To: ALA Committee on Cataloging: Description and Access

From: Jennifer Bowen, ALA Representative to the Joint Steering Committee

Subject: Report of the October 2004 JSC Meeting

The Joint Steering Committee for Revision of AACR met at Cambridge University October 18-21, 2004.   The JSC was joined at this meeting by Tom Delsey, Editor of the new edition of the Rules ("AACR3") and by Don Butcher, Chair of the Committee of Principals. I attended as ALA's representative. John Attig, member of CC:DA and Chair of the CC:DA Consistency Task Force, attended as an observer.

Because of the nature of the JSC's work at this meeting, which was focused primarily on preparations for a new edition of the Rules, the meeting discussions did not exactly follow the order of items listed in the Agenda prepared for this meeting (*4JSC/A/20rev*), but were organized into an overall discussion of Part 1 during the first two days of the meeting, followed by a discussion of issues related to Parts 2 and 3 of AACR, then finally a discussion of the 2005 revision packet to AACR2 and follow-up items. I have used a similar general arrangement for this report, rather than following the order of topics on the agenda.

General Issues Regarding AACR3

All documents related to the preparation of AACR3 that will be made available to constituencies will be numbered as "5JSC" documents. There will be no new 4JSC series, although there may be a few more 4JSC documents (responses to earlier documents) in the current series.

Public Communication Regarding AACR3
The JSC decided to form a small international working group devoted to outreach and publicity regarding AACR3. The goal for this group is to be to provide a larger pool of people (in addition to the members of the JSC) who can spread the word about AACR3, both within the library community and to other metadata communities as well. This group will include 3–4 members from the various constituent countries and from diverse geographic areas, and will likely include people who have already had a role in the preparation of AACR3.

A Powerpoint presentation created by Barbara Tillett which describes the development of AACR3 is currently available on the JSC public website. As work on AACR3 moves forward, this presentation is being updated so that JSC members and the JSC Outreach group will be able to use it when giving presentations to various groups.

The usual document listing outcomes of the JSC Cambridge meeting has been posted on the JSC's public website. This provides information about developments toward AACR3 before the actual Minutes are available. The JSC secretary will also prepare additional updates about the new edition as the process continues, in an effort to provide as much information to the public as possible.

Distribution of Documents
The JSC discussed at length the possibility of making drafts of AACR3 available as public documents. This would present a significant dilemma: on the one hand it is desirable to inform as many interested parties as possible about progress on the new edition and to solicit very broad input from likely users of the new edition. On the other hand, the co-publishers need to protect access to copyrighted material, and there is always a danger that draft documents will be taken out of context and misconstrued. The JSC decided to make the draft of Part 1 available only via the internal JSC document distribution site so that the constituencies will have access to them as with any other JSC document. As with other JSC documents, it is understood that constituency members will only distribute copies of the document to those colleagues who are actively participating in the review process.

While the draft of Part 1 will not be available publicly, the JSC is continuing to discuss the possibility of public distribution of future drafts. The JSC recognizes that if the actual drafts are not made available that it is desirable to provide targeted information about the specific nature of certain parts of the rules to certain groups, especially to other rule-making bodies in other countries and to those groups who have translated AACR into other languages.

AACR3 Infobase
ALA Publishing has made available to the JSC and to the Editor an infobase that currently contains the entire text of AACR2. Portions of the text can be saved as Word files, thus providing access to the myriad of Word formatting styles used by the publisher. Using the infobase should help the editorial team produce documents that are as close to camera-ready as possible. However, it is still not certain that the infobase will eliminate the need for the publishers to re-key documents once the JSC has signed off on them. The JSC feels strongly that documents should not be re-keyed to avoid introducing new errors during the re-keying process (as has happened frequently) and to reduce production costs and time as much as possible. Don Butcher, the Chair of the CoP, agreed that this is essential and assured us that he will work with the publishers to make this happen.

Part 1 of AACR3

For discussions of Part 1 of AACR3 in Cambridge, the JSC used a preliminary draft prepared by the Editor in September. The Editor distributed a second preliminary draft of Part 1 to the JSC in early November so that JSC members could see and comment on the

changes requested during the October JSC meeting. A revised draft will be made available shortly for constituent review.

Constituency Review of Part 1
The draft of Part 1 will become available for review on December 15th, 2004. According to the JSC Program of Work, comments on the Draft will be due back to the JSC representatives by February 14th, and the representatives will then submit the constituency responses by March 28th (although CC:DA will probably set additional internal deadlines for comments to facilitate our process of preparing the final ALA response by March 28th).   The draft will be distributed to constituencies with a couple of cover documents, including a list of issues that will serve as a discussion guide, and a template for comments. The cover documents are intended to help to ensure that the constituents provide feedback to the JSC on those particular areas that its members feel are of primary importance (for example, are the rules in the draft easy to use?). These areas for comments will reflect the goals that are currently articulated in the JSC Strategic Plan, and are of particular importance since they will allow JSC and the constituents to evaluate whether we are achieving the goals that we set out to achieve with the new edition of the rules. It is hoped that using a template will assist the JSC representatives and the JSC Secretary in compiling the comments into a coherent document or documents for discussion at the JSC's April meeting.

