

**THE LOGICAL STRUCTURE OF THE
ANGLO-AMERICAN CATALOGUING RULES – PART II**

**Drafted for
The Joint Steering Committee for Revision of AACR**

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THE LOGICAL STRUCTURE OF THE ANGLO-AMERICAN CATALOGUING RULES – PART II

OBJECTIVE

The principal objective of this study is to develop a formalized schema to reflect the internal logic of the *Anglo-American Cataloguing Rules*.

The schema is intended to serve as a tool to assist in the re-examination of the principles underlying the code and in setting directions for its future development.

The presentation of the analytic model is designed specifically to:

- assist in clarifying the concepts that are integral to the logical design of the code;
- highlight anomalies within the rules and inconsistencies in the application of basic principles;
- provide a clearly defined frame of reference to be used in determining how to develop and extend the code to reflect new media used as information carriers, new forms of intellectual and artistic expression, and new modes of dissemination and access.

METHODOLOGY

The methodology used in this study is derived from techniques used in systems development projects to create entity-relationship models or object-oriented models. As analytic tools, entity-relationship and object-oriented models are used as the basis for identifying the key entities or objects about which an organization needs to keep data and clarifying the data-related business rules that apply within the organization prior to designing the layout of databases to support the organization's business activities.

The modeling technique as applied in this study focuses on the cataloguing process as the activity to be analyzed, and the code itself as the set of business rules that govern that activity. The model is not designed to reflect in the abstract the information universe or the universe of recorded knowledge. It is designed to represent in specific terms how that universe is reflected in the logic of the cataloguing code *per se*.

This second segment of the study has taken as its starting point a detailed analysis of the data elements in Part II of the code. Each data element in the headings for entries and references has been mapped either to an attribute of a particular entity or object or to a relationship between particular entities or objects. Because it is intended to serve as a schema mirroring the *internal* logic of the code, the model reflects only what is made explicit through the rules as currently set out in the code, and only what is recorded in headings for entries and references as a result of applying those rules. Other entities or objects, other attributes, and other relationships that might be inferred from an analysis of phenomena *external* to the code itself have not been reflected in the model.

Terminology / definitions

As far as possible the terms used in the model to identify entities or objects, their attributes, and their relationships have been derived directly from the code itself.

The definitions for the terms used to identify entities, etc. have also been derived, to the extent possible, either from the glossary or from the wording of the rules themselves, in some cases in a modified form. Where definitions could not be derived from the code itself, they have been derived from other sources such as the *ALA glossary of library and information science*, and the *Functional requirements for bibliographic records*. In other instances definitions have been developed specifically for the purposes of the model.

Specifications as to what is included within the scope of a particular entity, attribute, or relationship, or excluded from it, have been derived, wherever possible, directly from the rules themselves.

Entities / relationships

The entities or objects defined in the model represent the key agents, processes, objects, and concepts around which the code operates; they are in effect the primary points of reference or coordinates for mapping the logic of the code.

Similarly the relationships defined in the model represent the key associations between entities or objects reflected in the code; they are in effect the logical connectors between the key entities or objects.

Attributes / data elements

The attributes associated with each entity or object in the model have been defined at a logical level, i.e., as characteristics of the entity or object as they would be defined with reference to the entity or object itself, not as specific data elements defined with reference to the bibliographic record. For example, "name of person" is defined as an attribute of the entity or object "person" in such a way as to encompass all the names by which the person may be identified.

Each logical attribute is in turn linked to the specific data elements that fall within its defined scope (e.g., "name of person" as a logical attribute is linked to the data elements "entry element," and "addition" in both personal name headings and personal name references). In many instances, however, the logical attribute is linked to only one data element.

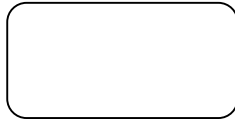
General rules / special rules

The data elements associated with each logical attribute are linked to the rules in the code that pertain to that data element.

The rules relating to each data element are identified under two categories: general rules that are applicable to the data element; and special rules that apply to the data element only when it pertains to specific categories within a type of entity. Apparent anomalies in the rules have been noted in the detailed analysis that is provided for each data element.

Diagramming

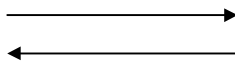
The conventions used for diagramming the logic of the code are as follows:



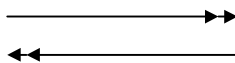
A rectangle with rounded corners represents a “bibliographic” entity (i.e., an abstract concept used in the code as a point of reference or as a structuring device for the rules).



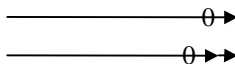
A rectangle with right-angled corners represents a “real world” entity (i.e., an agent, process, or object) the characteristics of which are reflected in the descriptive record.



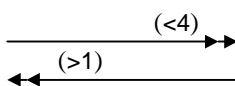
A single-headed arrow on a line represents a relationship in which any given instance of the entity at the opposite end of the line may be associated with only one instance of the entity to which the arrow is pointing.



A double-headed arrow on a line represents a relationship in which any given instance of the entity at the opposite end of the line may be associated with one or more instances of the entity to which the arrows are pointing.



A zero on a line indicates that the relationship between any given instance of the entity at the opposite end of the line and the entity to which the arrow is pointing is optional (i.e., the relationship may not be operative in all instances).



A number preceded by a greater-than or less-than sign indicates an upper or lower limit to the number of instances of the entity that may be involved in a relationship.

OVERVIEW OF THE MODEL

An overview of the model developed for this study is presented in a series of entity-relationship diagrams accompanied by a summary explanation of the entities and relationships depicted in each of the diagrams. The first diagram (**Figure 1**) sets out the “bibliographic” entities that are used to give Part II of the code its structure (i.e., the abstract concepts used in Part II as points of reference or as structuring devices for the rules). The second diagram (**Figure 2**) sets out the “real world” entities (i.e., the agents, processes, and objects) that are taken into account in determining choice of access points. The subsequent diagrams illustrate the full range of entries under personal name headings (**Figures 3a-3p**), corporate name headings (**Figures 4a-4k**), title (**Figures 5a-5g**), name-title headings (**Figures 6a-6d**), and series headings (**Figure 7a**) that are specified by the rules. Each of those diagrams show the specific relationships between the “real world” entities that come into play for the entry illustrated.

The “bibliographic” entities (Figure 1)

Figure 1 depicts the “bibliographic” entities that are used to structure the rules in Part II, and the relationships between those entities. The entities shown on the left side of the diagram (**ITEM**, **SERIES**, **CLASS OF MATERIALS**, **TYPE OF PUBLICATION**, and **CHIEF SOURCE OF INFORMATION**) represent entities introduced in Part I of the code that re-emerge in Part II as points of reference for the rules relating to choice and form of access points. The entities shown on the right side of the diagram (**HEADING**, **BIBLIOGRAPHIC IDENTITY**, **WORK**, **UNIFORM TITLE**, **REFERENCE**, **ENTRY**, and **DESCRIPTION**) represent entities introduced in Part II as points of reference for the rules.

The central entity on the left side of the diagram is **ITEM**.

ITEM (as defined in the model) is a document or set of documents in any physical form, published, issued, or treated as an entity, and as such forming the basis for a single bibliographic description. The rules in Part II reference attributes of the item and other entities directly associated with the item as key factors in determining both choice and form of access points. (For a detailed analysis of **ITEM** and its attributes—insofar as they are reflected in the rules in Part II—see Tab 1.)

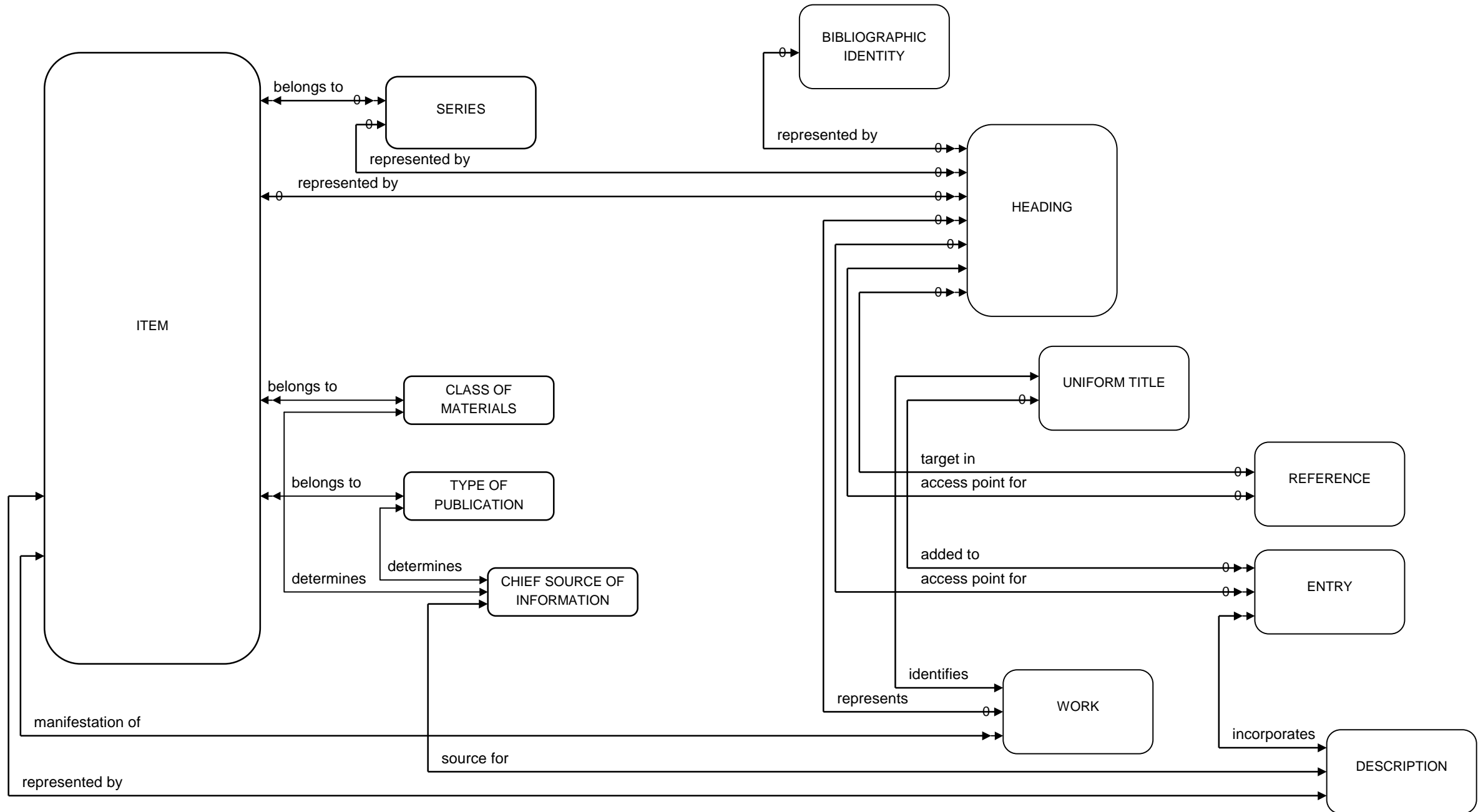
ITEM may (or may not) “belong to” one or more **SERIES**.

SERIES (as defined in the model) is a group of separate items related to one another by the fact that each item bears, in addition to its own title proper, a collective title applying to the group as a whole. Series is of relevance to the rules in Part II only to the extent that those rules provide for an added entry under the heading for a series to which the item described belongs. (For an analysis of **SERIES**—insofar as it is reflected in the rules in Part II—see Tab 2.)

ITEM “belongs to” a **CLASS OF MATERIALS**.

CLASS OF MATERIALS (as defined in the model) is the broad class or specific class of materials to which an item belongs. Although the rules in Part II for the most part apply to works and not to physical manifestations of those works, the class of materials to which an item belongs does occasionally have a bearing on the determination of the

Figure 1: AACR's bibliographic constructs



main entry for a work (e.g., a section of rules in Chapter 21 applies specifically to sound recordings). Insofar as the class of materials also determines the chief source of information for the item described, it has an indirect bearing on both the choice and form of headings under which the item is entered. (For a detailed analysis of **CLASS OF MATERIALS** and its attributes—insofar as they are reflected in the rules in Part II—see Tab 3.)

ITEM “belongs to” a TYPE OF PUBLICATION

TYPE OF PUBLICATION (as defined in the model) is the category to which a published item belongs with respect to its intended termination (i.e., whether it is intended to be completed in a finite number of parts, or to continue indefinitely). The type of publication to which an item belongs comes into play in Part II to the extent that it determines the way in which changes in responsibility and changes in title proper are reflected in the entry. Insofar as the type of publication also determines the chief source of information for the item described, it has an indirect bearing on both the choice and form of headings under which the item is entered. (For an analysis of **TYPE OF PUBLICATION** and its attributes—insofar as they are reflected in the rules in Part II—see Tab 4.)

CLASS OF MATERIALS “determines” CHIEF SOURCE OF INFORMATION.

TYPE OF PUBLICATION “determines” CHIEF SOURCE OF INFORMATION.

CHIEF SOURCE OF INFORMATION (as defined in the model) is the source of bibliographic data to be given preference as the source from which a bibliographic description (or portion thereof) is prepared. The chief source of information for the item described is the principal source for determining the choice of access points for entry of the item. The chief source of information for other items containing works by the same person or corporate body as the item described also comes into play in determining the form of heading. (For an analysis of **CHIEF SOURCE OF INFORMATION**—insofar as it is reflected in the rules in Part II—see Tab 5.)

The central entity on the right side of the diagram is **HEADING**.

HEADING (as defined in the model) is a name, word, or phrase placed at the head of a catalogue entry or reference to provide an access point. As a “bibliographic” entity, heading functions in a way that is somewhat analogous to the way item functions in Part I. A heading may represent a bibliographic identity for a person or corporate body, a work, or a series. Note also that a heading, as defined in the model, may serve as an access point for an entry or a reference, and a heading may also serve as a “target” in a reference. (For a detailed analysis of **HEADING** and its attributes see Tab 6.)

HEADING may (or may not) represent a **BIBLIOGRAPHIC IDENTITY**.

BIBLIOGRAPHIC IDENTITY (as defined in the model) is an identity established by a person or corporate body through usage in works by that person or body. The rules provide for the use of different headings to represent separate bibliographic identities established by a single person. By extension, the rules providing for different headings (for earlier and later names) representing the same corporate body are treated in the model as an

implementation of the “bibliographic identity” concept. (For a detailed analysis of **BIBLIOGRAPHIC IDENTITY** and its attributes see Tab 7.)

HEADING may (or may not) represent a **SERIES**.

SERIES (as noted above) is of relevance in Part II to the extent that the rules provide for an added entry under the heading for a series to which the item described belongs. (For an analysis of **SERIES**—insofar as it is reflected in the rules in Part II—see Tab 2.)

HEADING may (or may not) represent an **ITEM**.

ITEM (as noted above) is of relevance in Part II in that certain attributes of the item function as key factors in determining both choice and form of access points. There is also one rule in Part II that provides for making, as necessary, an added entry under a variant title appearing in the item (e.g., a cover title, caption title, running title). In those cases the heading for the added entry (i.e., the variant title) is in effect a heading representing the item, as distinct from a title entry representing the work. (For a detailed analysis of **ITEM**—insofar as it is reflected in the rules in Part II—see Tab 1.)

HEADING may (or may not) represent a **WORK**.

WORK (as defined in the model) is a specific body of recorded information in the form of words, numerals, sounds, images, or any other symbols, as distinct from the substance on which it is recorded. The concept of the work is central both to the determination of the main entry and to the application of uniform titles. The categorization of works also serves as the principal structuring device for the rules in Chapter 21. (For a detailed analysis of **WORK** and its attributes see Tab 8.)

