

UNITED STATES GOVERNMENT

Memorandum

LIBRARY OF CONGRESS

5JSC/LC/1

TO: Joint Steering Committee for Revision of AACR

DATE: March 25, 2005

FROM: Barbara B. Tillett, LC Representative

SUBJECT: A0 rules for what is being described, number of records, basis of description, sources; changes to A1.0 and A1.1B

Rationale for proposed revision

All LC staff members who commented on the draft of Part I of AACR3 had concerns about the impact and the wording of the A1.0A rules.

What's most important about a resource is its name (i.e., its title proper). So, the most important data element to be transcribed is the title proper. There are two reasons why the most important aspect of selecting the title proper is agreement on the appropriate source of a title proper in the resource:

- 1) Duplicate records for the same resource based on different forms of the title proper in different sources within the resource will not serve users and is a workload factor for libraries.
- 2) Successive entries with different beginning/ending points in the run of the serial based on using different sources of titles proper within the resource will not serve users and is a workload factor for libraries.

Consistency in application of a priority order of prescribed sources and in identification of major/minor title changes was achieved for the 2002 Revision of AACR2 with the ISBD(S) and ISSN communities.

LC agrees that there should be a general principle for sources that applies to all resources, but the principle of the chief source of information being selected based on the fullest information is not workable or desirable.

- LC does not think the wording in A1.0A2 is clear: does “completeness” refer to the fullest form of some data elements or the most data elements?
- Although LC agrees in general with the principle of cataloger’s judgment, in this situation applying cataloger’s judgment (i.e., each cataloger deciding what is most complete) will result in inconsistent application leading to duplicate records and successive entry records with different spans.
- The prescribed sources as given in A1.0A5 represent a reduction in sources for serials: e.g., the current prescribed source for the publication, distribution, etc., area is “anywhere in the resource;” the current prescribed source for the edition area for printed resources is “title page, other preliminaries, colophon.”

LC proposes two general principles:

- 1) The prescribed source for the description is the resource as a whole.
- 2) There is a prescribed priority order of sources for a title proper.

Both general principles support the FRBR task to identify the resource.

The current use of square brackets to indicate two possible, but opposite, situations (on the resource but not in a required location vs. not on the resource) impedes identification. We instead propose to reserve the use of square brackets to information supplied from outside the resource, except for resources that always require supplying data, such as found objects, photographs, archival materials, etc.

Organization of the proposed revision

Steps in making the pre-cataloging decisions including the selection of the title to be recorded as the title proper (also the order of provisions in the proposed revision):

- The cataloger decides what resource is being described.
- A related decision is whether a single record or multiple records will be made in order to give information about more than one resource.
- Those decisions then allow the cataloger
 - to determine the appropriate basis of description, and
 - to identify and select the essential descriptive data elements.
- If there is more than one source and/or form of title proper for the resource being described, the cataloger identifies what type of situation is present: two or more forms on the same source, in different languages on the same source, on different sources, etc.
 - If data elements are missing, they are supplied if possible from other sources. If no title proper can be found, one is created.

The proposed revision also includes revision of three rules related to the priority order of sources for a title proper: A1.1B1, A1.6B2, and A1.7B4.

At the end of this proposal is an indication that many rules referring to prominent sources or to the “chief source of information” would need to be revised. There is also a reminder to correct references to rules in A0 and A1.1B. Finally, there is a listing of the rules to be deleted from Part I because they are covered by the proposed revision.

Incorporating A1.1B11 into proposed revision

The revision of current wording in A1.1B11 and its incorporation as paragraph d) in proposed A1.1B3 (as well as the deletion of X1.1B11 rules) are intended to:

- 1) eliminate the need to create and define new terminology for “devised title” and “supplied title”;
- 2) remove the discrepancy between the use of “supply” in A1.1B11 to mean “transcribe data from information in the resource” vs. its use in other rules (e.g. A1.4C3) to mean “provide information lacking in the resource”;
- 3) simplify the instructions, eliminate case law for different types of resources, and provide flexible guidelines appropriate for both single manuscripts and assembled collections.
[Manuscript cataloging staff at LC suggested eliminating the rules for manuscript material and assembled collections, because specialized cataloguing communities are likely to use DACS or similar guidelines, while the instructions provided in A1.1B11 provide adequate instruction for those cataloguing such material only occasionally];
- 4) propose examples that reflect the rule and suggest solutions to some situations formerly covered by rules in Section B.

