

RDA in the authority control of the University of Caxias do Sul library system

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Abstract: The article presents a study concerning the implementation of the new rules on cataloging, the Resource Description and Access (RDA), in the authorities' catalog of the University of Caxias do Sul (UCS) library system. It shows the history of UCS library and the evolution of the systems used, culminating in the present authorities catalog. It cites the studies on the modification of the rules, for the authorities' control, comparing the Anglo-American Cataloguing Rules, 2nd. ed.(AACR2) and the RDA and theoretical perception acquired from these studies. It discusses the politics adopted by the team of librarians for the implantation of the new code in the authorities' catalog and the definition of the MARC fields authorities that are to be used. The conclusion is given with examples of authorities registered in the library catalog and the impact generated in the academic community that uses this service.

Keywords: Resource Description and Access (RDA). Authority control. Library catalog.

1 Introduction

The Central Library of the University of Caxias do Sul was created on May 4, 1970, from the merging/fusion/amalgamation of the collections of the libraries of the institutions which formed the University of Caxias do Sul (UCS), namely: Madre Justina School of

Nursing, the Caxias do Sul School of Fine Arts, the Faculty of Economic Sciences, the Faculty of Philosophy, and the Faculty of Law.

In 1993, due to the expansion process of UCS, new libraries were created, and the Library System of the University of Caxias do Sul (SiBi-UCS) was established. The system has been managed by the Central Library, where the cataloguing process of the whole collection available is carried out. This is one thing that differentiates the SiBi-UCS from most Brazilian university library systems. Technical preparation of the works is only carried out in the Central Library, thus ensuring greater uniformity in the cataloguing process and authority register.

In 1997 SiBi-UCS became part of the Pergamum Network, having the Pergamum software to manage library system routines and processes. Thus, libraries now have a single catalogue for the whole system, enabling the user to carry out an integrated search in the whole library collection and the unification of the system in a network.

2 Cataloguing in SiBi-UCS

The SiBi-UCS is composed by 12 libraries, distributed over 10 municipalities where UCS is present. According to a survey, the SiBi-UCS collection now comprises:

- Books: 292,692 titles and 580,075 copies
- Special materials: 12,785 titles and 25,765 copies
- Periodicals (collections): 11,111 titles and 473,158 copies
- Grand total: 316,588 titles and 1,078,998 copies

The cataloguing process of the SiBi-UCS collection is centralized, having the library collection been distributed and managed by the Central Library. Among the advantages of this centralized system, a few can be highlighted, such as:

- Reduction of the costs of labor, material and time;
- Uniformity in the cataloguing process;
- Non-duplicity of bibliographic records;
- Single catalogue.

3 Authority control

The process of creating and maintaining the authority catalogue: includes proceedings related to the areas of descriptive and thematic representation of information.

Since the bibliographic catalogue is the main communication channel between the user and the library collection, and because its primary goal is to show all information resources available associated to a certain person, family, corporate body, title or subject matter, it is necessary to have activities to control authority.

This control is carried out by means of authority records, which allow the creation of consistency in the access to bibliographic records and a cross-reference structure for controlled names and subjects, besides enabling cooperative cataloguing by using metadata patterns to record information (MARC 21 Format for Authority Data). This procedure directly influences the efficiency of the bibliographic catalogue, expanding the rate of accuracy and reducing the recall rate in searches through the access to consistent, quality headings.

However, it can be seen that, despite its importance, authority control has been neglected in the second edition of the Anglo-American Cataloguing Rules (AACR2), which did not provide information on the principles of subject control, and did not supply guidelines on the essential elements for an authority record either. This scenario has changed with the new set of rules for descriptive representation, the *Resources Description and Access* (RDA), which emerges as a new cataloguing code aimed at describing and accessing information resources, based on a theoretical structure designed for the digital environment, prioritizing users' needs and improving the catalogue so that it becomes a source of information, and not just a mirror of the library collection.

