To: Mary Larsgaard, chair  
    Committee on Cataloging: Description and Access

From: John Attig, chair  
    CC:DA Task Force on Consistency across Part 1 of AACR

Re: Comments on Draft of AACR3, Part 1

The Task Force on Consistency across Part 1 of AACR2 has reviewed the draft of Part 1 of AACR3 in the light of its previous work. In general, we feel that our work is vindicated by the draft. The generalization of rules in chapter A1 and the inclusion of only the specific rules in the other chapters seems to have been generally successful. In most cases, we find both general and specific rules to be appropriate.

Our comments are based in the first instance on a review of the discussion issues and deferred issues in our previous documents on areas 2, 3, 4, 5, 6, and 7. In addition, catalogers familiar with particular formats have contributed their reflections on the draft. We offer the following comments and recommendations for consideration by CC:DA and the JSC.

General Comments

1. Supplementary rules: It is not always clear that the term “supplementary” is appropriate. Two examples: (a) A1.5C10 says to indicate colour of content or illustrative matter, but the “supplementary” rule for print and graphic media gives exceptional cases in which colour of content is not indicated. (b) The instructions for recording dimensions of multipart maps (C1.5D3) contradict the general instructions in A1.5D3. If such contradictions are to be allowed — and we feel that the existing practices should continue to be supported — then the term “supplementary” is inaccurate. One Task Force member suggested “complementary” but that doesn’t necessarily encompass contradictory practices. We suggest that reverting to the term “specific” to characterize chapters and rules in sections B and C.

2. Use of multiple supplementary chapters: In Boston, CC:DA decided to recommend that the scope of chapter C7 include all digital media. This makes it imperative that catalogers use more than one chapter in Section C when formulating a technical description of many digital resources. In order to start the CC:DA discussion on how to do this, we offer the following points:

First, the Introduction to Part 1 of AACR3 needs to include language instructing the cataloger to use rules from more than one supplementary chapter when applicable. It should also include the instructions from AACR2 rule 0.24 about following the more specific (i.e., the supplementary rules rather than the general rules) when applicable.
We suggest that a digital resource be included as an example in describing the situation in which more than one chapter applies.

One of the faults with AACR2 is that there were few details about how to combine rules from different chapters for the same element in the description. This is definitely the case with the statement of extent for digital versions. There seem to be two alternatives in this case; in both cases, the basic instruction would be something like “For digital resources that also fall within the scope of one of the other chapters in Section C, record the statement of extent as instructed in that other chapter, e.g., describe a digital sound disc as ‘1 sound disc’, etc.”

a. Add the term “digital” before the name of the physical unit, e.g., 1 digital sound disc, or
b. Record “digital” in Other technical details, e.g., 1 sound disc : digital

The latter alternative uses the technique currently used for audio media (see C5.5C11.1, Type of recording).

Comment: This works well when the non-digital aspect is a medium such as audio or video. It does not work well when the non-digital aspect is a type of content such as text or cartographic or music. The terms from rule C1.5B really can’t be used for digital texts, maps, scores, although perhaps the component terms from C1.5B2 combined with media terms from C1.7B1 might work. Clearly further discussion is needed.

3. **Captions and rule numbering:** We suggest that any paragraph with a bold caption be given its own (usually decimal) rule number to facilitate referencing and indexing. An example of this is given in our comments on A1.7A3–A1.7A4 below (Area 7, #2). We also suggest that it might be helpful if every explicit option were given its own rule number.

4. **References:** The distinction between see and see also references to supplementary rules needs to be more consistent. In some cases, it is sufficient to apply the supplementary rule and thus a see reference is appropriate. In most cases, however, it is necessary to apply both the general and the supplementary rule and in these cases, a see also reference is needed. We have given a few specific examples of this below (e.g., A1.2B1, 3 [Area 2, #2]), but a thorough review should be done.

5. **AACR3 rule A1.0A5. Prescribed sources:** The restriction of the prescribed sources for areas 1 and 2 to the chief source of information and for area 4 to the chief source and other preliminaries has the (we believe) unintended consequence of requiring much more frequent use of brackets in these areas. We urge that the list of sources for these areas be broadened. At the least, other sources within the resource need to be included; this will be difficult to do in a way that applies to all types of material without reinstating the supplementary rules. An alternative is to accept some form of Bob Ewald’s original proposal, which suggested that the prescribed source for areas
1, 2, 4 and 6 be the resource itself, the container issued by the publisher, etc., and accompanying information issued by the publisher, etc. This would mean that only information supplied by the cataloger would be bracketed. A less radical alternative would be to make the resource itself the source for area 2, 4 and 6, and the chief source the source for area 1.

One result of such a generous rule for prescribed sources is that the chief source then becomes — in principle as well as in practice — the source from which the title proper (and the rest of area 1) is transcribed. This may simplify the process of developing appropriate rules for chief source, a task that awaits CC:DA in the coming weeks.

It may turn out to be impossible to develop truly general rules for either chief source or prescribed sources. If so, then it might be a good idea to use the same technique employed by the editor in the case of the extent statement in area 5; when there are no truly general rules, give in their place a table showing the application of the rule to all formats.

6. **AACR3 rule A1.0J, etc.:** We note that the rules on treatment of reproductions summarized in A1.0J and given in detail in A1.1B3 (which should have a bold caption), A1.2A3, A1.3A3, A1.4A2, A1.5A4, A1.6A2 and A1.8A2, are less prominent than AACR2 1.11. We note that it is not clear why some generalities are included in A1.0 and others in A1.10ff. We feel that a prominent general discussion of the treatment of reproductions would be in line with making concepts and principles more explicit in AACR3 and would also support effective training of catalogers.

   Regarding the text of A1.0J, we suggest changing “a set of maps reproduced as slides” to “a set of maps reproduced on a CD-ROM”; digital reproductions are becoming the most common — and most troublesome — type of reproductions that catalogers are now facing.

7. **The generality of rules in chapters A2 and A3:** The Task Force has decided not to make a recommendation concerning whether chapters A2 and A3 should be merged into chapter A1 or otherwise generalized.

   However, Carroll Davis did analyze whether the rules in chapter A2 really applied only to successively-issued multipart monographs and not also to simultaneously-issued multipart monographs. His analysis is included as **Appendix I** to this report for the information of CC:DA.

**Comments relating to Area 2, Edition**

1. **AACR2 rule 2.15A:** This rule for early printed monographs calls for exact transcription of edition statements as found on the item. One member of the Task
Force suggested that this should perhaps be the general rule (AACR3 A1.2B1), rather than applying the appendixes on numerals and abbreviations to transcribed data. Although there was some favorable sentiment, the Task Force did not agree that such a change would be an improvement.

However, we suspect that a rule comparable to AACR2 rule 2.15A is necessary for rare materials. Since such a rule would contradict the general rule, it would have to be expressed as an option.