A listing of the objectives and principles governing the design of Part 1 will also be distributed with the draft. The constituent bodies will be encouraged to evaluate the draft of Part 1 with these in mind, so that we can ensure that the rules adhere to them.

In this report, I will highlight some of the major issues related to the draft of Part 1 that will also be described in the cover documents to the draft, so that you can start to think about them before actually seeing the draft.

It will be very important to assess whether the rules in the new Part 1 are easy to use. To begin to assess this, the national libraries will be asking staff to try them out for cataloging various types of materials. I encourage CC:DA members and liaisons to also do this if at all possible within the limited timeframe for review of the draft. Because of the new arrangement of rules, we need to evaluate how the rules really work, especially when they are used to catalog materials that require the use of the supplementary chapters on types of content and types of media.

Introduction to Part 1
The Introduction to Part 1 contains a description of many concepts that are essential for understanding how to apply the rules. For example, the Introduction describes the Focus of the Description, which will guide the cataloger in understanding the process of choosing what is being cataloged, i.e.

   a.   a single-part resource (or a single part of a resource comprising two or more parts)
   b.   a resource comprising two or more parts issued simultaneously

  c. a resource issued in successive parts
  d. an integrating resource
  e. a separately title component …
  f. an assembled collection of resources

This introduction also explains how a cataloger should use the other rules within Part 1: to start with the general chapter, which may refer the cataloger to supplementary rules in one of the following chapters related to type of content or to type of media.   It will be essential for catalogers to read and understand this introduction to make sense of how to use the rules that follow. I hope that CC:DA members will pay particular attention to the introduction when reviewing the draft Part 1, as it is one of the keys for making Part 1 usable. I would especially encourage suggestions for making the introduction easier to understand and follow (changes in layout, sentence structure, etc.) as it seems to me that there may be room for improvement here, especially when we think about making the rules usable outside of the library community.

Arrangement of Part 1
The current arrangement of chapters in the draft is as follows, below.

<div align="center">

Part 1

</div>

  Introduction

  Section A: General Rules
    A1 General Rules for Description
    A2 Resources Issued in Successive Parts
    A3 Integrating Resources

  Section B: Supplementary Rules Applicable to Specific Types of Content
    B1 Text
    B2 Music
    B3 Cartographic Resources
    B4 Graphics
    B5 Three-Dimensional Resources
    B6 Sound
    B7 Moving Images

  Section C: Supplementary Rules Applicable to Specific Types of Media
    C1 Print and Graphic Media
    C2 Micrographic Media
    C3 Tactile Media
    C4 Three-Dimensional Media
    C5 Audio Media
    C6 Projected Graphic, Film, and Video Media
    C7 Digital Media

The cover documents will explain some additional details about the rationale behind the arrangement of the rules, placement of references between rules, etc. However, here are a few things to notice early on about this arrangement:

1. There is no chapter for "serials" – issuance is now considered a general characteristic of a resource, and chapters related to resources issued over time now appear in Section A. And, the rules are now divided between those for resources issued in successive parts vs. integrating resources, instead of continuing vs. finite resources (see below under Changes, #4)

2. There are no separate chapters containing rules for analytics, multilevel description, unpublished materials, collections, and rare materials (more on rare materials below). Rules for these resources have been generalized and incorporated into Chapter A1 as much as possible.

Sources of Information/Multipart monographs
The rules for sources of information (A1.0A1) have been rewritten so that they refer directly back to the focus of the description as described in the Introduction to Part 1. This is an attempt to resolve the issues related to the cataloging of multipart monographs among the various constituencies. CC:DA members should examine these rules in combination with the explanation of Focus of the Description in the Introduction, to see if they achieve the desired result from ALA's point of view.

Changes to Current Practice
The draft contains several rule changes that will affect cataloging practices, including the following:

1. The abbreviations [S.l.] and [s.n] will no longer be used in lieu of a place of publication or the name of a publisher for any resources. Instead, these elements will be omitted from the record when no information can be recorded.

2. Some changes have been made to rules for transcription that will result in the cataloger transcribing more literally what is on the resource, rather than supplying additional data or abbreviating what is on the resource.

3. Some rules that previously applied only to serials will now be applicable to all resources or to more materials. In particular, the use of the numbering area has been expanded to be applicable for all resources issued in more than one part.