3.1 Functional Requirements for Authority Data – FRAD

Published in 2009 by the *International Federation of Library Associations and Institutions* (IFLA), the Functional Requirements for Authority Data conceptual model is an extension of the *Functional Requirements for Bibliographic Records* (FRBR) model, and so they both have the same features, namely:

- a) Conceptual models of the entity-relationship type: they define the entities, attributes (these can be represented by field(s) or subfield(s) in the MARC format), and the relationships among the attributes;
- b) They aim at, primarily, providing a structured, well-defined frame to relate data contained in the records (bibliographic and authority) to the users' needs, being references in this sense;

- c) Their secondary objectives are recommending a basic level of functionality of the records created by national bibliographic agencies and enhancing the possibilities of use and exchange of data beyond the library environment.

According to the documentation accompanying the conceptual model (GRUPO DE TRABAJO..., 2009, p. 8), the *FRAD* was more specifically designed to:

provide a clearly defined and structured frame of reference to relate data recorded by the developers of authority records to the needs of the users of this data; to allow support to improve the possibilities of international exchange and use of authority data, both in libraries and other information centers. (Our translation)

It may seem inappropriate to mention at this historic moment for cataloguing and cataloguers, when many studies have already been carried out about functional requirements, and presentations on RDA can be easily found on the internet, that FRBR and FRAD are not cataloguing standards. Just like the documentation generated at the International Conference on Cataloguing Principles (Paris, 1961), the new requirements point out concepts that should guide the developers of standards (rules) for descriptive representation.

To illustrate the points made in the previous paragraph, Chart 1 gives a representation, within Brazilian parameters, of the relationship between the Requirements, RDA-AACR2 and MARC 21.

Chart 1 – Relationship among concepts, rules and storing in cataloguing

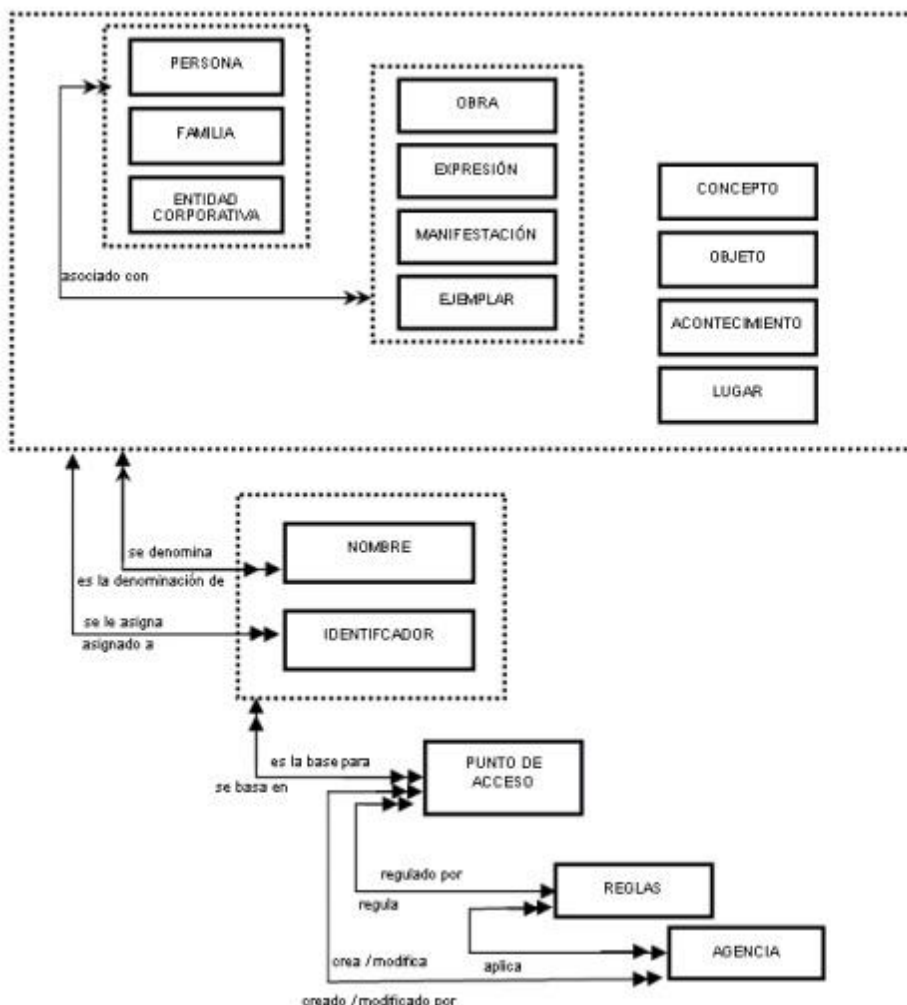
Concept	<ul style="list-style-type: none"> • International Conference on Cataloguing Principles (Paris, 1961) • Functional Requirements for Bibliographic Records (IFLA, 1998) • Functional Requirements for Authority Data (IFLA, 2009) • Functional Requirements for Subject Authority Data (IFLA, 2010)
Rules for bibliographic	<ul style="list-style-type: none"> • Anglo-American Cataloguing Rules, 1. ed. (1967) • ISBD (1971) • Anglo-American Cataloguing Rules, 2. ed. (1978) • Anglo-American Cataloguing Rules, 2. ed. rev.