Other changes in and an addition to provisions in Part I of Draft AACR3

Change in rule in AACR2 as repeated in AACR3 Draft of Part I:

- 1.11A/A1.0J: numbering area should be based on the reproduction/facsimile, to follow the principle that all other data elements (including different form of title proper) are based on the reproduction/facsimile.
- prescribed sources for “other resources” given in proposed A0.3B2 represent a slight change in order for some of the physical media.

Not included from A1.0A in AACR3 Draft of Part I /from AACR2:

- AACR3 Draft A1.0A3a): paragraphs ii) and iii) – omitted to simplify choices;
- AACR3 Draft A1.0A3b) – omitted as not being relevant to selecting the title proper.

Not now in AACR3 Draft Part I or in AACR2:

- Added the possibility (given in A0.1B) that a cataloguing agency may use a single record to represent multiple manifestations.

Possible placement of proposed revision for A0

The proposed revision for A0 could be placed in a separate chapter preceding the rules about transcription. We do not recommend inserting this information in the Introduction to Part I.

PROPOSED REVISION:

A0.1. What is being described.

A0.1A. Determine what is to be described:

the resource¹ itself (may have accompanying material); or,
a component part of that resource; or,
the larger resource¹ (an aggregate resource) of which the bibliographic resource at hand is itself a part.

A0.1B. Number of records.

If a resource lacks a collective title, a cataloguing agency may decide either to describe the resource as a unit or make a separate description for each separately titled component part.

A cataloguing agency may decide to create a single record rather than multiple records in certain situations: for multiple manifestations of a resource, for all volumes of an unnumbered multipart monograph, etc.

Multi-level description may be used by national bibliographies and those cataloguing agencies that prepare entries needing complete identification of both the aggregate resource and its parts and/or component parts in a single record (see A1.11). Some cataloguing communities (e.g., archival communities) use different arrangements of data elements when creating multi-level descriptions.

A0.2. Basis of description.

A0.2A. Except for multipart monographs, serials, and integrating resources (see A0.2B and A0.2C), base the description on the whole resource being described. Notes and standard numbers may be taken from any source.² Also see A0.2D for a reproduction or facsimile.

A0.2B. Multipart monographs and serials (multipart resources with discrete parts issued at the same time or issued successively). Base the description, except for the ending date of publication, distribution, etc., on the first² issue or part or, lacking this, on the earliest available

¹Information about and access to any component parts can be given either in a contents note (see A1.7B21), by analytical added entries (see ____), by “in” analytics (see A1.10), or by additions to the physical extent. In describing a resource made up of multiple parts, two or more of which are conveyed in different types of media, follow the instructions in A1.9.

²For numbered resources, the first issue or part is the one with the lowest number. For unnumbered resources, the first issue or part is the one with the earliest publication, distribution, etc., date. For serials, generally prefer the first/earliest issue or part over a source associated with the whole serial or with a range of more than one issue or part.

issue or part. Generally, give notes for changes on later issues or parts when considered to be important (see A1.7A1).

AREA	BASIS OF DESCRIPTION
Title and statement of responsibility	First or earliest issue or part
Edition	First or earliest issue or part
Material (or type of publication) specific details	
Musical presentation statement	First or earliest issue or part
Mathematical data	All issues or parts
Digital graphic representation	All issues or parts
Beginning numbering	First part for each system or sequence
Ending numbering	Last part for each system or sequence
Publication, distribution, etc.	
Place and publisher, distributor, etc.	First or earliest issue or part
Place and manufacturer	First or earliest issue or part
Beginning date	First issue or part
Ending date	Last issue or part
Technical description	All issues or parts
Series	All issues or parts
Note	All issues or parts and any other source
Standard number and terms of availability	All issues or parts and any other source

A0.2C. Integrating resources (resources whose updates over time do not remain discrete). Base the description, except the beginning date of publication, distribution, etc., on the current iteration. Update the description and, generally, give notes about changes from earlier iterations when considered to be important (see A1.7A1).