WORK may (or may not) be “identified by” a **UNIFORM TITLE**.

UNIFORM TITLE (as defined in the model) is the particular title by which a work is to be identified for cataloguing purposes. The uniform title serves as a bibliographic device for bringing together entries for a work that has appeared in various manifestations under various titles. (For a detailed analysis of **UNIFORM TITLE** and its attributes see Tab 9.)

HEADING may (or may not) serve as an “access point for” a **REFERENCE**.

HEADING may (or may not) serve as an “target in” a **REFERENCE**.

REFERENCE (as defined in the model) is a direction from one heading or entry to another. The rules in Part II specify the form of “see” references, “see also” references, and explanatory references. The rules also provide instructions for making references under particular circumstances. (For a detailed analysis of **REFERENCE** and its attributes see Tab 10.)

HEADING may (or may not) serve as an “access point for” an **ENTRY**.

UNIFORM TITLE may (or may not) be “added to” an **ENTRY**.

ENTRY (as defined in the model) is a record of an item in a catalogue. Part II of the code (more specifically Chapter 21) focuses on the choice of access points under which the description of an item is entered, and on differentiating between the main entry and added entries for an item. (For a detailed analysis of **ENTRY** and its attributes see Tab 11.)

ENTRY “incorporates” a **DESCRIPTION**.

DESCRIPTION (as defined in the model) is a structured set of bibliographic data describing an item. The description (formulated according to rules set out in Part I), together with a heading and/or uniform title constitutes an entry. If the entry includes neither a heading nor a uniform title, the initial element of the description itself (i.e., the title proper) serves to determine the filing position of the entry within the catalogue. (For a detailed analysis of **DESCRIPTION** and its attributes—insofar as they are reflected in the rules in Part II—see Tab 12.)

Factors determining choice of access points (Figure 2)

Figure 2 sets out the “real world” entities (i.e., the agents, processes, and objects) that are taken into account in determining choice of access points. The key factors shown in the diagram are: (1) the number of persons and/or corporate bodies associated with the content of the item described; (2) the nature of the relationship between those persons or corporate bodies and the content of the item; (3) the nature of the content of the item and of individual parts of the content; (4) the relationship of the work or works manifested in the item to other works. The “bibliographic” entities class of materials, type of publication, and chief source of information are also displayed in the diagram to indicate their relevance in particular cases to determining the entries that are to be made for item.

The “real world” entities depicted in Figure 2 are: **PERSON, CORPORATE BODY, CREATION, MODIFICATION, PERFORMANCE, COMPILING OR EDITING, EMANATION, OTHER ASSOCIATION, CONTENT, and CONTENT PART.**

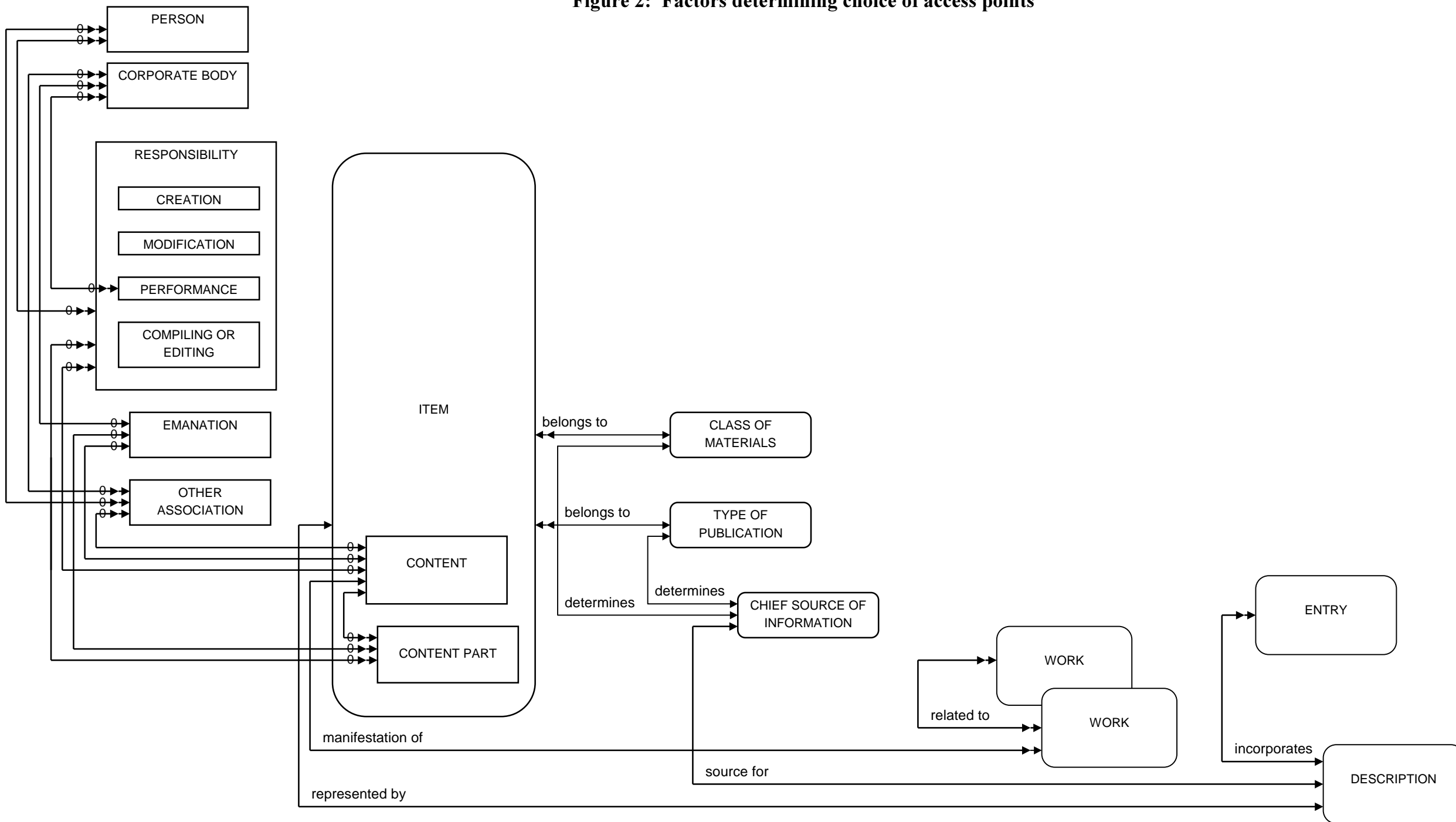
The number of persons and/or corporate bodies associated with the content of the item described is the first factor in determining choice of access points.

PERSON (as defined in the model) is an individual. The number of persons responsible for the content of the item described is a key factor in determining the choice of access points for main and added entries for the item. (For a detailed analysis of **PERSON** and its attributes see Tab 13.)

CORPORATE BODY (as defined in the model) is an organization or group of persons that is identified by a particular name and that acts, or may act, as an entity. The number of corporate bodies responsible for the content of the item described is also a key factor in determining the choice of access points for main and added entries for the item. (For a detailed analysis of **CORPORATE BODY** and its attributes see Tab 14.)

The relationship between a person or corporate body and the content of the item described is the second key factor in determining choice of access points.

Figure 2: Factors determining choice of access points



PERSON may (or may not) be “responsible for” **CREATION** of **CONTENT**.

CREATION (as defined in the model) is the act of originating intellectual or artistic content. (For an analysis of **CREATION** see Tab 15. For a detailed analysis of the **CREATION RESPONSIBILITY** relationship see Tab 23.)

PERSON may (or may not) be “responsible for” **MODIFICATION** of **CONTENT**.

MODIFICATION (as defined in the model) is the act of modifying a literary, dramatic, musical, or artistic work through revision, adaptation, translation, transcription, arrangement, etc. (For an analysis of **MODIFICATION** see Tab 16. For a detailed analysis of the **MODIFICATION RESPONSIBILITY** relationship see Tab 24.)

PERSON may (or may not) be “responsible for” **PERFORMANCE** of **CONTENT**.

CORPORATE BODY may (or may not) be “responsible for” **PERFORMANCE** of **CONTENT**.

PERFORMANCE (as defined in the model) is the act of performing a literary, dramatic, or musical work. For the purposes of the rules in Part II, performances are divided into two categories: those that go beyond execution or interpretation, and those that do not. (For an analysis of **PERFORMANCE** see Tab 17. For a detailed analysis of the **PERFORMANCE RESPONSIBILITY** relationship see Tab 25 and Tab 29.)

PERSON may (or may not) be “responsible for” **COMPILING OR EDITING** of **CONTENT**.

COMPILING OR EDITING (as defined in the model) is the act of producing a collection by selecting and arranging matter from the works of one or more persons or bodies, or preparing for publication one or more works by another person or body. (For an analysis of **COMPILING OR EDITING** see Tab 18. For a detailed analysis of the **COMPILING OR EDITING RESPONSIBILITY** relationship see Tab 26.)

CORPORATE BODY may (or may not) be “responsible for” **EMANATION** of **CONTENT**.

EMANATION (as defined in the model) is the act of issuing, causing to be issued, or originating intellectual or artistic content. (For an analysis of **EMANATION** see Tab 19. For a detailed analysis of the **EMANATION RESPONSIBILITY** relationship see Tab 28.)

PERSON may (or may not) have **OTHER ASSOCIATION** with **CONTENT**.

CORPORATE BODY may (or may not) have **OTHER ASSOCIATION** with **CONTENT**.

OTHER ASSOCIATION (as defined in the model) is any association between a person or corporate body and the content of an item other than one pertaining to creation, modification, performance, compiling / editing, or emanation. (For an analysis of **OTHER ASSOCIATION** see Tab 20. For a detailed analysis of the **OTHER ASSOCIATION** relationship see Tab 27 and Tab 30.)

The third factor in determining choice of access points is the nature of the content of the item and of individual parts of the content.

CONTENT (as defined in the model) is the intellectual or artistic substance contained in an item. The nature of the content of the item described will, in some cases, determine the choice of access points for main and added entries. (For a detailed analysis of **CONTENT** and its attributes—insofar as they are reflected in the rules in Part II—see Tab 21.)

CONTENT PART (as defined in the model) is an individual component of the intellectual or artistic content of an item. The nature of individual parts of the content of the item described, their relative prominence, and their relationship to one another will, in some cases, determine the choice of access points for main and added entries. (For an analysis of **CONTENT PART** and its attributes—insofar as they are reflected in the rules in Part II—see Tab 22.)

The fourth factor in determining choice of access points is the relationship of the work or works manifested in the item described to other works. The relationship of the work or works in the item described to a previously existing work will, in some cases, determine the choice of an access point for the main entry. In other cases the relationship will be a factor in determining whether an added entry (name-title or title, as appropriate) under the heading for the related work will be made. (For a detailed analysis of work-to-work relationships see Tab 31.)

Entry under personal name heading (Figures 3a-3p)

Figures 3a-3p illustrate the range of entries that are specified in the rules for entry under a personal name heading. Each diagram shows the specific relationships between the “real world” entities that come into play for the entry illustrated.

Entry under heading for author or probable author (Figure 3a)

Figure 3a depicts the “real world” entities that are reflected in an entry under the heading for the author or probable author. For an entry of this type, a single person is deemed to be the “author” (i.e., the person chiefly responsible for the creation of the intellectual or artistic content) of the work or works contained in the item described.

The heading for the entry represents a bibliographic identity established by the person responsible for creation of the content of the item.

Note that the item may contain one or more works by the person responsible for creation of the content. If the entry has a uniform title added to it (i.e., interposed between the heading and the description), the uniform title identifies one work. If the item contains more than one work, the work represented by the uniform title may be co-extensive with the content of the item (i.e., the uniform title may represent the complete contents of the item by means of a collective title derived from the item itself, or by means of a conventional title such as “Works” or “Selections”). However, if the item contains only two works by the author and lacks a collective title, the uniform title will represent only the first work named in the item.

