledge (Park and Tosaka, 2015).
- Whereas Chinese cataloguers (Chong Luo and Qi, 2014) identified RDA’s complexity in both terminology and conceptual context as a challenge, the questionnaire participants felt that RDA’s terminology is an advantage.
- The lack of abbreviations was indicated as a positive feature of RDA, a view that was strongly supported by cataloguers globally (Hanford, 2014; Hanson and Parks, 2013; Maurer and Panchyshyn, 2014; Park and Tosaka, 2015).
- RDA is geared more toward the end user and the information contained in the 336-338 fields assist users to distinguish between divergent material types.
- Cataloguers liked the fact that the information needed to transcribe a resource could be taken from anywhere and felt that the resulting metadata reflected a more precise representation of the resource described. Cataloguers from across the globe also appreciated this feature of RDA.

- RDA's omission of the rule of three allowing cataloguers to transcribe all authors who made an intellectual contribution to the resource, something that global cataloguers like Hanson and Parks (2013) also voiced.

The relationship designators (that is illustrator, producer, photographer) prescribed by RDA was another positive aspect of the new standard as it enables the user to know what the different relational affiliations of the contributors were. Cataloguers from KSUL, a higher education library from America, were also positive about the relationship designators as they felt they served to uniquely define a contributor's role about a given resource (Maurer and Panchyshyn, 2014). This was something that Maurer and Panchyshyn (2014) believed sets RDA aside and makes it suitable for use beyond the library environment.

This is something that the theoretical framework prescribes, that RDA must be able to clearly relay these relationships, linking not only elements within the WEMI model with each other but also in turn linking it to the group two and three elements within the FRBR universe (Maxwell, 2014). Within the FRBR universe these links again are used to classify resources and make it possible for a user to find the correct and related resources (Miksa, 2009). In this case other items written by the same author on a subject or items within the same subject area written by a multitude of other authors. This unlocks a scope of resources to the user that might have been missed if these links did not exist.

Participants further expressed the opinion that RDA is preparing the way for future developments in data management, specifically linked data. This feature specifically will allow the metadata created using RDA to move beyond the library milieu. This is a view also held by Park and Tosaka (2015). This is a feature of RDA that prompted Aliverti, Behrens, and Schaffner (2016) to express the opinion that it was invaluable in resource discovery and would assist in the development of a superior catalogue.

### **5.2.11 Policy development in an RDA milieu**

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As the libraries involved in this study were all members of a consortium and were making use of OCLC WorldCat their policy decisions were guided by the Library of

Congress and additionally by the national joint steering committee's decisions (Question 2 of the Supervisor Questionnaire). Some global players made the same decision (Hanson and Parks, 2013) while others have chosen to develop local policies (Maurer and Panchyshyn, 2014). Policy decisions were not made in isolation and most cataloguers were involved in the policy decision-making processes (Question 1 of the Supervisor Questionnaire). This was a trend experienced in both developed and developing countries (Aliverti, Behrens, and Schaffner, 2016; Hanson and Parks, 2013).

As referred to in 2.4.10, the following aspects were matters that guided libraries globally to make certain policy decisions:

- LC's adoption of RDA and continued contribution to PCC.
- NACO membership.

### **5.2.12 Concluding summary**

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Researchers conduct qualitative research to understand social phenomena and this study is no exception. In this study, the lens through which an attempt was made to gain understanding on the reception of RDA within the cataloguing community has been WEMI.

As seen above questionnaire participants expressed the belief that the integral relationships in the WEMI model made the description and ultimate discovery of resources intuitive to the user. It can consequently be said that when RDA is measured against the constructs of the WEMI framework that it is indeed successful in the description of not only the various elements within RDA's group one entities but also eases the creation of links to the group two and three entities as well. As cataloguing has always had at its heart the users and purposefully trying to meet their needs, RDA seemed to have achieved this. Not only does it seem to have met users' needs in new and unique ways (for instance, the way Doyle (2015) made use of it in law libraries), but it also has achieved success in establishing links between the WEMI elements and a resource's relational data in ways AACR2 was not capable to. Something that should



make cataloguers excited to face the future environment outside the restrictive MARC environment, where RDAs full potential could be revealed.

The results from both the Supervisor Questionnaire as the Cataloguer Questionnaire indicated that cataloguing professionals veered toward a positive reception of RDA. In fact, none of the participants in the study responded negatively to RDA adoption. Although there were some initial reservations these were overcome, as cataloguers grew more familiar with the standard. From the questionnaire data, it can be deduced that cataloguers from the Western Cape Higher education institutions were to a considerable extent positive about the new cataloguing standard and that some of them were anticipating further enhancements in future - something all cataloguers look forward to now with less trepidation and more excitement.

It would seem from what has been revealed that there is indeed hope for the future. Librarians and patrons alike can look forward to a future of new developments within the resource discovery world.



## CHAPTER 6 – CONCLUSION AND RECOMMENDATIONS

### 6.1 Introduction

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In this final chapter, the researcher set out to relay answers to the research questions that the study intended to answer. It should be mentioned that the theoretical framework will not be addressed under each of these research questions as it has already been addressed under point 2.5.8 and 5.2.12, and this chapter relays more to how RDA operates in general.

Most questionnaire participants believed that the integral relationships in the WEMI model made the description and ultimate discovery of resources intuitive to the user (Questions 13 of the Cataloguer Questionnaire). This included the establishment of links between the various WEMI elements that is works, expressions, manifestations and items (Questions 14-16 and 18 of the Cataloguer Questionnaire). Aliverti, Behrens, and Schaffner (2016) shared these views.

### 6.2 Returning to the research questions

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In this section a discussion of the research questions and the answers that the study revealed follows, with specific emphasis on the role of the theoretical framework, WEMI.

#### 6.2.1 How has the transition from AACR2 to RDA been since its inception?

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This research question was addressed in Question 8 of the Supervisor Questionnaire, Question 21 of the Cataloguer Questionnaire and in point 5.2.1 of Chapter 5.