description	(2002) <ul style="list-style-type: none"> • RDA (2010)
Storing	<ul style="list-style-type: none"> • MARC Format (1966) • CALCO (1973) • Dublin Core Metadata Initiative (DCMI) (1995) • MARC 21 Format (1999) • MARCXML Format (2002)

Source: The author.

Therefore, FRAD is a model with sixteen entities: six exclusive ones, complemented by ten of the FRBR. Figure 1 below shows the basis of the model and its entities:

Figure 1 – Conceptual model of authority data



Source: Requisitos funcionales de los datos de autoridad (2009).

For the purposes of this article, only the entities *person*, *corporate body*, and *family*, of the FRAD model will be dealt with, besides the relationships of these entities and the activities of the users in the context of this model.

Chart 2 summarizes the description of the entities of the FRAD and its attributes.

Chart 2 – Entities and attributes of FRAD used in this study

Entities	Attributes
	- Date associated - Title - Gender - Place of birth - Place of death

Person (<i>individual, prominence or identity established by an individual or group of individuals</i>)	- Country - Place of residence, etc. - Affiliation - Address - Language - Field of activity - Profession or occupation - Biographical information - Other information
Corporate body (<i>an organization or group of individuals and/or organizations identified by a particular name to act together. It includes occasional groups and groups, which are formed at meetings, conferences, congresses, expeditions, exhibitions, festivals etc. It also includes organizations that function as territorial authority: countries, states, municipalities etc.</i>)	- Place associated - Date associated - Language - Address - Field of activity - Corporate history - Other information
Family (<i>two or more persons related by birth, adoption, civil union or other similar legal situation, or simply individuals who present themselves as a family</i>)	- Type of family - Date associated - Place associated - Field of activity - Family history

Source: The author.

3.2 RDA rules in the authority record

It is not the aim of this article to present the entire contents of the RDA. However, as a study to implement the new rules in the authority catalogue of the SiBi-UCS, we will describe the structure of RDA, which is divided into sections, subdivided into chapters, in a structure similar to the already traditional AACR2, also divided into two parts, and separated in chapters, as shown in Chart 3.

Chart 3 – RDA structure

RDA Structure	
	Purpose and scope. Objectives and principles.