Figure 3a: Entry under heading for author or probable author

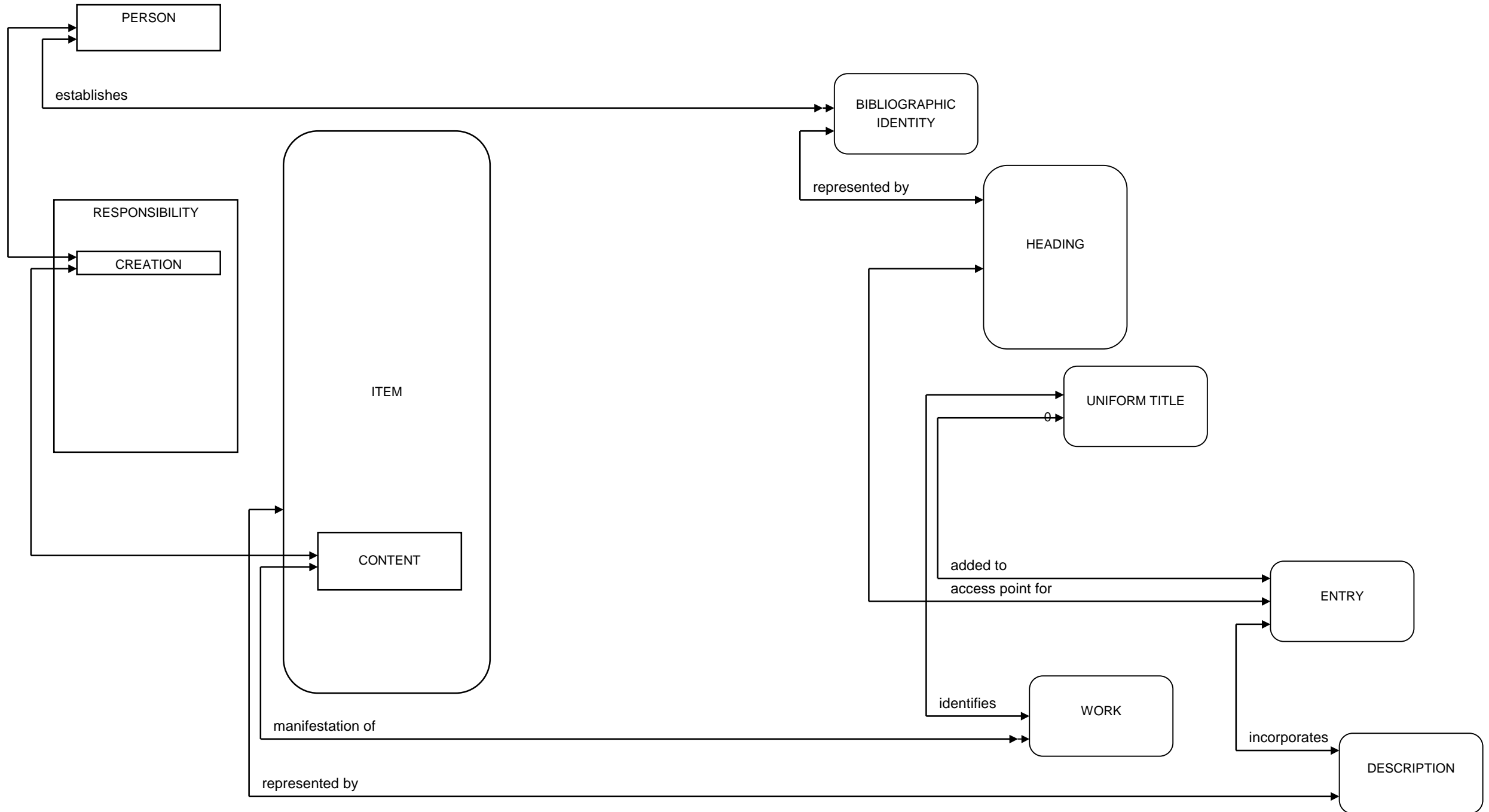
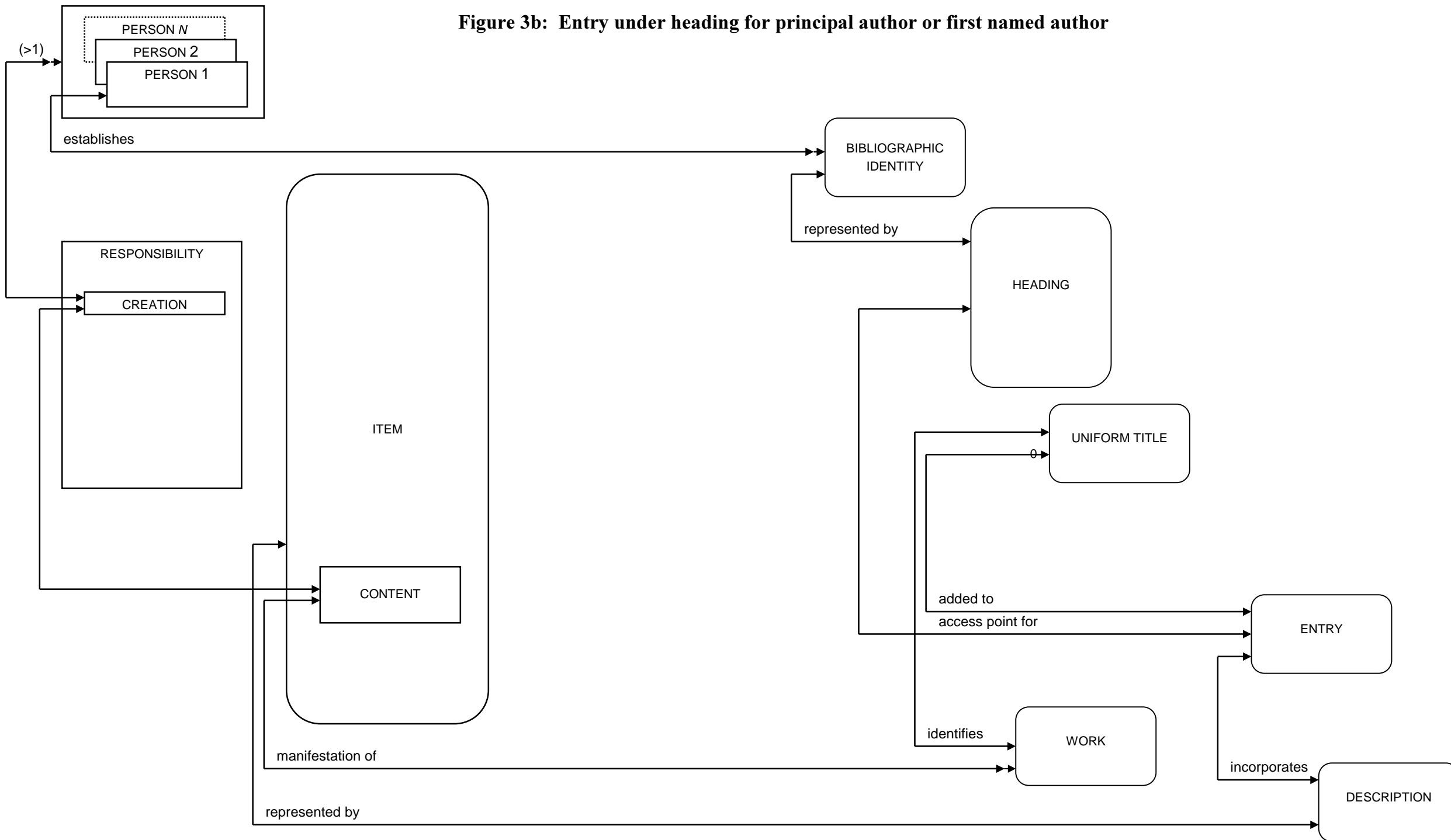


Figure 3b: Entry under heading for principal author or first named author



A main entry of the type depicted in **Figure 3a** is specified in rules for works for which a single person is responsible (21.4A1, 21.4C1, 21.4C2); certain works by heads of state, etc. (21.4D2, 21.4D3); works of uncertain personal authorship (21.5B, 21.5C); separately published illustrations (21.11B1); and certain works reporting court decisions, cases, etc. (21.36A1, 21.36A2, 21.36B1, 21.36C7, and 21.36C8).

An added entry of the type depicted in **Figure 3a** is specified in rules for official communications by heads of state, etc. (21.4D1); certain works reporting court decisions, cases, etc. (21.36A1, 21.36A2, 21.36C1, 21.36C2, 21.36C3, 21.36C4, and 21.36C5); and certain sacred scriptures (21.37A).

Entry under heading for principal author or first named author (Figure 3b)

Figure 3b depicts the “real world” entities that are reflected in an entry under the heading for the principal author or first named author of a work of shared responsibility. For an entry of this type, two or more persons are represented as “joint authors” of the work or works contained in the item described (i.e., responsibility for the creation of the intellectual or artistic content of the work or works contained in the item is “shared” between those persons).

The heading for the entry represents a bibliographic identity established by the person represented as the principal author, as the first named of two or more principal authors, or as the first named author where principal responsibility is not indicated.

The item may contain one or more works by the persons sharing responsibility for the creation of the content. As noted under **Figure 3a**, if the entry has a uniform title added to it, the uniform title identifies one work, which may be co-extensive with the content of the item as a whole, or may represent only the first work named in the item.

A main entry of the type depicted in **Figure 3b** is specified in rules for works of shared responsibility (21.6B1, 21.6B2, 21.6C1); and certain works reporting court decisions, cases, etc. (21.36A2)

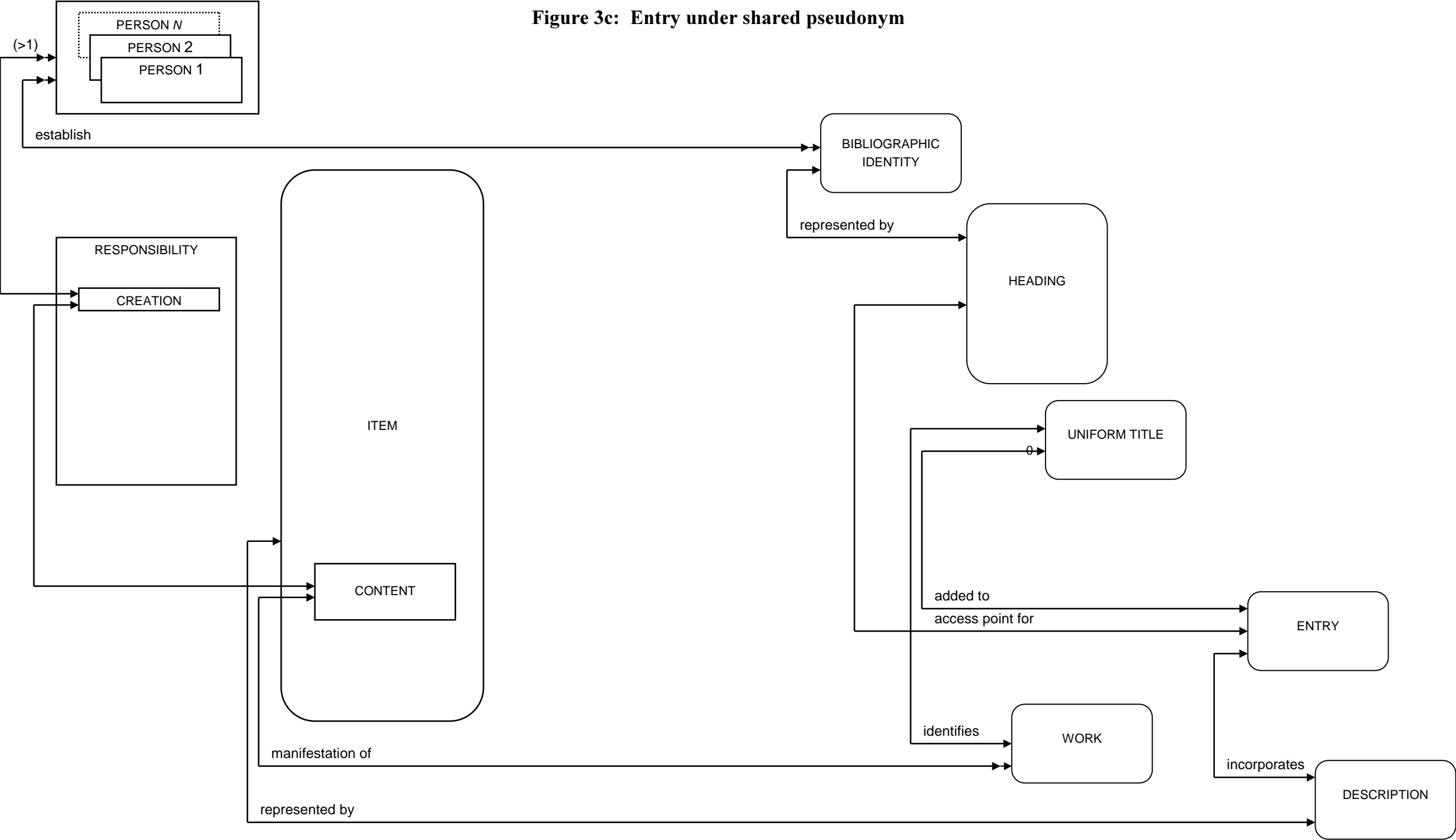
An added entry of the type depicted in **Figure 3b** is specified in rules for works of shared responsibility where more than three persons are involved (21.6C2); and certain works reporting court decisions, cases, etc. (21.36A2)

For entry under the heading for the second or third “joint author” see **Figure 3k**.

Entry under shared pseudonym

Figure 3c depicts the “real world” entities that are reflected in an entry under a heading representing a single bibliographic identity that is shared by two or more collaborators writing under a single pseudonym. For an entry of this type, responsibility for the creation of the intellectual or artistic the content of the work or works contained in the item is again “shared” between two or more persons, as in **Figure 3b**. However, in this case those persons establish one or more shared bibliographic identity.

Figure 3c: Entry under shared pseudonym



The heading for the entry represents a bibliographic identity shared by the persons responsible for the content of the item.

The item may contain one or more works by the persons sharing responsibility for the creation of the content, written using the same shared pseudonym. As noted under **Figure 3a**, if the entry has a uniform title added to it, the uniform title identifies one work. If the item contains more than one work, the uniform title may be co-extensive with the content of the item as a whole, or may represent only the first work named in the item.

A main entry of the type depicted in **Figure 3c** is specified in the rule for works of shared responsibility written under a shared pseudonym (21.6D1).

Entry under heading for author of first named work or first named author (Figure 3d)

Figure 3d depicts the “real world” entities that are reflected in an entry under a heading representing the author of the first named work or the first named author in an item containing two or more works (or extracts from two or more works) by different persons. For an entry of this type, different persons are responsible for the intellectual or artistic content of individual content parts contained in the item.

The heading for the entry represents a bibliographic identity established by the person responsible for the creation of the first work named in the chief source of information (where the item lacks a collective title) or the first author named in the chief source of information (where the item has a collective title and contains more than three works).

In this case the item contains more than one work. If the entry has a uniform title added to it, the uniform title identifies one work. The work represented by the uniform title may be co-extensive with the content of the item (i.e., the uniform title may represent the complete contents of the item by means of a collective title derived from the item itself). However, if the item lacks a collective title, the uniform title will represent only the first work named in the item.

A main entry of the type depicted in **Figure 3d** is specified in rules for collections of works by different persons lacking a collective title (21.7C1); collections of translations of works by different persons lacking a collective title (21.14B); sound recordings containing collections of works by different persons lacking a collective title (21.23D1); and collections of works reporting court decisions, cases, etc. lacking a collective title (21.36C9).

An added entry of the type depicted in **Figure 3d** is specified in rules for collections of works by different persons with a collective title (21.7B1).

Entry under heading for principal performer or first named principal performer (Figure 3e)

Figure 3e depicts the “real world” entities that are reflected in an entry under a heading representing the principal performer or first named principal performer of a work or

Figure 3d: Entry under heading for author of first named work or first named author