2. AACR2 rule 2.15B: This rule deals with edition statements that are “an integral part of the title proper.” JSC was unable to reach a consensus on the question of the proper way to describe “The compact edition of the Oxford English dictionary” and therefore the draft does not deal with this question. We feel strongly that the rules should deal with this question.

The alternatives seem to be:

- Follow AACR2 rule 2.15B, i.e., transcribe the entire statement as the title and do not include an edition statement.
- Transcribe the entire statement as the title and repeat the edition statement.
- Omit the edition statement from the title and record it in area 2.

We find that the first alternative preferable and note (once again) its consistency with ISBD. The second alternative requires that the same piece of data on the source be transcribed twice in the description, a practice that seems at odds with the principle of representation (although the rules provide a number of cases in which such “double transcription” is called for). The third alternative above seems to us to violate the principle of representation and could make identification of the resource difficult.

Once again, we urge that AACR2 rule 2.15B be made a general rule in A1.2B. If this is done, a comparable rule might be needed in area 1 to deal with the issue from the other direction (including edition statements in the title when grammatically linked).

We would also note that there are no clear guidelines about when information is “an integral part” of an element or when it is “grammatically linked.” Judging by practice, the preposition “of” seems to indicate linkage (“The novels of Charles Dickens”), but the preposition “by” does not (“Great novels / by Charles Dickens). This is not a new problem, and we are not suggesting a particular solution, but would like to call the issue to the attention of the JSC.

3. AACR3 rules A1.2B1 and A1.2B3: The references to resources issued in successive parts and integrating resources should be see also references. Catalogers cannot use the supplementary rules without applying the general rules as well.

4. AACR3 rules A1.2D and A1.2E: ALA has previously suggested language that would remove the concept of edition from these rules, although it would require
changing the name of two ISBD elements. In addition, this language clarified that the revision statement appears in addition to an edition statement and relates to the expression or manifestation indicated in that edition statement. ALA again brings this proposal to the attention of the JSC.

A1.2D. Statement relating to a named revision of an edition

A1.2D1. If the source of information has, in addition to an edition statement, a statement indicating a revision (e.g., a named reissue of a particular edition containing changes from that “edition” the expression or manifestation indicated in the edition statement), transcribe the revision statement relating to that revision following the edition statement and its statements of responsibility.

A1.2D3. Do not record statements relating to a reissue of an edition that contains no changes unless the resource is considered to be of particular importance to the cataloging agency.

A1.2E. Statements of responsibility relating to a named revision of an edition

A1.2E1. Transcribe a statement of responsibility relating to one or more named revisions of an edition (but not to all such revisions) following the revision statement relating to the revision(s). Follow the instructions in A1.0F with respect to capitalization, accentuation, abbreviations, punctuation, symbols, etc.

A1.2E2. If the resource has parallel statements relating to the revision of an edition that have been recorded (see A1.2D2) and a statement of responsibility relating to that revision in only one language or script, record the statement of responsibility following all the parallel statements relating to the revision.

Comments relating to Area 3, Material-Specific Details

1. AACR3 rule A1.3A: As presented in the draft, these rules mingle rules dealing with area 3 as a whole with rules dealing with numbering. This needs to be clarified.

Consideration of this issue involves two wider questions, which will not be dealt with in the Task Force’s report; these are issues for CC:DA to decide: (a) Should the general rules in chapters A2 and A3 remain separate or be merged into chapter A1? (b) Should the numbering area be applied to all materials or only to numbered serials? [Note: there is considerable sentiment on the Task Force in favor of limiting this to serials.]

If chapter A2 is retained and numbering is applied only to serials, then the ambiguity in A1.3A is removed. However, any other solution would require that rule A1.3
A1.3. MATERIAL (OR TYPE OF PUBLICATION) SPECIFIC DETAILS AREA

A1.3A. Preliminary rule

A1.3A1. Application. This area is used to record details that are special to a particular class of material or type of publication. The area is used in these rules only for music (musical presentation statement), cartographic materials (mathematical data and digital graphic representation), and multipart resources with numbered issues or parts (numbering). Additionally, this area is used for any class of material if any of these material specific details is applicable.

If more than one type of material specific details area is applicable, record separate areas for each in the order in which they are presented in A1.3B–A1.3E.

A1.3B. Musical presentation statement area

For music, record the musical presentation statement as instructed in B2.3.

A1.3C. Mathematical data area

For cartographic resources, record the mathematical data statement as instructed in B3.3B.

A1.3D. Digital graphic representation area

For cartographic resources, record the digital graphic representation statement as instructed in B3.3C.

A1.3E. Numbering area

A1.3E1. Preliminary rule

A1.3E1.1. Application. For multipart resources with numbered issues or parts, whether issued simultaneously or successively, this area is used for numbering information (see A1.3B to A1.3G). [1.3A (2004 amendments)]

Vol. 1, no. 1 (Jan./Mar. 1974)– [12.3C4]
A1.3E1.2. Sources of information. Take numbering information recorded in this area from any source within the resource. Enclose information supplied from any other source in square brackets. [new; based on 12.0B3]

A1.3E1.3. Facsimiles and reproductions. In describing a facsimile or reproduction that has numbering information pertaining to the original manifestation, record the information pertaining to the original in the numbering area. [new]

A1.3E1.4. Punctuation
For instructions on the use of spaces before and after prescribed punctuation, see A1.0C. [12.3A2]
Precede this area, or each occurrence of this area, by a full stop, space, dash, space.
Follow the numbering of the first issue or part of a resource by a hyphen.
Precede the numbering by a hyphen when only the numbering of the last issue or part of a resource is recorded.
Enclose a date following a numeric and/or alphabetic designation in parentheses.
Precede an alternative numbering system by an equals sign when more than one system of designation is used.
Precede a new sequence of numbering by a semicolon.

A1.3E2. Numeric and/or alphabetic designation
[etc.]

In addition to clarifying the distinction between general rules and rules relating to numbering, this organization has some additional advantages. (1) There is now a rule called “Numbering area”; in the current draft, there is no such rule, although there are a number of rules that refer to the “numbering area” [A1.0J, A1.3A3, A2.2B3, and A2.7B27.1 a) and c)] (2) This is a better way of dealing with sources of information and punctuation; there are in fact no general rules here, and these rules belong with the particular definition of area 3.

2. AACR3 rule A1.3A1: Although we prefer the organization given in #1 above, if the current text is retained, we recommend the following change to emphasize that there are two distinct definitions of area 3 in chapter B3:

For cartographic resources this area is used for mathematical data and for digital graphic representation (see B3.3).

