

To: ALA/ALCTS/CCS Committee on Cataloging: Description and Access

From: Task Force on Consistency across Part I of AACR2

Subject: Area 7, Notes: Preliminary Analysis

## Background

There are some unique aspects to the rules for Area 7 that have a bearing on this analysis.

1. Unlike other areas, the 1.7 rules in chapter 1 rarely contain rules. Typically, the “rule” in chapter 1 consists of a caption and a few examples. The actual text of the rule appears in chapters 2–12, with differing degrees of consistency. There are almost always examples in these chapters, often more of them than in chapter 1. This is clearly one of the issues on which the Task Force needs to make a decision. However, this analysis does not make any recommendations on this; rather, it tries to categorize the various note rules in ways that might make it easier to make this decision in particular cases.
2. Many of the area 7 rules are based on, dependent upon, somehow related to the rules for other areas. Thus there are typically one or more note categories that correspond roughly to each area of the description (1, 2, 3 if applicable, 4, 5, and 6). The relation between the rules for these areas and those in area 7 are not all the same. In many cases, the note is explicitly for information that the cataloger has chosen – or has been instructed – not to record in these areas. In other cases, the relationship is less specific. This analysis tries to indicate what seems to be the relationship for each category, but does not really analyze the area 7 rules against the rules in other areas. Such an analysis will probably need to be done before we are finished with this task.
3. Some of the note rules cover more than one category. Bob Ewald pointed out that notes on edition and bibliographic history are distinct categories and should probably have separate rules. The same argument might be made for parallel titles and other title information. This analysis will attempt to list and discuss each category separately – which does not necessarily mean that they should have separately-numbered rules.
4. The basis for each category of note – and for the differences between rules in different chapters – is difficult to characterize in terms of either the present organization of chapters in part 1, or the outline proposed by Tom Delsey in his discussion paper. Some notes seem to relate to the work and should thus be independent of either the mode of expression or the form of the manifestation – and yet that isn’t always true in practice. There are some rules that seem to be based on mode of expression, others (such as Area 5) on form of manifestation.

This analysis will try to characterize the basis of the differences that exist in the note rules.

5. Finally, the note rules are intended to prescribe the order as well as the content of notes. For the most part, the sequence is relatively straight-forward, following the order of ISBD areas, with some leftovers at the end. However, there are a few rules in chapters 2–12 that do not occur in chapter 1 and which therefore have to be fit into the sequence somehow (at least they do if they are to be included in any sort of general rule in chapter 1). In addition, there are two ways of dealing with exceptions to the stated order of notes. One is the general rule (X.7B) that allows a particular note to be given first “when it has been decided that note is of primary importance.” The other is the actual inclusion of the preferred note in an early X.7B rule (for example, system requirements in chapter 9 and maybe frequency in chapter 12). This analysis attempts to recommend, for purposes of discussion, a single sequence of categories of notes, in the order in which they are to be given, with discussion of the reasons behind this recommendation. Note that the categories are numbered sequentially, rather than trying to relate the numbering to the current rule numbers.

## Outline of the Area 7 rules

### Preliminary rules

1. **Sources of information.** The prescribed source of information for area 7 in all chapters is “Any source.”
2. **Punctuation.** Each chapter contains punctuation rules; there are only two of them and they are identical in each chapter.
3. **Other preliminary rules.** There are a number of general rules in chapter 1 – on sources of information (1.7A2); form of notes (1.7A3); citations in notes (1.7A4); and a general statement about the structure of the rules (1.7A5). Aside from the usual spin given in the rule for rare books (2.18A), there are two distinctive rules in 12.7A2. One says to give applicable numbering or dates when the note does not apply to all parts/issues/iterations. The other concerns citing other resources in notes; this rule contradicts 1.7A4 by preferring name-title rather than title proper + statement of responsibility. *Issue for discussion.*
4. **General rule.** X.7B in all chapters contains a general instruction to make notes in the order of the following rules, with the provision for giving a particular note first if it is of particular importance. Presumably this latter clause is intended to be applied in individual records on a case-by-case basis.