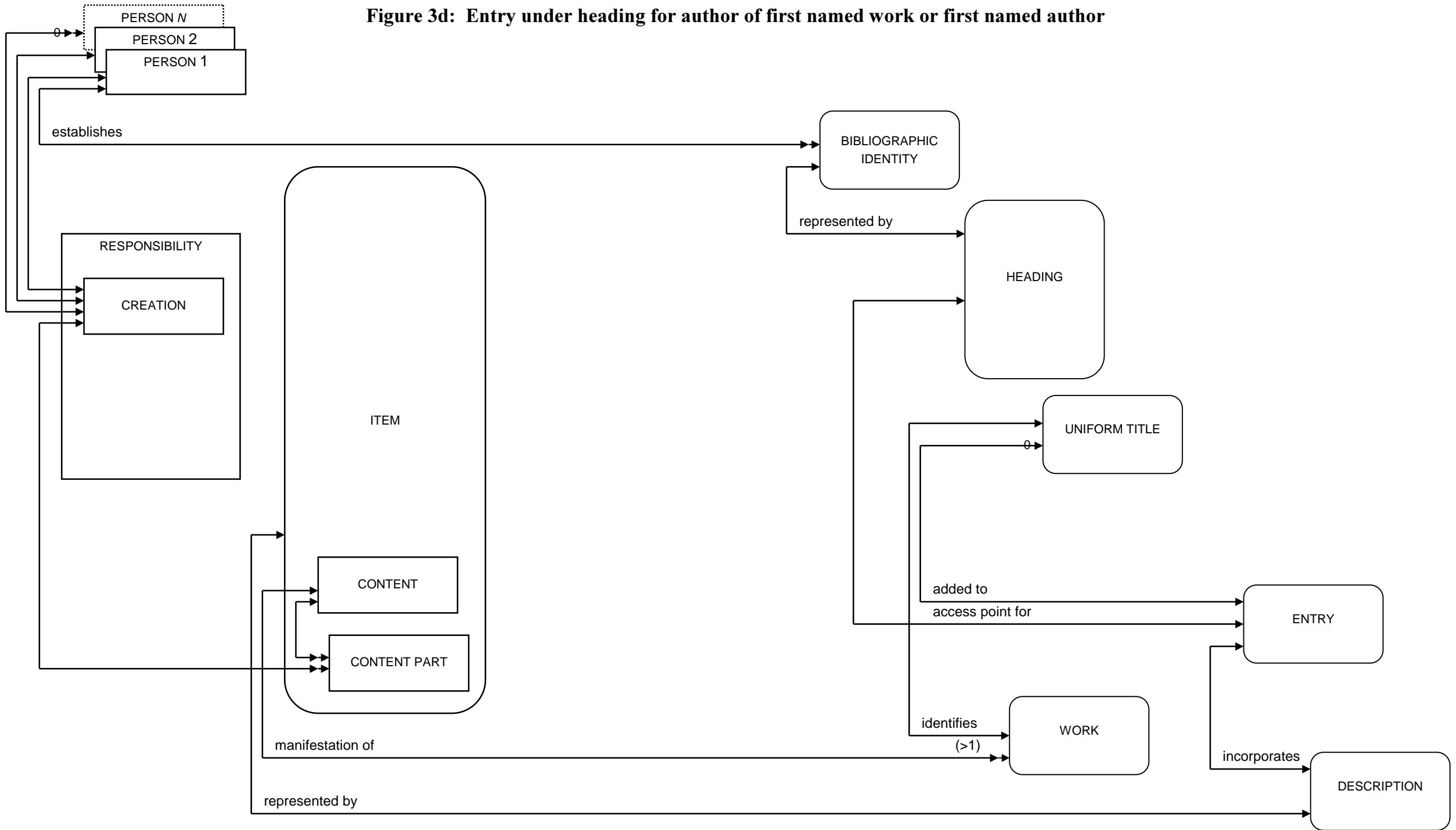
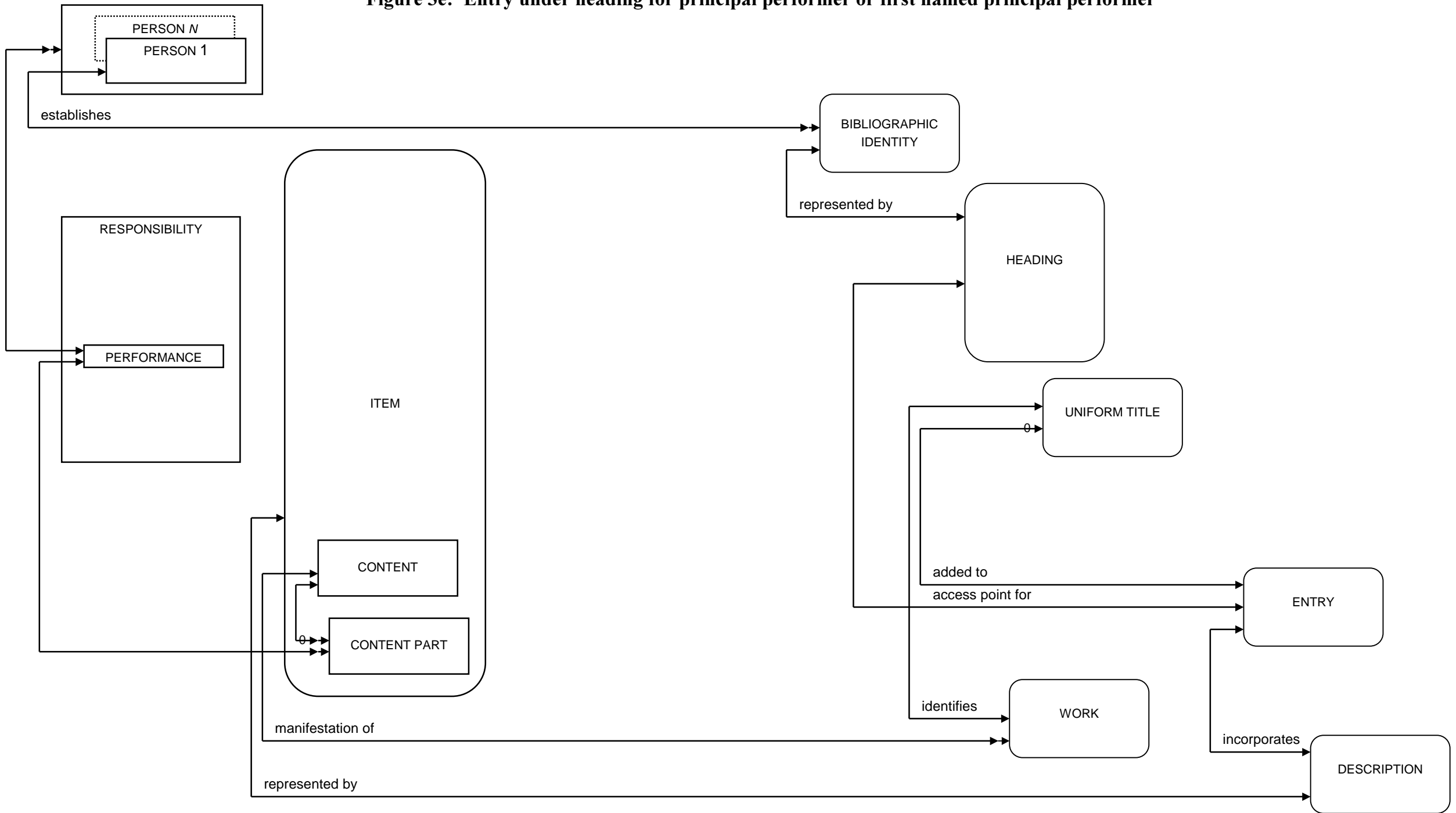


Figure 3e: Entry under heading for principal performer or first named principal performer



works contained in a sound recording. One or more persons may be represented as being responsible for the performance of the content of the item.

The heading for the entry represents a bibliographic identity established by the person represented as the principal performer or the first named principal performer where more than one performer is given prominence in the chief source of information.

The item may contain one or more works by a single writer or composer, or by different writers or composers. As noted under **Figure 3a**, if the entry has a uniform title added to it, the uniform title identifies one work. If the item contains more than one work, the uniform title may be co-extensive with the content of the item as a whole, or may represent only the first work named in the item. It should be noted that use of a main entry heading representing the principal performer in conjunction with a uniform title representing the first work named in the item creates a logical anomaly, in that it could be interpreted as the “citation” for a work that is properly identified by associating the heading representing the composer of that work with its uniform title.

A main entry of the type depicted in **Figure 3e** is specified in rules for sound recordings containing collections of works by different persons (21.23C1, 21.23D1).

An added entry of the type depicted in **Figure 3e** is specified in rules for sound recordings containing one work (21.23A1); sound recordings containing two or more works by the same person or body (21.23B1); and sound recordings containing collections of works by different persons (21.23D1).

Entry under heading for adapter / reviser / translator / arranger (Figure 3f)

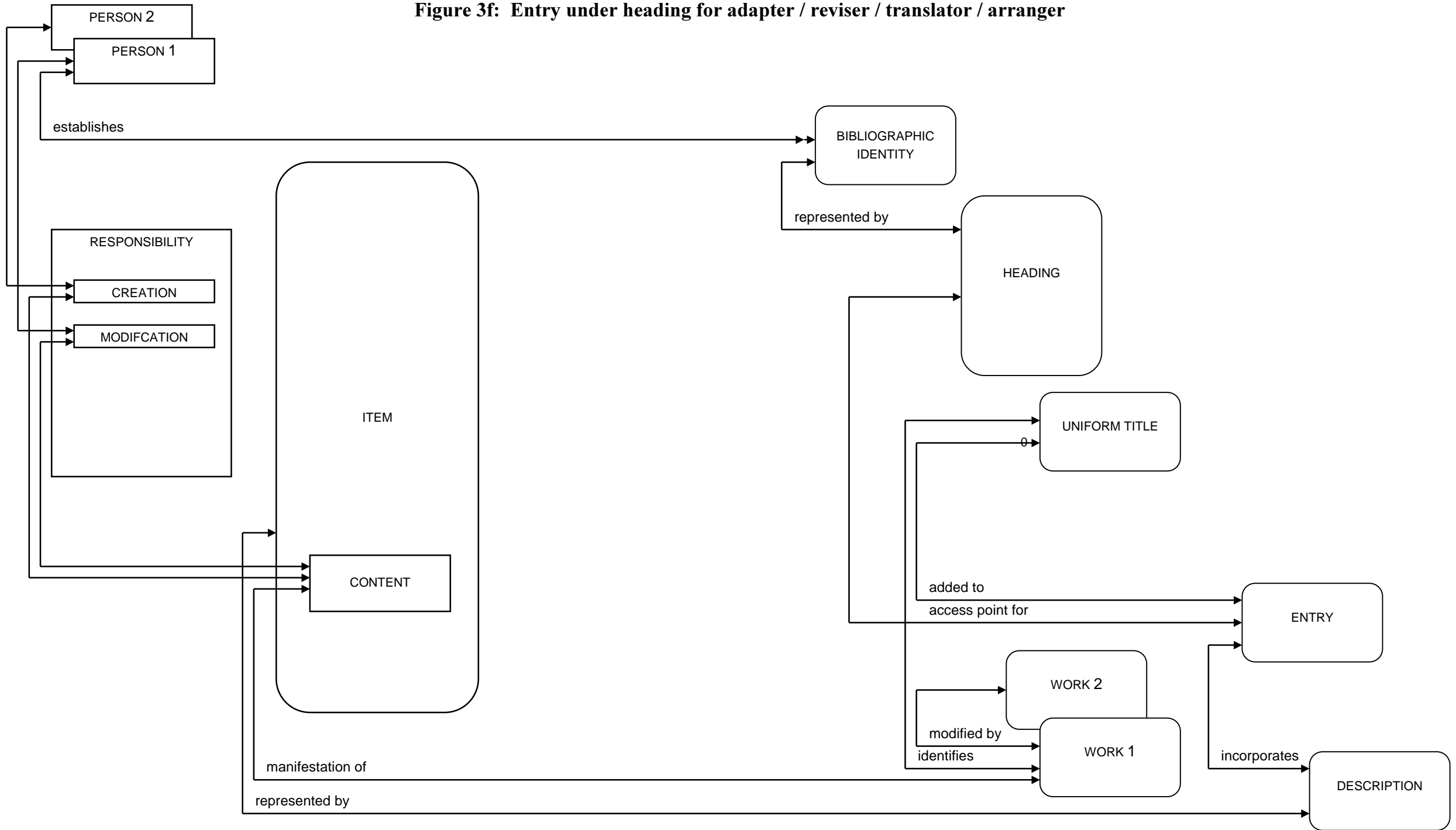
Figure 3f depicts the “real world” entities that are reflected in an entry under a heading representing the person responsible for adapting, revising, translating, or arranging a previously existing work by another person, where the content of the item is an adaptation, revision, translation, or arrangement of the previously existing work.

The heading for the entry represents a bibliographic identity established by the person responsible for the modification of the intellectual or artistic content of the item (i.e., the adapter, reviser, translator, or arranger).

If the entry has a uniform title added to it, the uniform title identifies the work contained in the item, i.e., the work resulting from the modification of the previously existing work. However, in the case of a translation of a text or an arrangement or transcription of a musical work, the modification is treated not as a new work, but as a manifestation of the work that it modifies, and the uniform title used to identify the modification is in fact the uniform title for the previously existing work.

A main entry of the type depicted in **Figure 3f** is specified in rules for adaptations of texts (21.10A); revisions of texts where the original author is no longer considered responsible (21.12B1); adaptations of art works (21.16A); and adaptations of musical works (21.18C1).

Figure 3f: Entry under heading for adapter / reviser / translator / arranger



An added entry of the type depicted in **Figure 3f** is specified in rules for revisions of texts where the original author is considered responsible (21.12A1); translations (21.14A, 21.30K1); arrangements, transcriptions, etc. of musical works (21.18B1); pasticcios, ballad operas, etc. (21.19B1); sacred scriptures (21.37A); and theological creeds, etc. (21.38A).

Entry under heading for author of original work (Figure 3g)

Figure 3g depicts the “real world” entities that are reflected in an entry under a heading representing the person responsible for the original work, where the content of the item is an adaptation, revision, translation, or arrangement of a previously existing work.

The heading for the entry represents a bibliographic identity established by the person responsible for the original work on which the intellectual or artistic content of the item is based.

If the entry has a uniform title added to it, the uniform title identifies the original work, not the modification contained in the item.

A main entry of the type depicted in **Figure 3g** is specified in rules for texts where there is doubt that the work qualifies as an adaptation (21.10A); revisions of texts where the original author is considered responsible (21.12A1); translations (21.14A); reproductions of art works (21.16B, 21.17A1); and arrangements, transcriptions, etc. of musical works (21.18B1).

Entry under heading for author of augmented work (Figure 3h)

Figure 3h depicts the “real world” entities that are reflected in an entry under a heading representing the person responsible for the previously existing work, where the content of the item includes in addition to that work any of the following by another person: illustrations for a text; a commentary, interpretation, or exegesis; biographical or critical material; text accompanying reproductions of art works; a musical setting for a text; or an added accompaniment or parts for a musical composition.

The heading for the entry represents a bibliographic identity established by the person responsible for the creation of the intellectual or artistic content of the previously existing work.

The item, in effect, contains two works: the previously existing work and the augmenting work (illustrations, commentary, etc., biographical/critical material, text accompanying the art reproductions, or added accompaniment or parts). If the entry has a uniform title added to it, in specified cases (i.e., in the case of a text with illustrations and a musical composition with added accompaniment or parts) the uniform title always identifies the previously existing work. In other cases the uniform title identifies either the previously existing work or the augmenting work, depending on which of the two is emphasized in the chief source of information.