4. For resources that are issued over time, catalogers will no longer need to consider whether or not the resource is intended to continue indefinitely in deciding which rules to use in Part 1: if the resource is issued in successive parts, the cataloger will use Chapter A2 along with A1; if it is an integrating resource, the cataloger will use Chapter A3 along with A1. Several rules in Chapter A2 are designated as applying only to serials, others only to multipart monographs, but all of the rules for resources issued in successive parts are now all in the same chapter.

5. GMDs: the draft includes new lists of GMD terms that allow for the inclusion of terms to indicate either the type of content, or the type of carrier, or both, in the GMD. [Note: JSC members agreed that Area 1 is not a satisfactory place for the GMD, and some consideration was given to asking the ISBD Review Group to define a new area for the GMD. This will be discussed again in conjunction with expression-level citations in Part 3 of AACR3.]

6. Statement of Extent (now just called "Extent" in the draft):
   a. The option to use terms in common usage has been generalized for all resources.
   b. The new rules call for recording physical units and/or components, with the option to omit physical units. To simplify the use of the new rules, the draft of Chapter A1 includes tables of terms to be used for physical unit and components.
   c. "Closed captioning" will remain in Area 5 so that it is consistent with other information needed by users with other disabilities (e.g. braille … see A1.5C2).
   d. A new general rule will include the option to record the dimensions in inches if it is standard for the carrier or if there is no standard.

Terminology in the Draft
The following terms are used in the draft:

1. "Resource" (instead of "bibliographic resource") is now used to describe the material being cataloged.

2. The term "digital" is used instead of "electronic".

3. "Audio" is now used for the medium, while "sound" is used for the type of content (both in the GMD and in the chapter titles).

4. "Ancillary material" is used instead of "accompanying material".

5. "Technical description" is now used for "physical description"

6. "Still images" is used instead of "fixed images".

7. The term "Continuing Resource" is not used in Part 1 because the rules will no longer require catalogers to determine whether or not a resource is intended to continue indefinitely. Instead the emphasis will be on whether or not the resource is issued over time. [Note: related issues regarding continuing resources still need to be addressed for Part 2]

Future Actions for CC:DA related to Part 1

Early Printed Monographs: The JSC was very appreciative of the extensive work done by the joint CC:DA/RBMS Task Force, as was indicated by all of the constituent responses to the Task Force's report. The JSC agreed with the Task Force's recommendations that rules for rare materials (with appropriate examples) should be

included in the general arrangement of the rules rather than in a separate section, and that the rules should be generalized to apply to all rare materials regardless of format. These changes will be reflected in the draft of Part 1 for review. In some cases, the general rules will contain options that can be used when cataloging early printed monographs (see A1.4G1 in the draft for an example of such an option).

The preliminary draft of Part 1 that the JSC discussed in Cambridge had the rules for rare materials in a separate section of "special rules", which served to highlight that several of the current rules contradicted the general rules in Part 1 rather than providing an additional option. Because the presence of contradictory rules would conflict with the JSC's goal to generalize the rules as much as possible, a few existing rules (such as AACR2 2.14E, 2.14F, 2.15B) are not included in the draft of Part 1. If a cataloger feels the need to use additional special rules such as these for rare materials, they will be referred to other appropriate manuals (DCRM, etc.) That reference will be included in the General Introduction to AACR3.

While the JSC was very supportive of ensuring that AACR3 is harmonized with other cataloging manuals (such as DCRM(B)) as much as possible, there was considerable concern about the timing of such a review. In order to fit into the extremely tight production schedule for AACR3, this harmonization effort needs to take place as much as possible during the constituency review of Part 1. It is hoped that the current CC:DA/RBMS Task Force can address this issue in its review of the Draft of Part 1.

Digital Media and Digital Characteristics: As I mentioned in my email message to the CC:DA list last week, the JSC would like ALA to address three specific aspects of digital resources and propose revisions to the Draft of Part 1 if needed, for discussion at the October 2005 JSC meeting. The three specific areas relate to the following rules in the Draft:

> Notes related to digital media (C7.7)
> Other Technical Details – Other Digital Characteristics (A1.5C13)
> Digital Graphic Representation (B3.3E1)

The new CC:DA Task Force that is now being discussed would be charged to look at these rules and report back to CC:DA by 2005 Annual.

Issues Relating to Parts 2 and 3

As described in the list of Outcomes of the October meeting now posted on the JSC website, Tom Delsey provided the JSC with two documents related to Part 2: a document articulating the functions of the catalogue, and a strawman proposal for the organization of Part 2.

The first document is similar to the International Meeting of Experts on an International Cataloguing Code document on principles, so the JSC will be comparing this document to the IME/ICC document. The functions document can be used as a tool for testing each rule in Part 2 (i.e., does this particular rule help to fulfill the functions of the catalog?). JSC members will be informally reviewing the document so that it can be used in discussions of Part 2 at the JSC's April meeting.