There are distinctive rules about reproductions in chapter 11 and 12. Chapter 12 also includes a variation on 1.7A5 on why information should be included in a note.

**Categories of notes** [in the order to be followed]

- 1. Nature, scope or (artistic) form.** Not all chapters include “artistic” but this seems to be a way of saying that this note applies to the mode of expression and **not** to the form of the manifestation (which would be in a note on the physical description).

There is no rule in chapter 1. The rules in the other chapters are fairly general, although there are some interesting applications of the rule in some chapters.

For example, the two chapters that deal with musical works emphasize “Form of composition and medium of performance.” This is really information about the work (medium of performance is about the work, not about any particular expression; the work was *written* for flute, even if arranged or performed on a recorder; the same is true of the form of composition: it was written as a concerto, no matter what the expression). The basis here seems to be a type of work; this does not correspond to any single chapter in AACR, although it would seem to be relevant only in the two chapters that deal with the modes in which a musical work can be expressed (musical notation in chapter 5 and recorded sound in chapter 6).

Chapter 4, as usual, has a distinctive rule that calls for identification of the type of manuscript (holograph, manuscript, typescript, photocopy, etc.); this seems to relate to mode of expression – although a very detailed specification of the expression.

Chapter 9 includes System requirements and Mode of access in 9.7B1, presumably in order to force the cataloger to give that note first, rather than relying on the general instruction regarding order of notes. On the grounds that this is probably unnecessary or misguided, this analysis creates a separate category below (near the notes relating to Area 5, as this seems to relate to details about the manifestation and therefore will need the same taxonomy of types of material as the rest of area 5).

Chapter 12 does not include a rule on nature, scope or form.

**Summary:** While there might be a general rule in chapter 1, there definitely would need to be distinct rules in many chapters; some of the types of material on which rules are based do not easily fit the current chapters.

- 2. Frequency.** 12.7B1 is a rule for notes identifying the frequency of a serial or integrating resource. In some ways, this might be like System requirements, a way to force this to be the first note. On the other hand, frequency is a defining characteristic of a serial work; it is a serial because it has frequency (if not regularity). The *particular frequency* of a given serial is not an attribute of the work. FRBR calls it an attribute of an expression, although the CONSER FRBR Task Force is making the argument that it can be an attribute of a particular manifestation (same content issued in different frequencies), or even of particular *parts* of a manifestation (the frequency changes over time, but such a change does not usually mean that it is a different serial). Based on the first point – frequency

is a defining characteristic of a serial work – the note probably belongs at the top of the list.

**Summary:** This belongs in the chapter on types of issuance, specifically for serials and integrating resources. There seems little point to including a rule in chapter 1.

3. **Language.** One would think that this would be fairly consistent and that it would be based on a combination of work (the language in which the work was conceived?) and expression (the expression of a text in a particular language).

Unfortunately, it doesn't seem to be simple. There is no general rule in chapter one. There is a core of features in common to the rules in the other chapters. However, there are also unique features in most chapters. Several chapters talk about the language of the resource, of translations or adaptations, of accompanying material (usually for nontextual formats), of the spoken or sung text (works intended for performance).

Only chapter 9 mentions script in addition to language, although there is no other note that would cover scripts. Chapter 9 also mentions programming languages (a reference to the system requirements note).

Only chapter 10 fails to include a language note, although there are other chapter that deal with primarily nontextual formats.

**Summary:** There is probably enough in common to make a general rule in chapter 1. However, there are a lot of inconsistencies, only some of which are based on the scope of the chapters in which they appear.

