

TO: Mary Larsgaard, Chair

For distribution to ALA/ALCTS/CCS Committee on Cataloging: Description and Access

FR: Matthew Beacom, ALA Representative to the JSC

RE: Report on JSC meeting, 19-22 April 2004, Ottawa, Canada

The Joint Steering Committee for the Revision of Anglo-American Cataloguing Rules met in Ottawa, Canada, from 19 to 22 April 2004. The Canadian Committee on Cataloguing hosted. Attendees at the meeting were:

Matthew Beacom (American Library Association) *Chair*  
Sally Strutt (British Library)  
Hugh Taylor, for Robert Atkinson (CILIP)  
Margaret Stewart (Canadian Committee on Cataloguing)  
Deirdre Kiorgaard (Australian Committee on Cataloguing)  
Barbara Tillett (Library of Congress)  
Nathalie Schulz (Secretary)

Don Butcher (CLA), the Chair of the Committee of Principles, was unable to attend most of the meeting due to the concurrent meeting of the CoP in Ottawa. A number of colleagues attended as observers of the whole meeting: Jennifer Bowen (University of Rochester Libraries & future ALA rep to JSC), John Attig (Penn State University & Chair of Consistency Task Force), Denise Lim and Mary DiSipio (Library and Archives of Canada). Other members of staff from the National Library of Canada observed during the third day of the meeting. Chris Oliver and Pat Riva (McGill University) also observed the third meeting day for the discussion of FRBR terminology and the FVWG report.

Tom Delsey (consultant) joined the Committee as a consultant for discussions on the re-organization Part I of AACR.

The minutes of the meeting are forthcoming.

This report focuses on the decision regarding a new edition of *AACR*, and contains some information about the 2004 amendments to *AACR2*, the 2005 rule revision package for *AACR2*, and other items of interest to CC:DA.

## ***AACR3—A new edition of the Anglo-American Cataloguing Rules***

The JSC proposed to the Committee of Principals (CoP) at their joint meeting on Tuesday 20 April 2004 that work on a new edition of AACR3 begin now. The CoP agreed.

The ramifications of this decision are many. Some of the important and immediate ones include the following.

- Informing the community of the rationale for a new edition
- Hiring a general editor for the new edition
- Developing a project plan and timeline
- New roles for JSC and the constituent groups
- Re-organizing Part 1 of the rules

### **The rationale for a new edition**

The rationale for a new edition draws largely upon that articulated in the JSC's 2002 strategic plan for AACR (*4JSC/Chair/79/Rev/2*). The strategic plan is being revised slightly now to bring the dates into alignment with current plans.

Given the complexity of applying AACR2 to materials in today's environment and the many initiatives seeking "metadata" alternatives for digital objects, it is imperative that we establish a position for AACR as a content standard for resource description. Such a standard would be based on a set of basic principles supporting the objectives of resource discovery: to find, identify, select, and obtain relevant resources. It would comprise a consistent set of rules for creating the basic descriptive and access components required to meet these objectives.

The new edition will be

- Easier to use and interpret
- More consistent and less redundant
- Designed for online search environments
- A better basis for improved user access to all media
- Based on stated principles of catalog design and bibliographic control principles
- Compatible with other standards for resource description and [access discovery]
- Useful to libraries and other information agencies worldwide

The new edition will include

- New conceptual and procedural introductions to assist catalogers and to link rules to the functions of catalogs

- A re-organized Part 1 that includes a consistent set of general rules and supplemental rules organized under a new, more logical set of categories.”]
- A revised chapter on the choice of access points
- A new section on authority control concepts that incorporates the existing rules for form of headings and references
- Clear and consistent use of terminology and concepts throughout the rules including concepts and terminology from *Functional Requirements for Bibliographic Records* (FRBR) and *Functional Requirements for Authority Records* (FRAR)
- Updated examples throughout the rules

### **The general editor**

The JSC proposed to the CoP that a general editor be hired to guide the editorial production of the new edition. The CoP agreed. The JSC and the CoP hope to have the general editor in place by June 1, 2004.

