To: Joint Steering Committee for Revision of AACR

From: Sally Strutt, Chair, JSC

Subject: AACR3 - Part I - Review by other rule makers of December 2004 Draft

These are comments on the draft Part I of AACR3 received from the Office for Library Standards of Die Deutsche Bibliothek.

AACR3 – Part I

Comments on the December 2004 Draft

Submitted by: Office for Library Standards, Die Deutsche Bibliothek

E-mail address: goempel@dbf.ddb.de

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Note: The chapter designators (A1, A2, A3, B1, etc.) in the draft of part I have been used in order to differentiate chapter and rule numbers for the new edition from those used in AACR2 for purposes of the constituency review. The final form of numbering for chapters and rules will be determined once the complete structure for AACR3 has been finalized.

1. Objectives and principles

General comments on the formulation or application of the objectives and principles established for part I:

The objectives and principles laid down here refer solely to this part of the rules. Till now, overall objectives and principles are not yet included. The underlying conceptual framework for the rules, too, seems not yet definite. So it is a bit difficult for us to comment on it.

In online catalogues, most of the elements in the bibliographic description are indexed and made searchable. So, in the online environment, the discrimination of description and formulation of access points gets more and more obsolete. We would welcome if the rules took into account the indexing and search possibilities of online catalogues more evidently.

In one aspect, the sequence of rules in AACR3 seems to be the same as in AACR2. The rules were meant, according to the introduction to AACR2, to follow the "sequence of cataloguer's operations in most present-day libraries". We wonder if the workflow remains the same in the online catalogue. The first operation in online cataloguing is to search in the catalogue (and in foreign catalogues) for records representing the same resource or similar resources in order to re-use these records or parts of it, especially the main access points. In our view, the FRBR concepts fit very well to online cataloguing. According to the Background chapter, the objectives of AACR3 "will entail aligning the rules with the concepts and terminology used in the Functional Requirements for Bibliographic Records". But it seems that the bibliographic description remains widely unaffected.
Till now, in part I there haven't been vital alignments towards the FRBR, though most of the elements in the bibliographic description are addressed, too, in the FRBR concepts, either as name of an entity or as attributes. We would have expected that in rules, determined by the FRBR, the FRBR would obviously underlie or influence the organization of the rules.

Due to a short period of time for commenting and the fact that we are "beginners" with AACR, we did not look into details of Part B and C. Please excuse if our comments are lacking in this respect. Due to the fact that we are no native speakers, we want to apologize, if some sentences may be not clear. If some explanations seem to be necessary, please let us know.

A. Scope, structure, terminology, etc.

Objectives:

Comprehensiveness

Covering "all types of resources" is a very important aspect but it also is a very ambitious goal. Which "similar tools" are considered here? Can examples be provided?

What is going to happen with the appendices to AACR2?

Consistency

Clarity

According to the Introduction, the ISBD is the underlying concept of part I. The Functional Requirements for Bibliographic Records are mentioned only marginally in the Background chapter. We would welcome if the context between the two concepts, ISBD and FRBR, was clarified more precisely within the introduction to part I.

Rationality

Currency

We acknowledge that this is an ambitious objective and would welcome if "currency" included openness to new developments in cataloguing.

Compatibility

Is compatibility to *metadata* standards given?

Adaptability

In order to express and enable adaptability for communities worldwide, we suggest holding on to the intention of AACR2, 0.12 [Language preferences]:
"The rules contain some instances in which a decision is made on the basis of language and in which English is preferred. Users of the rules who do not use English as their working language should replace the specified preference for English by a preference for their working language. Authorized translations will do the same".

This applies also to any rules where a specific order of languages is stipulated.

More generally, we suggest changing the title "AACR3" to a new title which leaves the Anglo-American focus and leads to a truly international "open range".

Ease and efficiency of use

Format

In its announcement of the new edition the Joint Steering Committee proclaims that the new edition is "envisioned as providing the basis for improved user access to all media in an online search environment". We, too, recognize that today rules have to be rules for the online catalogue.
In an online environment rules for a common presentation and display format should imply that the intended punctuation is to be derived automatically.
We agree with the objective to have a common presentation and display format, but the "mark up" punctuation for it should be done by the machine, not by the cataloguer.
Additionally, we would welcome the advice that additional or alternative presentation formats are possible, too.
We propose to centralize the rules for presentation and display (punctuation) in a separate chapter and to omit the punctuation rules from the other chapters.