4. **Source of title proper.** Again, one would think that this ought to be fairly consistent. However, it is not. The differences seem to concern mostly when this note is made, and the most common basis (and source of the inconsistencies) lies in the rules for chief source of information in each chapter. For example, while most chapters refer to the chief source of information, chapter 2 distinguishes between a title page and its substitute and chapter 11 distinguishes eye-readable information from the microform images. Chapter 9 says always to make the note. And chapter 3 says to make the note "if considered to be important." Chapter 12 distinguishes between printed resources (where one follows chapter 2) and other resources (where one follows the X.7B3 rule in the appropriate chapter).

**Summary:** This should be a general rule, but that will depend on creating consistency out of a lot of inconsistency – and making the rules for chief source of information more consistent across chapters.

5. **Variations in title.** These rules are mostly consistent. Chapter 9 contains an option to record data set names. Chapter 12 contains rules on changes in title proper. Oddly, only chapter 12 allows one to record titles by which a title is commonly known, in addition to titles borne by the item/manifestation.

**Summary:** This rule fits comfortably in chapter 1, preferably with the addition of the option from chapter 12. The special rules in chapters 9 (data set names) and 12 (change in title proper) seem to be justified exceptions.

6. **Parallel titles.** As noted in the Background statement above, it might be a good idea to split up the rules for parallel titles and for other title information, as these relate to distinct data elements within area 1. These rules in chapter 12 are already split into two rules.

The rules for parallel title are remarkably consistent, with a slight difference of wording in chapter 12. Chapter 12 has a rule on changes in parallel titles.

**Summary:** This rule should fit in chapter 1, with a justified exception for the change rule in chapter 12.

7. **Other title information.** The rules for other title information are even more consistent. Other than the obligatory change rule in chapter 12, there don't seem to be any differences.

**Summary:** This rule should fit in chapter 1, with a justified exception for the change rule in chapter 12.

8. **Statements of responsibility.** There is no rule in chapter 1, but the rules in the other chapters are fairly consistent. The differences do raise some interesting issues.

The rule in chapter 4 says to make notes on persons or bodies "connected with the work or manuscript" rather than "connected with the work or ... previous editions." The failure to mention editions is probably part of the general disinterest in edition information in chapter 4. The "work or manuscript" raises a more interesting issue. One of the things that this seems to be saying is that chapter 4 does not distinguish between the work/manifestation and the item, because manuscripts are unique and **all** notes are copy-specific. Even though the distinction is meaningless, a logical distinction can still be made between work and item in the notes rules, and we should probably try to keep this consistent.

Chapter 8 raises the same issue in another way; 8.7B6 includes rules for notes on "donors, source, previous owners" of original graphic items; again, this is really copy-specific and there is a separate category below for such provenance information about individual copies.

Chapters 6 and 7 give special rules for notes on performers; this is appropriate since these chapters cover two major categories of expressions of performances.

Chapter 12 contains the usual rule on change, as well as a special rule on editors and a different wording that distinguishes between statement not appearing in area 1 and variants of statements appearing in area 1. This one needs more thought.

**Summary:** A basic rule should be included in chapter 1. The special rules tend to be based on modes of expression and therefore mostly fit into the current classes of materials chapters. The rules that deal with responsibility for an individual item should probably be moved to a different note rule. The change rule in chapter 12 is a justified exception, but the wording differences in other chapter 12 rules should probably be reconciled.

- 9. Edition.** There are actually three categories in the X.7B7 rules: notes on edition information, notes on bibliographic history, and notes on relationships with other resources (12.7B8).

The rules on edition are fairly consistent, although there are some differences: chapter 6 has a rule on “the edition off the work performed”; chapter 9 has a lot of miscellaneous rules that are difficult to categorize, although a significant one deals with minor changes that are not considered to require a new record; chapter 11 distinguishes between editions of the microform and editions of the resource microformed; chapters 9 and 12 have rules for noting the source of edition statements; and chapter 12 has the usual rule on change in edition information.

**Summary:** A basic rule should be included in chapter 1. Some of the special rules might be included in the general rule, but there are also some justified exceptions in individual chapters.

