General Comments

While we appreciate the concerns raised by this proposal, we cannot accept the changes as proposed. Our general concerns about the phrase “early printed resources and rare printed resources” are provided in RSC/RareWG/1/LC response. We had some specific concerns regarding how those changes affect cataloging practices for extent that are addressed in this response. We greatly appreciate the analysis of the working group, as it helped us to see that some of the distinctions currently found in the instructions for “general” resources and “early printed resources” can actually be eliminated. In most cases, this means moving what is currently an exception into the general instructions as another method. We have added some proposed revisions below to accomplish this.

We believe there is a general issue of training vs. instructions that the RSC should discuss in relation to the changes proposed by RSC/RareWG/3. Many of the proposed additions seem to be a roundabout way of explaining the difference between extent of manifestation and extent of item. While this is not an issue unique to early printed resources, it is more complicated for early printed resources because 1) binding was an item-specific activity and blank leaves are often added in the binding process; 2) the cost of binding made it more likely that manifestations of different works would be bound together; and 3) the age and value of the resources means it is more likely that leaves are missing from the resources.

The problem with adding some of the proposed instructions is that if a cataloger lacks an understanding of the printing and binding process, the instructions still do not provide adequate guidance for the cataloger to accurately record the statement of extent. If a cataloger already has this understanding, such instructions are not needed. There is no substitute for hands-on training in the collation of rare books. If a cataloging agency cannot provide such instruction for its staff, the Exceptions for early printed resources and rare printed resources proposed here, along with the new category of “rare printed resources” in RSC/RareWG/1, might make using RDA less desirable for that agency because it lacks the flexibility to describe the resource using the basic instructions.
Alternatively, this issue could be tabled for now and addressed in a more comprehensive change dealing with issues of extent of item.

We understand that changing the basic instructions in 3.4.5.2 and 3.4.5.5 is outside the parameters of the working group’s charge. Another issue that isn’t necessarily in scope for the working group but relevant to discussion of this proposal is the application of 3.4.5 to resources that do not consist primarily of text. The instructions in 3.4.5 also apply to atlases, notated music, and volumes consisting primarily of still images because pages, etc., are recorded as subunits in the extent states for those types of resources. We have always been a bit uncertain of the relationship between the Early printed resources instructions in 3.4.5 and instructions for atlases, notated music and still images. We assume that when atlases, notated music, and still images fit the definition of “early printed resources,” those instructions apply to them for the recording of sub-units. This is another reason we feel flexibility must be retained within 3.4.5.

Our response to some of the specific issues in RSC/RareWG/3 is provided below using the numbering in the proposal.

**Issue #1:** We agree that precise statements of extent are important for many materials. We disagree that it is necessarily a fundamental characteristic of a rare materials description. For example, it is impossible to provide a precise statement of extent for a rare serial that is still being published, just as it is for any serial in current publication. RDA 3.4.1.16 provides an exception for incomplete resources that says to apply the instruction at 3.4.1.10. Manuscript collections are likely considered to be rare materials since they are unique. However, RDA 3.4.1.11 provides instructions for comprehensive description of these collections which enables agencies to provide a practical statement of extent based on approximate numbers or container numbers, which ensures that large amounts of staff time are not spent counting thousands of items in a collection.

Although this proposal has not discussed changes to instructions for collections or incomplete resources, the working group may want to consider these instructions as a future task. We would prefer not to see changes to these instructions that would remove a practical, cost-effective approach for these types of rare materials.

We also note that even specialist manuals designed to render more precise statements of extent allow for recording the extent in ways similar to the general approaches at 3.4.5.8 when the pagination is complicated (see DCRM(B) 5B6.6). However, the presence of an Exception for Early printed resources at 3.4.5.8 seems to imply less flexibility in RDA than in the rare book specialist cataloging instructions. There is some wiggle room with the phrase “if it can be readily ascertained” which makes us wonder why we should have such an Exception in 3.4.5.8. Since cost efficiency and flexibility are objectives governing RDA, we suggest that the basic instructions at 3.4.5.8 be modified to allow for
recording the extent for complicated pagination similar to the current early printed resource approach, and delete the Exception. This way an agency can determine if a policy statement for such situations or certain types of resources is desired. We have presented such an approach below that a) allows continuity with the early printed resource approach, and allows for it to be applied also to general materials.