Introduction	Structure. Basic elements. Access points. Examples and data encoding from RDA.
Section 1-4 Recording attributes	
Section 1: Recording Attributes of Manifestation & Item	General guidelines on recording attributes of manifestation and item.
Section 2: Recording Attributes of Work & Expression	General guidelines on recording attributes of works and expressions. Identification of works and expressions. Description of content.
Section 3: Recording Attributes of Person, Family, & Corporate Body	General guidelines on recording attributes of person, family and corporate body. Identification of persons, families and corporate bodies.
Section 4: Recording Attributes of Concept, Object, Event & Place	General guidelines on recording attributes and identification of concepts, objects, events and places. This is the only chapter that deals with the identification of places (the other chapters are being developed).
Section 5-10. Recording relationships	
Section 5: Recording Primary Relationships Between Work, Expression, Manifestation, & Item	General guidelines on recording primary relationships.
Section 6: Recording Relationships to Persons, Families, & Corporate Bodies	General guidelines on recording relationships related to persons, families and corporate bodies. Relationship between persons, families and corporate bodies with a work, expressions, manifestation and item.
Section 7: Recording Relationships to Concepts, Objects, Events, & Places	Chapter 23. General guidelines on recording the subject of a work.
Section 8: Recording Relationships between Works, Expressions, Manifestations, & Items	General guidelines on recording relationships between works, expressions, manifestations and items.
Section 9: Recording Relationships between Persons, Families, & Corporate Bodies	General guidelines on recording relationships between concepts, objects, events and places.

Section 10: Recording Relationships between Concepts, Objects, Events, & Places	General guidelines on recording relationships between concepts, objects, events and places (chapter being developed).
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Source: Picco and Ortiz Repiso (2012).

This study deals specifically with sections 3, 6 and 9, which directly establish the treatment of attributes and relationships for entities in the catalog of the SiBi-UCS.

As already mentioned, the RDA, unlike the AACR2, deals consistently with the issue of authority and its respective control. From seeing the rules for recording personal names, families and corporate bodies, it is possible to have a notion of the potential of the Functional Requirements for Authority Data (FRAD).

Section 3 of the RDA shows the attributes for persons, families and corporate bodies. This section is divided into four chapters:

- Chapter 8: General Guidelines on Recording Attributes of Persons, Families, and Corporate Bodies;
- Chapter 9: Identifying Persons;
- Chapter 10: Identifying Families;
- Chapter 11: Identifying Corporate Bodies.

Chapter 8 gives the main guidelines about what is new in the process of authority control of this cataloguing code. The rules presented are clear and define the areas that should be described when representing authorities.

Initially, this chapter gives an explanation about the terms used and the difference in the concepts applied to each term. We highlight, as an example, the difference between the terms Authorized access point and Variant access point, described in the RDA (chapter 8, item 8.1.4) as follows:

The terms *access point*, *authorized access point*, and *variant access point* are used as follows: The term *access point* refers to a name, term, code, etc., representing a specific person, family, or corporate body. Access points include both authorized access points and variant access points.

The term *authorized access point* refers to the standardized access point representing an entity. The *authorized access point* representing a person, family, or corporate body is constructed using the preferred name for the person, family, or corporate body.

The term *variant access point* refers to an alternative to the *authorized access point* representing an entity. A *variant access point* representing a person, family, or

corporate body is constructed using a variant name for that person, family, or corporate body.

However, the area that deserves special emphasis in this chapter is 8.3, which defines the **essential elements** for the description of the authorized access points for persons, families and corporate bodies. These are:

- Preferred name for the person;
- Title of the person (a word or phrase indicative of royalty, nobility, ecclesiastical rank or office; a term of address for a person of religious vocation);
- Date of birth;
- Date of death;
- Other designation associated with the person;
- Profession or occupation (for a person whose name consists of a phrase or appellation not conveying the idea of a person);
- Identifier for the person;
- Preferred name for the family;
- Type of family;
- Date associated with the family;
- Identifier for the family;
- Preferred name for the corporate body;
- Location of conference, etc.;
- Date of conference, etc.;
- Associated institution (for conferences, etc., if the institution's name provides better identification than the local place name or if the local place name is unknown or cannot be readily determined);
- Number of a conference, etc.;
- Other designation associated with the corporate body (for a body whose name does not convey the idea of a corporate body);
- Identifier for the corporate body.