- 10. Bibliographic history.** Again, the rules on bibliographic history are fairly consistent. Several chapters include rules on history of the content – information about an event captured on sound or video; dates of coverage, data collection, etc., for data files. Chapter 12 doesn’t say anything about history, but the subject is covered in the extensive rules on relationships.

**Summary:** A basic rule could be included in chapter 1, but there are significant special rules in other chapters that might be justified. These special rules seem to fit more or less into the existing class of materials chapters.

- 11. Relationships with other resources.** This rule appears only in chapter 12, although 9.7B7 includes notes on “other works upon which the item depends for its content.”

In a sense, the subject of relationships is much broader than the 12.7B8 rules, which deal primarily with certain chronological or whole-part relationships. It is not clear that (a) we want to apply the full details of 12.7B8 to non-continuing resources, or (b) we can easily write a general rule that covers notes on bibliographic relationships in a general way.

**Summary:** The easy solution would be to leave this as an exceptional rule in chapter 12. However, this is not a particularly satisfying solution.

- 12. Mathematical data.** There are a number of rules in chapters that have defined area 3. This analysis treats each as a separate category. The open question is whether there should be **any** general rule in chapter 1; currently there is only the caption “Material (or type of publication) specific details.”

**Mathematical data.** These rules are unrelated to anything outside of chapter 3 and must remain there.

- 13. Digital graphic representation.** Same comment.

- 14. Notation.** Although area 3 in chapter 5 exists for “Musical presentation statements,” it is not clear that this rule is related to area 3. It seems almost like Frequency: musical notation is a defining characteristic of material described

- under chapter 5, and therefore notes on the notation should appear in that chapter. The question is whether where those notes should come in the sequence. They seem to relate to the expression, rather than to a particular manifestation, and therefore perhaps belong among the first notes for chapter 5. Nancy might have an opinion on this.
- 15. [Type and extent of resource].** This also belongs only in chapter 9, but not for much longer! So we don't need to discuss it.
- 16. Numbering.** Again, these rules belong in chapter 12, although numbering is also related to series statements in all chapters.
- 17. Publication, distribution, etc.** These rules are fairly consistent, but with the usual variations. Chapter 1 contains only the caption and examples. Chapter 4 lacks any rule relating to area 4.
- 7.7B9, for some reason, adds "and date" to the caption for the rule, as well as rules on date of original production and country of original release.
- Chapter 12 has no general note rule, but does have some special rules for suspended/resumed publication, beginning/ending dates, and the usual rule for change in publication information.
- Summary:* Publication seems to be the same for all published material; therefore, a general rule in chapter 1 would be appropriate. The special rules in chapter 12, based on type of issuance, should be retained, and probably the special rule for motion pictures in chapter 7.
- 18. Place of writing.** Although chapter 4 has no rules on notes for area 4, it does have two rules between the rules on edition statements and those on physical description.
- The first of these (4.7B8) deals with "Place of writing" and is not unlike the note in 7.7B9 on country of original release. If justified, this rule does seem to belong in chapter 4.
- 19. Published versions.** The second rule (4.7B9) calls for citations of publications in which the work contained in the manuscript or collection has appeared. This note does seem to belong in chapter 4, although its position in the sequence of notes is less clear. It seems closer to the notes on "Reference to published descriptions" or to "Other formats" below than to notes on area 4.
- 20. Physical description.** There is a great deal of variety in the notes on physical description, many of them reflecting the variety of information included in area 5 in different chapters (e.g., duration in chapter 5); or the different physical characteristics that are important for different types of physical carrier.
- Summary:* There seems to be little point in comparing the differences further. It seems clear that (a) these notes will inevitably be different for each type of carrier; (b) they will be closely related to the rules for area 5 for that type of carrier; and (c) like the area 5 rules, they will be based on classes of carrier rather

than on classes of content/modes of expression. This seems to justify Tom Delsey's argument that a separate section of part 1 dealing with physical/technical details should be created and that the classes of materials under which these rules are organized will have to be different from the classes appropriate for other areas of the description. Within that section, the only general rule for notes will be very general indeed: "Make notes on important physical details that are not included in the physical description area."