**Issue #2:** We agree with the working group that the Exceptions in 3.4.5.2 for Early printed resources should be reconsidered. However, we would suggest a different approach, in mark-up found below. The analysis by the working group reveals an issue that has been problematic in 3.4.5 for years—the instructions on “misleading numbering” at 3.4.5.5. This was also addressed in 6JSC/LC/21 responses by the ALA and CCC representatives. We realize that changing the basic instruction at 3.4.5.5 is outside of the working group’s tasks, but we suggest the RSC consider removing this legacy practice from 3.4.5.5 so that the instructions in 3.4.5 allow for recording the extent in terms of how the volume presents itself, and then making a note about the actual extent. This change would negate the need for an Exception for Early printed resources in 3.4.5.2.

[Note also that the working group’s proposal retains a reference to 3.21.2.9 that would be unnecessary in the LC proposed revision; all the better since that instruction is proposed for deletion in RSC/RareWG/5.]

**Issue #2, part [a]: terms and form presented:** The change proposed by the working group in the 4th paragraph would create an inconsistency within instructions at 3.4.5 so we do not agree to it. The working group suggests modifying the language in the 4th paragraph about “in terms of the numbered or lettered sequences in the resource” because that “language is inconsistent with RDA 1.8.2 Form of Numerals. In practice, extent statements are recorded in a manner that approximates the first alternative in 1.8.2: ...”. We don’t think it is correct to draw a parallel between 3.4.5 and 1.8.2. The use of the phrase “in terms of” is deliberate because when pages are numbered using words, the extent is not recorded with the numbering appearing in the resource. The current instruction in 3.4.5.2 covers this situation: “Record pages, etc., that are numbered in words by giving the numeric equivalent.” The phrase “in terms of” is used multiple times within 3.4.5, and we do not wish to reword this entire instruction area that seems to use the phrase appropriately.

**Issue #3:** In addition to the structural problem of adding an exception for a type of resource to an Exception area for a situation that occurs in sequences of pagination, there is an inherent flaw in this exception. Since RSC/RareWG/1 suggests that ANY single volume printed resource can be considered rare, catalogers could apply these exceptions to modern resources that do not have item-specific bindings. When publishing, printing, and binding are virtually simultaneous activities, it makes less sense to say “do not record leaves added as part of the binding.”
For a 21st century book, how does a cataloger determine the difference between blank leaves that are part of the manifestation as issued by the publisher and blank leaves that are only part of the binding? When books have visible gatherings, it is easier to see what leaves are part of the gathering and what leaves are not. However, books today do not typically have gatherings. One could assume that the half of the endpaper not pasted down is part of the binding, but that is the only safe assumption. It seems odd to provide such an instruction in an Exception for “early printed resources and rare printed resources,” but when unnumbered pages, etc., are counted as part of the extent in 3.4.5.3 and 3.4.5.3.1, there are no such instructions about ignoring leaves added as part of the binding. We suggest that if instructions about ignoring leaves added as part of the binding are needed, they should be provided as part of the basic instructions on extent of a single volume resource, rather than an exception.

Issue #4: Although the working group did not mention 3.4.5.3.1 as part of this issue, our response includes discussion of both 3.4.5.3.1 and 3.4.5.3.2 because we believe there is a direct relationship between the two instructions.

We find the current Exception at 3.4.5.3.1 for Early printed resources odd because it does not prescribe a method for recording the unnumbered sequences of pages, etc.—it only says that that they should be recorded.

We believe that the Exception at 3.4.5.3.1 is tied to the Exception at 3.4.5.3.2, which says in the first sentence to record unnumbered sequences containing advertisements, but then in the second sentence says that a note can be made instead of recording them in the extent. This reveals a contradiction between these two exceptions currently in RDA. The working group says the “Otherwise, make a note (see 3.21.2.9)” instruction should be used when the pages are not part of the manifestation. We are not sure if that was the intent of this currently unclear instruction. There is a note on extent of item element at 3.22.2, but the instruction does not refer to that element. One plausible explanation is that the instruction provides an “out” when it is too difficult for a cataloger to record these sequences.

The working group not address the two current problems with 3.4.5.3.2 that we feel are best resolved by deleting the instruction. These are the two problems we see with the current instruction:

1) The instruction applies to only unnumbered sequences. However, the a)-c) list implies that the Exception applies to both numbered and unnumbered sequences because all the conditions in the list are not necessary. The only way to know that an unnumbered sequence of blank pages is part of the manifestation as issued is to know that

1 We believe the reason for this problem with 3.4.5.3.2 is that a)-c) were copied from DCRM(B) 5B.1, which is not limited to unnumbered sequences.
they are part of the original printed gatherings. It does not matter whether the gatherings are signed if it is clear that a blank leaf is conjugate with a printed leaf. It does not matter whether a page is blank if it is the verso of a printed page that is part of the manifestation. If there are blank pages accounted for in a numbered sequence (e.g., pages 4-5 are blank in a sequence of eight pages with last numbered page 8), then they are intended to be part of the resource.