3. AACR3 rule B3.3: To achieve the same end, we suggest changing the captions at B3.3 and B3.7B11 to “Mathematical data and digital graphic representation area.” Further, we suggest the following outline for the B3.3 rules:
B3.3A. Preliminary rule
B3.3B. Mathematical data
B3.3B1. Statement of scale [with the subrules as decimals, e.g., B3.3B1.1]
B3.3B2. Statement of projection
B3.3B3. Statement of coordinates and equinox
B3.3C. Digital graphic representation

4. AACR3 rule B3.3C [as proposed in #3 above]: The ALA response should note that the CC:DA Task Force on Technical Description of Digital Media is considering whether digital graphic representation should continue to be applicable only to digital cartographic resources or more generally to digital media (chapter C7).

5. AACR3 rule A1.3A3 [as in the draft]: We note that comparable rules may be needed in B2.3A and B3.3A. A musical presentation statement would apply equally to the original and the reproduction. In the case of mathematical data, the scale of the reproduction is given in area 3 and that of the original in a note; however, coordinates and projection would be the same for both and would be given in area 3.

Comments relating to Area 4, Publication, distribution, etc.

1. AACR3 rule A1.4C6, Unknown place of publication and/or name of publisher: The Task Force leaves a discussion of this issue to CC:DA. However, we include as Appendix II to this report an analysis of some problems with the draft rules by Carroll Davis and the text of the comparable instructions in the Chicago Manual of Style. Although there was general agreement with Carroll’s analysis; the Task Force feels that something should be recorded in an element that is applicable to the resource being described, even if there is no information available. As to what should be recorded in such a case, at least two Task Force members strongly opposed the introduction of English text or abbreviations on the grounds that this would be a barrier to the use of records in a non-English-language catalog. Other Task Force members were inclined to accept the Chicago Manual of Style convention; one pointed out that English today is more an international language than Latin!

2. AACR3 rule B1.4F8 and A1.7B12: The reference to A1.7B12 is presumably to A1.7B12.1 which is a very general rule. On the other hand, A1.7B12.2 deals explicitly with unpublished resources, but only with place of production. We suggest that the reference should be to rule A1.7B9, Edition and history. This rule refers to a date of delivery, which is more relevant to the history of the resource than to its publication, distribution, etc. Typographical note: In the example, there should be no blank space above the note paragraph and “Note:” should be in the text font, not the example font.

3. AACR3 rules A1.4G1, A1.4G4: The optional instructions in these two rules are the same. We recommend that the condition in A1.4G4 be treated as a specific example of the general case in A1.4G1 (deleting A1.4G4):
Optionally, record the place, name of manufacturer, and/or date of manufacture if they appear on the source of information and differ from the place, name of publisher, distributor, etc., and date of publication, distribution, etc., and are considered to be important, e.g., for early printed resources, if the printer is named separately and can clearly be distinguished from the publisher or bookseller. [1.4G4, 2.16H]


Harmondsworth : Penguin, 1949 (1963 printing)

Madrid : Real Academia de Bellas Artes de San Fernando, [1890] (Madrid : Tip. de las Huérfanos) [5.4G2]


Comments relating to Area 5, Technical description

1. General assessment of the area 5 draft: The Task Force finds the draft generally unsatisfactory, both as a way of giving instructions to catalogers and as a means of communicating information to users. One member described it as a step backwards.

For catalogers, the rules are much more difficult to use than the current rules. The draft seems to be straining towards an unnecessary consistency at a level where no consistent descriptive practices exist, rather than recognizing existing conventions used by catalogers to communicate with their users, not to mention existing ways in which resources describe themselves.

The difficulty is compounded by the fact that the basic rule supports vastly different results (“either the number of physical units or the number of components or both”). While the rules illustrate the application of both, it is highly unlikely that this is how the rules will most often be applied, but it is impossible to evaluate actual practice until implementation decisions have been made several years from now.

This exercise has demonstrated that the current rules in AACR2 are a wild mixture of descriptive conventions covering content, carrier, component, presentation units, and various aggregations. The next step — which we feel is necessary — is to recognize that, in most cases, this mixture of descriptive conventions is justified by user familiarity, bibliographic conventions, and the language of producers and users alike.

This Task Force would like JSC to consider developing an alternative organization for this area that would recognize the lack of consistent general rules and would look for a balance between the common usage of our users and the conventional descriptive language developed by catalogers.
2. **Generality of rules in AACR3 chapter A1:** The Task Force agrees that there needs to be something in chapter A1 from which to refer to the rules in the supplementary chapters. However, there are cases in which the rule in chapter A1 repeats too much of the instruction, and the reference to the supplementary chapter gets lost in the verbiage. Particularly when the rule is applicable only to one media category, the rule should be stated in the supplementary chapter and the rule in chapter A1 should serve primarily to contain the reference. Rules A1.5C11–A1.5C13 in the draft are cases in which no general rule should be stated, just the reference. There should be no confusion about whether to follow A1 or the supplementary rule.

3. **Cartographic materials in the technical description and notes:** Cartographic materials (particularly sheet maps) are different from most (if not all) other types of material because for the past 60 years the focus or object of the description has not been the physical item (the sheet) but the map or maps included on the sheet. Generally each map has a title, but the sheet does not. The cataloger identifies the primary map(s) and gives their title(s) in area 1. Other contents of the sheet, including maps considered to be “ancillary” (this is the term used in Cartographic Materials) are described in a note. This approach is taken because users don’t care about the sheet but rather the map, particularly the size and scale; users can infer the amount of detail present on the map from that information.

Another 60-year old practice is to omit from the description aspects that are expected or typical, such as the presence of a legend. This practice applied to the physical description, so that no mention was made that the map was on a single sheet.

This overall approach to describing cartographic materials ripples through the description.

Area 3 includes the scale(s) and coordinates only for the primary map(s); such information about ancillary maps is given in a note.

Area 5 includes the number of primary maps, which may not be all maps present, and the number of sheets(s) is included only when the number of maps and sheets are not the same. If this is reversed, as it is in the AACR3 draft, giving the carrier and then the content, area 5 doesn’t match the rest of the description. What is a cataloger to do if there is one primary map and 4 ancillary maps, each having its own title listed in a contents note? Should this be described as “1 sheet (1 map)” or “1 sheet (5 maps)”?

Other technical details concerning the contents of a map are also limited to the primary map(s) — except for a contents note. If the primary maps are not colored and the ancillary map(s) are colored, the technical description should not include “col.” If the sheet has illustrations, “ill.” would not be included in the technical description, but might be included in a contents note.

Regarding dimensions, unlike a book’s height, which indicates the shelf height needed, the size of the sheet map generally has no impact on storage, as sheets are
easily folded and/or trimmed to fit into available drawers. The practice of trimming map sheets, if there is blank paper or, if by trimming, the number of folds is reduced, is quite common. This makes the sheet size immaterial and inconsistent for copies of a manifestation. The current rules for measuring sheet maps measure the dimensions of the primary map(s) — whether on one or more sheets and regardless of the presence of ancillary maps — and, in some cases, the dimensions of the sheet. Giving the carrier first in the extent statement will require that the rules for recording dimensions be rewritten. When only one set of dimensions is given, a user would infer (from the extent statement) that it is the measurement of the carrier and not the map. When the rules call for dimensions for both the sheet and the map, they are given in reverse order according to the draft rules: a resource described as “4 sheets (1 map)” would describe the dimensions of the map followed by the dimensions of the sheets — which would likely be misinterpreted.

