

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

From: John Attig

RE: When to Make a New Bibliographic Description: Basic Guidelines

Background

In considering the 4JSC/ALA/34 proposals, JSC agreed that the basic guidelines should appear in the rules [4JSC/M/500.3]. LC and CILIP/BL were to work on the text and placement of the guidelines in the General Introduction.

As the CC:DA Task Force continues its work towards a separate publication of the guidelines on when to make a new record, ALA would like to suggest that JSC begin considering the text of the basic guidelines and its placement within the rules. Consideration of such a proposal would not only move forward the revision of the relevant sections of AACR, but would enable the Task Force to benefit from the responses to its proposal as it moves forward.

This proposal presents two options: The first is for text to be added to the General Introduction, as proposed by LC and endorsed by JSC. The second is for text to be added to Chapter 21, probably immediately preceding the current rule 21.2, Changes in title proper. We offer this option because the Basic Guidelines are closely related to rules 21.2 and 21.3, and JSC might prefer to include them in Chapter 21.

Neither of these options is fully developed, particularly with regard to introductory, transitional text that frames the new material. The focus of our proposal is on the text of the guidelines.

Note to CC:DA on the present version of the Basic Guidelines

In preparing these texts, I have made a number of revisions to the text presented by the Appendix Task Force at Midwinter, in part based on consultation with Cynthia Whitacre, chair of the Task Force. I call your attention specifically to the following:

1. I have added a new first paragraph which states the basic rule in its simplest form up front. As indicated above, this introductory rule is not sufficient for either option, as it omits the **most** basic rule: you create new record when you have a manifestation which has never before been described. But the word *manifestation* in the previous sentence isn't quite right, so I didn't stick my neck out **that** far.
2. The discussion at Midwinter indicated that more precise language was needed to define exactly the distinction between differences and changes. Basically, I think, differences apply between manifestations of all kinds, but changes and within a manifestation of a continuing or multipart resource. Both the inclusion of multiparts here and the use of the term "multipart resource" is arguable and probably deserves some discussion by CC:DA.
3. The first numbered item refers to differences or changes in the *content*; if this means the intellectual or artistic content of the work or expression, then I think that is too specific. I

have tentatively suggested language about differences or changes to attributes of the manifestation.

4. Although the FRBR terminology discussion is still raging, I do think that the term manifestation is the appropriate one to use in most cases in these guidelines, so I have retained it. At a few points, I used "(bibliographic) resource."
5. In the second numbered paragraph, I took out the reference to the specific guidelines, since those won't be part of AACR. I think we could at least suggest a reference to our publication, but beyond that, I'm not sure what (if anything) can be said.
6. The point about choice of entry didn't make sense to me, but I have included a rewritten section based on Cynthia's explanation. I included both choice and form of entry, and the basic point is that these need to be real changes and not just the result of revisions to the rules.
7. Finally, I have used language similar to that used other places in the rules to say that rules for "specialized or archival cataloging" may consider variations between printings, etc., to be major changes justifying a new record.

As noted above, I have provided two options for placing the guidelines, because the text has to be worded differently in the two cases. JSC has actually endorsed Option 1. Does CC:DA wish to forward both options? Do we wish to express a preference?

Finally, let me quote from Cynthia's comments:

I am not assuming that the Appendix TF has to use exactly the word for word text that will be eventually added to the rules, as long as the intent and spirit are the same. When (if) the text is added to AACR2, we can certainly modify the guidelines text and refer to the AACR2 text in a future revision of the Appendix document. The Appendix TF has always assumed we (or someone) will have to issue periodic revisions to stay in sync with the rules.

Option 1. General Introduction

This option proposes to add the Basic Guidelines to the General Introduction. There they would be part of an extended section on decisions that are made before the cataloger begins to apply the rules. In that section, they would be framed by some text that acknowledges the fact of shared cataloging and states that a new bibliographic description is made when no description for the resource in hand exists in a particular catalog. The Basic Guidelines then serve to indicate when differences or changes require that a new description be made. The exact number of the proposed new rule is not given, because this part of the General Introduction is still subject to considerable revision.