2) If method a) is used to record unnumbered pages, etc. in 3.4.5.3 or 3.4.5.3.1, the user is still not given an accurate description of the extent for a general resource because 3.4.5.3.2 instructions tell the cataloger to exclude unnumbered blank pages and advertising matter from extent regardless of whether the cataloger has chosen to record the unnumbered sequence of pagination exactly. We find this an illogical approach and note that it is more difficult for the cataloger to apply both instructions than it is to only apply 3.4.5.3.1 a) to record the exact number of unnumbered pages. We suggest that 3.4.5.3.1 and 3.4.5.3.2 be combined to allow either approach to both general and early resources (the latter group would be more likely to apply a newly proposed c) paragraph at 3.4.5.3.1 below).

LC’s proposed revision to 3.4.5.2 and 3.4.5.5:

This proposed revision addresses the points we raised within Issue #2 except for the “in terms of” instruction change, which we explained our objections to in the response to Issue #2, part [a]. This proposed revision contains the following changes to 3.4.5.2:

- moves the Exceptions for updating loose-leafs and serials higher up in the instructions because these are exceptions to the practice of recording extent for a single volume in terms of pages, etc.;
- deletes Early printed resources from the first Exceptions area because other changes render that exception moot;
- modifies the current 3rd paragraph so that it becomes an Exception, the reference to 3.4.5.5 is removed and the instruction says to record the number of leaves and make an explanatory note (see related change to 3.4.5.5) so the practice would be the same for general and early resources;
- provides a new reference to 3.21.2.11 if the last numbered page etc., has been misprinted (note that 3.21.2.11 currently contains an example of “numbered leaves printed on both sides” that fulfills the other “misleading” situation in 3.4.5.5);
- deletes the 2nd Exception area because 3.4.5.8 is already referred to in the final paragraph and our changes to 3.4.5.8 make this no longer an Exception.

This proposed revision also deletes 3.4.5.5 because instructions on recording so-called misleading numbering would be given in 3.4.5.2.
3.4.5.2 Single Volume with Numbered Pages, Leaves, or Columns

For a resource consisting of a single volume, record the extent in terms of pages, leaves, or columns according to the type of sequence used in the resource.

Exceptions

Updating loose-leaves. If the resource is an updating loose-leaf, record 1 volume followed by loose-leaf in parentheses.

EXAMPLE

1 volume (loose-leaf)

Serials. See also 3.4.5.16 RDA.

A sequence of pages, leaves, or columns is:

a) a separately numbered group of pages, etc.

or

b) an unnumbered group of pages, etc., that stands apart from other groups in the resource

or

C) a number of pages or leaves of plates distributed throughout the resource.

Apply the following general guidelines:

a) If the volume is numbered in terms of pages, record the number of pages.

b) If the volume is numbered in terms of leaves, record the number of leaves.

c) If the volume consists of pages with more than one column to a page and is numbered in columns, record the number of columns.
d) If the volume consists of sequences of leaves and pages, or pages and numbered columns, or leaves and numbered columns, record each sequence.

If the volume is numbered as leaves but has text on both sides, see [3.4.5.5 RDA](#) or make an explanatory note (see [3.21.2.11 RDA](#)).

**Exception**

**Early printed resources.** For early printed resources, record each sequence of leaves, pages, or columns in the terms and form presented. If the resource is printed in pages but numbered as leaves, record the numbering as leaves.

If required for identification or selection, record more precise information about pagination, blank leaves, or other aspects of collation: either expand the extent (if this can be done succinctly) or make a note (see [3.21.2.9 RDA](#)).

**Updating loose-leaves.** If the resource is an updating loose-leaf, record 1 volume followed by loose-leaf in parentheses.

**EXAMPLE**

1 volume (loose-leaf)

**Serials.** See also [3.4.5.16 RDA](#).

**If:**

- the volume is numbered as leaves
- and
- has text on both sides

**then:**

record the number of leaves and make an explanatory note (see 3.21.2.11).
Record the number of pages, leaves, or columns in terms of the numbered or lettered sequences in the resource. Record the last numbered page, leaf, or column in each sequence and follow it with the appropriate term.

[examples omitted]

**Exception**
For complicated or irregular paging, etc., see 3.4.5.8 RDA.

Record pages, etc., that are lettered inclusively in the form A–K pages, a–d leaves, etc.

[example omitted]

Record pages, etc., that are numbered in words by giving the numeric equivalent.