This problem is made even more complicated by the fact that A1.5B1 allows description of either physical unit (sheet) or component (map) or both. Depending on which choice is made in a given case, the appropriate rules for recording dimensions will be different.

Finally, area 7 would also be impacted by this approach to describing maps, because information about ancillary maps is given in area 7, not in area 5.

A general description of the choice of the focus/object of the description for cartographic materials (maps in particular) is needed as background for the specific rules. However, it is not sufficient. As indicated above, the different areas and elements of the description are interrelated in complex ways that need to be made explicit in the rules.

4. **Notated music in the technical description:** Similar considerations apply to music in notated form. Users are generally more interested in the content of these resources than the medium. It is critical to know whether the resource is for a libretto or a vocal score of a particular opera. The fact that these are bound volumes is definitely a secondary characteristic.

Describing a score issued with parts in terms of volumes may also introduce inconsistencies in description. A typical piano quintet score and part set is sold with an outer folder that contains the score and four loose parts. Normally, music libraries create a single binding to house all five pieces, circulating the item as a unit. The AACR3 rule emphasizes precisely the aspect most likely to be changed by local decisions (the number of physical units) and gives less emphasis to the aspect that will be the same (the number of scores and/or parts).

Furthermore, the choices offered by AACR3 rule A1.5B make it difficult to describe typical musical manifestations in a meaningful way. If both physical units and components are given, and the description is of the item as issued, the extent statement “1 v. (1 score, 27 p.) + 4 v. (4 parts)” is misleading when bound in a single
volume. On the other hand, if only the components are given, the statement “1 score” is misleading when that score consists of more than one volume. Finally, if only the physical unit is given (“4 v.”), the user is offered no useful information about the musical nature of the resource.

5. **AACR3 rule A1.5B, tables 1 and 2**: There are still inconsistencies in the lists of physical units and components. If this distinction is pursued (which we question in #1 above), then we offer the following suggestions:

- sheet as a component for flip charts: we believe that flip chart should be considered a component; then the physical unit would be either sheet or volume
- broadside should be a component, not a physical unit
- braille cassette: if this is simply a cassette containing text in braille, then it is neither a physical unit nor a component; it needs to be confirmed that the phrase identifies a distinct physical medium
- the list does not authorize p. of music or leaves of music, which are specified in C1.5B2.2.

A more significant issue is that the terms in Table 1 are not properly characterized as physical units. If they were, there would be a single term for disc or cassette and the nature of the infixion would be described elsewhere. What X.5B1 more properly covers is media units as that term is used in the organization of Section C; the terms combine aspects of physical carrier and storage medium with mode of expression, thus justifying separate terms for sound cassette, film cassette, videocassette, and computer tape cassette. Although it might be possible to limit the SMD to physical units, our experience with the Area 5 prototype last fall suggests that this would most likely be a large step backwards. We suggest that a better description of the current category covered in X.5B1 is needed.

6. **AACR3 rule A1.5B, table 1**: Typo in the column under “Tactile”: “flip chart” is two words in this and other rules.

7. **AACR3 rule A1.5B1**: The instruction in the second and third paragraphs is identical and the condition in the third paragraph seems to be a specific instance of the condition in the second. We suggest combining the paragraphs:

   If none of the terms listed in Table 1 is appropriate, e.g., when new physical carriers are developed, record the specific name of the physical carrier as concisely as possible.

   [include both sets of examples]

8. **AACR3 rule A1.5B1 and A1.5B2**: These rules do not admit the possibility of recording the units without a number; therefore, rule A2.5B1 and A3.5B1 contradict the general rule. Furthermore, the general rules would require giving a number for simultaneously issued multipart monographs (because these are outside the scope of
chapter A2), even if the cataloger does not have all the parts and/or does not know the number of parts. We are suggesting elsewhere that chapters A2 and A3 might be merged into chapter A1; if this is not done, then something needs to be added to A1.5B1 to cover this case.

9. **AACR3 rule A1.5C1:** We would prefer a simple instruction to give the details in the order of the following rules, as is done in other rules, rather than giving a list.

There is also a problem with the order of details given in this rule. AACR2 specifies a sequence in some chapters (see the accompanying table). The draft rule differs from these in the following cases.

- ✓ In the case of computer files, AACR2 gives sound before colour.
- ✓ In the case of motion pictures and videorecordings, AACR2 gives sound before colour and aspect ratio before both.
- ✓ In the case of cartographic materials, AACR2 illustrative matter and colour before medium, etc.

We feel that the AACR2 sequence should be changed as little as possible because of implementation and training concerns. The benefits of the change do not seem to outweigh the need for catalogers to learn new conventions and the resulting inconsistency of data in cataloging records.

That said, the sequences prescribed in different chapters in AACR2 are not compatible. If we adopt that currently prescribed for cartographic materials, it would mean changing that for manuscripts, graphics, and realia. There doesn’t seem to be any way of preserving the sequence for motion pictures and video recordings. However, we still prefer to adopt the sequence for cartographic materials in AACR2 because of the relative number of existing cartographic materials records and the strong emphasis on the order of details both in AACR2 chapter 3 and in *Cartographic Materials*.

Therefore we suggest the following sequence for A1.7C1:

- special format characteristics
- layout
- production method
- polarity
- sound characteristics
- illustrative matter
- colour
- medium
- physical material
- mounting
- projection characteristics
- other digital characteristics
## Sequence of other technical details in the AACR3 draft and in AACR2

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Elizabeth Mangan  
2/1/2005
These changes will not only be consistent with the current rule for cartographic material, but will also restore the current rule for computer files and will be closer to the current rule for motion pictures and videorecordings. Implementing this change in AACR3 will require rearranging and renumbering rules in chapter A1 and Section C.

10. AACR3 rule A1.5C2: ALA strongly reiterates its opposition to treating closed captioning as a special format characteristic. The analogy to braille and large print is false; they are characteristics that present themselves to all users of the item, whereas closed captioning is an optional characteristic which will be used by a small percentage of users of that item and may require equipment that is not required by the majority of users of the item.

Furthermore, on DVDs, closed captioning is most often presented simply as one of an increasing number of playback options that need to be included in the description (but are too extensive to be given in the technical description). Closed captioning for videotapes typically required special equipment, was specifically designed for the hearing impaired, and often resulted in separate “editions.” Captioning for DVDs, on the other hand, typically does not require special equipment, is not specifically designed for the hearing impaired (i.e., only the verbal content appears in the captions), and is a regular feature of all “editions.”

We note that similar features for the visually impaired (special audio tracks describing the video) are not covered in A1.5C2. For all of these reasons, we prefer to describe such features (captions/subtitles, audio tracks, etc.) in notes.