Finally, reading the RDA guidelines on authority recording reminded us of a system comparable to AACR2, where we noticed the following differences in description rules used, and which require updating:

- RDA removes abbreviations existing in dates such as *ca.*1890, *n.*1999- or *m.*-1980;
- Eliminated rule for O.T. and N.T. in the Bible;

- Rules to describe families.

4 RDA and the control of authority records

Unlike the AACRs, the RDA presents specific chapters about the treatment of access points, also containing a chapter about the establishment of family names. Thus, our aim is to carry out studies to identify the main changes in the way authorities are treated and registered, giving special attention to the authority records of personal name, family name and corporate body, in accordance with the RDA, and later deal with their implications in the format MARC 21 for authority data.

The genesis of the RDA lies in the Functional Requirements, namely the Functional Requirements for Bibliographic Records (FRBR), Functional Requirements for Authority Data (FRAD), and Functional Requirements for Subject Authority Data (FRSAD), the standard models that guided the development of the new cataloguing code. However much conceptual models complement each other, it is in the FRAD model that librarians find the theoretical structure for authority control in the RDA.

5 RDA-Based authority control at UCS

The initiative to use the new fields came from the documents made available by the Library of Congress (LC) through the MARC Standards website (<http://www.loc.gov/marc/>). These documents already showed the new fields for the MARC standard. Besides, in several cases it could be seen that the LC authority catalogue was already using these new fields.

In 2012 the LC was contacted to know if the use of these new fields was already active, which was confirmed in the email transcribed below:

Hello¹,

The Policy and Standards Division (policy@loc.gov) is responsible for the implementation timeline for RDA for LOC. There is this notice (<http://www.loc.gov/catdir/cpsd/RDAtest/rdatest.html>): The Library of Congress participated in the 2010 US RDA Test. The U.S. RDA Test Coordinating Committee recommended that the three U.S. national libraries adopt RDA with certain conditions and that implementation should not occur before January 1, 2013. However, that does not mean that RDA cannot be implemented earlier elsewhere. The 37X fields you mention have been added to the format, so they can be used now.

¹ LIBRARY OF CONGRESS. NETWORK DEVELOPMENT AND MARC STANDARDS OFFICE. *Use 37x fields - Attributes of Names and Resources*. Message received by <ndmso@loc.gov>, on Dec. 20 2011.

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Please do not hesitate to contact us if you have any additional questions.
Best regards, NDMSO.

Having received this email, the UCS team of librarians began to separate images of the Library of Congress authority catalogue that indicated the use of RDA in the description. Figure 2 shows one of the images saved by the UCS team:

Figure 2 – Model of authority record in the authority catalog of the Library of Congress

	MARC Display	Labelled Display
LC control no.:	n 50041617	
LCCN permalink:	http://lccn.loc.gov/n50041617	
HEADING:	Saint-Saëns, Camille, 1835-1921	
000	01908cz a2200445n 450	
001	2334222	
005	20130108092715.0	
008	800730n azannaabn b aaa	
010	__ a n 50041617	
035	__ a (OCOLC)oca00076793	
040	__ a DLC b eng e rda c DLC d DLC d OCoLC d DLC d OCoLC d UPB-Mu d DLC	
046	__ f 18351009 g 19211216	
053	_0 a ML410.S15 c Biography	
100	1_ a Saint-Saëns, Camille, d 1835-1921	
370	__ a Paris, France b Algiers, Algeria c France	
372	__ a music	
374	__ a composer a pianist a organist a writer	
375	__ a male	
377	__ a fre	
378	__ q Charles Camille	
400	1_ a Saëns, Camille Saint-, d 1835-1921	
400	1_ a Saint-Saëns, C. q (Camille), d 1835-1921	
400	1_ a Saint-Saëns, Camille q (Charles Camille), d 1835-1921	
400	1_ a Saint-Saëns, Charles Camille, d 1835-1921	
400	1_ a Saint Saenz, d 1835-1921	
400	1_ a Sans, KamilÉ¹ Sen-, d 1835-1921	
400	1_ a Sen-Sans, K. q (KamilÉ¹), d 1835-1921	
400	1_ a Sen-Sans, KamilÉ¹, d 1835-1921	
400	1_ a Sen-Sansas, K., d 1835-1921	
400	1_ a St. Saëns, d 1835-1921	
400	1_ a ×j×YÖ¾×j××j, ×§×ž×TM×ce	