When looking at Question 8, and 8.1 of the Supervisor Questionnaire and Question 21, and 21.1 of the Cataloguers Questionnaire it is apparent that participants were generally inclined to be moderately to very positive about RDA as a cataloguing standard. This is specifically because participants, who voiced some reservations initially, all reported that these were later addressed. This trend mirrored the reaction on an international level, where initial reservations regarding RDA were also later overcome (Turner, 2014).

There has not been a vast amount of feedback related to RDA from staff and patrons external to the cataloguing departments, but the information that was received was mostly positive in nature (see Question 7.1 of the Supervisor Questionnaire). However, due to the lack of input from the remaining supervisors it is difficult to come to a valid conclusion about this feedback.

As this specific question zones in on cataloguer expectations this addresses the theoretical framework from that specific viewpoint and the technical features used within RDA to describe resources. As stated in section 5.2.1 cataloguers felt that RDA simplified the description process and the creation of links between the various elements of the WEMI model. A feature that also assists the user in resource discovery. Thus, when rating this aspect against the WEMI model and addressing the theoretical framework, RDA performed very well relating to its implementation and roll out as it fulfilled both elements of what the WEMI model set out to do.

### **6.2.2 Has the implementation of RDA overcome most of the limitations that AACR2 had with regards to resource cataloguing within a digital environment?**

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This research question was addressed in Section 2 of the Cataloguer Questionnaire and point 5.2.3 of Chapter 5.

Results for Question 8 made it clear that most participants found creating a catalogue record using RDA did not differ vastly from using AACR2. From Question 9's feedback, it became clear that the bibliographic description of digital material was easier. Question 10 showed that participants enjoyed working in an online environment and that using the RDA Toolkit made the creation of cataloguing records easier.

As indicated in chapter two this might be a result of the fact that RDA was built upon AACR2's foundations and because of the limiting MARC environment that RDA is still exposed to (Park and Tosaka, 2015). Morris and Wiggins (2016) also concluded that RDA's flexibility assisted in the description of digital and other related material.

In general, it can be deduced that these Western Cape higher education cataloguers felt that RDA has indeed overcome most of the limitations that AACR2 displayed with regards to working in a digital environment. Not only have RDA overcome most of AACR2's limitations, it propelled librarians into a new era where library metadata can transcend an exclusively library-based milieu. This became apparent from not only the questionnaire data, but also from the various studies that were used to form the basis of this research.

Rating this aspect against the WEMI model as theoretical framework, RDA has outperformed the previous code where bibliographic description is concerned and has indeed overcome most of the limitations of the previous standard. RDA has indeed not only overcome the limitations but as Doyle's (2015) study has shown, has outperformed AACR2 and opened the possibility of new creative ways of making resources available to the user.

### **6.2.3 Are there any perceived limitations to the new cataloguing standard?**

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This research question was addressed in Section 4 of the Cataloguer Questionnaire and point 5.2.9 of Chapter 5.

Most participants believed that there are no real limitations to RDA as the new cataloguing standard. As this was not a view voiced everywhere, it might require some future research and explorations. Overall, it would seem the participating South African cataloguers believed RDA had very few limitations. As this was not the opinion of cataloguers globally, it might be ascribed to the limiting effect of the current MARC environment. What is noteworthy is that Park and Tosaka (2015) found that higher education libraries in America also seemed to have seamlessly transitioned to RDA, a fact that they also ascribed to the minimal difference in metadata created and still captured in the MARC environment.

Reflecting on the fact that 92.3% of these South African cataloguers attended the facilitator training on offer by the RDA-SA SC it might very well be that this was another reason why they did not find cataloguing in RDA to be challenging. The other possibility is that the questionnaire did not allow participants enough opportunity to

relay their opinions regarding this matter. Regardless of the reason, it might be necessary for future research to give this some attention.

In addressing the theoretical framework, and rating this aspect against the WEMI model, RDA has performed very well in a South African context. As RDA has managed to address both most important aspects in the WEMI model, both on a description level as on a resource discovery level it can be said that RDA has hit the target in this area.

#### **6.2.4 Are there any advantages of RDA as compared to AACR2?**

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This research question was addressed in Section 5 of the Cataloguer Questionnaire and point 5.2.10 of Chapter 5.

Questionnaire participants voiced many advantages of RDA when comparing it to AACR2 (refer to 5.2.10). Among these were its brief, logical format that made cataloguing easier, and allowed greater flexibility. This is an opinion voiced by Park and Tosaka's (2015) when they said that users favoured RDA's easily understood format, as RDA prescribes to the transcribe-what-you-see idea. Turner (2014) also felt that it allows for greater cataloguer judgement. They also concluded that RDA is much better suited where the description of emerging resources was concerned. The opinion was also expressed that RDA's user centric approach serves to enhance user satisfaction by relaying material type and relational data in such a way that users can easily follow the logic contained in the metadata. The participants were excited about the future capabilities of RDA as it continues towards a link-data milieu, making library metadata more easily available. On a global level, this ensures continued inter-institutional and international collaboration.

With the global cataloguing community positive about the abilities and advantages, it can be said that in this aspect RDA has met all the requirements set by the theoretical framework. RDA can be said to be a superior cataloguing standard which has further potential with regards to bibliographic description and through its internal linking ability has eased resource discovery.

### **6.2.5 How do cataloguers perceive the new cataloguing standard RDA?**

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This research question was addressed in Question 8 and 8.1 of the Supervisor Questionnaire as well as in Section 6 of the Cataloguer Questionnaire.

Although initial reservations and concerns were expressed, all respondents indicated that they were overcome, and it can be deduced that cataloguers leaned toward the positive.

Aliverti, Behrens, and Schaffner (2016), Atilgan, Özel, and Çakmak (2014), Doyle (2015), Hanford (2014), Hanson and Parks (2013), Maurer and Panchyshyn (2014) Park and Tosaka (2015) all expressed a great deal of positivity towards RDA as the new cataloguing standard and towards some aspects of its future capabilities.