We find the caption “Special format characteristics” to be uninformative. If the intent is to deal with accessibility features (features designed for persons with disabilities), then the rule needs to be expanded (as noted in the previous paragraph). If it is limited to its current contents, the caption might need to be a list, such as “Large print, braille, and tactile characteristics.” Even this caption is more informative that the present one.

11. AACR3 rule A1.5C3: There is a reference to C1.5C3 for print and graphic media, but that rule covers only two categories of print and graphic media. The reference in A1.5C3 should be more specific.

12. AACR3 rule A1.5C4: Again there is a reference to C1.5C4 for print and graphic media, but that rule covers only manuscripts. The reference in A1.5C4 should be more specific.

13. AACR3 rule A1.5C10, Colour: There may be a contradiction between the two sentences of the first paragraph; the general rule to give the information does not recognize any exceptions, but the second sentence is an exception. There is a similar contradiction between the first sentence and some of the supplementary rules. A more
nuanced wording might avoid these problems — perhaps as simple as adding “in general” to the first sentence and “however” to the second.

We suggest that the second sentence be deleted, and that a reference to a supplementary rule for cartographic materials be added. The supplementary rule would be based on AACR2 rule 3.5C5. We believe that this is not a general rule, but is intended to apply only to cartographic materials.

14. AACR3 rule A1.5D3: The final paragraph refers to a supplementary rule for “printed maps, etc.” but the scope of that rule (C1.5D3) is not limited to printed maps. Delete “printed” from A1.5D3. Note: we have not checked the draft thoroughly for differences in scope between rules and references, but this should be done at some point.

15. AACR3 rule A1.5E, Ancillary material: ALA disagrees with the renaming of this element from Accompanying material to Ancillary material. “Ancillary” indisputably denotes subordination; “accompanying” denotes simple association without the connotation of subordination. Although there are many things that we have considered to be “accompanying material” that are clearly subordinate to the main resource, there are also many things that we have considered to be “accompanying material” that are not subordinate (e.g., a children’s book and its audio book CD, a filmstrip or set of slides and its separate soundtrack on cassette, etc.) or are at least ambiguous in that regard (e.g., the score of a musical work that includes electronica and the prerecorded track of that electronica for performance, etc.). By retaining the term “accompanying,” we acknowledge that whole spectrum of possible accompaniment. Changing to “ancillary” misrepresents and mischaracterizes a wide range of such material

16. AACR3 rule A2.5B1: This rule includes examples of an updating loose-leaf, which is inappropriate here; the same examples appear appropriately in A3.5B1, but with the caption explanatory note changed from “updating loose-leaf” to “integrating loose-leaf.” These are matters for the Examples Group.

17. AACR3 rule C1.5B2.4: The first paragraph of this rule is designed to cover one situation not covered in the general rule. However, that specific case (when the segments all appear on the same sheet) is not sufficiently specified. We suggest the following revision:

   C1.5B2.4. Maps, etc. If the maps, etc., are presented in two or more segments designed to fit together to form one or more maps, etc., on one sheet, record the number of complete maps, etc., followed by in and the number of segments.

18. AACR3 rule C3.5D1: This rule is just a reference back to the general rules and contains no additional instructions. If the general rule (and the references it contains) were applied in conjunction with a general instruction to use rules in any applicable chapter (see General comments, #2), then C3.5D1 would be unnecessary.
19. **AACR3 rule C1.5D1.3:** The last two paragraphs deal with measuring a folded sheet. However, the last paragraph (dealing with sheets “designed to be read in pages when folded”) actually specifies the content of the extent statement as well as the dimensions. The extent statement should be covered in C1.5B1 and C1.5B2.1; only the recording of the dimensions should be covered here. Note also that the footnote to Table 1 (which says to use *sheet* for folded sheets) is contradicted by C1.5D1.3. In general, the footnote is correct; C1.5D1.3 last paragraph refers to a special format which rare book catalogers call a “folder” and which may or may not be the same as what is commonly called a “brochure.”

20. **Glossary, “sheet”:** The glossary definition is restricted to paper, although the rules use the term for other opaque media and arguably could use it for transparent media in chapter C6. The fact that the definition needs to exclude broadsides demonstrates that *broadside* should be considered a presentation unit, not a physical unit.

**Comments relating to Area 7, Notes**

1. **AACR3 rule A1.7A1. Application:** In our analysis of the area 7 rules, the Task Force felt that the basic definition of notes was overly brief and took the opportunity to restate the function of notes in terms of the FRBR user tasks and bibliographic entities. We would like to put forward this text for possible inclusion either at A1.7A1 or in the Introduction to Part 1. Parts of this extended definition were controversial; in particular several persons objected to the phrase about justifying access points, feeling that this was a matter that should be left to cataloger judgment.

   **A1.7A1. Application.** Notes contain useful information in addition to that given in the other areas of the description. Notes may be employed to assist the user to:

   - identify the resource as a particular manifestation;
   - identify the work(s) and expression(s) embodied in the manifestation;
   - identify unique features of the particular item being described;
   - identify or clarify the persons or bodies responsible for the intellectual or artistic content, physical production and dissemination, or custodianship of the resource, thus justifying the entries assigned to the resource;
   - select a resource appropriate to the user’s needs, based on significant bibliographic or technical characteristics;
   - find related resources by indicating the relationship of the resource to other resources and/or the relationship of an aspect of the resource (e.g., as expression) to aspects of other resources (e.g., other expressions of the same work or other manifestations of the same expressions).

   Notes may reflect changes in the resource over time (see A2.7B2–A2.7B17 and A3.7B2–A3.7B17).
2. **AACR3 rules A1.7A3-A1.7A4:** The subrules with bold captions in these rules should be separately numbered, e.g.

   - **A1.7A3. Form of notes**
     - A1.7A3.1. Order of information. …
     - A1.7A3.2. Applicability. …
     [etc.]

   This facilitates references. For example, A1.7B26 refers to A1.7A4, but the reference is to the final paragraph of that rule and could be more specific if the subrules were numbered.

   On the other hand, the final paragraph of A1.7A4 is really about the order of notes and should be moved to A1.7B (see #4 below).

3. **AACR3 rule A1.7A4, last paragraph:** It is not clear why this rule reads “a reproduction of another manifestation of the same work” instead of “a reproduction of a manifestation of a work.” We also suggest that the second sentence (about combining the notes relating to the original) may not be needed here, as it is given in A1.7B26.

4. **AACR3 rule A1.7B, order of notes:** The Task Force feels strongly that a separate area covering all notes should be retained (although some feel that the data dictionary approach is worth exploring in the long term) and that there should be a rule addressing the order of notes. One Task Force member offered the following text, which would emphasize user needs without sacrificing a prescribed order, and would address the combined note on the original as an issue relating to the order of notes.