Figure 3g: Entry under heading for author of original work

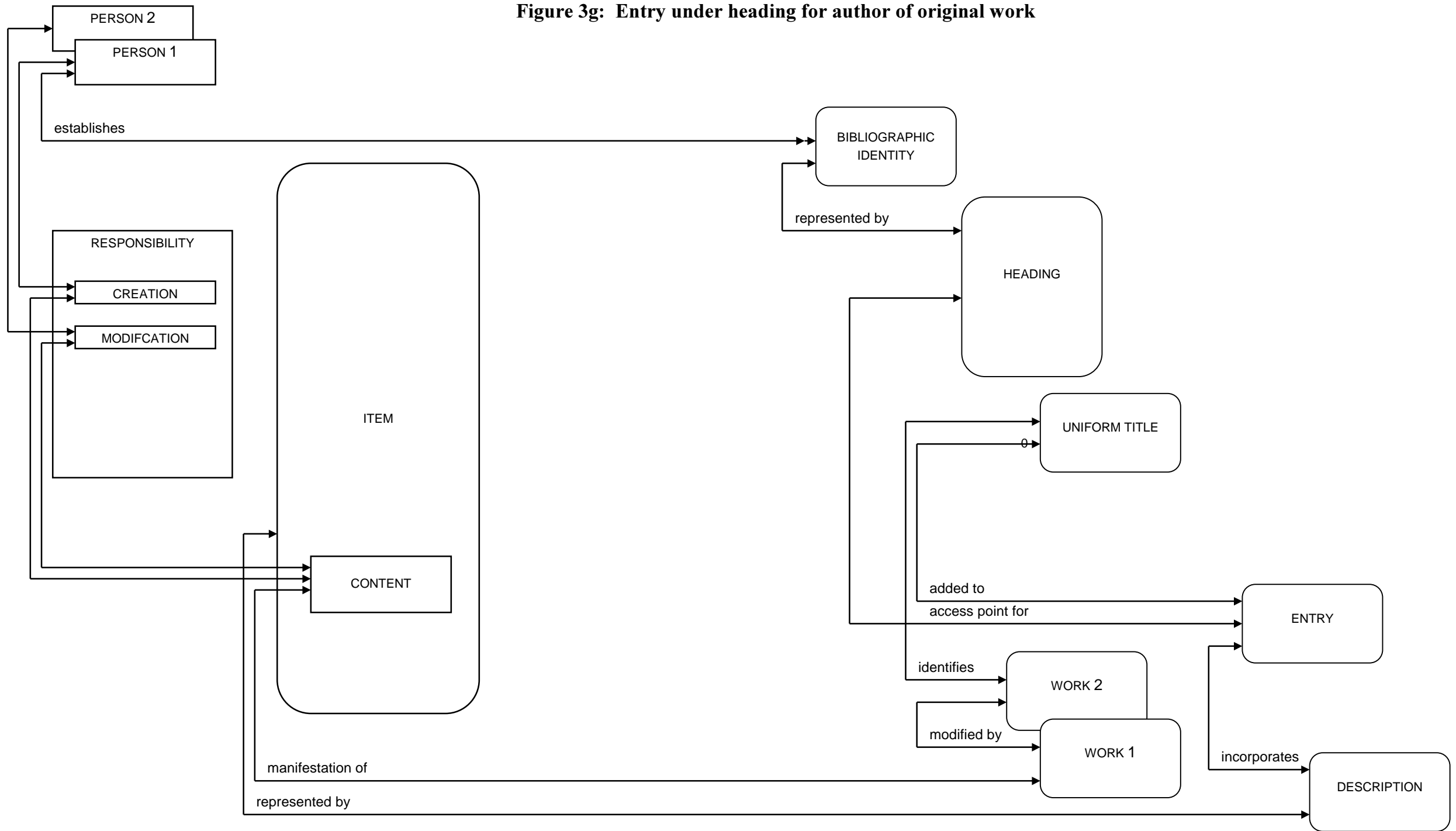
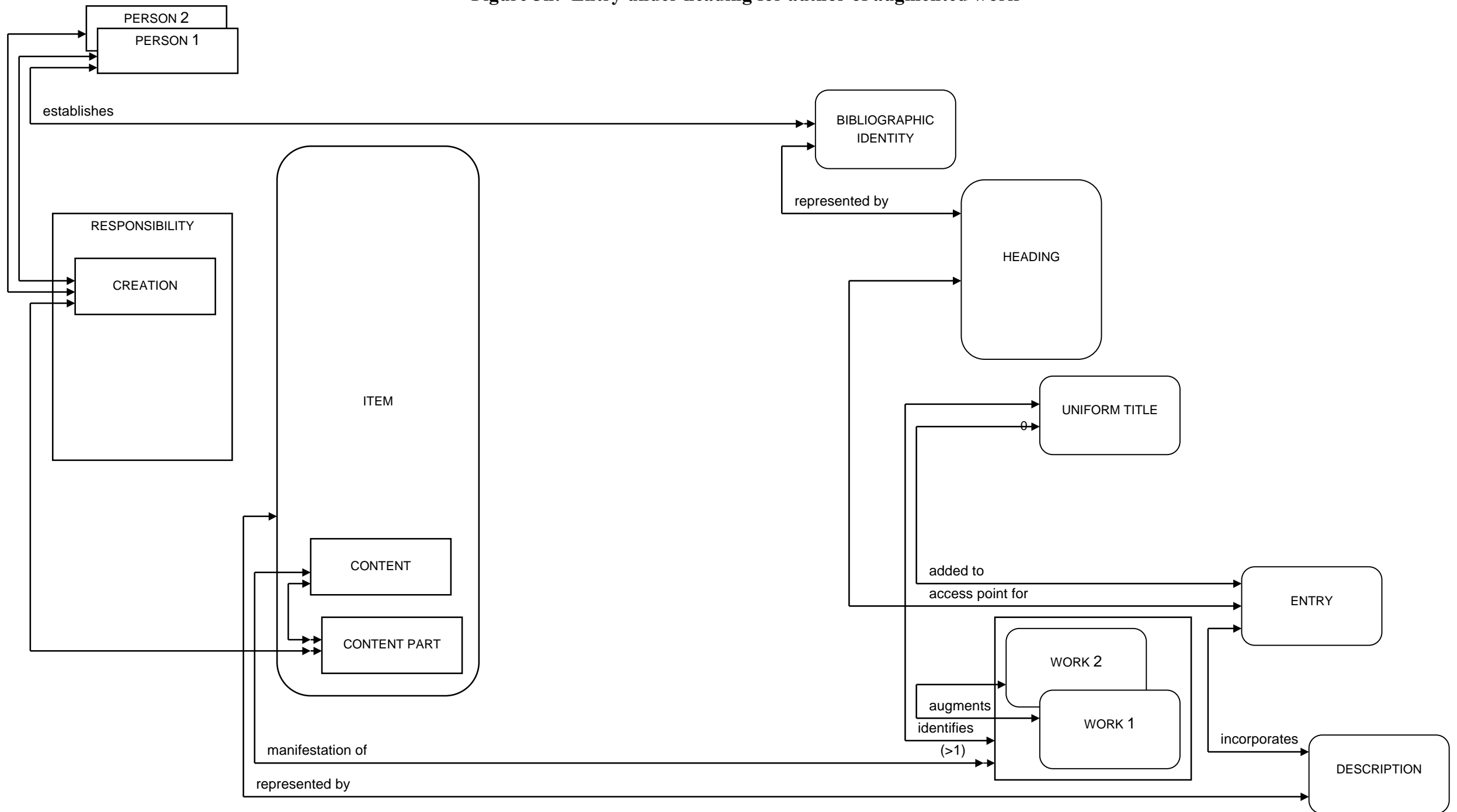


Figure 3h: Entry under heading for author of augmented work



A main entry of the type depicted in **Figure 3h** is specified in rules for illustrated texts (21.11A1); texts with commentary, etc., where the original work is emphasized (21.13C1, 21.13D1); texts with biographical/critical material, where the original work is emphasized (21.15B); reproductions of art works with accompanying text, where the artist is emphasized (21.17B1); and musical compositions with added accompaniment or parts (21.21A).

An added entry of the type depicted in **Figure 3h** is specified in rules for texts with commentary, etc., where the commentary, etc. is emphasized (21.13B1, 21.13D1); texts with biographical/critical material, where the biographical/critical material is emphasized (21.15A); reproductions of art works with accompanying text, where the writer is represented as the author (21.17B1); and musical settings for songs, etc. (21.19C1). Note that an added entry heading representing the person responsible for the previously existing work may be used in conjunction with a title that represents the augmenting work.

Entry under heading for author of augmenting work (Figure 3i)

Figure 3i depicts the “real world” entities that are reflected in an entry under a heading representing the person responsible for the augmenting work, where the content of the item includes a previously existing text, art works, or musical composition by another person as well as illustrations for a text; a commentary, interpretation, or exegesis; biographical or critical material; text accompanying reproductions of art works; a musical setting for a text; or an added accompaniment or parts for a musical composition.

The heading for the entry represents a bibliographic identity established by the person responsible for the creation of the intellectual or artistic content of the augmenting work (i.e., the illustrations, commentary, etc., biographical/critical material, text accompanying reproductions of art works, musical setting for a text, or added accompaniment or parts for a musical composition).

The item, in effect, contains two works: the previously existing work and the augmenting work (illustrations, commentary, etc., biographical/critical material, text accompanying the art works, or added accompaniment or parts). If the entry has a uniform title added to it, in specified cases (i.e., in the case of a text with illustrations and a musical composition with added accompaniment or parts) the uniform title always identifies the previously existing work. In other cases the uniform title identifies either the previously existing work or the augmenting work, depending on which of the two is emphasized in the chief source of information.

A main entry of the type depicted in **Figure 3i** is specified in rules for texts with commentary, etc., where the commentary, etc. is emphasized (21.13B1, 21.13D1); texts with biographical/critical material, where the biographical/critical material is emphasized (21.15A); reproductions of art works with accompanying text, where the writer is represented as the author (21.17B1); musical works that include previously existing text (21.19A1); and musical settings for ballets, etc. (21.20A).

Figure 3i: Entry under heading for author of augmenting work

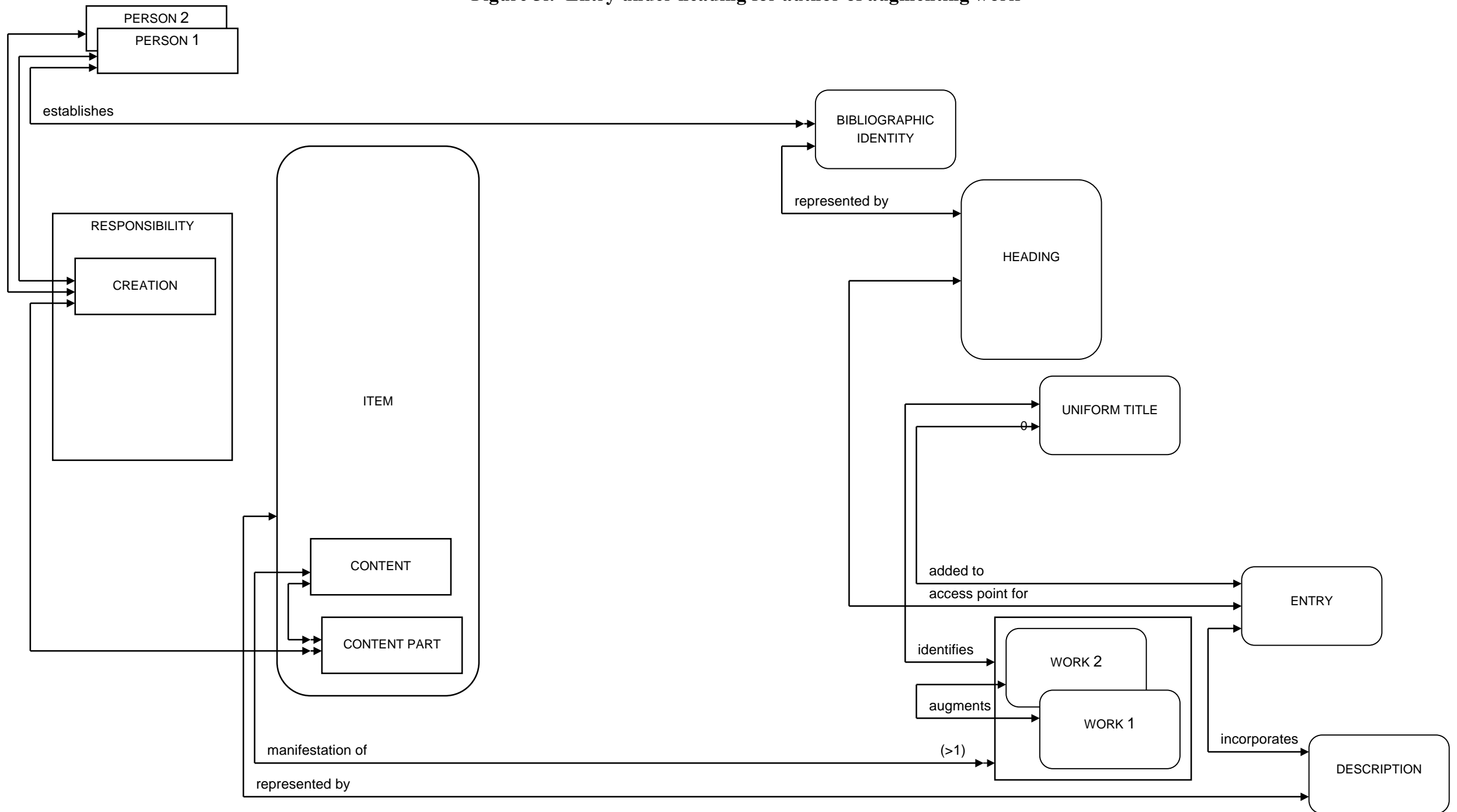
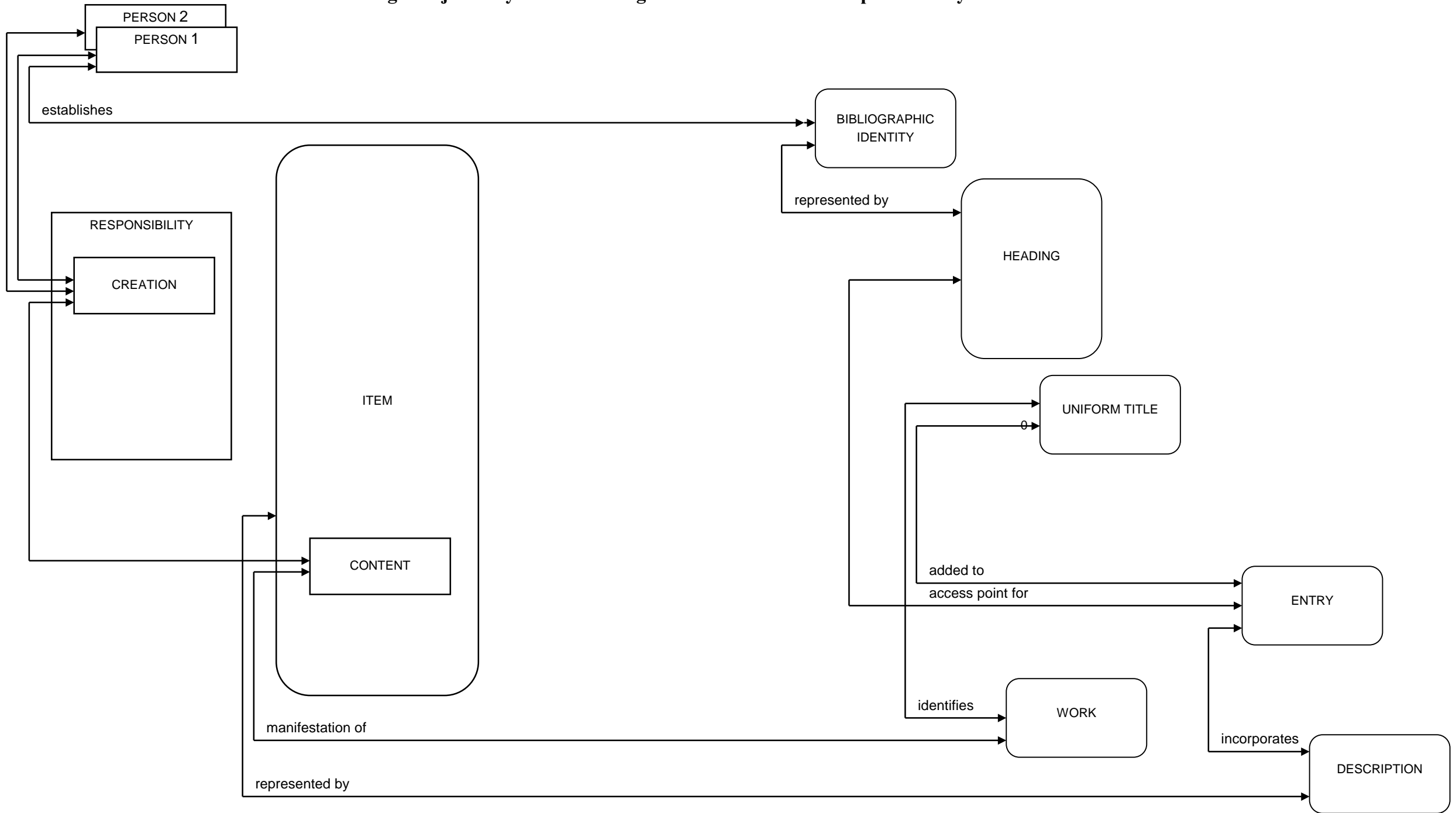


Figure 3j: Entry under heading for first named or more prominently named collaborator



An added entry of the type depicted in **Figure 3i** is specified in rules for illustrated texts (21.11A1, 21.30K2); texts with commentary, etc., where the original work is emphasized (21.13C1, 21.13D1); texts with biographical/critical material, where the original work is emphasized (21.15B); reproductions of art works with accompanying text, where the artist is emphasized (21.17B1); and musical compositions with added accompaniment or parts (21.21A). Note that an added entry heading representing the person responsible for the augmenting work may be used in conjunction with a title that represents the previously existing work.

Entry under heading for first named or more prominently named collaborator (Figure 3j)

Figure 3j depicts the “real world” entities that are reflected in an entry under a heading representing the first named or more prominently named collaborator where the collaborators have made different kinds of contributions to the work.

The heading for the entry represents a bibliographic identity established by one of the two persons collaborating in the creation of the intellectual or artistic content of the work (e.g., either the writer or the artist in a work of collaboration between writer and artist).