Principles:

Generalization

Specificity

Non-redundancy
Part I, as discrete component, may conform to this principle. But we suspect that many of the attributes in the bibliographic description will be covered once more when for the reasons of resource discovery standardized forms are required.
Which part of the rules will deal with encoding rules?

Terminology

The terminology does not reflect that the attributes in the bibliographic description belong to distinct FRBR concepts (work, expression, manifestation).

In some places, the terms seem to be used inconsistently (name of resource / title, main entry heading / access points, collective title / multipart resource etc.).

Reference structure

B. Functional Requirements

Objectives:

Responsiveness to user needs

The description doesn't yet reflect the user requirements to <u>find </u>the bibliographic record (and thereby get access to the resource) and to <u>navigate</u> through the catalogue.
Many of the attributes are searched directly by the users of the catalogue: title (or words from the title), publisher, numbers etc., related entities.
Other attributes are suitable to combine with other search words or among each other: the language, the GMD, SMD, place and year etc.

Cost efficiency

Format independence

Interoperability

We miss a statement about interoperability. In our opinion, the rules should provide regulations, how interoperability could be guaranteed in the described records.

Principles:

Differentiation

Sufficiency

Relationships

Representation

Accuracy

Uniformity

We learned that the application of abbreviations is another topic for further investigation and welcome such a study. Whereas in the card catalogue times place on a catalogue card was rare, this is no longer the case in an online environment. The conventions for the use of abbreviations differ and an abbreviation which a librarian recognizes at once may not be understandable that easily for a user.

Many terms that are embodied in the bibliographic description will be relevant as access points (primary or additional ones). Wouldn't it be useful to present them unchanged and as they are found on the resource?

Common usage

2. Organization of the rules

Comments on the scope and organization of the sections and chapters in part I:

Introduction

Scope
What is meant by "access points added …"?
Are these the main access points we know from AACR2? Many of the elements of the bibliographic description are used as access points, too, i.e. they are indexed so that users can search and find single words or text strings of the element content. Additionally to instructions on the access points represented by authority records, we would appreciate guidance in the rules which of the elements of the bibliographic description should be made searchable and which elements should – solely or additionally - be recorded in a standardized form.

On the other hand, the bibliographic description does not contain all relevant attributes and information on the resource. Access points cannot be limited to the elements of the bibliographic description.
According to the last sentence, instructions on access points will follow in part III, according to the background chapter; they will follow in part II. Is the term "catalogue entry" appropriate?

Structure of Description
While FRBR distinguishes between 4 group-1-entities and assigns entity-specific elements to them, the ISBD represents the same elements in a flat structure. How will the two concepts be aligned?

Determining the Focus for the Description
Wouldn't it be better to have this paragraph in the general introduction? The cataloguer first has to decide and to define which kind of resource he is going to catalogue. This is the entity not only in part I but also in the following parts.
Is there really a difference between d) integrating resources and f) assembled collection?

Section A – General rules

Scope and organization of chapter A1 – General rules for description

[Contents] The titles for A1.1 – A1.8 mirror the ISBD area titles.
A1.3 Is the added word "detail" necessary? Could "publication" be changed to "resource" as in other parts of the text?
A1.5 uses "technical" instead of "physical", and this change should be considered for ISBD revision as well.
A1.8 ISBD reads "Standard number (or alternative) …". Has "or alternative" deliberately been omitted?

A1.0A1.b) Is the source of information in i) really that alternative that gives the best information on the resource as a whole?

A1.0A2 Could an exact definition of "digital file header" be provided in the glossary? We had some different interpretations about this term. Does the digital file header contain the metadata or other data like identifiers etc.?

A1.0A4 "Encoded metadata", "metadata records" are not mentioned explicitly any more (they were part in AACR2 chapter 9). Are they covered by the more general wording now?

A1.0A5 We suggest to use "type of resource" instead of "type of publication".

A1.0F Concerning the former appendix for capitalization, we suggest to tend to a transcription as given.

A1.1B1 The rule itself does not state when to use "sic" and when to give the correction in square brackets and contradicts A2.1B1.

A1.1B3. The FRBR term "manifestation" is used here for the first time, but all in all it seems to be used rarely (though the focus of the bibliographic description is still much on

"manifestation"). Although "item" has been removed from the draft in a lot of rules (e.g., A1.1B5), it seems that the use of the more general term "resource" has been increased.

A1.1B6 "Never omit any of the first five words of the title proper (excluding the alternative title)." The omissions in the introductory words (in the first part of A1.1B6) are another exception to this rule. We suggest transcribing the titles "as given". The interpretation of what has an introductory character and what is a firm part might lead to different results.