   **A1.7B. Notes**

   **Order of notes.** Make notes in the order that meets the needs of users. The sequence in which the following rules are given is one such order. Make a particular note first when it has been decided that note is of primary importance.

   In describing a reproduction of a manifestation of the same work (e.g., a text reproduced in microform; a manuscript reproduced in book form; a set of maps reproduced as slides), record the notes relating to the reproduction and then the notes relating to the original manifestation. Combine the notes relating to the original in one note, giving the details in the order of the areas to which they relate (see A1.7B26).

5. **AACR3 rule A1.7B4, Source of title proper:** AACR2 rules allow (and in the case of electronic resources, require) a source of title note even when it is taken from the chief source of information. There are a number of reasons why the draft rule is inadequate. The description does not always identify the chief source. Further, the chief source in some cases is the entire resource. In both these cases, it may be desirable to identify the source of the title. “If considered to be important” is too
vague. It may be necessary to reinstate the supplementary rules requiring source of
title notes.

6. **AACR3 rule A1.7B8, Statements of responsibility:** In the first sentence, we believe
that it is important to reinstate “for identification” at the end. As it stands, the
sentence seems to imply that variant name forms should routinely be given as notes in
the bibliographic record, whereas they more properly belong in the authority record
— as we hope the general rules in the new Part 3 will make clear. What needs to be
recorded here are explanations of confusing or misleading statements of
responsibility, in order to aid the users in the identification of the person or body
referred to. Thus, the rule should clearly say “if considered important for
identification” [emphasis added].

7. **AACR3 rule A1.7B9, Edition and history:** Notes relating to the edition statement
itself should be treated in a separate rule from notes on “the edition being described,
its bibliographic history, and its relationships to other resources.” So long as the note
on the edition statement is narrowly defined (source of edition statements,
transcription issues), there should be no difficulty distinguishing between the two
notes.

8. **AACR3 rule A1.7B15, System requirements:** Although the Examples Group will
make the final decision, we propose the following video example:

   System requirements: Region 1 DVD player

There are no rules in chapters C5 or C6 for system requirements notes for audio and
video media. The Task Force is unable to propose specific rules, but we do suggest
that such rules are needed. Our experience training catalogers and answering
questions about this material strongly suggests that guidance is needed. We offer the
following preliminary comments.

The system requirement note should state what equipment is needed for using the
resource beyond what is normal and obvious for the medium. It is not necessary to
say that a vinyl sound disc requires a turntable or speakers or that a website requires a
computer with a browser. However, for both audio and video media, there seem to be
some standard pieces of information that should always be included in system
requirements notes.

For audio media, the need is primarily for digital resources (MP3, etc.) requiring
special equipment; for “enhanced CDs” that have video and computer content in
addition to sound content; and for emerging technologies (usually networked
resources) requiring special equipment and/or software for use. At the least, the
system requirements rule for audio media should therefore include mention of
enhanced content (“System requirements for:” with reference to the rules for video
and digital equipment).
For video media, there is a system requirements aspect to many of the features detailed in C6.7B13.3 (note on technical details), although the content of the note and the order of the details would be different in a system requirements note. The relevant elements are:

- Videorecording system (DVD, VHS, Beta, etc.)
- Colour recording system (NTSC, PAL, SECAM, etc.)
- Regional encoding
- Sound characteristics (Dolby encoding, stereo., mono., surround, etc.)
- Projection characteristics/aspect ratio (widescreen, pan-and-scan, letterbox, etc.)
- Layers (dual layer, single layer, etc.)
- Software requirements (Windows Media Player, RealPlayer, QuickTime, etc.)
- Content-specific requirements for games, text files (Acrobat Reader, etc.)

9. **AACR3 rules X.7B21, Contents notes:** Many of the supplementary rules give information in addition to the title that should be recorded in contents notes. A general instruction to this effect at A1.7B21 could be useful; the supplementary rules would give some specific examples for particular types of material, but the general instruction could be extended to whatever information is appropriate. The Examples Group should be encouraged to find a particularly complicated example to illustrate this paragraph. We suggest adding the following as the second paragraph of A1.7B21.

   Add to the titles other information (e.g., scale of maps, dates of publication, extent, duration, names of performers, etc.) that pertains to the individual titles.

The [current] second paragraph of A1.7B21, relating to sources of information for contents notes, is based on AACR2 rule 4.7B18. This is one of two AACR2 rules that deal with this issue. We prefer language based on AACR2 rule 2.7B, which would allow the cataloger to use a table of contents or another single source if it provides the necessary information. This would promote efficiency of use; specifically, it would justify the creation of contents notes automatically from electronic lists provided by the publisher. We recommend the following text:

   When recording titles formally, take them from the source in the item being catalogued that provides the best identification.

10. **AACR3 rule A1.7B25, “With” notes:** It is not clear that the present text, with its restriction to components, covers the case of a serial issued with (but not technically a component of) another serial or whether AACR2 rule 12.7B22 needs to be reinstated. The present text also does not clearly restrict its scope to component parts issued separately; “bound with” notes should be covered by A1.7B28 (see #12 below).

11. **AACR3 rule A1.7B26, Details of the original:** The caption (and the text) should refer to the “original manifestation” — wording that is used in other areas. In
addition, we recommend that “(see A1.7A4)” be deleted. A1.7B26 contains the relevant rules and does not require consultation of A1.7A4.

12. AACR3 rule A1.7B28, Item being described and library’s holdings: There are two types of data dealt with in this rule (local notes and holdings information). We recommend that the second paragraph dealing with holdings information be deleted, on the grounds that such information is outside the scope of AACR.

Instructions should be added covering other local notes. Specific mention might be made of changes made to the item after receipt, with explicit mention of making local “with” notes for items bound or otherwise assembled after publication.

13. AACR3 rule A2.7B27, Issue, part, or iteration described: “Iteration” should be omitted from the caption; iterations are appropriate for A3.7B27 but not A2.7B27.

14. AACR3 rule B3.7B1, Nature, scope, and form: The clause “unless it is apparent from the rest of the description” needs to be added at the end of the rule; the condition applies to the supplementary as well as to the general rule.

   B3.7B1. Nature, scope, or form. Make a note on unusual or unexpected features of the cartographic content resource, unless it is apparent from the rest of the description. [3.7B1]

15. AACR3 rule A3.7B2, Frequency: “Frequency varies” should be “Frequency of updates varies” in order to distinguish this note from that for serials in A2.7B2.

16. AACR3 rule A3.7B27, Issue, part, or iteration described: This caption should be “Iteration described,” because issue and part are appropriate to A2.7B27, but not A3.7B27.

17. AACR3 rule B6.7B1, Nature, scope, or form: Revise to “Make a note on the medium of performance of recorded music, …” because the rule does not apply to all recorded sound.