The general editor will manage the project of making the new edition, draft or coordinate drafting the proposals for the new edition, and oversee the editing of *AACR*. The editor will work as part of an editorial team that includes the JSC Chair, Representatives, and Secretary. The editorial team will consult with the existing constituent groups: the American Library Association (ALA), the British Library (BL), the Chartered Institute of Library and Information Professionals (CILIP), the Australian Committee on Cataloguing (ACOC), the Canadian Cataloguing Committee (CCC), and the Library of Congress (LC).

### **The project plan**

The draft project plan for the new edition proposes that the new edition be published in mid-year 2007. It is, of course, possible that the publication of *AACR3* could slip to 2008, but the steps within the project plan are timed for the 2007 release date. The timing of the new edition should match well with the international efforts underway via IFLA to restate and reaffirm the Paris Principles of 1961. Worldwide acceptance of the IFLA Statement of International Cataloguing Principles is expected by 2007.

The production of the draft or proposed text will be phased so that parts of the new edition will be drafted, reviewed and re-drafted in sequence. For example, the current plan calls for the editor to submit the draft of Part 1 in Sept. 2004 for review by the JSC at its October 2004 meeting in the United Kingdom. JSC and the editor would then distribute the draft to the constituent groups, who would then have from November 2004 to March 2005 to respond to the draft of Part 1. The other phases of production would focus on the revision of the current Chapter 21, the proposed new Part 3 on authority control, and then the Introductions and other matter. The new edition as a whole would

be seen only in fall 2006 before it goes to the publisher for production. The project plan is just that—a plan. As such it will suffer changes as work progresses and the work takes more or less time than planned.

### **New roles for collaboration and consultation**

The ongoing revision process for *AACR2* put the onus on the constituents groups to submit rule revision proposals; their representatives in the JSC then worked to achieve consensus among all parties before accepting proposals and revising the rules. This process works for incremental changes, but is strained by attempts to make large scale or fundamental changes. We have all suffered under that strain in the past few years.

In drafting the text of the new edition, the traditional roles ~~are~~ will be reversed, as the development of a new edition is a different kind of task than ongoing revision. Creating the new edition requires an effective production process. The general editor and the JSC will jointly draft and propose the text of the new edition; the constituent groups will respond to the proposals made by the editor and the JSC; the editor and the JSC will incorporate those responses into the final text. The JSC and CoP anticipate that after *AACR3* has been published and is in use, a process of ongoing revision will be re-established.

### **Starting with Part 1**

The first step in the editorial work for the new editions is to re-organize the description rules (what is now Part 1 of *AACR2*). The JSC asked Tom Delsey to attend this meeting of the JSC in Ottawa to discuss his proposals for the re-organisation of the rules for description. The discussion took into account much work of the past few years that has been devoted to Part 1 issues. The CC:DA Task Force on Consistency across Part I of *AACR2* has made editorial reviews of the following ISBD areas across Part I: 2 (Edition), 3 (Material specific details), 4 (Publication, etc.) and 6 (Series) and has begun work on area 7 (Notes). The Task Force has also presented the proposed rule changes for the areas covered so far in the form of a prototype new Part I. Other issues being discussed by the constituencies have also resulted in suggestions for possible rearrangements of Part I: the GMD and class of materials discussions; the joint BL and ALA work on reconceptualisation of Chapter 9.

In discussing Tom Delsey's ideas for the rearrangement of Part I, the JSC held firm to the idea that users of the rules should be able to understand and feel confident in the application of the principles. Following lengthy discussions, JSC decided that it would like to see a draft rearrangement of Part I of *AACR3* along the following lines.

- A division between general rules applied universally and supplemental rules that are applied when needed to bring out specific aspects of the resource being cataloged.