The content of the item is considered a single work. If the entry has a uniform title added to it, the uniform title identifies that work.

A main entry of the type depicted in **Figure 3j** is specified in the rule for works of collaboration between artist and writer (21.24A).

Entry under heading for collaborator in a work of shared responsibility (Figure 3k)

Figure 3k depicts the “real world” entities that are reflected in an entry under the heading for a collaborator (other than the principal author or first named author) in a work of shared responsibility. For an entry of this type, two or more persons are represented as “joint authors” of the work or works contained in the item described (i.e., responsibility for the creation of the intellectual or artistic the content of the work or works contained in the item is “shared” between those persons).

The heading for the entry represents a bibliographic identity established by a person other than the one represented as the principal author, as the first named of two or more principal authors, or as the first named author where principal responsibility is not indicated.

The item may contain one or more works by the persons sharing responsibility for the creation of the content. As noted under **Figure 3a**, if the entry has a uniform title added to it, the uniform title identifies one work. If the item contains more than one work, the uniform title may be co-extensive with the content of the item as a whole, or may represent only the first work named in the item.

Figure 3k: Entry under heading for collaborator (shared responsibility)

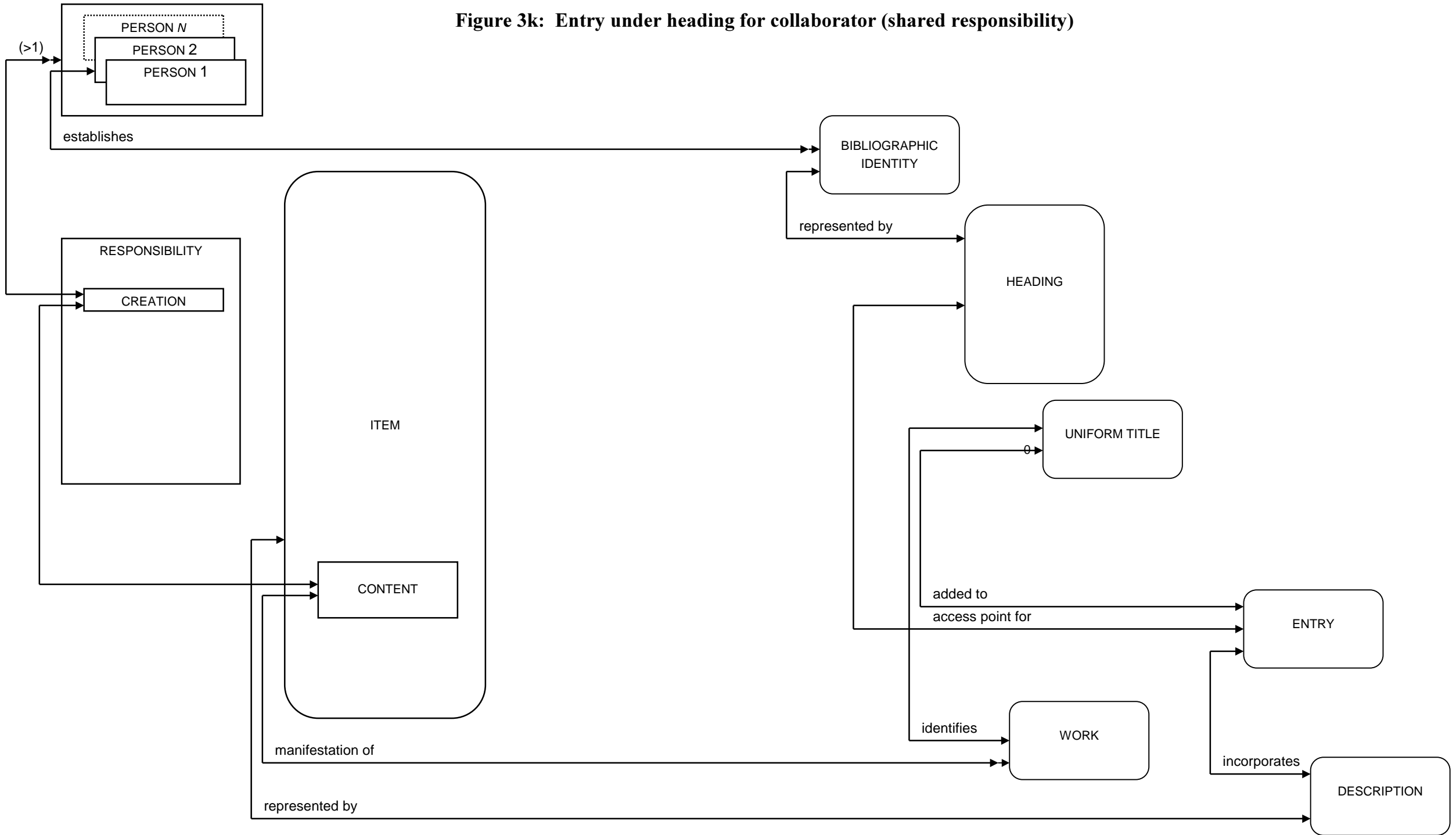
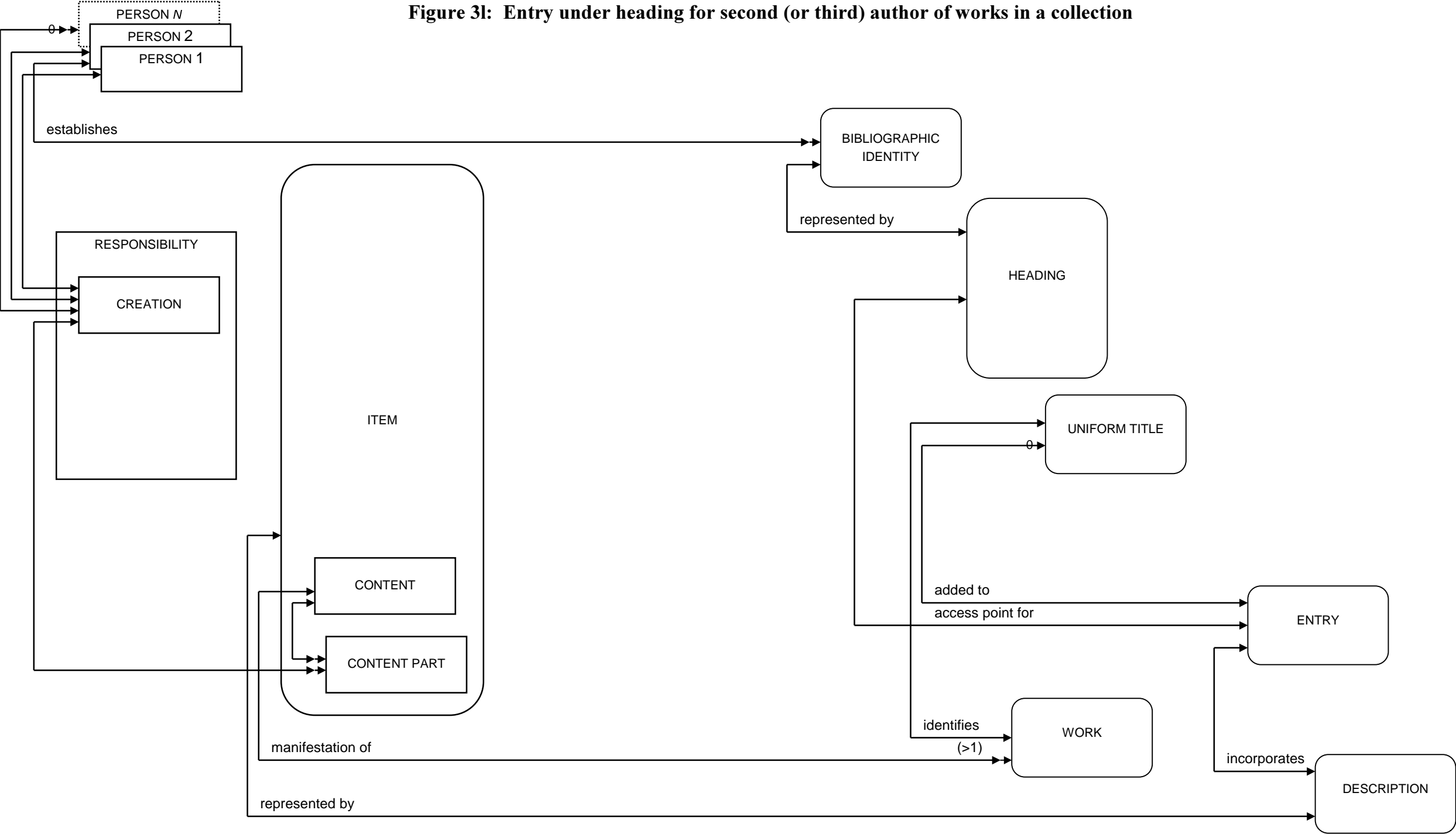


Figure 3l: Entry under heading for second (or third) author of works in a collection



An added entry of the type depicted in **Figure 3k** is specified in rules for works of shared responsibility (21.6B1, 21.6B2, 21.6C1); and in the rule for added entry under collaborator (21.30B1). Note that the rules limit the number of added entries for collaborators to two (in cases where there are no more than three persons responsible), and provide for an entry only under the principal author or first named collaborator in cases where there are four or more persons responsible.

Entry under heading for second (or third) author of works in a collection (Figure 3l)

Figure 3l depicts the “real world” entities that are reflected in an entry under a heading representing the second (or third) author named in an item containing two or more works (or extracts from two or more works) by different persons. For an entry of this type, different persons are responsible for the intellectual or artistic content of individual content parts contained in the item. In this particular case, the item contains more than three works but there are only two or three persons responsible for the works in the collection.

The heading for the entry represents a bibliographic identity established by one of the persons (other than the person responsible for the first work named in the chief source of information) responsible for the creation of two or more of the works contained in the item.

In this case the item contains more than one work. If the entry has a uniform title added to it, the uniform title identifies one work. The work represented by the uniform title may be co-extensive with the content of the item (i.e., the uniform title may represent the complete contents of the item by means of a collective title derived from the item itself). However, if the item lacks a collective title, the uniform title will represent only the first work named in the item.

An added entry of the type depicted in **Figure 3l** is specified in rules for collections of works by different persons (21.7B1, 21.7C1).

Entry under heading for second (or third) principal performer (Figure 3m)

Figure 3m depicts the “real world” entities that are reflected in an entry under a heading representing the second (or third) principal performer of a work or works contained in a sound recording. Two or three persons may be prominently represented as being responsible for the performance of the content of the item.

The heading for the entry represents a bibliographic identity established by the person represented as the second (or third) principal performer where more than one performer is given prominence in the chief source of information.

The item may contain one or more works by a single writer or composer, or by different writers or composers. As noted under **Figure 3a**, if the entry has a uniform title added to it, the uniform title identifies one work. If the item contains more than one work, the uniform title may be co-extensive with the content of the item as a whole, or may represent only the first work named in the item.

Figure 3m: Entry under heading for second (or third) principal performer

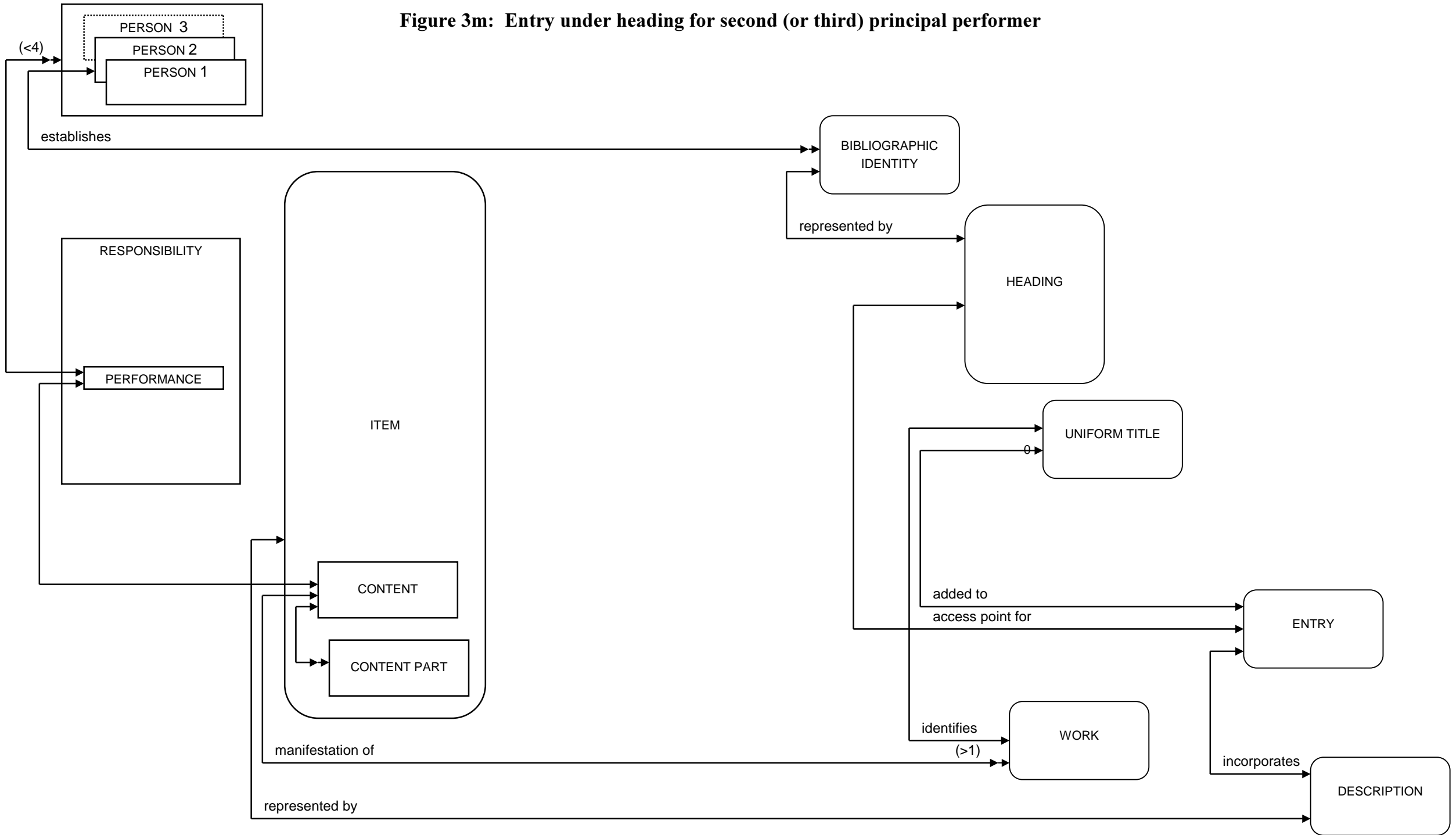
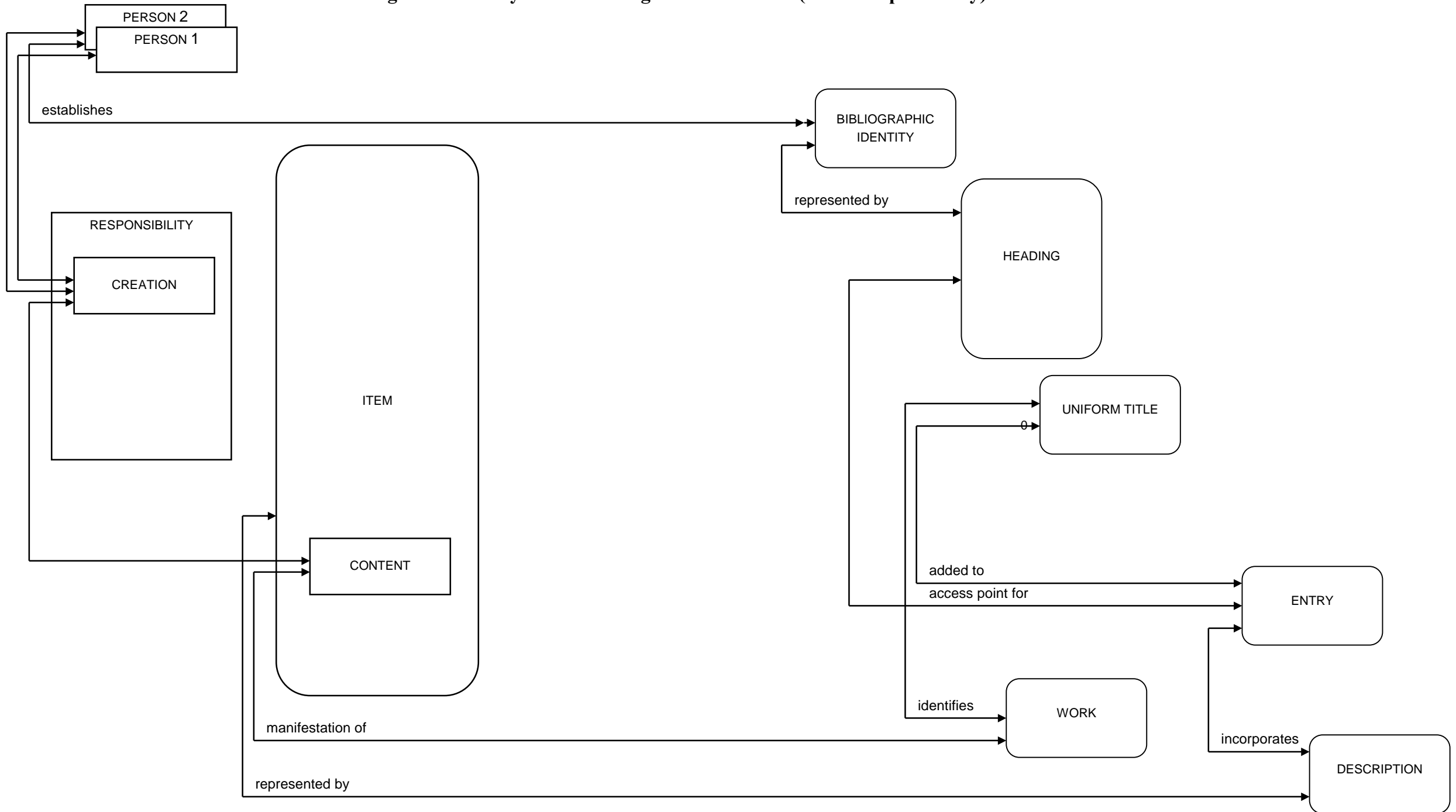


