

To: Joint Steering Committee for the Revision of AACR
From: RDA Appendices Group
Subject: Status report

In 5JSC/Chair/9, the RDA Appendices Group was charged with the responsibility for the preparation of these RDA appendices:

Appendix A. Capitalization
Appendix B. Abbreviations
Appendix C. Initial articles

Below are our initial conclusions, questions, and recommendations related to these appendices.

APPENDIX A (both AACR2 and RDA) (Capitalization)

Pros and cons of having an appendix on capitalization in *RDA*:

Pro:

- so information is available for those agencies wanting a consistent result
- so information is available without going elsewhere
- so catalogers don't agonize if they find a data element all in uppercase, etc., and don't know the language

Con:

- user tasks don't depend on capitalization practice
- *RDA* allows non-standardized practice for transcribing and recording data elements: basic principle in *RDA* is to take what you see with options to accept scanned form or to use an existing style manual (local or non-local)
- work needed to revise it for *RDA* when a consistent practice is not mandated by *RDA* (add more languages, restructure content to remove organization by ISBD areas; maintain as languages' capitalization practices change)

Questions:

1. Will JSC allow same range of possibilities ("take what you see" + options) for controlled access points?
2. Should the group make a recommendation regarding capitalization in the examples in *RDA*?

Recommendations:

1. Do not include an appendix on capitalization in *RDA*.
2. Include a basic rule in chapter 1 (akin to AACR2 1.1B1) for all data elements [suggested text below]
 - Until JSC makes decisions about actions proposed in 5JSC/LC/5/Rev and until the Editor supplies a revised 1.6 section (perhaps we misunderstood but we thought such a 1.6 document was going to be supplied after the Ottawa meeting), we can't make final recommendations about sub-instructions in 1.6. We would tentatively say the following could be deleted from the current draft:
 - 1.6.1 [note: exception a) is about transliteration]
 - 1.6.2
 - 1.6.3
 - 1.6.7
 - 1.7.1
 - Whatever JSC's decision is about capitalization practice for controlled access points, incorporate the decision in the instructions in part B.

Suggested wording for new rule 1.6 (clean copy):

1.6	TRANSCRIPTION
1.6.0	GENERAL GUIDELINES ON TRANSCRIPTION
1.6.0.1	➤ When the instructions in chapters 2–5 specify transcription of an element as it appears on the source of information, transcribe that element exactly as to wording, order, spelling, capitalization, and punctuation unless another instruction says to do otherwise.
1.6.0.1.1	◇ <i>Optionally</i> , the agency preparing the description may establish in-house guidelines for capitalization, numerals, symbols, etc., or may designate a published style manual, etc., (e.g., the <i>Chicago Manual of Style</i>) as its preferred guide.
1.6.0.1.2	◇ <i>Optionally</i> , if an element of the description is derived from a digital source of information using an automated scanning, copying, or downloading process (e.g., by harvesting embedded metadata or automatically generating metadata), transcribe the element as it appears on the source of information, without modification.
1.6.0.2	➤ When the instructions in chapter 2-5 specify recording information, follow any specific guidelines in each instruction and apply appendix B (abbreviations).

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| 1.6.0.2.1 | ◇ <i>Optionally</i> , the agency preparing the description may establish in-house guidelines for capitalization, numerals, symbols, etc., or may designate a published style manual, etc., (e.g., the Chicago Manual of Style) as its preferred guide) |
| 1.6.0.2.2 | ◇ <i>Optionally</i> , if an element of the description is derived from a digital source of information using an automated scanning, copying, or downloading process (e.g., by harvesting embedded metadata or automatically generating metadata), record the element as it appears on the source of information, without modification. |

APPENDIX B (AACR2 and RDA) (abbreviations)

Question: Will JSC make any changes in the AACR2 practice of using some abbreviations in controlled access points? [relates to current B.2–B.3]

Recommendations:

1. Include an appendix on abbreviations in *RDA*.
2. Revise current B.1 to say:
 - use abbreviations currently in B.9–B.12 for
 - numbering for serials
 - numbering within series
 - [still need to decide about including what is now in B.5B.1 about substituting prescribed abbreviation in place of found abbreviation]
 - duration
 - voice for music
 - cataloger’s judgment to use abbreviations when supplying information (JSC decision in Ottawa)
 - put information about using copyright symbol (JSC’s first choice decided in Ottawa) or word “copyright” spelled out (JSC’s second choice) in instruction for copyright date rather than in appendix
3. Remove or revise B2–B3 based on answer to the question above.
4. Remove B.4–B.5.
5. Keep B.6–B.8 or move as subsections to B.1.
6. Revise B.9–B.12 to delete terms other than those used for the following:
 - numbering for serials
 - numbering within series
 - duration
 - voice for music

7. Delete B.13–B.14.
8. Update B.15 to add more languages.
9. Being considered: proposals about the phonogram symbol and about using only numerics to give duration (e.g., 3:45, 2:10:00).

AACR2 APPENDIX E/RDA APPENDIX C (initial articles)

Pros and cons of having an appendix on initial articles in *RDA*:

Pro:

- so information is available for users needing to identify initial articles either to delete them or “mark” them when transcribing titles and when creating controlled access points to ensure consistent results
- so information is available without going elsewhere
- so other resources (e.g., *MARC 21* documentation) can either use the same information or point to the *RDA* appendix

Con:

- treatment of initial articles for retrieval and sorting of results is a matter of presentation and system implementation and should be dealt with in the appendix on presentation
- ongoing work needed to make the appendix include as many languages as possible: in an international context, we can't omit some languages by saying that they are not the ones most commonly found by cataloguers

Question: Will JSC decide that initial articles will be omitted or marked for non-filing in controlled access points? Will a cataloguer need to be able to identify initial articles in order to apply any other provision of *RDA*? (The introductory paragraph in the current appendix refers to four AACR2 rules all requiring the initial article to be omitted.)

Recommendations:

If there is an appendix for initial articles in *RDA*,

1. the Web product should present the appendix as a table that can be sorted by the user either by article or by language;
2. the print product should have two tables: one organized by article, and the other by language (if a user doesn't know a language, it would be helpful to find all the initial articles in one place rather than needing to look up words one by one as they are found in data elements).