As this question again relates to how cataloguers experienced that new cataloguing standard, it goes to the heart of the resource description aspect within the theoretical framework. When addressing this aspect of the WEMI model it can be deduced that both the participants of this study as well as global cataloguers were positive about RDA. The cataloguing community was further positive about the abilities and advantages and many cataloguers felt that it was a superior cataloguing standard which has much further potential with regards to bibliographic description.

### **6.2.6 Have there been major issues with regards to the training and implementation of RDA?**

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No issues were reported with regards to the South African training and implementation phase of RDA. Although the study managed to address implementation processes adequately, the researcher can conclude that the questionnaires should have included more questions about the participants' views regarding their personal training experiences, and not only about the type of training, and the training modes. From the information supplied by De Beer (2016) the interaction between presenters and delegates in sharing their knowledge, thoughts and interpretations was a positive feature of the South African workshops. The South African workshop attendees gave positive

feedback about sessions being both practical and informative. This is another matter for consideration in future research.

RDA seemed to have fared very well internationally regarding training before implementation as well as online training support.

As the theoretical framework focusses on how well the FRBRs group one entities can be used in the description of resources and assist in resource discovery, RDA on both levels did very well. As the purpose of this study was to determine with what ease cataloguers could describe resources when employing RDA to describe works, expressions, manifestations and items specifically and with what ease further relationships to the group one entities could be established through its use it is clear that RDA has achieved both.

### 6.3 Recommendations

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As this research revealed a distinctly positive attitude from the questionnaire participants, a trend also suggested by De Beer (2016), it might be necessary to conduct further research into this phenomenon to determine what influenced this trend within a South African milieu.

As chapter five was unfolding four matters for future research was revealed, being:

- Why South African participants in this questionnaire study voiced almost no perceived limitations to RDA as a cataloguing standard. Future research might be able to relay information regarding this trend, especially in the light that it was not a global phenomenon.
- A deeper look might have to be taken into how participants experienced their training and what their opinions were regarding training. A matter related to this includes the non-use of the NLSA training and online help. This phenomenon might be linked to the reasons why the participants did not mention more limitations.
- As this study targeted cataloguers as respondents and almost no feedback from staff and patrons external to the cataloguing departments were reported, it might

be of interest to target non-cataloguers to investigate the effect of RDA on other library services.

- As only the four Western Cape tertiary institutions were targeted for this research, a more comprehensive study involving other academic libraries as well as other types of libraries in the whole of South Africa is called for.





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## APPENDICES

### Appendix A – UWC ethical clearance

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05 September 2016

Mrs R Janse van Rensburg  
Library and Information Science  
Faculty of Arts

Ethics Reference Number HS/16/4/5

**Project Title:** Resource Description an Access: a study of the implementation and perceived effectiveness of the new cataloguing standard in an ever fluxing information age with reference to cataloguing practice in tertiary institutions in the Western Cape.

**Approval Period:** 10 June 2016 – 10 June 2017

I hereby certify that the Humanities and Social Science Research Ethics Committee of the University of the Western Cape approved the methodology and ethics of the above mentioned research project.

Any amendments, extension or other modifications to the protocol must be submitted to the Ethics Committee for approval. Please remember to submit a progress report in good time for annual renewal.

The Committee must be informed of any serious adverse event and/or termination of the study.

A handwritten signature in black ink, appearing to read 'Patricia Josias'.

*Ms Patricia Josias  
Research Ethics Committee Officer  
University of the Western Cape*

**PROVISIONAL REC NUMBER - 130416-049**

FROM HOPE TO ACTION THROUGH KNOWLEDGE

## Appendix B – UCT ethical clearance

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### LIBRARY AND INFORMATION STUDIES CENTRE

### UNIVERSITY OF CAPE TOWN

### Departmental Research/Ethics Committee

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**Re: Request to collect data from UCT Libraries staff for proposed Master's study.**

**Title of study:** Resource Description and Access (RDA): continuity in an ever fluxing information-age with reference to tertiary institutions in the Western Cape

**Researcher's name:** Rachel Janse van Rensburg

**Institution:** University of the Western Cape

The following members of the academic staff of the Library and Information Studies Centre have reviewed the ethical considerations pertaining to the University of Cape Town of the attached research proposal for submission to the University of the Western Cape, using UCT Libraries as one of four data collection points in the Western Cape.

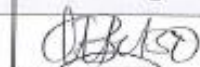
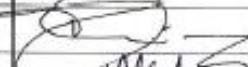

The proposed study intends to investigate how cataloguers in four universities in the Western Cape have experienced the transition from Anglo American Cataloguing Rules 2 (AACR2) to Resource Description and Access (RDA) since its inception. Participation of UCT Libraries as one of the four universities in the Western Cape would add relevant and valuable data to the study.

The proposed study does involve human subjects, but it takes into account ethical considerations. Data collected will be anonymised, and the appropriate provisions will be made for its safekeeping. In view of fewer cataloguing departments, the researcher has promised she will present the institutions as Library 1, Library 2, Library 3 and Library 4.



The Committee has reviewed the proposed survey methodology and questionnaires in some detail and would like to suggest that the researcher informs participants upfront that although every effort will be made to maintain privacy and present data with anonymity, in view of the small number of participants, particularly the managers, it is possible that some information might be linked to them.

The researcher is requesting email addresses of participants and all the items of the online questionnaire are set as *required fields*; this might have a coercing effect on participants to respond to all the questions. Therefore, the committee recommends the researcher to change the settings of items to *non-required fields* and to rephrase the item requesting the email address by clarifying to participants that if they would be willing to participate in a follow up interview, they may provide an email address. If these ethical concerns are addressed, the proposed study will not expose UCT Libraries, its staff, or the University to any undue risk.

Name	Date	Signature
Dr Connie Bitso (Chair)	21/08/2017	
Ms Michelle Kahn	21 August 2017	
Mr Richard Higgs	21-08-2017	

Ref: UCTLIS2017 08 12.