Source: Authority catalogue of the Library of Congress (<http://authorities.loc.gov>).

It can be seen from Figure 2 that in field 040, which stores data from the cataloguing source in the subfield, and which stores the code or convention, adopted in the record description, that the RDA code is written in lower-case letters, in accordance with the MARC Standards Record of codes for vocabulary, rules, and schemes.

Having a significant set of images that gave us a good notion of the practical use of fields, in addition to the description in the MARC Standards, the implementation of the new fields was generated following a command for action:

1 – Definition of the fields to be used in a policy for recording authorities.

Even before translating the fields, we realized that not all of them could be implemented because of the UCS policy for authority control.

On the MARC Standards website, all MARC authority fields can be checked.

UCS has defined that authority records will contain the following MARC authority fields for the RDA:

336 - Content Type (R)

368 - Other Attributes of Person or Corporate Body (R)

370 - Associated Place (R)

371 - Address (R)

372 - Field of Activity (R)

373 - Associated Group (R)

374 - Occupation (R)

375 - Gender (R)

376 - Family Information (R)

377 - Associated Language (R)

The fact that some fields were not used was basically because of the repetition of information or non-conformity with the UCS authority recording policy, such as in field 378- *Fuller Form of Personal Name* (NR).

Still concerning field 378 of authority MARC, this policy goes against RDA descriptions as regards the authorized access point and variant access point. The UCS team of librarians understood that all personal names should have their authorized access point preferably given as complete as possible, in opposition to rule 9.19.1.4, and annulling the use of field 378 of MARC Authority by the authorities catalog, but keeping a standard for the authorized access points.

2 – Translation of fields and subfields of MARC Authorities for the RDA

This part required/needed not only a simple translation but had to be phrased in terms already used by MARC in our Pergamum library management software.

3 – Deploying the new fields in the Pergamum software

After the translation, the process of inserting the new fields in the Pergamum software was started.

Since the SiBi-UCS is connected to a widely-used library management program in Brazil, and because of the connection of the libraries that subscribe to the network software, it was necessary to contact Pergamum's technical support for instructions on inserting the new fields.

At first we tried to find out from the technical support team in charge of the software if the application of these new fields would not be cancelled or excluded in a future update. After receiving a positive answer that the new fields would not be cancelled or excluded, the insertion phase began.

Before this procedure, a table (Table 1) with all fields and subfields to be inserted was created in order to optimize the process and systematically divide the tasks among the team. In addition, we defined the fields, which it would be allowed to view in the authority record of the library, since some subfields, such as address, could generate future complications for UCS with regard to personal data release.

Table 1 – Model of the translation table of the Authority MARC fields to RDA (in Portuguese)

Field	Function	Indicator	Subfield	Function	Notes:
372	Field of activity	##	a	Field of activity	E.g.: Health, IT, Civil construction, etc.
373	Associated group	##	a	Associated entity	Entities associated to person's name (school and/or work)
374	Occupation	##	a	Occupation	Occupation
			s	Start period	
			t	End period	
375	Gender	##	a	Gender	
			a	Type of family	Fill in only when

376	Family	##			recording family authority.
			b	Name of prominent member	
			c	Hereditary title	

Source: The author.