BASIC GUIDELINES FOR MAKING A NEW BIBLIOGRAPHIC DESCRIPTION

0.? A new bibliographic description is made when there is a major difference between manifestations of a work, or when there is a MAJOR change with a manifestation of a continuing

or multipart resource. The existing bibliographic description is modified when important MINOR differences or changes occur.

Differences between manifestations of a work or change(s) within a manifestation of a continuing or multipart resource are to be considered in terms of the content, the description, and other aspects of the manifestation(s) (e.g., language, potential access points) in making a decision whether a difference or change is MAJOR or MINOR.

1. Differences in attributes between two or more manifestations or changes to attributes of an existing manifestation require a re-evaluation of all areas of the description.
2. Not all differences or changes are of equal importance. To determine whether a new description is necessary, a cataloger needs to look at all aspects of the manifestation(s).
 - a. A MAJOR difference between manifestations or a MAJOR change to an existing manifestation in any area of the description takes precedence over any MINOR difference(s) or change(s) in other area(s), and therefore requires a new description.
 - b. A MINOR change, if considered important, may require adjustments to the existing bibliographic description and/or additional access point(s). Adjustments for MINOR changes, depending on the type of issuance, may take the form of adding or changing notes in the description, or of modifying elements in the body of the description. See the rules in the appropriate chapter for guidance on how to record changes within the description. See chapter 21 for rules on access points.
3. In comparing a bibliographic resource to an existing bibliographic description, a cataloger must try to ascertain that the comparison is based on the same issue/part/iteration and the same prescribed source as was used in constructing the existing description.
4. A cataloger should consider any differences or changes in the choice or form of the main entry separately from any differences or changes in the elements of the description. Differences or changes in the choice or form of the main entry are significant only when they derive from the underlying facts, but *not* when they are based solely on revisions to the rules governing the choice and form of entry.
5. Any variations between printings or production runs that represent production errors will be considered minor, and will not result in creation of a new description. In applying the rules to specialized or archival cataloging, separate descriptions for printings or production runs may be created, if the variations are considered to be important.

Option 2. Chapter 21

This option proposes to add the Basic Guidelines to Chapter 21. There they would probably fall immediately before rule 21.2, Changes in Title Proper. As with Option 1, there would need to be framing text that provides the context for the decision on when to make a new description; rules 21.2 and 21.3 might also need to be revised to talk more explicitly about making new records, rather than about the choice of main entry.

21.?. BASIC GUIDELINES FOR MAKING A NEW BIBLIOGRAPHIC DESCRIPTION

21.?A. Make a new bibliographic description when there is a major difference between manifestations of a work, or when there is a MAJOR change with a manifestation of a continuing or multipart resource. Modify the existing bibliographic description when important MINOR differences or changes occur.

Consider differences between manifestations of a work or change(s) within a manifestation of a continuing or multipart resource in terms of the content, the description, and other aspects of the manifestation(s) (e.g., language, potential access points) in making a decision whether a difference or change is MAJOR or MINOR.

- a) Re-evaluate all areas of the description when differences or changes have been identified.
- b) Do not consider all differences or changes to be of equal importance. To determine whether a new description is necessary, examine at all aspects of the manifestation(s).
 - i) A MAJOR difference between manifestations or a MAJOR change to an existing manifestation in any area of the description takes precedence over any MINOR difference(s) or change(s) in other area(s), and therefore requires a new description.
 - ii) A MINOR change, if considered important, may require adjustments to the existing bibliographic description and/or additional access point(s). Adjustments for MINOR changes, depending on the type of issuance, may take the form of adding or changing notes in the description, or of modifying elements in the body of the description. See the rules in the appropriate chapter for guidance on how to record changes within the description. See chapter 21 for rules on access points.
- c) In comparing a bibliographic resource to an existing bibliographic description, use the same issue/part/iteration and the same prescribed source as was used in constructing the existing description, whenever this is possible.
- d) Consider differences or changes in the choice or form of the main entry separately from differences or changes in the elements of the description. Consider differences or changes in the choice or form of the main entry to be significant only when they derive from the underlying facts, but *not* when they are based solely on revisions to the rules governing the choice and form of entry.
- e) Do not make a new description based on variations between printings or production runs that represent production errors. In applying the rules to specialized or archival cataloging, separate descriptions for printings or production runs may be created, if the variations are considered to be important.