## APPENDIX C – CPUT ETHICAL CLEARANCE



P.O. Box 652 • Cape Town 8000 South Africa • Tel: +27 21 469 1012 • Fax +27 21 469 1002  
80 Roeland Street, Vredehoek, Cape Town 8001

Office of the Research Ethics Committee	Faculty of Informatics and Design
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Approval was granted by the Faculty Research Ethics Committee on 4 August 2017, to MS RACHEL JANSE VAN RENSBURG for research activities related to the Masters degree in Library and Information Science at the University of the Western Cape. Ms Janse Van Rensburg has requested permission to collect research data at Cape Peninsula University of Technology and will require formal consent from the institution's management.

Title of research proposal:	Resource Description and Access (RDA): continuity in an ever fluxing information age with reference to tertiary institutions in the Western Cape
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### Comments

Research activities are restricted to those detailed in the research proposal.

 Signed: Faculty Research Ethics Committee	4/8/2017 Date
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## Appendix D – SU ethical clearance



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jou kennisvenoot • your knowledge partner

### INSTITUTIONAL PERMISSION:

#### AGREEMENT ON USE OF PERSONAL INFORMATION IN RESEARCH

**Name of Researcher:** Ms Rachel Janse van Rensburg  
**Name of Research Project:** Resource Description and Access (RDA): continuity in an ever fluxing information age with reference to tertiary institutions in the Western Cape.  
**Service Desk ID:** IRPSD 483  
**Date of Issue:** 21 June 2017

You have received institutional permission to proceed with this project as stipulated in the institutional permission application and within the conditions set out in this agreement.

1 WHAT THIS AGREEMENT IS ABOUT	
What is POPI?	<p>1.1 POPI is the Protection of Personal Information Act 4 of 2013.</p> <p>1.2 POPI regulates the entire information life cycle from collection, through use and storage and even the destruction of personal information.</p>
Why is this important to us?	<p>1.3 Even though POPI is important, it is not the primary motivation for this agreement. The privacy of our students and employees are important to us. We want to ensure that no research project poses any risks to their privacy.</p> <p>1.4 However, you are required to familiarise yourself with, and comply with POPI in its entirety.</p>
What is considered to be personal information?	<p>1.5 'Personal information' means information relating to an identifiable, living, individual or company, including, but not limited to:</p> <p>1.5.1 information relating to the race, gender, sex, pregnancy, marital status, national, ethnic or social origin, colour, sexual orientation, age, physical or mental health, well-being, disability, religion, conscience, belief, culture, language and birth of the person;</p> <p>1.5.2 information relating to the education or the medical, financial, criminal or employment history of the person;</p>

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	<p>1.5.3 any identifying number, symbol, e-mail address, physical address, telephone number, location information, online identifier or other particular assignment to the person;</p> <p>1.5.4 the biometric information of the person;</p> <p>1.5.5 the personal opinions, views or preferences of the person;</p> <p>1.5.6 correspondence sent by the person that is implicitly or explicitly of a private or confidential nature or further correspondence that would reveal the contents of the original correspondence;</p> <p>1.5.7 the views or opinions of another individual about the person; and</p> <p>1.5.8 the name of the person if it appears with other personal information relating to the person or if the disclosure of the name itself would reveal information about the person.</p>
Some personal information is more sensitive.	<p>1.6 Some personal information is considered to be sensitive either because:</p> <p>1.6.1 POPI has classified it as sensitive;</p> <p>1.6.2 if the information is disclosed it can be used to defraud someone; or</p> <p>1.6.3 the disclosure of the information will be embarrassing for the research subject.</p> <p>1.7 The following personal information is considered particularly sensitive:</p> <p>1.7.1 Religious or philosophical beliefs;</p> <p>1.7.2 race or ethnic origin;</p> <p>1.7.3 trade union membership;</p> <p>1.7.4 political persuasion;</p> <p>1.7.5 health and health related documentation such as medical scheme documentation;</p> <p>1.7.6 sex life;</p> <p>1.7.7 biometric information;</p> <p>1.7.8 criminal behaviour;</p> <p>1.7.9 personal information of children under the age of 18;</p> <p>1.7.10 financial information such as banking details, details relating to financial</p>

	<p>products such as insurance, pension funds or other investments.</p> <p>1.8 You may make use of this type of information, but must take extra care to ensure that you comply with the rest of the rules in this document.</p>
<h2>2 COMMITMENT TO ETHICAL AND LEGAL RESEARCH PRACTICES</h2>	
<p>You must commit to the use of ethical and legal research practices.</p>	<p>2.1 You must obtain ethical clearance before commencing with this study.</p> <p>2.2 You commit to only employing ethical and legal research practices.</p>
<p>You must protect the privacy of your research subjects.</p>	<p>2.3 You undertake to protect the privacy of the research subjects throughout the project.</p>
<h2>3 RESEARCH SUBJECT PARTICIPATION</h2>	
<p>Personal information of identifiable research subjects must not be used without their consent.</p>	<p>3.1 Unless you have obtained a specific exemption for your research project, consent must be obtained in writing from the research subject, before their personal information is gathered.</p>
<p>Research subjects must be able to withdraw from the research project.</p>	<p>3.2 Research subjects must always be able to withdraw from the research project (without any negative consequences) and to insist that you destroy their personal information.</p>
<p>Consent must be specific and informed.</p>	<p>3.3 Unless you have obtained a specific exemption for your research project, the consent must be specific and informed. Before giving consent, the research subject must be informed in writing of:</p> <p>3.3.1 The purpose of the research,</p> <p>3.3.2 what personal information about them will be collected (particularly sensitive personal information),</p> <p>3.3.3 how the personal information will be collected (if not directly from them),</p> <p>3.3.4 the specific purposes for which the personal information will be used,</p> <p>3.3.5 what participation will entail (i.e. what the research subject will have to do),</p> <p>3.3.6 whether the supply of the personal information is voluntary or mandatory for purposes of the research project,</p>