**EXAMPLE**
32 pages
Pages numbered in words

If the numbering or lettering on the last page, etc. of a sequence give a false impression of the extent of the resource (e.g., the number on the last page has been misprinted), record the sequence in terms of the last numbered or lettered page, etc., and make an explanatory note (see 3.21.2.11).

Apply the additional instructions at 3.4.5.3 RDA–3.4.5.13 RDA as applicable to the resource being described.

3.4.5.5 Misleading Numbering
[This instruction has been deleted as a revision to RDA. For further information see RSC/RareWG/3/Sec final.]
In some cases, the numbering on the last page, leaf, or column of a sequence does not represent the total number in that sequence. When this occurs, do not correct it unless it gives a completely false impression of the extent of the resource (e.g., when only alternate pages are numbered or when the number on the last page, leaf, or column of the sequence is misprinted).

When correcting misleading numbering, record the numbering as it appears on the last page or leaf followed by *that is* and the correct number.

**EXAMPLE**

- 48 leaves, *that is*, 96 pages
- Numbered leaves with text on both sides
- 329, *that is*, 392 pages

**Clean copy:**

3.4.5.2 Single Volume with Numbered Pages, Leaves, or Columns

For a resource consisting of a single volume, record the extent in terms of pages, leaves, or columns according to the type of sequence used in the resource.

**Exceptions**

*Updating loose-leaves.* If the resource is an updating loose-leaf, record 1 *volume* followed by *loose-leaf*, in parentheses.

**EXAMPLE**

- 1 volume (loose-leaf)

*Serials.* See also 3.4.5.16 RDA.

A sequence of pages, leaves, or columns is:

a) a separately numbered group of pages, etc.

or
b) an unnumbered group of pages, etc., that stands apart from other groups in the resource

or

c) a number of pages or leaves of plates distributed throughout the resource.

Apply the following general guidelines:

a) If the volume is numbered in terms of pages, record the number of pages.
b) If the volume is numbered in terms of leaves, record the number of leaves.
c) If the volume consists of pages with more than one column to a page and is numbered in columns, record the number of columns.
d) If the volume consists of sequences of leaves and pages, or pages and numbered columns, or leaves and numbered columns, record each sequence.

Exception

If:

the volume is numbered as leaves

and

has text on both sides

then:

record the number of leaves and make an explanatory note (see 3.21.2.11).

Record the number of pages, leaves, or columns in terms of the numbered or lettered sequences in the resource. Record the last numbered page, leaf, or column in each sequence and follow it with the appropriate term.

[examples omitted]
Record pages, etc., that are lettered inclusively in the form A–K pages, a–d leaves, etc.

[example omitted]

Record pages, etc., that are numbered in words by giving the numeric equivalent.

EXAMPLE
32 pages
Pages numbered in words

If the numbering or lettering on the last page, etc. of a sequence give a false impression of the extent of the resource (e.g., the number on the last page has been misprinted), record the sequence in terms of the last numbered or lettered page, etc., and make an explanatory note (see 3.21.2.11).

Apply the additional instructions at 3.4.5.3–3.4.5.13 as applicable to the resource being described.

3.4.5.5 Misleading Numbering

[This instruction has been deleted as a revision to RDA. For further information see RSC/RareWG/3/Sec final.]

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**LC’s proposed revision to 3.4.5.3.1 and 3.4.5.3.2:**

This proposed revision addresses points we raised in Issue #3. It contains the following changes to 3.4.5.3.1:

- adds a new list item c) that allows for recording any unnumbered sequence if considered important for identification or selection (an approach more likely to be applied to early printed resources).
- deletes the Exception because flexibility and cost effectiveness are objectives governing RDA. Adding c) allows for the flexibility to record the sequence for any resource while deleting the exception allows for cost efficiency.
This proposed revision also deletes 3.4.5.3.2 because the proposed c) allows for recording any unnumbered sequence regardless of content (e.g., a sequence of blank leaves can be recorded).

**Mark-up version (using August 2016 Toolkit wording):**

3.4.5.3.1 Numbered and Unnumbered Sequences

If the resource consists of both numbered and unnumbered sequences of pages, leaves, or columns, disregard the unnumbered sequences, unless:

a) an unnumbered sequence constitutes a substantial part of the resource (see also 3.4.5.8 RDA)

or

b) an unnumbered sequence includes pages, etc., that are referred to in a note.

or

c) an unnumbered sequence is considered important for identification or selection (e.g., a numbered and unnumbered page are connected by a catchword).

**Exception**

*Early printed resources.* For early printed resources, record unnumbered sequences of pages, leaves, or columns.