The Editor's strawman proposal for the organization of Part 2 attempts to simplify the rules in this section. The proposed organization of the rules will differentiate clearly between the process of determining primary and secondary access points for manifestations vs. determining primary and secondary access points for works and expressions. Part 2 will address the choice of access points for manifestations that contain one work as well as for those that contain compilations, composite works, or two or more works without a collective title.

The Editor will be drafting Part 2 for discussion at the April 2005 JSC meeting, with the draft of Part 2 available for constituency review beginning in May. The draft of Part 2 will replace terms that are holdovers from the card catalog era ("entry", including main entry, added entry, etc. and "heading") with terms such as "access point" and "citation", the latter being used to refer to an access points for a work, an expression, or a manifestation. The draft will include the "rule of three", but as an option.

2005 Revision Package

The JSC decided that the following rule revisions will be included in the 2005 revision package:

1. Proposals regarding capitalization of single letters used to represent words, and multiple letters prefixed in compound terms: the JSC approved the wording in the latest LC follow-up to *4JSC/BL/7* (June 2004) with some editorial changes. The changes will affect rules A.2A1, A.4A1, and A.30A in AACR2.

2. Cartographic materials: the JSC approved ALA's proposal (*4JSC/ALA/59*) with the editorial changes proposed in the CCC response to this document. Rules 1.1C1, 3.0D and 3.3B7 in AACR2 are affected.

Three other rule revisions approved prior to the October 2005 JSC meeting will also be include in the 2005 package:

1. Coloured ill. (*4JSC/ALA/51*)
2. Rule A.40. German (*4JSC/ALA/56*)
3. Turkish word "bir" (*4JSC/ALA/57*)

Designations of Function (*4JSC/ALA/58/rev*)
The JSC discussed ALA's proposal for revising Rule 21.0D in AACR2 to extend and generalize the use of designations of function. While there was at first support for including this change in the 2005 rule revision packet, the JSC expressed concern over some issues in the ALA document, especially regarding the use of abbreviations. There was concern that, given that ALA had some internal disagreement about the use of abbreviations, any decision made now regarding this issue might be overturned later once the use of abbreviations within the rules is studied more thoroughly. In light of this, the JSC decided to turn the issue over to the Editor for consideration when preparing the draft of Part 2 of AACR3. ALA has been asked to withdraw the original proposal. In the meantime, the broader issue of abbreviations will be discussed by the JSC and by the constituencies (see below).

Ongoing JSC Activities

JSC Examples Working Group
To assist Tom Delsey in determining what examples are needed in AACR3, the JSC will form another working group to examine and make recommendations regarding the examples in the drafts of AACR3. The group will begin work examining the draft of Part 1 and will report back to the JSC prior to the JSC's October 2005 meeting. The group will review all of the examples in the drafts and suggest new ones where needed. Rather than attempting to have representatives on this group with knowledge of every type of content and carrier, the group will be kept small so that it can work directly with Tom and solicit input from various communities of cataloging experts when necessary.

Abbreviations
CILIP will be working on the issue of abbreviations over the next few months and will prepare a document for discussion by the JSC at the April 2005 JSC meeting. This document is scheduled to be available for constituent comment in mid-February, and constituent comments will be due to the JSC by the end of March. The discussion paper will address the principles for using abbreviations in the rules, and will look at those abbreviations that are carried over from a card catalog environment where saving space was a major issue vs. those abbreviations that are in common usage in the broader world. The effect of abbreviations on indexing will also be considered. I encourage those CC:DA members who had a concern about the use of abbreviations regarding designations of function to comment on this document when it is available.

Handling Rule Revision Proposals during Preparation of AACR3
The JSC will continue to accept rule revision proposals from the constituent bodies while AACR3 is in preparation. To facilitate the review of such proposals during this interim period, the JSC representatives will do an initial assessment of each proposal, preferably before it is written up and submitted as a formal proposal. This will allow such proposals to be handled in the most efficient way as the publication process moves forward. The

JSC is asking the constituent bodies to write such proposals as revisions to AACR2 rather than as revisions to a particular draft of AACR3, since those drafts will be moving targets.

Next JSC meeting: Chicago, April 24-28, 2005
The JSC decided to schedule meetings for a full five days in April (Sunday through Thursday) in order to have sufficient time to discuss comments received on the draft of Part 1 as well as to look at the preliminary draft of Part 2. ALA will host the meeting, which will coincide with meetings of the Committee of Principals and of the AACR Fund Trustees. Observers are welcome at the JSC meeting.

It would be helpful to me, as I work with ALA staff to plan this meeting, to know as soon as possible who might be planning to attend this meeting so that we can ensure that there is enough space in the meeting room for observers, and so that ALA can assist those attending from out of town regarding hotel accommodations, etc., if necessary.