	<p>3.3.7 who the personal information will be shared with,</p> <p>3.3.8 how the personal information will be published,</p> <p>3.3.9 the risks to participation (if any),</p> <p>3.3.10 their rights to access, correct or object to the use of their personal information,</p> <p>3.3.11 their right to withdraw from the research project, and</p> <p>3.3.12 how these rights can be exercised.</p>
Consent must be voluntary.	3.4 Participation in the research project must always be voluntary. You must never pressure or coerce research subjects into participating and persons who choose not to participate must not be penalised.
Using the personal information of children?	<p>3.5 A child is anybody under the age of 18.</p> <p>3.6 Unless you have obtained a specific exemption in writing for your research project, you must obtain</p> <p>3.6.1 the consent of the child's parent or guardian, and</p> <p>3.6.2 if the child is over the age of 7, the assent of the child,</p> <p>before collecting the child's information.</p>
Research subjects have a right to access.	3.7 Research subjects have the right to access their personal information, obtain confirmation of what information is in your possession and who had access to the information. It is strongly recommended that you keep detailed records of access to the information.
Research subjects have a right to object.	<p>3.8 Research subjects have the right to object to the use of their personal information.</p> <p>3.9 Once they have objected, you are not permitted to use the personal information until the dispute has been resolved.</p>
<b>4 COLLECTING PERSONAL INFORMATION</b>	
Only collect what is necessary.	4.1 You must not collect unnecessary or irrelevant personal information from research subjects.
Only collect accurate personal information.	4.2 You have an obligation to ensure that the personal information you collect is accurate. Particularly when you are collecting it from a source other than the

	<p>research subject.</p> <p>4.3 If you have any reason to doubt the quality of the personal information you must verify or validate the personal information before you use it.</p>
<b>5 USING PERSONAL INFORMATION</b>	
Only use the personal information for the purpose for which you collected it.	<p>5.1 Only use the personal information for the purpose for which you collected it.</p> <p>5.2 If your research project requires you to use the personal information for a materially different purpose than the one communicated to the research subject, you must inform the research subjects and Stellenbosch University of this and give participants the option to withdraw from the research project.</p>
Be careful when you share personal information.	<p>5.3 Never share personal information with third parties without making sure that they will also follow these rules.</p> <p>5.4 Always conclude a non-disclosure agreement with the third parties.</p> <p>5.5 Ensure that you transfer the personal information securely.</p>
Personal information must be anonymous whenever possible.	5.6 If the research subject's identity is not relevant for the aims of the research project, the personal information must not be identifiable. In other words, the personal information must be anonymous (de-identified).
Pseudonyms must be used whenever possible.	5.7 If the research subject's identity is relevant for the aims of the research project or is required to co-ordinate, for example, interviews, names and other identifiers such as ID or student numbers must be collected and stored separately from the rest of the research data and research publications. In other words, only you must be able to identify the research subject.
Publication of research	<p>5.8 The identity of your research subjects should not be revealed in any publication.</p> <p>5.9 In the event that your research project requires that the identity of your research subjects must be revealed, you must apply for an exemption from this rule.</p>
<b>6 SECURING PERSONAL INFORMATION</b>	
You are responsible for the confidentiality and security of the personal information	<p>6.1 Information must always be handled in the strictest confidence.</p> <p>6.2 You must ensure the integrity and security of the information in your possession or under your control by taking appropriate and reasonable technical and</p>

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	<p>organisational measures to prevent:</p> <p>6.2.1 Loss of, damage to or unauthorised destruction of information; and</p> <p>6.2.2 unlawful access to or processing of information.</p> <p>6.3 This means that you must take reasonable measures to:</p> <p>6.3.1 Identify all reasonably foreseeable internal and external risks to personal information in your possession or under your control;</p> <p>6.3.2 establish and maintain appropriate safeguards against the risks identified;</p> <p>6.3.3 regularly verify that the safeguards are effectively implemented; and</p> <p>6.3.4 ensure that the safeguards are continually updated in response to new risks or deficiencies in previously implemented safeguards.</p>
Sensitive personal information requires extra care.	6.4 You will be expected to implement additional controls in order to secure sensitive personal information.
Are you sending any personal information overseas?	<p>6.5 If you are sending personal information overseas, you have to make sure that:</p> <p>6.5.1 The information will be protected by the laws of that country;</p> <p>6.5.2 the company or institution to who you are sending have agreed to keep the information confidential, secure and to not use it for any other purpose; or</p> <p>6.5.3 get the specific and informed consent of the research subject to send the information to a country which does not have data protection laws.</p>
Be careful when you use cloud storage.	<p>6.6 Be careful when storing personal information in a cloud. Many clouds are hosted on servers outside of South Africa in countries that do not protect personal information to the same extent as South Africa. The primary example of this is the United States.</p> <p>6.7 It is strongly recommended that you use hosting companies who house their servers in South Africa.</p> <p>6.8 If this is not possible, you must ensure that the hosting company agrees to protect the personal information to the same extent as South Africa.</p>
<b>7 RETENTION AND DESTRUCTION OF PERSONAL INFORMATION</b>	
You are not entitled to retain personal information when	7.1 Personal information must not be retained beyond the purpose of the research project, unless you have a legal or other justification for retaining the information.