- Thus, an initial, general chapter covering rules for description, arranged by ISBD area. (This is essentially like the expanded Chapter 1 that has been developed by the Consistency Task Force). Rules in the supplemental chapters would be referenced from this chapter, making it the master chapter for the descriptive rules.
- Supplemental chapters for content, applied to resources embodying specific types of content that require supplemental rules.
- Supplemental chapters for medium/technical description, which will be essentially the specific area 5 rules for physical description of different resources.
- Supplemental chapters on mode of issuance (or “release”).

Viewed as a tentative table of contents, Part 1 will consist of the following

Introduction to Part I

General Rules for Description

*Application to Resources Embodying Specific Types of Content*

Text

Music

Cartographic Content

Graphic Content

Three-Dimensional Content

Recorded Sound

Moving Image Content

Data, Software, and Interactive Content

*Technical Description*

Print Media

Micrographic Media

Graphic Media

Tactile Media

Three-Dimensional Media

Recorded Sound Media

Moving Image Media

Digital Media

*Resources Released Successively or Updated Periodically*

[To be determined]

This tentative arrangement shows what is common to all cataloging: the same rules apply to all types of resource. These rules are universal; the supplemental rules are not. They are dependent on the type of content, or the medium, or the carrier or how the resource is released or issued over time. The arrangement should make training new catalogers easier, should reinforce this common approach for experienced catalogers, and should make the rules for description more accessible intellectually and practically to other, non-library, creators of metadata.

The arrangement should make it possible to act on the instruction currently in rule 0.24. The current arrangement of rules forces catalogers to place a resource within one of several classes of material and then follow the descriptive rules in the chapter for that class of thing. Mixing the classes of material by using several chapters has been a free-for-all. With the new edition it will be possible to select the rules which are relevant to describe all aspects of the resource in hand—its content, its carrier, its issuance.

The editor will direct a review and rearrangement of Part I. A draft of Part I for the new edition should be prepared for the next JSC meeting in October 2004, where it will be discussed with the editor. The draft will then be submitted to the constituencies for review and response. The following will be included in the editor's review of Part I:

- Examination of GMDs (Work on SMDs is also to be done but the GMDs work takes priority.)
- Revision of the rules for sources of information
- Examination of format and physical carrier types
- Examination of the concept of edition
- Resolution of issues relating to the seriality of multipart monographs (will also impact on Parts II/III)

### **FRBR terminology in Part 1 (mainly)**

The editor will be directed to use FRBR terminology for the first draft of *AACR3* Part I as found in *4JSC/Chair/76/Chair follow-up/4/Sec follow-up* (the document contains chapter 1 and Chapter 13 rules rewritten to include FRBR terminology.) Where there is disagreement among the constituents on the terms to be used (identified in the ALA response to the above document) the editor will consider the ALA response and responses to it and make a recommendation in the draft.

The general principle with FRBR terminology in AACR is to use the most specific FRBR entity. When this is not possible the term “resource” will be used. The decision to use “resource” rather than “bibliographic resource” affects the draft of *AACR3* Part I. It is consistent or in harmony with use of the term “resource” in the revised ISBD(G). As part of the process of incorporating FRBR terminology, it was agreed that the editor should simplify wording where appropriate.

Furthermore, the new edition will not necessarily use definitions or explanations from the FRBR report for FRBR entities. These definitions may be used as the basis of definitions for *AACR3* or otherwise adapted for use in *AACR3*. *AACR3* disagreements with FRBR definitions will be referred to the IFLA FRBR Working Group.

## **Continuing with Parts II, III and Introductions**

The editor of *AACR3* will be asked to undertake a complete review of Chapter 21, as detailed in the Terms of Reference for Revising Chapter 21 (*4JSC/ALA Rep/1/Rev/3*). The review will include:

- Examination of “entry” and other card catalog terms and concepts used now throughout the rules and Glossary
- Review of the concept of “collection”
- Resolution of the “rule of three” issues

Authority control principles and practice will be developed in a new Part III. The *AACR2* predecessors are chapters 22-26 on the forms of headings and references. Currently there is nothing to refer to in *AACR* on authority control. The new Part III will fill that gap. It will also be valuable for different resource description communities, who currently have no clear reference point for authority control principles. JSC agreed that LC would put its work on developing Part III on hold pending consultation with the editor.