AREA	BASIS OF DESCRIPTION
Title and statement of responsibility	Current iteration
Edition	Current iteration
Material (or type of publication) specific details	
Musical presentation statement	Current iteration
Mathematical data	Current iteration
Digital graphic representation	Current iteration
Publication, distribution, etc.	
Place and publisher, distributor, etc.	Current iteration
Place and manufacturer	Current iteration
Beginning date	First iteration
Ending date	Last iteration
Technical description	Current iteration
Series	Current iteration
Note	All iterations and any other source
Standard number and terms of availability	All iterations and any other source

A0.2D. Reproduction or facsimile. Base the description on the reproduction or facsimile. Also give data relating to the original manifestation in the note area. For a reproduction/facsimile of a multipart monograph or a serial, also see A0.2B. Generally, consider a reproduction/facsimile of an integrating resource to be a monograph.

A0.3. Sources of information for the data elements

A0.3A. The sources of information for the description depend on what resource is being described.

A0.3B. Sources for selecting the title proper. See A1.1B1-A1.1B3.

A0.3C. Sources for selecting other data elements

A0.3C1. Generally, prefer information located on the same source as the title proper to information found elsewhere.

A0.3C2. If the data elements are lacking in the resource, take them from sources (in order of preference) given in A1.1B3c. Enclose information taken from outside the resource in square brackets if it is being recorded in the title and statement of responsibility area, the edition area, the material specific details area, the publication area, and the series area. (Brackets are not usually used by the archival cataloguing community.)

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Recommended arrangement of beginning of A1:

A1.0A Organization of the description [current A1.0B]

A1.0B. Punctuation [current A1.0C unless ISBD punctuation is eliminated – see LC template response]

[add current A1.0F5]

A1.0C. Levels of detail in the description [current A1.0D]

A1.0D. Language and script of the description [current A1.0E]

[add current A1.0F2]

A1.0E. Transcription

A1.0E1. Capitalization, abbreviations, and numerals. Follow instructions for capitalization, abbreviations, and numerals given in appendices A, B, and C, respectively.
[replaces A1.0F1, A1.0F3, and A1.0F4]

A1.0E2. Manipulating symbols, words, etc., found on the resource

A1.0E2.1. Symbols, etc. [current A1.0F6]

A1.0E2.2. Letters or words intended to be read more than once. [current A1.0F7]

A1.0E2.3. Inaccuracies. [current A1.0F8]

[Current A1.0G-A1.0L moved to A0.]

A1.1A. Preliminary rule

A1.1A1. Record the elements of data in the order of the sequence of the following rules.

A1.1A2. Punctuation [as is if retained]

A1.1B. Title proper

A1.1B1. Selecting the title proper. The source of the title proper may be unitary in nature (e.g., a title page) or may be collective (e.g., labels on two discs). If there is more than one form

of the resource's title or more than one source with a title for the resource, see A1.1B2.

A1.1B2. More than one form and/or source of title. If there is more than one form of the title on a single source, see a) below. If there is more than one source with the title, apply b) or c) below. Give the other titles in a note, if considered to be important, unless a different instruction is given below; see Part II for access to these forms of title.

a) Title in two or more forms on the same source.

i) If the title is in two or more languages or scripts, select the title proper in the language or script of the main written, spoken, or sung content. (See A1.1D about recording the other titles.)

ii) If the forms are the title in full and an acronym or initialism of the title, select the full form as the title proper. Transcribe the acronym or initialism as other title information (see A1.1E).

iii) If the forms are in the same language and script and are not full form vs. acronym or initialism, select the title proper on the basis of the order of titles on, or the layout of, the source. If that title isn't sufficient for identification, select the title that is.

b) Title in different languages on different sources. Select the title proper following the preferred order below:

i) the title on the source in the language or script that corresponds to the language or script of the content or the predominant language or script of the content of the resource

ii) otherwise, the title on the source in the language or script that occurs first in the following list: English, French, German, Spanish, Latin, any other language using the roman alphabet, Greek, Russian, any other language using the Cyrillic alphabet, Hebrew, any other language using the Hebrew alphabet, any other language.

c) Title in the same form or in different forms in the same language on different sources. Select the title proper on the source appearing first in the listing of sources given below for the appropriate medium.