18. AACR3 rule C1.7B1.1, Manuscripts: In the draft, the designation “ms.” is called for in both area 5 (C1.5C4.1) and area 7 (C1.7B1.1). We suggest that the text of both rules be clarified to say that “ms.” is always recorded as other technical details a note is made only when there is additional information to record. The example “Ms.” should be deleted.
Appendix I


Carroll Nelson Davis (January 28, 2005)

Here follows an analysis of rules in chapter A2 of the December 2004 draft of Part I of AACR3 with respect to whether they are limited in applicability to multipart monographs issued in successive parts, as claimed, or they should be generalized to simultaneously issued multipart monographs multipart monographs issued in successive parts as well.

Conclusions: Most instructions from chapter A2 that apply to multipart monographs issued in successive parts also need to be available in practical circumstances for cataloging of simultaneously issued multipart monographs. The rules relevant only to successively issued multipart monographs and not to simultaneously issued ones are few and specific; most concern notes. The splitting of rules for simultaneously issued multipartns in chapter A1 and for successively issued multipartns in chapter A2 is not well supported. The principle of generalization and the objective of responsiveness to user needs argue for these rules to be together in the organization of Part I, either in chapter A1 or in chapter A2. That means that the current scope defined for chapter A2 cannot be supported; if it continues to exist, it must either broaden to incorporate simultaneously issued multipart monographs or narrow to exclude multipart monographs (and therefore apply only to serials). If chapters A1-A3 are combined in a single general rules chapter, such redefinition is not necessary.

Abbreviations used hereafter:

\[ \text{MM} = \text{multipart monograph} \]
\[ \text{SimMM} = \text{simultaneously issued multipart monograph} \]
\[ \text{SucMM} = \text{multipart monograph issued in successive parts} \]

Analysis of rules in chapter A2:

A2.1B1. MM catalogers will have to endorse or reject this fundamentally. If they accept it, it is not obvious why this approach to dealing with title inaccuracies is more acceptable in a SucMM than in cases where the first part of a SimMM has a title proper inaccuracy but other parts do not. If they reject it and transcribe title proper inaccuracies as given for all MMs, then the rule applies only to serials.

A2.1B6. All instructions here come from rules for serials and all the examples are for serials. Is there any applicability to MMs? If any of the phenomena addressed are
considered possible in SucMMs, what prevents them from occurring in SimMMs, as well? If the rule is extended to SucMMs, there is no obvious reason for not extending it to SimMMs, also.

A2.1B8. The rule is specific to unnumbered series and not applicable to any MMs.

A2.1B12. The rules for serials and for SucMMs here are different. Applying this rule to title “changes” on parts of SucMMs has the same result as applying A1.7B5 to title “variations” on parts of SimMMs.

A2.1D6. Applying this rule to SucMMs has the same result as applying A1.7B6 to SimMMs.

A2.1E1. MM catalogers will have to endorse or reject the option of ignoring or noting other title information. This rule was adopted for serials and integrating resources because OTI may change from issue to issue or from iteration to iteration and is therefore less useful for identification purposes in the title area. Applying this rule to SucMMs but not SimMMs entails the assumption that SimMMs have the same OTI on all parts while SucMMs sometimes do not. Is this a valid generalization; or do parts of SimMMs sometimes have different OTI, too? If the latter is the case, then SimMMs need the same solution(s) available as SucMMs.

A2.1E7. Applying this rule to SucMMs has the same result as applying A1.7B7 to SimMMs.

A2.1F1. This rule is specific to serials and does not apply to SucMMs or SimMMs.

A2.1F16. Applying this rule to SucMMs has the same result as applying A1.7B8 to SimMMs.

A2.2B1. In practice, applying this rule to SucMMs has the same effect as applying A1.2B. The instructions that go beyond A1.2B only make a difference for serials. Therefore, SucMMs and SimMMs are alike.

A2.2B3. This rule is specific to serials and does not apply to SucMMs or SimMMs.

A2.2F1. The same problem and solution are generalizable to inconsistent/varying edition information on parts of SimMMs.

A2.4C9, A2.4D10, A2.4G5, and A2.7B12.1.1. It seems improbable that parts of a SimMM would have different place or publisher. It is, however, a perverse world and, if that did happen in a SimMM sometime, would not the solution needed be like that provided for SucMMs in A2.4 C9 and A2.4D10? The same comments apply for place and name of manufacturer and A2.4G5.

A2.4F1. This rule does apply only to SucMMs and not to SimMMs. (Interestingly, however, in AACR2 this is a general rule in chapter 1.)
A2.4G5. See comments for A2.4C9, etc.

A2.5B1. All MMs need the same option of recording SMD without preceding number when not all of the parts are available for cataloging. This is not limited to SucMMs; in practical circumstances, the cataloger may not have all the parts even if they were released simultaneously. A1.5B does not offer this possibility for SimMMs and that is a problem.

A2.5C14. A2.5C14 and A3.5C15 have equivalent instructions and A1.5C14 only refers to them. In practical results, technical details of SucMMs and of SimMMs are handled the same in area 5. Notes regarding technical details may be made in both cases per A1.7B13 and A2.7B13.2.

A2.5D4. This rule covers parts differing in size as well as changes in size. Applying this rule to SucMMs has results similar to applying A1.5D3 to SimMMs.

A2.6G1. The rules for serials and for SucMMs are different. In part, this rule is the same as A1.6G1 (penultimate paragraph) for SimMMs; it is only specific to SucMMs in that it allows for non-continuous numbering (which does seem implausible for SimMMs).

A2.6K1. Applying this rule for changes in SucMMs has results similar to applying A1.6B2 and A1.7B17 to SimMMs.

A2.7B2. Frequency notes are relevant only to resources issued in successive parts or iterations.

A2.7B5.1. The rules for serials and for SucMMs are different. Applying this rule for “changes” in SucMMs has the same result as applying A1.7B5 to “variations” in SimMMs.

A2.7B6.1. The same problems of parallel titles can occur among parts of a SimMM as among parts of a SucMM. Applying this rule for “changes” in SucMMs has results similar to applying A1.7B6 to SimMMs.

A2.7B7.1. The same problems of other title information can occur among parts of a SimMM as among parts of a SucMM. Applying this rule for “changes” in SucMMs has results similar to applying A1.7B7 to SimMMs.

A2.7B8.1. This rule is specific to serials and does not apply to SucMMs or SimMMs.

A2.7B8.2. The same problems of other statements of responsibility can occur among parts of a SimMM as among parts of a SucMM. Applying this rule for “changes” in SucMMs has results similar to applying A1.7B8 to SimMMs.

A2.7B9. All of the added relationships came from rules for serials and appear to be applicable only to serials. Are there any SucMMs to which merger, split, or absorption relationships could apply?
A2.7B9.1. The same problem and solution are generalizable to inconsistent/varying edition information on parts of SimMMs.

A2.7B11.1. Period of coverage notes are relevant only to resources issued in successive parts or iterations.

A2.7B12.1. Suspension notes and notes on beginning/ending dates are relevant only to resources issued in successive parts or iterations.