And chapter 25 will be re-written to reform the “uniform title” concept and develop headings for works and expressions (as per the work already started by the Format Variation Working Group). JSC agreed that the Format Variation Working Group would be discharged and that continuing work on chapter 25 will be folded into work on authority control under the direction of the editor. Thus the divergent efforts of the FVWG and LC on the rules for forming headings and references will be brought together.

The general introduction to *AACR3* will be prepared after drafts of Parts I, II and III have been completed.

## **2005 rule revision decisions**

It was decided that there would be a 2005 rule revision package, to contain the following revisions:

Name	Document series	Decision
Capitalisation of single letters	<i>4JSC/BL/7</i>	LC to write a follow-up containing suggestions regarding the outstanding issues related to capitalisation. Constituencies to respond by 20 <sup>th</sup> Sept. 2004
Coloured ill.	<i>4JSC/ALA/51</i>	ALA's revised proposal agreed to, with CILIP/BL and LC amendments.
Rule A.40. German orthography.	<i>4JSC/ALA/56</i>	Agreed, with BL, CCC amends. ALA to confirm non-capitalisation of "acht".
Deletion of Turkish word "bir"	<i>4JSC/ALA/57</i>	Agreed.
Designations of function (21.0D)	<i>4JSC/ALA/58</i>	ALA to produce follow-up, for response by 20 <sup>th</sup> Sept. 2004

## 2004 Revision Package

The work of the national libraries to review and proofread is to be completed by May 17<sup>th</sup> 2004 for the 2004 Rule Revision package.

### Multipart items (Document series *4JSC/LC/55* and *4JSC/LC/56*)

It has already been agreed that the concept of predominance will be removed from rules 21.2B2 and 21.3A2. This will take effect in the 2004 rule revision package, due for publication this summer. However, after the last JSC meeting CILIP and the BL remained concerned about aspects of what has been termed the "seriality of multipart monographs". The CILIP/BL Committee on AACR produced a discussion paper detailing the concerns. The other constituencies responded to the discussion paper just prior to the JSC meeting.

The discussion of this issue at the meeting was influenced by the constituency responses, which were helpful in bringing the JSC to an understanding of how each constituency views the problems, and which also in some cases offered solutions. The multipart discussion was also influenced by the discussions already held with Tom Delsey on the rearrangement on Part I of AACR and a possible rethinking of the serial/monograph division.

The JSC discussed several important terms and concepts ("monograph", "serial" and "integrating" as modes of issuance; "series" as a place marker, a description of a whole-part relationship) that need to be clarified in AACR3. JSC directed the editor of AACR3

to examine and propose a resolution to the problems of seriality of multipart monographs. CILIP/BL agreed to prepare a written summary of its current position, following the JSC discussion.

## **Other issues discussed by JSC**

### **Communication with other communities**

JSC members reported on the following:

- ALA has formed a group to look at Chapter 2 rules for early printed books. They are considering whether the rules should remain, whether they should be revised, etc. in connection with the descriptive cataloging of rare materials. Preliminary recommendations are expected in January 2005.
- ISSN revision. The BL is involved in discussions on how many ISSN to assign to serials in multiple versions. Four options are being considered.
- The Virtual International Authority File project, involving LC, Deutsche Bibliothek and OCLC. The project is focussing on personal names to prove the concept. The model being used allows national authority files to remain unchanged but essential information from those files to be harvested to the VIAF server and displayed to users. No international organisational infrastructure is needed and universal bibliographic control does not need to be imposed. The project is building links with vendors (such as Ex Libris) to enable searches to be launched automatically to the VIAF. In the much longer term, this is being seen as a building block for the Semantic Web and potential use of natural language. Records have been supplied from DDB to OCLC, but unfortunately in the process the authorised forms of names were changed, so it has not yet been possible to demonstrate what was going to be demonstrated.
- The IFLA FRBR Review Group. This Group has a number of other groups working under it – on mapping; expressions; applications of FRBR in the library community; etc. Tom Delsey has been hired to map FRBR terminology to the ISBDs.
- FRANAR Working Group. The functional requirements for authority records have now been completed. The report is about to go to a three-month worldwide review. This is a conceptual model that, like FRBR, needs to be translated. It is a view beyond MARC, suggesting direction for better structures in the future. It will impact on the AACR Glossary.
- IFLA Guidelines for OPAC Displays – comments have been received from the recent worldwide review. Ditto the IFLA metadata guidelines.
- International Meeting of Experts on an International Cataloguing Code. A draft statement of principles has been agreed, with an appendix of principles for creating cataloging rules. A Glossary has also been completed. KG Saur will be publishing the report from the Frankfurt meeting, hopefully by the end of July 2004. The next meetings are:

- 2004 – South America
  - 2005 – Middle East
  - 2006 – Korea
  - 2007 – South Africa
- At the end of this consultative process, the Paris Principles will have been revised and there will be a consistent basis for cataloging worldwide. Barbara Tillett wishes share the discussions in North America too, as they were only represented at the European meeting via AACR2.
  - Concerning revisions of the ISBDs, it was noted that JSC constituent bodies will be responding individually to the reviews of ISBD(ER), ISBD(CM), etc. and have already done so in relation to ISBD(G). JSC noted that it would be helpful if with each revised ISBD a list could be provided of what is proposed to change and the intent of the changes.

### **Next JSC Meetings**

The schedule for production of AACR3 has a demanding timeline requiring two JSC meetings with the editor per year. The editor will coordinate input from the various task forces and groups supporting AACR revision and development.

Alternative meeting models were discussed, but JSC's preference is to retain the rotation of meetings between constituencies. The Committee will only meet in Australia after every second rotation among the other constituencies. The next meeting will be hosted by CILIP in the UK (London or Cambridge) in the week of October 18<sup>th</sup> 2004. The subsequent meeting pattern is: ALA (April 2005); BL (Oct 2005); LC (April 2006); CCC (Oct 2006); CILIP (April 2007); ALA (Oct 2007).

### **Committee of Principals**

The JSC and the Committee of Principals had a constructive and useful joint meeting, where the proposals for AACR3 and a general editor were discussed and subsequently endorsed. JSC was also able to see a demonstration of the "Infobase," of the official text of AACR2, including all agreed rule revisions to date. The "Infobase" will greatly assist the editor and constituencies in the editorial aspects of drafting and presenting rule revisions. JSC also saw a demonstration of the co-publishers' Website, which will shortly be publicly available and will be a Web site for those wishing to purchase/subscribe to AACR.

The Chair of CoP has a standing invitation to attend all JSC meetings, and JSC and the CoP will arrange to meet simultaneously once a year to enable clear and productive communications during the AACR3 project.

## **Personnel**

This was my last JSC meeting. I will be stepping down as JSC Chair and as ALA Representative to the JSC on June 30<sup>th</sup>, following the ALA Annual conference in Orlando, Florida. Jennifer Bowen will be the new ALA representative. Sally Strutt, the British Library Representative to the JSC, was elected JSC Chair. She will take up the Chair role on July 1, 2004.

JSC Certificates of thanks and appreciation were awarded to various individuals who have devoted significant time and energy to the development and revision of AACR2. JSC plans to continue to give these certificates to thank those many persons who make unusually significant contributions to the revision of *AACR*. In addition, JSC members once again recognised all the many volunteers in the constituent communities for the work they do to support and develop AACR.