RESOURCES	PRIORITY ORDER OF SOURCES
Resources comprising pages, leaves, etc.	Title page, cover, caption, masthead, colophon, rest of the resource
Single manuscripts	Title page, colophon, caption, heading, rest of the resource
Microforms	Title frame(s) or card(s), title in “header,” rest of the resource including a container that is an integral part of the resource
Other resources	Resource itself (including permanently-affixed label), accompanying textual material, container

A1.1B3. Title lacking. If the resource being described lacks a title, apply the rule in the relevant category below.

- a) Resource in one part lacks a collective title. If the resource consists of two or more works and lacks a source with a title proper for the resource as a whole, treat the separate sources with the titles for the individual works as if they were a single source.
- b) Resource in more than one part lacks a collective title. If the resource consists of different component parts, treat the sources with the titles for the parts as if they were a single source unless separate descriptions are being made.
- c) Any other resource that lacks a title. Take a title from the sources (in order of preference) listed below and record it as the title proper; enclose it in square brackets (brackets are not usually used by the archival cataloguing community):
 - i) a container issued with or made for the resource (e.g., a box, portfolio, case, sleeve, envelope, etc.) if not already an integral part of the resource
 - ii) accompanying textual material (e.g., a manual, leaflet, script, publicity material, “about” file, etc.)
 - iii) other published descriptions of the resource
 - iv) any other available source (e.g., a reference work).
- d) No title can be found according to A1.1B3c. Create a title that identifies the resource. The title may include the name of the creator, collector, donor, or source of the resource, the nature of the resource (e.g., literary manuscript, diary, advertisement, collection), its subject (e.g., names of persons, corporate bodies, objects, activities, events, geographical area, and

dates), or a combination, as appropriate. Enclose such a title in square brackets. (Brackets are not usually used by the archival cataloguing community.)

A1.1B4. Transcription of the title proper. [current A1.1B1]
[and renumber all the subsequent A1.1B rules]

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Revise second paragraph of the former **A1.1B1** [now to be A1.1B4] to read:

If the source of the title proper is not the first prescribed source given in A1.1B2c, record the source of the title in a note (see A1.7B4).

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Revise **A1.6B2** to read:

A1.6B2. If different forms of the title of the series (other than parallel titles) appear on the resource, select the series title as indicated below. Record the other form(s) in the note area if of value in identifying the item:

- a) for a resource comprising pages, leaves, etc., transcribe the series title found on the series title page, if there is one; otherwise, transcribe the series title found on the first source appearing in the priority order of sources listed in A1.1B2c;
- b) for any other resource, transcribe the series title found on the first source appearing in the priority order of sources listed in A1.1B2c.

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Revise **A1.7B4** to read:

A1.7B4. Source of title proper. Make a note on the source of the title proper if the source is not the first prescribed source given in A1.1B2c.

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N.B.:

(1) Due to proposed expansion of prescribed source to the resource itself, specific rules will need to be revised to remove wording excluding transcription from beyond the source of the title proper. Examples of such rules would include A1.1E1, A1.1F1, A1.1F2. Other rules (e.g., A1.1E2) would need to be revised to change “chief source of information” to “in the resource.”

(2) References to A1.0 rules and to A1.1B rules will need to be corrected.

(3) The following rules should be deleted due to content being moved to proposed A0 and proposed A1.1B:

Information on “focus of description” in the Introduction

all of A1.0A

A1.0G

A1.0K

A1.0J

A1.0K

A1.0L

A1.1B3

A1.1B7

A1.1B11

A1.1C3

A1.2A3

A1.3A3

3rd sentence in 1st paragraph of A1.3B1

A1.4A2 (also see 5JSC/LC/2)

A1.5A4

A1.6A2

A1.8A2

B1.1B11

B2.1B11

B3.1B11

B4.1B11

B6.1B11

B7.1B11