A2.7B12.1.1. See comments for A2.4C9, etc.

A2.7B13.1. The same problem and solution could apply to an incompletely published SimMM (that is, it was planned as a SimMM but something went wrong and some parts never appeared).

A2.7B13.2. The same problem and solution are generalizable to inconsistent/varying technical details of parts of SimMMs. A1.7B3 does not admit that possibility.

A2.7B17.1. Notes on nonconsecutive series numbering do seem relevant only to serials and not to SucMMs or SimMMs.

A2.7B17.2. The same problem and solution are generalizable to inconsistent/varying series information on parts of SimMMs. The A2.7B17.2 instructions do not conflict with the more general ones in A1.7B17.

A2.7B22. Notes about cumulative indexes are relevant only to resources issued in successive parts. How many cumulative indexes are there for SucMMs (as compared to serials)? Are there any or enough to justify the split from rule A1.7B22, which covers indexes for SimMMs?

A2.7B27.1. The rules for numbered serials, unnumbered serials, and SucMMs are different. All MMs need the same option of recording a “Description based on:” note when the first part is not available. This is not limited to SucMMs; in practical circumstances, the cataloger may not have the first part of a SimMM even if all the parts were released simultaneously. A1.7B27 does not offer (actually, dismisses) this possibility for SimMMs and that is a problem.

Summary of rules ultimately applicable to SucMMs and not SimMMs:

A2.4F1: Beginning/ending dates in area 4.
A2.6G1: Nonconsecutive series numbering
A2.7B2: Frequency notes
A2.7B11.1: Period of coverage notes
A2.7B12.1: Notes about suspensions and beginning/ending dates
A2.7B17.1: Notes about nonconsecutive series numbering
A2.7B22: Notes about cumulative indexes (Maybe)
Appendix II

Problem with unknown place [A1.4C6]

The instruction in draft AACR3 A1.4C6 to “… not record a place of publication, distribution, etc.” in cases where place cannot be transcribed, supplied, or conjectured, instead of inputting “[s.l.]” as is done under AACR2, fails in combination with area 4’s prescribed syntax in some circumstances.

Draft AACR3 A1.4D4 still allows for recording multiple publishers, etc. These may be in different places. The syntax is, as before, to record them in sequential order, each following its respective place, with prescribed punctuation.

Suppose a resource carries two publishers’ names but no place of publication and no place associated with either publisher’s name. Suppose further you are certain the publishers are not in the same place and you can supply the place for the first publisher but cannot supply or conjecture the place or a country for the second. (An example of this situation might be co-publication by a research center at a university whose place you know and an international scholarly association in a different part of the world.) The area 4 statement per draft AACR3 A1.4C6 is as follows:

[Place of first publisher] : First Publisher’s Name : Second Publisher’s Name

in contrast with the AACR2 statement:

[Place of first publisher] : First Publisher’s Name ; [s.l.] : Second Publisher’s Name

The draft AACR3 statement has an ambiguity resulting from the last paragraph of A1.4C6: the same statement may represent (a) two publishers in the same place or (b) two publishers with place unknown for the second. There is no satisfactory means in draft AACR3 Part I for resolving this. Situations like this are certainly a minority, but they are not far-fetched. This kind of ambiguity seems an unacceptable failure in an international information standard.

One can imagine workarounds or alternatives, but they tend to be disappointing:

✓ Omit the second place per A1.4C6 and make a note: “Place of XYZ unknown.” Rather than communicate information clearly to users, this approach prescribes an unclear statement and tries to compensate by means of a note. Users who stop before reaching the note may be misled.

✓ Generally do not record a place where one cannot be supplied or conjectured, except input “[s.l.]” (or other term, e.g., “[place unknown]”) just in cases like this, i.e. to disambiguate subsequently named publisher with unknown place from subsequently
named publisher in the same place. This is an ad hoc measure that only corrects a flaw in the rule, not preferred if the rules should be principled rather than arbitrary.

- Record any publisher with unknown place first in area 4, so that the syntactic problem and ambiguity are sidestepped. This is another ad hoc, unprincipled remedy. It also contradicts the basic instructions in A1.4D4.

- Change rules A1.4C5 and A1.4D4 to record only the first named place. Period. Place in area 4, if any, would pertain only to the first named publisher, etc. No place would be recorded if none could be conjectured for the first name publisher, per A1.4C6. Area 4 would not record information about place(s) for subsequently named publishers, which might or might not be in the first named place. This would be a principled approach and a cataloging simplification. It would resolve the ambiguity technically, but that might be clear only for those with knowledge of how to “read” area 4. Some people would still “read” a statement with one place and multiple publishers as multiple publishers in the same place. Different user groups might also object to lost and/or confusing place information for some publishers.

- Abandon the current syntax of area 4 and adopt one that unambiguously identifies “place” and “publisher name” as data elements, and then leave the “place” slot blank (per A1.4C6) when a publisher’s place cannot be conjectured. One example might entail a display with “Place” and “Publisher, etc.” labels followed by input boxes for data. A “blank” box after “Place” would denote “place unknown.” While appealing, this probably represents a greater departure from current standards than JSC is prepared to undertake now.

Any of these seems like a lot of effort just to leave a blank instead of inputting “[s.l.]”. If “[s.l.]” is unacceptably cryptic, an easy remedy is to input “[place unknown]” (or another conventional expression sufficiently clear for users) instead.

There is no comparable syntax problem for the draft AACR3 A1.4D7 instruction “do not record a name” when the name of the publisher, etc. is unknown. That element can be left out instead of inputting “[s.n.]” without resulting ambiguity. JSC may prefer to keep the instructions for handling unknown place and unknown publisher’s name parallel, but there is no obvious reason why this has to be the case.

Carroll Nelson Davis
CC:DA Consistency Task Force
January 24, 2005
Selections from *Chicago manual of style* under “Facts of publication” (and minus examples)

17.98 *Date only.* A less common practice (except in legal style; see 17.280) is to include only the date. This bare-bones practice is acceptable if neither place nor publisher is ascertainable or of particular value to readers. It is most commonly used for books published in the nineteenth century or earlier.

17.102 *“No place.”* When the place of publication is not known, the abbreviation *n.p.* (or *N.p.* if following a period) may be used before the publisher’s name. If the place can be surmised, it may be given with a question mark, in brackets. See also 17.98.

A place of publication that is known but does not appear in the book may be given in the normal way or – though usually an unnecessary precaution – in brackets. When neither place nor date is know, *n.p., n.d.* may be used. See also 17.119.

17.109 *Publisher unknown.* When the publisher is unknown, use just the place (if known) and date (see 17.97). Privately printed works should be cited with as much information as is known (e.g., Topeka, KS: privately printed, 1890).

17.119 *“No date.”* When the publication date of a printed work cannot be ascertained, the abbreviation *n.d.* takes the place of the year in the publication details. A guessed-at date may either be substituted (in brackets) or added. See also 17.102.