- 21. Accompanying material.** These rules are fairly consistent, with a few variations. Oddly, the most striking is in chapter 1, which has no rule, but includes "and supplements" in the caption; this does not appear in any of the other chapters. Chapter 4 contains a list of important examples of material that might accompany different types of manuscripts. Chapter 12 has a rule about giving the frequency of materials accompanying a serial or integrating resource.
- Summary:** A general rule seems to be appropriate here, although the special rules in chapters 4 and 12 seem to be justified. This conclusion is at odds with the recommendation about for a separate section for physical description; accompanying material (or at least the note on accompanying material) seems to fit better with other general rules applicable to all types of material.
- 22. Supplements.** This is a place-holder based on the caption of 1.7B11 and the worry that notes on supplements are otherwise absent from the rules.
- 23. System requirements.** The System requirements note currently appears only in chapter 9, although it has been suggested that it would be useful in other chapters (e.g., chapter 6, 7, 11). The rule is 9.7B1 in numbered chapter 9, but is probably to be included in Tom Delsey's physical/technical description; the specific types of information to be included will be based on the same physical classes of materials.
- 24. Series.** These rules are fairly consistent. Chapter 11 again distinguishes between series in which the microform appears and series in which an original appeared. Chapter 12 has the usual rule on change in series, as well as a rule on series numbering that differs from issue to issue (this is recorded *only*).
- Summary:** A basic rule could be included in chapter 1, but there are significant special rules in other chapters that might be justified.
- 25. Dissertations.** In this case, there is already a general rule in chapter 1, with consistently-worded references to that rule in the other chapters (except chapter 12; apparently nobody has ever written a serial or integrating dissertation; I can't wait!).
- Summary:** The general rule in chapter 1 is appropriate, as dissertations are a type of work and the rule should be applicable to all classes of materials.



- 26. Audience.** This rule appears in all chapters except chapter 4; only the caption appears in chapter 1. All of the rules limit the note to information stated in the resource, although chapters 6–9 and 11 list the item, containers and accompanying material. Chapter 12 uses different words to say the same thing as chapters 2, 3 and 5.
- Summary:* The general rule in chapter 1 is appropriate, as audience to the extent that audience is a characteristic of the work. The differences based on sources of information may need to be accommodated unless the rules for sources can be simplified.
- 27. Access and literary rights.** Instead of a rule on audience, chapter 4 has a rule on “Access and literary rights.” This is another example of the fact that each manuscript item or collection is unique. Otherwise, this would be a copy-specific note; perhaps it ought to be in this case as well; “restriction on use” is one of the categories of information included in the note on the copy being described.
- 28. Reference to published descriptions.** This rule appears in the special rules for rare books and in chapter 4. The citation of a published description as a supplement to the bibliographic description is a tradition for these materials, but might have wider application. Remember when CONSER was including notes on index coverage for serials, using the same MARC field (510)? At the moment, however, this is a special rule based on a distinct cataloging tradition, but associated to two existing chapters in AACR.
- 29. Other formats.** In this case, there is a general rule in chapter 1, with almost consistent references to that rule in other chapters. The exceptions are predictable: chapter 4 does not include this rule; chapter 11 tries to distinguish the microform from an original, and chapter 12 adds the possibility that the other format might include only part of the content.
- Summary:* The general rule in chapter 1 is appropriate, as this information should apply identically to all classes of materials. The differences in chapters 11 and 12 are perhaps justified.
- 30. Summary.** This rule is consistently stated, but does not appear in chapters 1 (caption only), 3 and 5.
- Summary:* The general rule in chapter 1 is appropriate, as this data element should be independent of the type of material to which it is applied. The omissions in chapter 3 and 5 seem to have more to do with cataloging traditions than with the nature of the material itself.
- 31. Contents.** The basic rule is consistent, but there is a great deal of variety in describing what might be included in a contents note. The differences seem to be based on types of content (work or expression) and therefore probably belong in the chapters based on type of content.