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you no longer need it for the purposes of the research project.	
If personal information is retained, you must make sure it remains confidential.	<p>7.2 If you do need to retain the personal information, you must assess whether:</p> <p>7.2.1 The records can be de-identified; and/or whether</p> <p>7.2.2 you have to keep all the personal information.</p> <p>7.3 You must ensure that the personal information which you retain remains confidential, secure and is only used for the purposes for which it was collected.</p>
<b>8 INFORMATION BREACH PROCEDURE</b>	
In the event of an information breach you must notify us immediately.	<p>8.1 If there are reasonable grounds to believe that the personal information in your possession or under your control has been accessed by any unauthorised person or has been disclosed, you must notify us immediately.</p> <p>8.2 We will notify the research subjects in order to enable them to take measures to contain the impact of the breach.</p>
This is the procedure you must follow.	<p>8.3 You must follow the following procedure:</p> <p>8.3.1 Contact the Division for Institutional Research and Planning at 021 808 9385 and <a href="mailto:permission@sun.ac.za">permission@sun.ac.za</a>;</p> <p>8.3.2 you will then be required to complete the information breach report form which is attached as Annexure A.</p> <p>8.4 You are required to inform us of a information breach within 24 hours. Ensure that you have access to the required information.</p>
<b>9 MONITORING</b>	
You may be audited.	<p>9.1 We reserve the right to audit your research practices to assess whether you are complying with this agreement.</p> <p>9.2 You are required to give your full co-operation during the auditing process.</p> <p>9.3 We may also request to review:</p> <p>9.3.1 Forms (or other information gathering methods) and notifications to research subjects, as referred to in clause 3;</p>

	<p>9.3.2 non-disclosure agreements with third parties with whom the personal information is being shared, as referred to in clause 5.4;</p> <p>9.3.3 agreements with foreign companies or institutes with whom the personal information is being shared, as referred to in clause 6.5.</p>
<b>10 CHANGES TO RESEARCH</b>	
You need to notify us if any aspect of your collection or use of personal information changes.	<p>10.1 You must notify us in writing if any aspect of your collection or use of personal information changes (e.g. such as your research methodology, recruitment strategy or the purpose for which you use the research).</p> <p>10.2 We may review and require amendments to the proposed changes to ensure compliance with this agreement.</p> <p>10.3 The notification must be sent to <a href="mailto:permission@sun.ac.za">permission@sun.ac.za</a>.</p>
<b>11 CONSEQUENCES OF BREACH</b>	
What are the consequences of breaching this agreement?	<p>11.1 If you do not comply with this agreement, we may take disciplinary action or report such a breach to your home institute.</p> <p>11.2 You may be found guilty of research misconduct and may be censured in accordance with Stellenbosch University or your home institute's disciplinary code.</p>
You may have to compensate us in the event of any legal action.	<p>11.3 Non-compliance with this agreement could also lead to claims against Stellenbosch University in terms of POPI and/or other laws.</p> <p>11.4 Unless you are employed by or studying at Stellenbosch University, you indemnify Stellenbosch University against any claims (including all legal fees) from research subjects or any regulatory authority which are the result of your research project. You may also be held liable for the harm to our reputation should there be an information breach as a result of your non-compliance with this agreement.</p>
<b>12 CONTACT US</b>	
Please contact us if you have any questions.	Should you have any questions relating to this agreement you should contact <a href="mailto:permission@sun.ac.za">permission@sun.ac.za</a> .

Annexure 'A'

Instruction:

Please send this Notice to [permission@sun.ac.za](mailto:permission@sun.ac.za). If you have any difficulty completing the Notice, please contact the Division for Institutional Research and Planning at 021 808 9385. You must confirm that the Notice was received.

NOTIFICATION OF INFORMATION BREACH

Name of Researcher: \_\_\_\_\_

Name of Research Project: \_\_\_\_\_

Service Desk ID: \_\_\_\_\_

A security breach happens when you know (or you reasonably believe) that there has been:

- (a) loss of Personal Information ("PI")
- (b) damage to PI
- (c) unauthorised destruction of PI
- (d) unauthorised access to PI
- (e) unauthorised processing of PI

Date and time of security breach:	
Brief description of the security breach (what was lost and how). Please identify the equipment, software and/or physical premises and whether it is by hacking, lost device, public disclosure (email), theft or other means:	
Name of the person/s responsible for the security breach (if known):	
Is the security breach ongoing?	
Describe the steps taken to contain the security breach:	
What steps are being taken to investigate the cause of breach?	

## Appendix E – Supervisor questionnaire

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20/08/2017 Resource Description and Access (RDA): continuity in an ever fluxing information age with reference to tertiary institutions In the Western ...

### Resource Description and Access (RDA): continuity in an ever fluxing information age with reference to tertiary institutions in the Western Cape.

This survey is designed to obtain insight into the implementation of Resource Description and Access from the heads of cataloging departments within higher education institutions in the Western Cape, South Africa.

The information recorded in this questionnaire will be considered confidential and no personal or institutional information will be divulged when the resulting data is processed.

\*Required

1. Email address \*

\_\_\_\_\_

**Please tick appropriate answer, some answers will be reflected in linear scale and some will only require you to answer 'yes' or 'no'. There will also be a limited number of questions that require you to give more detail.**

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### In what way has the implementation of RDA influenced policy formulation and other logistical aspects surrounding the day to day operations of your cataloguing department?

The following questions will reflect responses with regards to RDA implementation

2. Question 1 - How were policy decisions surrounding RDA made and who were involved with the creation of policy? \*

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. Question 2 - When RDA cataloging policies were created, did they differ significantly from Library of Congress (LC) policies? \*

Mark only one oval.

- Yes  
 No

4. Question 2.1 - If your answer was 'yes' to Question 2, please elaborate further on these differences.

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5. Question 3 - Did all your cataloging staff attend RDA training prior to RDA implementation at your organization? \*

Mark only one oval.

Yes

No

6. Question 3.1 - What format of training was used? \*

Mark only one oval.

Facilitator training via the RDA-SA Steering Committee

In-house training making use of webinars

A combination of the previous two options.

Other: \_\_\_\_\_

7. Question 4 - Were different training approaches used for professional and paraprofessional staff? \*

Mark only one oval.

Yes

No

8. Question 4.1 - If your answer was yes in Question 4, how did the training of these two groups differ?

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9. Question 5 - Do you feel that the training and online help that are available on the National Library of South Africa's website has been of value to your staff and eased the implementation process? \*

Mark only one oval.

Yes

No

We do not make use of the online help that is offered by the National Library of South Africa, at our institution.