Figure 3n: Entry under heading for collaborator (mixed responsibility)



An added entry of the type depicted in **Figure 3m** is specified in rules for sound recordings containing one work (21.23A1); sound recordings containing two or more works by the same person or body (21.23B1); and sound recordings containing collections of works by different persons (21.23C1, 21.23D1). Note that the rules limit the number of added entries for principal performers to two (in cases where there are no more than three principal performers), and provide for an entry only under the principal performer or first named principal performer in cases where there are four or more principal performers.

Entry under heading for collaborator in a work of mixed responsibility (Figure 3n)

Figure 3n depicts the “real world” entities that are reflected in an entry under a heading representing the less prominently named collaborator where the collaborators have made different kinds of contributions to the work.

The heading for the entry represents a bibliographic identity established by one of the two persons collaborating in the creation of the intellectual or artistic content of the work (e.g., either the writer or the artist in a work of collaboration between writer and artist).

The content of the item is considered a single work. If the entry has a uniform title added to it, the uniform title identifies that work.

An added entry of the type depicted in **Figure 3n** is specified in the rule for works of collaboration between artist and writer (21.24A); and in the rule for added entry under collaborator (21.30B1).

Entry under heading for editor(s) or compiler(s) (Figure 3o)

Figure 3o depicts the “real world” entities that are reflected in an entry under a heading representing the person responsible for editing a work of shared responsibility or compiling a collection of works or extracts of works by different persons. One or more persons may be represented as being responsible for compiling and/or editing the content of the item.

The heading for the entry represents a bibliographic identity established by a person prominently named as a compiler or editor. Entries may be made for up to three compilers or editors, if there are no more than three named prominently. If there are more than three, an entry is made only for the principal compiler or editor, or the one named first.

The item may contain one or more works of shared responsibility, or a collection of works by different persons. As noted under **Figure 3a**, if the entry has a uniform title added to it, the uniform title identifies one work. If the item contains more than one work, the uniform title may be co-extensive with the content of the item as a whole, or may represent only the first work named in the item.

Figure 30: Entry under heading for editor(s) or compiler(s)

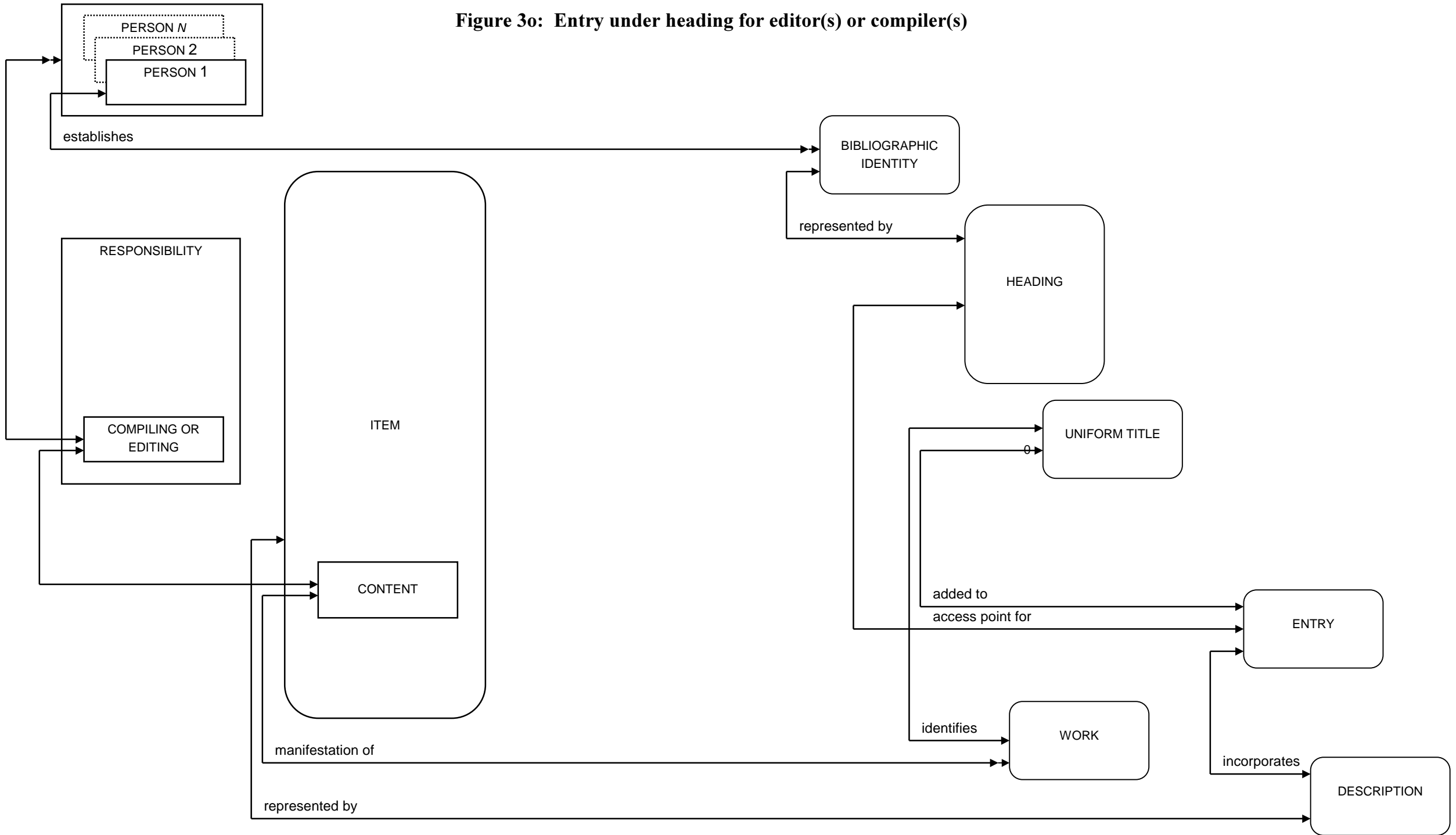
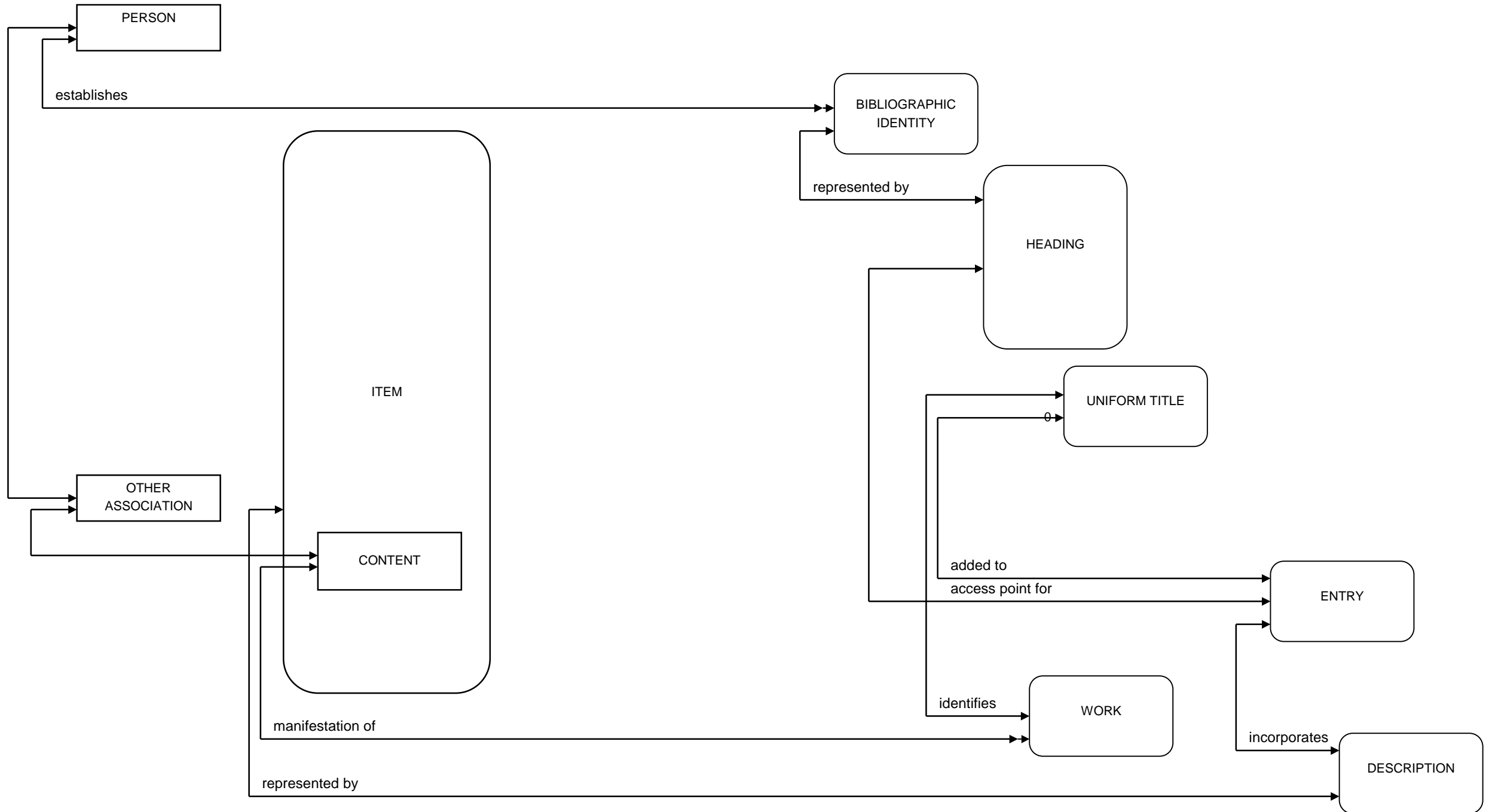


Figure 3p: Entry under heading for other related person



An added entry of the type depicted in **Figure 3o** is specified in rules for collections of official communications (21.4D1); works of shared responsibility (21.6C2); collections of works by different persons (21.7B1, 21.7C1); the rule for added entries for editors and compilers (21.30D1); rules for collections of laws (21.31B1); ancient laws, etc. (21.31C1); and law reports (21.36A1, 21.36A2). Note that the rules limit the number of added entries for editors and compilers to three (in cases where there are no more than three editors or compilers prominently named), and provide for an added entry only under the principal or first named editor or compiler in cases where there are four or more prominently named.

Entry under heading for other related person (Figure 3p)

Figure 3p depicts the “real world” entities that are reflected in an entry under a heading representing a person associated with the content of the item in a way other than having responsibility for creating, modifying, performing, compiling, or editing the content. The association may be one involving attribution of authorship, participation in an interview or exchange, acting as a medium for a spirit communication, acting as praeses, respondent, etc. in an academic disputation, acting as defendant, plaintiff, etc. in a court proceeding, etc., being the addressee of a collection of letters, the honouree of a festschrift, etc. The association may also be one between a set of separately published illustrations and the writer of the work(s) illustrated, or between a musical composition loosely based on another composer’s work and that other composer.

The heading for the entry represents a bibliographic identity established by a person associated with the content of the item in one of the ways noted above.

The item may contain one or more works. As noted under **Figure 3a**, if the entry has a uniform title added to it, the uniform title identifies one work. If the item contains more than one work, the uniform title may be co-extensive with the content of the item as a whole, or may represent only the first work named in the item.

A main entry of the type depicted in **Figure 3p** is specified in rules for reports of interviews and exchanges (21.25A); academic disputations (21.27A); and rules for reports of court decisions, cases, etc. (21.36C1, 21.36C2, 21.36C3, 21.36C4, 21.36C8).

An added entry of the type depicted in **Figure 3p** is specified in rules for works erroneously or fictitiously attributed to a person (21.4C1); works of uncertain authorship (21.5A, 21.5B); separately published illustrations (21.11B1); reproductions of art works (21.16B); musical works based on compositions by another composer (21.18C1); reports of interviews or exchanges (21.25A, 21.25B); spirit communications (21.26A); academic disputations (21.27A); added entries for other related persons (21.30F); for reports of court decisions, cases, etc. (21.36C1, 21.36C2, 21.36C3, 21.36C4, 21.36C5, 21.36C6, 21.36C7, 21.36C8, 21.36C9); and theological creeds, etc. (21.38A).

Entry under corporate name heading (Figures 4a-4k)

Figures 4a-4k illustrate the range of entries that are specified in the rules for entry under a corporate name heading. Each diagram shows the specific relationships between the “real world” entities that come into play for the entry illustrated.

Entry under heading for corporate body (Figure 4a)

Figure 4a depicts the “real world” entities that are reflected in an entry under the heading for the corporate body from which the content of the item emanates (i.e., the body that issued, caused to be issued, or originated the content of the item).