- 32. Indexes.** Indexes (and supplements?) might be thought of as special types of contents. There is a special rule in chapter 12 on indexes (12.7B17), but this might be merged with the rule on contents notes in that chapter.
- 33. Numbers.** This rule is destined to be merged with the rules for standard numbers in area 8; therefore, analysis will be postponed until that proposal has been presented.
- 34. Copy being described, library's holdings, and restrictions on use.** There is a general rule in chapter 1; most of the other chapters make a brief reference. There are special rules for rare books and for electronic resources; there is no rules in chapter 4 (as the entire description of manuscripts is copy-specific).  
The rule groups together most copy-specific information, but includes several distinct categories of information: unique features of the copy; holdings of multipart resources; use restrictions.
- 35. Donor, source, previous owner(s).** This note is included in chapters 4 (4.7B7) and 8 (8.7B6). It seems to be clearly describing attributes of an item and should therefore be grouped with the copy-specific notes.
- 36. "With" notes.** In most cases, "with" notes are copy-specific, but that doesn't seem to be what these rules are dealing with; the rules in most chapters seem to be talking about an analytic situation in which parts of the content are described in separate bibliographic records linked by "with" notes; in chapter 12, the note is even to be captioned "*Issued with:*" The reason for the position of this note seems to be to put it at the bottom of the record because it described related resources rather than the resource being described in this record – not because it is to be associated with the copy-specific notes.  
On the other hand, it might be a good idea if the rules were to distinguish the issued-with from the bound-with situation.  
As to the rules themselves, there is general consistency. Chapter 6 mentions untitled works (it is not obvious that this applies only to sound recordings). Chapter 12 has a highly distinctive wording of the general rule.  
**Summary:** The situation is independent of the type of material; therefore, a general rule in chapter 1 should be appropriate. However, there are some unresolved issues about whether the rule applies to copy-specific "with" notes.
- 37. Notes relating to the original.** This note is unique to chapter 11, although it describes a general practice applicable in describing any reproduction. Unless chapter 11 is to become the place for rules on reproductions (as chapter 4 has become the place for rules on unpublished stuff and chapter 9 for rules on electronic stuff), it might be well to find a different place for this rule.
- 38. Item described.** This is a new rule that has been added to chapter 1. It was placed last for purposes of convenience, and we might wish to consider whether it really belongs there.

The rules covers two situations: description of a serial, intergrating or multipart resource not based on the appropriate issue/part/iteration; and date viewed for remote electronic resources. These two parts are covered by comparable rules in the revised chapters 12 and 9 respectively.

*Summary:* This rule describes practice that apply to distinct categories of materials: in the one case, it is based on type of issuance and would fit into the new section suggested by Tom Delsey; in the other case, it is based on electronic format and currently fits into chapter 9 – although we are in the process of balkanizing the rules for electronic versions into the content chapters. It would be nice to have general rules for these practices; in the type-of-issuance case, this should be possible, but it will be more difficult in the other case.

**39. Ancient, medieval, and Renaissance manuscripts.** Chapter 4 has a rule all its own which is comparable to the special rules in chapter 2 for rare books, and which applies to “old” manuscripts. This rule is limited to a particular type of material and should be given with the other rules for manuscripts.

## Conclusion

The principal question we need to address is whether to attempt to put general rules for notes in chapter 1 or to put the rules and examples in the other chapters.

The results of the analysis above are mixed. There are some rules (a substantial minority) that could and perhaps should be generalized because they seem to be independent of the type of material. There (also a minority) are others that are fairly general, but with a few exceptional rules based on types of content. And there are some rules that would be very difficult to generalize; these include the physical/technical details related to area 5 and to system requirements. Differences in the sources of information rules turn out to be the basis for several substantial sets of inconsistencies. Finally, there are a number of distinctive rules that are based on type of issuance, rather than either content or carrier.