Other: \_\_\_\_\_

10. Question 6 - Has there been any staff or workflow changes because of RDA adoption? \*

Mark only one oval.

- Yes
- No

11. Question 6.1 - If you answered yes in Questions 6, were these changes...

Mark only one oval.

- Minimal
- Extensive

12. Question 6.2 - If you perceive these changes to have been extensive, could you please elaborate on this.

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13. Question 7 - Have you received any feedback about the RDA transition from librarians and staff outside of the technical services department? \*

Mark only one oval.

- Yes
- No

14. Question 7.1 - If your answer was 'yes' to Question 7, was the feedback:

Mark only one oval.

- More positive in nature
- More negative in nature

15. Question 7.2 - If the feedback has lead you to make any changes to your policies, please give detail of this.

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### How do cataloguers from your institution view the new cataloging standard, RDA

16. Question 8 - In your opinion was the response from cataloguing staff to RDA... \*

Mark only one oval.

- Mostly positive
- There where some reservations

17. **Question 8.1 - If you answered that there were reservations, have they been overcome?**

*Mark only one oval.*

Yes

No


18. **Question 9 - Overall would you agree that RDA as the new cataloging standard has brought about improvement with regards to bibliographic description of records in your library? \***

*Mark only one oval.*

	1	2	3	4	5	
Disagree completely	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Strongly agree

Send me a copy of my responses.

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Powered by  
 Google Forms

## Appendix F – Cataloguer questionnaire

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20/08/2017 Resource Description and Access (RDA): continuity in an ever fluxing information age with reference to tertiary institutions in the Western ...

### Resource Description and Access (RDA): continuity in an ever fluxing information age with reference to tertiary institutions in the Western Cape.

This survey is designed to obtain insight into the use of Resource Description and Access from cataloging professionals within higher education institutions in the Western Cape, South Africa. The information recorded in this questionnaire will be considered confidential and no personal or institutional information will be divulged when the resulting data is processed.

\*Required

1. Email address \*

\_\_\_\_\_

2. Question 1 - How many years of cataloguing experience have you got in total? \*

\_\_\_\_\_

**Please tick appropriate answer, some answers will be reflected in linear scale and some will only require you to answer 'yes' or 'no'. There will also be a limited number of questions that require you to give more detail were appropriate.**

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#### How has the transition from AACR2 to RDA been since its inception?

The following questions will reflect responses with regards to the transition period following RDA implementation

3. Question 2 - Since when has your institution been creating cataloging records using RDA? \*

*Mark only one oval.*

- 2011  
 2012  
 2013  
 2014  
 2015  
 2016/2017

4. Question 3 - Did all your cataloging staff in your library attend RDA training prior to RDA implementation at your organization? \*

*Mark only one oval.*

- Yes  
 No



5. Question 3.1 - What format of training was on offer? \*

Mark only one oval.

- Facilitator training via the RDA-SA Steering Committee
- In-house training making use of webinars
- A combination of the previous two options.
- Other: \_\_\_\_\_

6. Question 4 - Were different training approaches used for professional and paraprofessional staff? \*

Mark only one oval.

- Yes
- No

7. Question 4.1 - If your answer was yes in Question 4, how did the training differ?

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8. Question 5 - Do you feel that the training and online help that are available on the National Library of South Africa's website has been of value to you? \*

Mark only one oval.

- Yes
- No
- We do not make use of the online help available on the National Library of South Africa's website.
- Other: \_\_\_\_\_

9. Question 6 - Has there been any staff or workflow changes as a result of RDA adoption? \*

Mark only one oval.

- Yes
- No

10. Question 6.1 - If you answered yes in Question 6, were these changes...

Mark only one oval.

- Minimal
- Extensive

11. Question 7 - If you perceive these changes to have been extensive could you please elaborate on this.

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### Has the implementation of RDA overcome most of the limitations that AACR2 had with regards to cataloging in the digital environment?

This specifically relates to the cataloging of newly emerging resources in various developing formats.

12. Question 8 - In your opinion does creating a catalogue record in RDA differ vastly from creating a catalogue record of the same work in AACR2? \*

Mark only one oval.

- Yes  
 No

13. Question 8.1 - If your answer was yes in Question 8, how much does it differ?

Mark only one oval.

1      2      3      4      5

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It differs vastly                  There are only slight differences

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14. Question 9 - With what ease can you create a catalogue record for an item that is published only in digital format? \*

Mark only one oval.

1      2      3      4      5

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With very little ease                  With a great amount of ease

---

15. Question 10 - Does working in an online environment using the RDA Toolkit make the creation of cataloging records easier? \*

Mark only one oval.

- Yes  
 No  
 Not applicable  
 Other: \_\_\_\_\_

16. Question 11 - The RDA Toolkit is regularly updated. Does this enhance user satisfaction when creating a bibliographic record? \*

Mark only one oval.

- Yes
- No
- Sometimes
- We do not make use of the RDA Toolkit at our institution.
- Other: \_\_\_\_\_

17. Question 12 - Do you believe these updates are a positive feature of RDA? \*

Mark only one oval.

- Yes
- No
- Not applicable

18. Question 12.1 - If you answered yes in Question 12, how has it assisted you personally in achieving cataloging excellence?

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19. Question 12.2 - If your answer was 'no' in Question 12, please highlight some areas of specific interest.

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### With what ease can cataloging records be creating through the use of RDA when describing works, expressions, manifestations and items (WEMI)?

This section relates specifically to the various relationships that exist between die different entities within the WEMI model or the FRBR Group 1 entities expressed as Work - Expression - Manifestation - Item.

The Online dictionary for Library and Information Science (2016) gives the following definitions:

A work is "a distinct expression of human thought or emotion made in language, signs, symbols, numerals, images, or some other medium, for purposes of communication and record."

An expression is an "alteration of the intellectual or artistic content of a work" which can be embodied as an "abridgment, adaptation, revision, translation, etc." (Reitz, 2016).