**EXAMPLE**

12 unnumbered pages, 72 pages, 10 unnumbered pages, 48 pages, 6 unnumbered pages, 228 pages, 16 unnumbered pages

91 leaves, 1 unnumbered leaf

Last leaf blank

When recording a sequence of unnumbered pages, etc., record:

**either**

a) the exact number (if the number is readily ascertainable) followed by *unnumbered pages*, etc.
or
b) an estimated number preceded by *approximately*
or
c) *unnumbered sequence of pages, etc.*

[1st-4th examples omitted]

91 leaves, 1 unnumbered leaf

*Last leaf blank; unnumbered sequence recorded because considered important for identification of an early printed resource*

### 3.4.5.3.2 Inessential Matter

[This instruction has been deleted as a revision to RDA. For further information see RSC/RareWG/3/Sec final.]

Disregard unnumbered sequences of inessential matter (advertising, blank pages, etc.).

*Exception*

*Early-printed resources.* For early-printed resources, record pages containing advertisements (when this can be done succinctly) if those pages are:

a) included in the same pagination sequence as the text
   or
b) printed on the pages of an initial or final gathering also containing leaves or pages of text
   or
c) printed on a separate gathering in a resource that is continuously signed.

*EXAMPLE*

40 leaves, 8 unnumbered pages

Otherwise, make a note (see 3.21.2.9 RDA).
**Clean copy:**

3.4.5.3.1 Numbered and Unnumbered Sequences

If the resource consists of both numbered and unnumbered sequences of pages, leaves, or columns, disregard the unnumbered sequences, unless:

a) an unnumbered sequence constitutes a substantial part of the resource (see also 3.4.5.8 RDA)

or

b) an unnumbered sequence includes pages, etc., that are referred to in a note

or

c) an unnumbered sequence is considered important for identification or selection (e.g., a numbered and unnumbered page are connected by a catchword).

When recording a sequence of unnumbered pages, etc., record:

*either*

a) the exact number (if the number is readily ascertainable) followed by *unnumbered pages, etc.*

*or*

b) an estimated number preceded by *approximately*

*or*

c) *unnumbered sequence of pages, etc.*

[1st-4th examples omitted]

91 leaves, 1 unnumbered leaf

Last leaf blank; unnumbered sequence recorded because considered important for identification of an early printed resource

3.4.5.3.2 Inessential Matter
LC’s proposed revision to 3.4.5.8:

This proposed revision addresses concerns raised Issue #1. It contains the following changes to 3.4.5.8:

- adds a new list item a) in the basic instructions that allows for the extent to be recorded in the sequence and form presented
- adds an example (moved from current Exception) to the proposed a)
- renumbers the current list items to allow for new item a)
- deletes the Exception for Early printed resources.

Mark-up version (using August 2016 Toolkit wording):

3.4.5.8 Complicated or Irregular Paging, Etc.

If the resource has complicated or irregular paging, etc., record the number of pages, leaves, or columns by using one of the following methods:

a) Record each sequences of pages, leave or columns in the form presented.

EXAMPLE

12 unnumbered leaves, 74 leaves, 32 unnumbered leaves, 62 columns, 9 unnumbered pages

a) b) Record the total number of pages, leaves, or columns (excluding those that are blank or contain advertising or other inessential matter) followed by in various pagings, in various foliations, or in various numberings, as appropriate.

[examples omitted]
b) c) Record the number of pages, leaves, or columns in the main sequences of the pagination and add the total number of the remaining variously numbered or unnumbered sequences.

[examples omitted]

c) d) Record 1 volume (various pagings).

[example omitted]

**Exception**

*Early printed resources.* For early printed resources, record the paging, etc., in the form and sequence presented.

**EXAMPLE**

12 unnumbered leaves, 74 leaves, 32 unnumbered leaves, 62 columns, 9 unnumbered pages

**Clean copy:**

3.4.5.8 Complicated or Irregular Paging, Etc.

If the resource has complicated or irregular paging, etc., record the number of pages, leaves, or columns by using one of the following methods:

a) Record each sequences of pages, leave or columns in the form presented.

**EXAMPLE**

12 unnumbered leaves, 74 leaves, 32 unnumbered leaves, 62 columns, 9 unnumbered pages

b) Record the total number of pages, leaves, or columns (excluding those that are blank or contain advertising or other inessential matter) followed
by *in various pagings, in various foliations, or in various numberings*, as appropriate.

[examples omitted]

c) Record the number of pages, leaves, or columns in the main sequences of the pagination and add the total number of the remaining variously numbered or unnumbered sequences.

[examples omitted]

d) Record 1 *volume (various pagings).*

[example omitted]