6 Conclusion

The aim of this paper was to describe the processes carried out by the team of librarians of the University of Caxias do Sul when using the rules of a new cataloguing code, in an unprecedented way in Brazil, in one of the catalogs of UCS library system.

Perceptions of the impact that the RDA has on catalog data output, whether bibliographic or of authority, transcend the university community. This was also the case with the University of Caxias do Sul.

Allocating new data in a service that is little-known by the academic community, such as the authority control, resulted in a larger dissemination of information on the UCS library catalog, and the perception that there is a demand for a service that cataloguing codes have neglected over the last few decades.

As mentioned earlier, the impact that the RDA causes in data output, referring here only to the authority catalog, is new for library management software. It is necessary to reformulate the presentation structure of authority catalogs to avoid such inconsistencies as can still be found in the authorities catalog of the Pergamum software or in the Library of Congress authority catalog itself.

The figure below shows data inconsistency in the field "Place associated", where two data are stored: place of birth and death, but in the data output these subfields are not specifically designated, making them unclear to the user.

Figure 3 - Model of authority recording in the authority catalog of the University of Caxias do Sul

Autoridade/Índice	
	Visualizar Visualizar Marc
Nome	Almeida, Lúcia Machado de, 1910-2005
Local associado	São José da Lapa, MG Indaiatuba, SP
Campo de atividade	Literatura infanto-juvenil
Ocupação	Escritora
Gênero	Feminino
Idioma associado	Português
Usado para	De Almeida, Lúcia Machado, 1910-2005 Machado de Alemida, Lúcia 1910-2005
Fonte(s) de Pesquisa	BR-CuPUC
Endereço eletrônico	Página na Wikipédia

Source: Authority catalog of UCS Library System (<http://biblioteca.ucs.br>).

Finally, the use of the RDA as a code for authority control opens up new perspectives for the management of an authority catalog. Whereas in AACR2 the cataloger was closely tied to the bibliographic record, and the authority recording was only used as a link, the RDA brings a new meaning to this service, keeping the relationship between the different records of a catalog, but supplying the user with new data.

For the librarians of the University of Caxias do Sul, the whole implementation process of the RDA in the university catalogue, which culminated with the insertion of the name of the university in the RDA Toolkit website as the only institution in Latin America to catalogue with the RDA, was a lengthy procedure which made everyone aware of the need to study and improve as regards our tools.

The insertion of the RDA in the authority catalog of UCS is still an open process which requires even more studies and improvement in the use of the rules. Possible changes in the current systematics are therefore being analyzed, and communication with other catalogers, at this moment of world cataloguing, is essential and necessary for the success of the work being carried out.

**O RDA no controle de autoridades do Sistema de Bibliotecas da Universidade de
Caxias do Sul**

RESUMO: O artigo apresenta estudo de caso acerca da implantação das novas regras sobre catalogação, a Resource Description and Access (RDA), no catálogo de autoridades do Sistema de Bibliotecas da Universidade de Caxias do Sul (UCS). Acompanha o histórico da biblioteca da UCS e a evolução dos sistemas utilizados, que culminaram no atual catálogo de autoridades. Transcreve os estudos realizados sobre a alteração das regras, para o controle de autoridades, na comparação entre o Anglo-American Cataloguing Rules 2. ed (AACR2) e a RDA e as percepções teóricas adquiridas destes estudos. Discorre sobre as políticas adotadas pela equipe de bibliotecários para a implantação do novo código no catálogo de autoridades e a definição dos campos do MARC autoridades a serem utilizados. A conclusão é dada com exemplos de autoridades cadastradas no catálogo da biblioteca e o impacto gerado na comunidade acadêmica que utiliza este serviço.

Palavras-chave: Resource Description and Access (RDA). Controle de autoridades. Catálogo de bibliotecas.

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