A manifestation is the "result of a single act of physical embodiment/production of a specific expression of a creative work, for example, an edition of one of the variant texts of a literary work."

Within a library world, an item is described as a bibliographic item and within a FRBR context, it is described as "a single concrete exemplar of a manifestation of an expression of an intellectual or artistic work, in most cases a single physical object, such as a copy of an edition of a single-volume monograph.

20. Question 13 - In your opinion does the integral relationships in the WEMI model make the description and ultimate discovery of resources intuitive to the user? \*

Mark only one oval.

- Yes  
 No  
 Neutral

21. Question 14 - Do the relationships that exist between a work and the different expressions thereof assist in the establishment of a familial affiliation between the various entities that are so bond together? \*

Mark only one oval.

- Yes  
 No

22. Question 15 - Does the link between an expression and a manifestation thereof assist to direct a user to both the expression and its various manifestations? \*

Mark only one oval.

- Yes  
 No

23. Question 16 - Does this also apply to the relationship between the various manifestations and the items that might represent these manifestations? ODLIS defines a manifestation in FRBR (Functional Requirements for Bibliographic Records) as the result of a single act of physical embodiment/production of a specific expression of a creative work, for example, an edition of one of the variant texts of a literary work. \*

Mark only one oval.

- Yes  
 No

24. Question 17 - Does the establishment of links between a work, in its various forms and its creator or its subject further enhance resource description and discovery? \*

Mark only one oval.

- Yes  
 No

25. Question 18 - Considering the previous question, with what ease can these relationships be established through the use of RDA as a cataloging standard? \*

Mark only one oval.

	1	2	3	4	5	
With considerable effort.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	With a great amount of ease.

### In your opinion are there any limitations to RDA as a cataloging standard?

26. Question 19 - Are there any perceived limitations to RDA as a cataloging standard? \*

Mark only one oval.

- Yes  
 No

27. Question 19.1 - If your answer was 'yes' in Question 19, what steps might be taken to overcome some of these limitations?

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### What are the advantages of RDA as apposed to AACR2?

28. Question 20 - Are there any major advantages to RDA as apposed to AACR2? \*

Mark only one oval.

- Yes  
 No

29. Question 20.1 - If your answer was 'yes' in Question 20, in your opinion what would the top 5 advantages be? (You may list less)

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### How do catalogers from your institution view the new cataloging standard, RDA

30. Question 21 - In your opinion was the response to RDA... \*

Mark only one oval.

- Mostly positive  
 There where some reservations

31. Question 21.1 - If you answered that there were reservations, have they been overcome?

Mark only one oval.

- Yes  
 No

32. Question 22 - Overall would you agree that RDA as the new cataloging standard has brought about improvement with regards to bibliographic description of records? \*

Mark only one oval.

	1	2	3	4	5	
Disagree completely	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Strongly agree

Send me a copy of my responses.

Powered by  
 Google Forms

## Appendix G – Information sheet

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Private Bag X17, Bellville, 7535  
South Africa  
Secretary: Sonia Stroud  
Tel: +27 (0) 21 959 2137  
Fax: +27 (0) 21 959 3659

### FACULTY OF ARTS

#### INFORMATION SHEET

I am a Master's student at the University of the Western Cape and my research project's title is: "Resource Description and Access (RDA): a study of the implementation and perceived effectiveness of the new cataloguing standard with reference to cataloguing practice in tertiary institutions in the Western Cape."

RDA is the new cataloguing standard that replaced AACR2 (Anglo American Cataloguing Rules 2<sup>nd</sup> edition) in 2013. The aim of this study is to determine how well RDA is faring at this time in an effort to assist cataloguers using the new standard to adopt and implement it effectively. This study will endeavour to achieve this through the following objectives:

- To determine whether the implementation of RDA has overcome most of the limitations that AACR2 had with regards to resource cataloguing within a digital environment.
- To identify any advantages and perceived limitations of the new cataloguing standard.

The attached survey is endeavouring to investigate cataloguers' perceptions with regards to the new cataloguing standard (RDA) and is designed to obtain insight into the use of Resource Description and Access from cataloging professionals within higher education institutions in the Western Cape, South Africa. To assure anonymity the results will refer to the different institutions as Library 1, Library 2, Library 3 and Library 4. Participation in this research project will be voluntary and participants will be allowed to withdraw at any stage of the research process. Participants will also be informed about the use of a tape recorder, in case of recording.

Sincerely yours,

Rachel Janse van Rensburg

## Appendix H – Consent letter

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Consent Form

University of the Western Cape

"Resource Description and Access (RDA): a study of the implementation and perceived effectiveness of the new cataloguing standard in an ever fluxing information age with reference to cataloguing practice in tertiary institutions in the Western Cape." Research Project

Researcher:

Please initial box

1. I confirm that I have read and understand the information sheet explaining the above research project and I have had the opportunity to ask questions about the project.
2. I understand that my participation is voluntary and that I am free to withdraw at any time without giving any reason and without there being any negative consequences. In addition, should I not wish to answer any particular question or questions, I am free to decline. (If I wish to withdraw I may contact the lead research at any time).
3. I understand my responses and personal data will be kept strictly confidential. I give permission for members of the research team to have access to my anonymised responses. I understand that my name will not be linked with the research materials, and I will not be identified or identifiable in the reports or publications that result from the research.
4. As a participant of the discussion, I will not discuss or divulge information shared by others in the group or the researcher outside of this group.
5. I agree for the data collected from me to be used in future research.
6. I agree to participate in the above research project.

\_\_\_\_\_  
Name of Participant  
(or legal representative)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name of person taking consent  
(If different from lead researcher)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

Rachel Janse van Rensburg

Lead Researcher

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

(To be signed and dated in presence of the participant)

*Copies: All participants will receive a copy of the signed and dated version of the consent form and information sheet for themselves. A copy of this will be filed and kept in a secure location for research purposes only.*

<b>Researcher:</b>
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<b>Supervisor:</b>
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<b>HOD:</b>
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