A1.1C1 It is good to see one list for general material designations (GMD) now instead of the former two lists. The differentiation between "content" and "medium" is a good approach. As terms like "graphic" and "three-dimensional" are used in both lists, this seems to hint at difficulties in really differentiating between content and medium. We noted that "electronic" has been removed. Is it replaced by "digital", "audio" or "multimedia" (all GMDs for medium) and "software" (content)?
The options to give the (optional) GMDs either for content OR for medium OR both might make it difficult to perceive the character of the GMD.

A1.1F5 The limitation to give only one person or corporate body when three or more are named in the resource is well-known to us; we have a similar rule in the German cataloguing code. As names are a valuable access point, we wondered if this limitation might be changed with an option to give up to three.

A1.2A1 Why is it necessary to differentiate between published and unpublished forms for the bibliographic description?
As the term "version" is used here ("versions of works"; "various versions of film or video"), we noted that the FRBR term "expression" is avoided, though part of the glossary ("version" is not in the glossary).

A1.4B3. Appendix B, mentioned here, is not yet part of the draft.

A1.4C6 The text asks for the English form of name. We missed the former AACR2 rule 0.12 about language preference, which would give the opportunity to use another language. Will this rule still be part of the AACR3 draft? It would be very helpful and useful in order to enable a worldwide application.

A1.4D2 This rule asks to record the name of the publisher in the shortest form which can be understood and identified internationally. The rule would apply to corporate bodies in the function of a publisher, too. Would an acronym of a corporate body be accepted, too? If so, we wondered if acronyms or shortest forms are always easy to find for a user.

A1.5B1 Computer card and computer optical card are given as examples for new physical carriers. Why are these terms not included in table 1?

A1.5B2, Table 2. Is our understanding correct that N/A means "not applicable"? We are not sure what N/A stands for.
Why is a wall chart, e.g., only given in the component table (2) and not in the physical unit table (1) as well?

A1.5B5 "Item" is used here in a specific meaning, different from the FRBR and the FRBR expanded glossary definition.

A 1.7B9 This rule asks to provide the "name of the … resource" respectively the "name of the original". What is the name? (See also our comment on A1.10A). The rule neither mentions "title" nor "title proper". FRBR terms "work", "manifestation" are not used here.

A1.8B We suggest to include persistent identifiers, like URN.
Is there a place, maybe in the technical description areas, that URLs may be given? We know that they are given in MARC field 856, but we are not sure if the URLs are mentioned in the text.

A1.8B4 Wouldn't it be useful, to register and mark also *wrong* ISBNs when they appear in the publication in hand? Users normally do not know, if an ISBN is incorrect. Under retrieval points of view the wrong ISBN should be searchable.

A1.10A "In" shall be followed by "name and/or uniform title heading (see XX)". This is different from A1.7B9, where "name of the resource" is asked for instead of a name or title heading.

Scope and organization of chapter A2 – Resources issued in successive parts

Scope and organization of chapter A3 – Integrating resources

Section B – Supplementary rules applicable to specific types of content

Scope and organization of chapter B1 – Text

Scope and organization of chapter B2 – Music

Scope and organization of chapter B3 – Cartographic resources

Scope and organization of chapter B4 – Graphics

Scope and organization of chapter B5 – Three-dimensional resources

Scope and organization of chapter B6 – Sound

Scope and organization of chapter B7 – Moving images

Section C – Supplementary rules applicable to specific types of media

Scope and organization of chapter C1 – Print and graphic media

Scope and organization of chapter C2 – Micrographic media

Scope and organization of chapter C3 – Tactile media

Scope and organization of chapter C4 – Three-dimensional media

Scope and organization of chapter C5 – Audio media

Scope and organization of chapter C6 – Projected graphic, film, and video media

Scope and organization of chapter C7 – Digital media

3. Focus of the description

Comments on instructions in the Introduction and in rule A1.0A1 on focus of the description:

[Page I-1. Introduction. Structure of the description
Note 1 refers to ISBD(G) from 1977. It should refer to the valid revised edition 2004
http://www.ifla.org/VII/s13/pubs/isbdg2004.pdf.

4. Resources in an unpublished form

Comments on the scope and placement of rules pertaining to resources in an unpublished form:

General rules (A1.1B11, A1.2A1, A1.4C8, A1.4D9, A1.4F8, A1.7B12.2, A1.7B14, A1.7B30)

Supplementary rules applicable to text (B1.1B11, B1.1E6, B1.4F8)

Rules on resources in an unpublished form from AACR2 omitted from the draft of AACR3

In the AACR2, we noted that dissertations were considered as "unpublished", whereas Chapter 9 included a stipulation to consider remote access electronic resources as published. As we have a lot of online dissertations, we wondered about the different handling. This discrepancy seems to have vanished with the AACR3, part I draft.

5. Resources issued in successive parts

Comments on rules pertaining to resources issued in successive parts:

Numbering area (A1.3)

Title and statement of responsibility area (A2.1)

Edition area (A2.2)

Publication, distribution, etc., area (A2.4)

Technical description area (A2.5)

Series area (A2.6)

Note area (A2.7)

The basis for description, in general (with the exception of integrating resources), is the first or earliest available issue or part. We recognize that this is in accordance with international standards, though, in the process of revising AACR2, ISBD(S) to (CR) and ISSN rules, this topic was discussed as there is a need for OPACs, e.g., to present up-to-date information about publisher and the valid title. Will there be stipulations in further parts of AACR3 to make entries for differing titles?
Furthermore, would it be feasible to open possibilities to add, e.g., new publishers, changed titles in other, searchable fields as part of the bibliographic description?

6. Integrating resources

Comments on rules pertaining to integrating resources:

Title and statement of responsibility area (A3.1)

Edition area (A3.2)

Publication, distribution, etc., area (A3.4)

Technical description area (A3.5)

Series area (A3.6)

Note area (A3.7)

Standard number and terms of availability area (A3.8)

7. Assembled collections

Comments on the scope and placement of rules pertaining to assembled collections:

Is there really a difference between d) integrating resources and f) assembled collection?

General rules (A1.4C8, A1.4D9, A1.4F8, A1.5B5, A1.5D3)

Supplementary rules applicable to text (B1.1B11)

Supplementary rules applicable to print and graphic media (C1.5D3)

8. Early printed resources

Comments on the scope, placement, and application of rules pertaining to early printed resources:

General rules (A1.4D1, A1.4G1,)

Supplementary rules applicable to print and graphic media (C1.5B2.1.19, C1.5D1.1, C1.7B13.2, C1.7B28.1)

Rules on early printed monographs from AACR2 omitted from the draft of AACR3

9. Sources of information

Comments on the generalization and reworking of rules on sources of information (A1.0A):

We noted that the new stipulations have a general nature.

10. General material designation

Comments on the revision of rules on general material designation and the terms used as GMDs (A1.1C):

11. Publication, distribution, etc. area

Comments on the revision of rules pertaining to the publication, distribution, etc., area:

Elimination of the use of "s.l." and "s.n." (A1.4C6, A1.4D7)

12. Technical description area

Comments on the scope, placement, and application of rules pertaining to technical description:

The technical description area seems to provide no sufficient rules for long-term preservation purposes. Long-term preservation now is an important task for libraries. In the metadata community standards for long-term preservation have been developed. But we do not want to refer only to electronic publications. We also need to describe our traditional library material (books etc.) under long-term preservation points of view, e.g., if the paper is acid-free.

General rules on extent (A1.5B)

General rules on other technical details (A1.5C)

General rules on dimensions (A1.5D)

General rules on ancillary material (A1.5E)

Supplementary rules applicable to print and graphic media (C1.5)

Supplementary rules applicable to micrographic media (C2.5)

Supplementary rules applicable to tactile media (C3.5)

Supplementary rules applicable to three-dimensional media (C4.5)

Supplementary rules applicable to audio media (C5.5)

Supplementary rules applicable to projected graphic, film, and video media (C6.5)

Supplementary rules applicable to digital media (C7.5)

Potential for further generalization of rules on technical description (e.g., X.5C10)

13. Note area

Comments on the scope, placement, and application of rules pertaining to notes:

Generalization of rules on notes (e.g., A1.7B15)

Potential for further generalization of rules on notes (e.g., X.7B21)

14. Glossary

Comments on the terms and definitions included in the glossary:

15. Style

Comments on matters of style:

Tables of contents for chapters and areas

Captioning of subrules

References to related and supplementary rules

Clarity of instructions

16. Typographical and grammatical errors, etc.

Please reference errors, etc., in the form: [page number] - [rule number] - [paragraph or example number]

[A1-14] – [A1.1A1] Transcribe the data as they appear [not: appears] …

[A1-43] – [A1.4C2] Augusta Treverorum [Trier] [not: Augustae …]