The heading for the entry represents a bibliographic identity established by the corporate body from which the content of the item emanates.

Note that the item may contain one or more works by the body from which the content emanates. If the entry has a uniform title added to it, the uniform title identifies one work. If the item contains more than one work, the work represented by the uniform title may be co-extensive with the content of the item, or it may represent only the first work named in the item.

A main entry of the type depicted in **Figure 4a** is specified in rules for works emanating from a single corporate body (21.4B1); works erroneously or fictitiously attributed to a corporate body (21.4C2); certain works by heads of state, etc. (21.4D1); works that probably emanate from a particular corporate body (21.5B); liturgical music (21.22A); a sound recording containing work(s) by a corporate body (21.23A1, 21.23B1); laws, etc. (21.31B1, 21.31B2, 21.31B3); administrative regulations, etc. (21.32A1, 21.32A2, 21.32B1, 21.32C1); constitutions, etc. (21.33A, 21.33B, 21.33C1); court rules (21.34A, 21.34B); treaties, etc. (21.35A, 21.35B1, 21.35C1, 21.35D1-21.35D4, 21.35E1-21.35E2, 21.35F1-21.35F3); certain works reporting court decisions, cases, etc. (21.36A1, 21.36C5-21.36C6, 21.36C8-21.36C9); and certain liturgical works (21.39A1-21.39A3, 21.39B1).

An added entry of the type depicted in **Figure 4a** is specified in rules for official communications by heads of state, etc. (21.4D1); and constitutions, etc. (21.33A, 21.33B, 21.33C1)

Entry under heading for corporate body with principal responsibility or first named corporate body (Figure 4b)

Figure 4b depicts the “real world” entities that are reflected in an entry under the heading for the corporate body with principal responsibility or first named corporate body responsible for a work of shared responsibility. For an entry of this type, two or more bodies are represented as being jointly responsible for the work or works contained in the item described.

Figure 4a: Entry under heading for corporate body

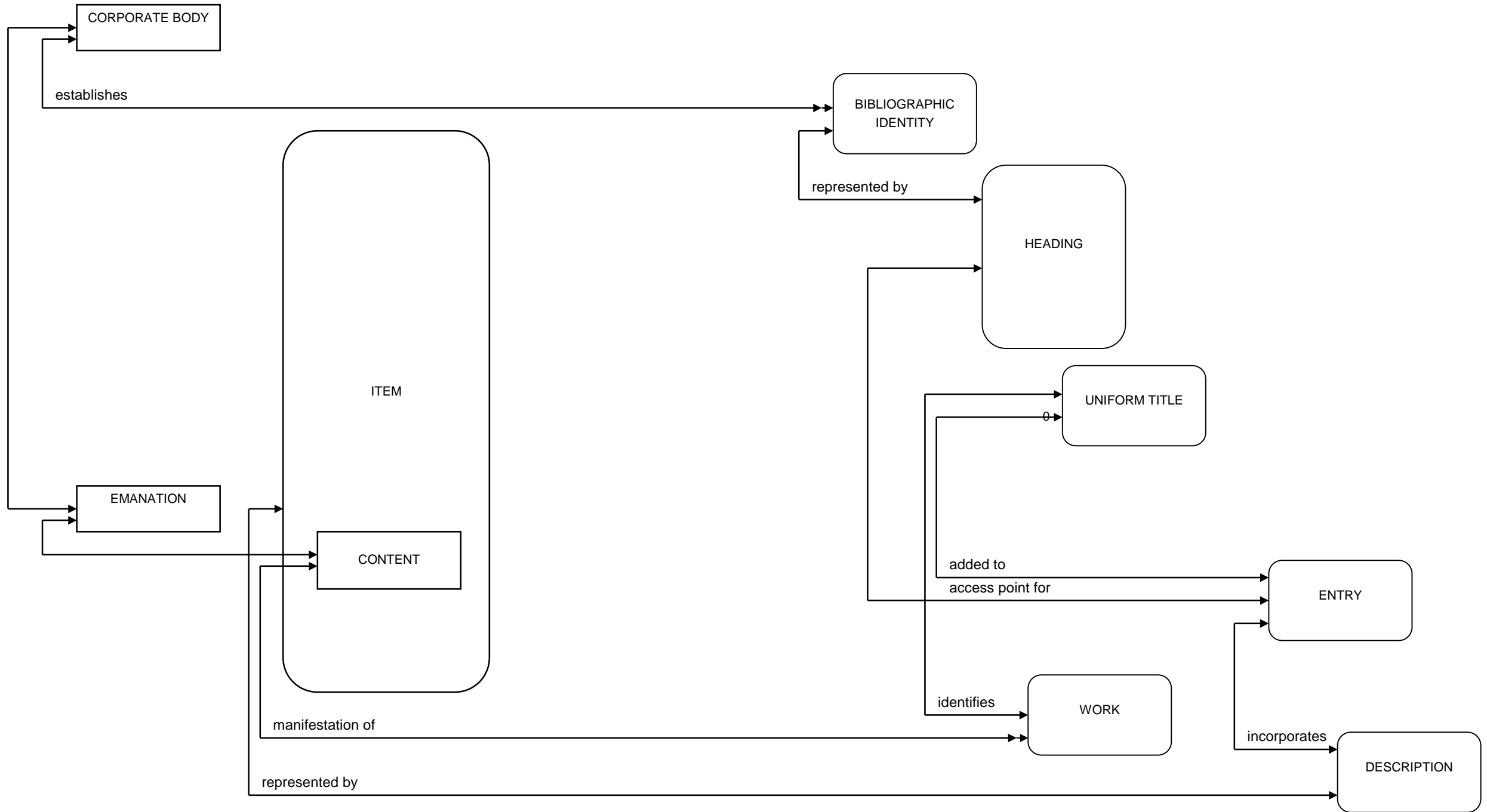
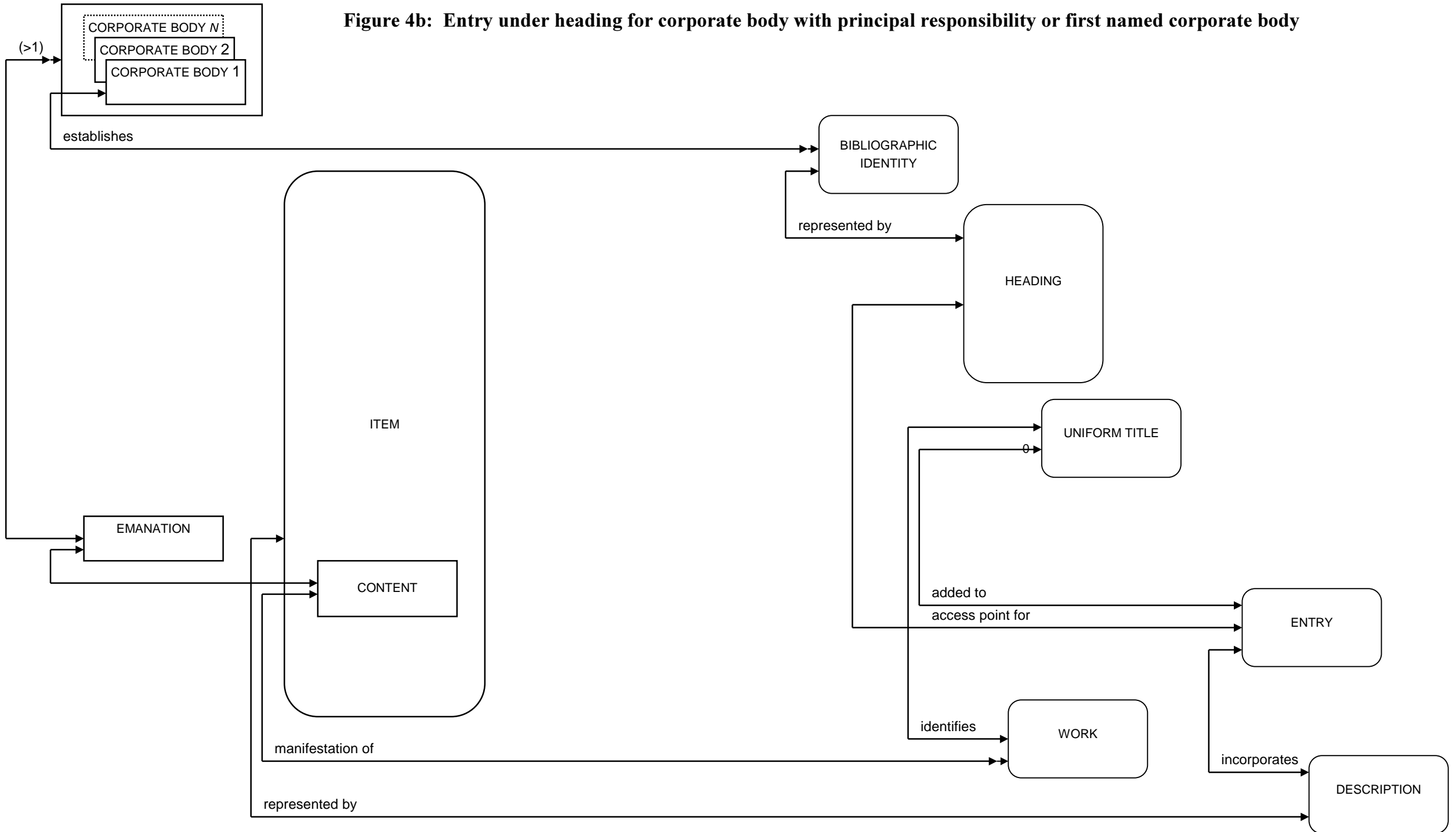


Figure 4b: Entry under heading for corporate body with principal responsibility or first named corporate body



The heading for the entry represents a bibliographic identity established by the body represented as the body with principal responsibility, as the first named of two or more bodies with principal responsibility, or as the first named body where principal responsibility is not indicated.

The item may contain one or more works emanating from bodies sharing responsibility for the content. As noted under **Figure 4a**, if the entry has a uniform title added to it, the uniform title identifies one work, which may be co-extensive with the content of the item as a whole, or may represent only the first work named in the item.

A main entry of the type depicted in **Figure 4b** is specified in rules for works of shared responsibility (21.6B1, 21.6B2, 21.6C1).

An added entry of the type depicted in **Figure 4b** is specified in rules for works of shared responsibility where more than three corporate bodies are involved (21.6C2).

For entry under the heading for the second or third corporate body sharing responsibility for the content of the item see **Figure 4h**.

Entry under heading for corporate body responsible for first named work or first named corporate body (Figure 4c)

Figure 4c depicts the “real world” entities that are reflected in an entry under a heading representing the corporate body responsible for the first named work or the first named corporate body in an item containing two or more works (or extracts from two or more works) by different bodies. For an entry of this type, different bodies are responsible for the content of individual content parts contained in the item.

The heading for the entry represents a bibliographic identity established by the body responsible for the first work named in the chief source of information (where the item lacks a collective title) or the first body named in the chief source of information (where the item has a collective title and contains more than three works).

In this case the item contains more than one work. If the entry has a uniform title added to it, the uniform title identifies one work. The work represented by the uniform title may be co-extensive with the content of the item (i.e., the uniform title may represent the complete contents of the item by means of a collective title derived from the item itself). However, if the item lacks a collective title, the uniform title will represent only the first work named in the item.

A main entry of the type depicted in **Figure 4c** is specified in rules for collections of works by different bodies lacking a collective title (21.7C1); collections of translations of works by different bodies lacking a collective title (21.14B); sound recordings containing collections of works by different bodies lacking a collective title (21.23D1); and collections of works reporting court decisions, cases, etc. lacking a collective title (21.36C9).

An added entry of the type depicted in **Figure 4c** is specified in rules for collections of works by different bodies with a collective title (21.7B1).

Figure 4c: Entry under heading for corporate body responsible for first named work or first named corporate body

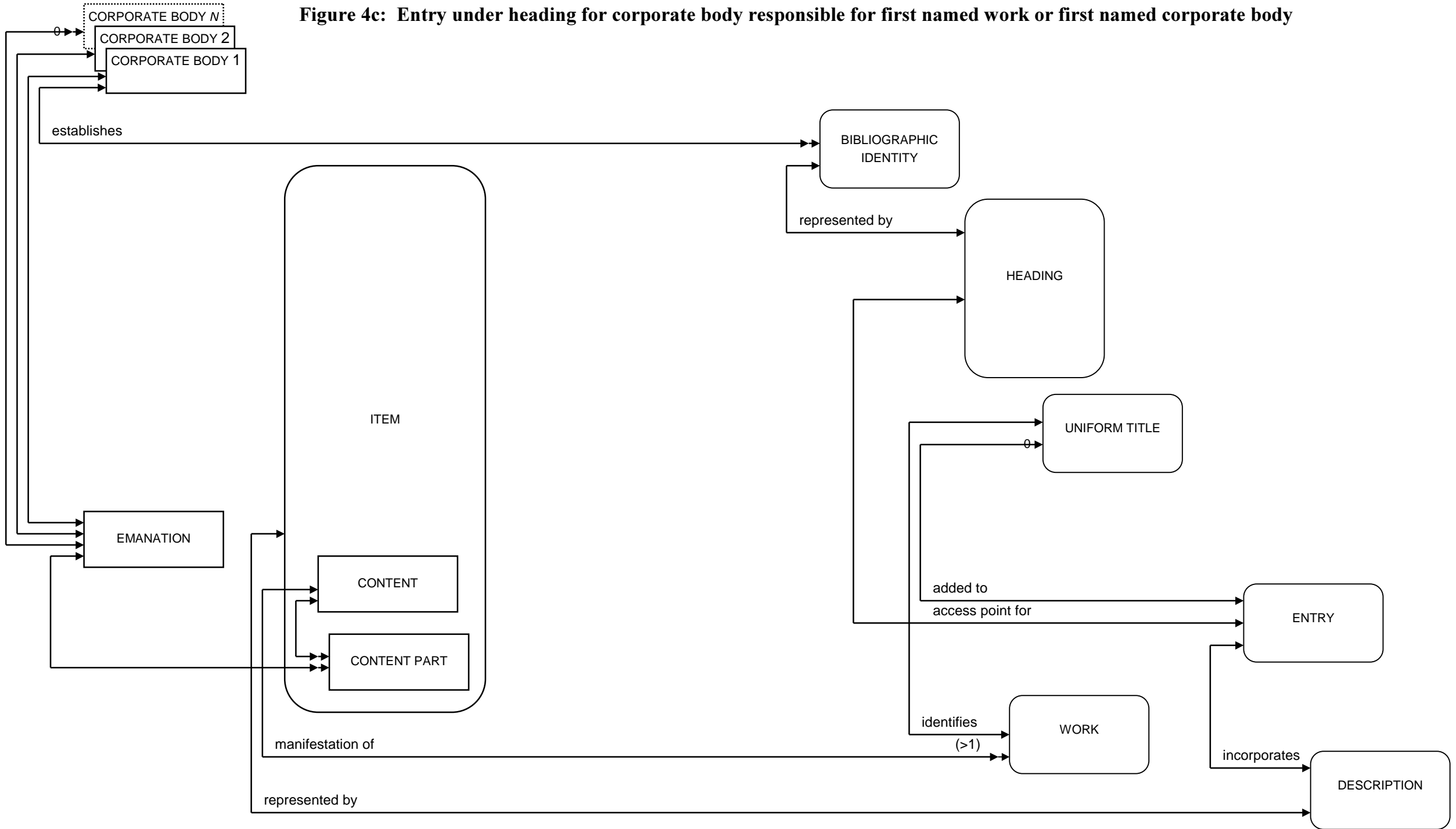
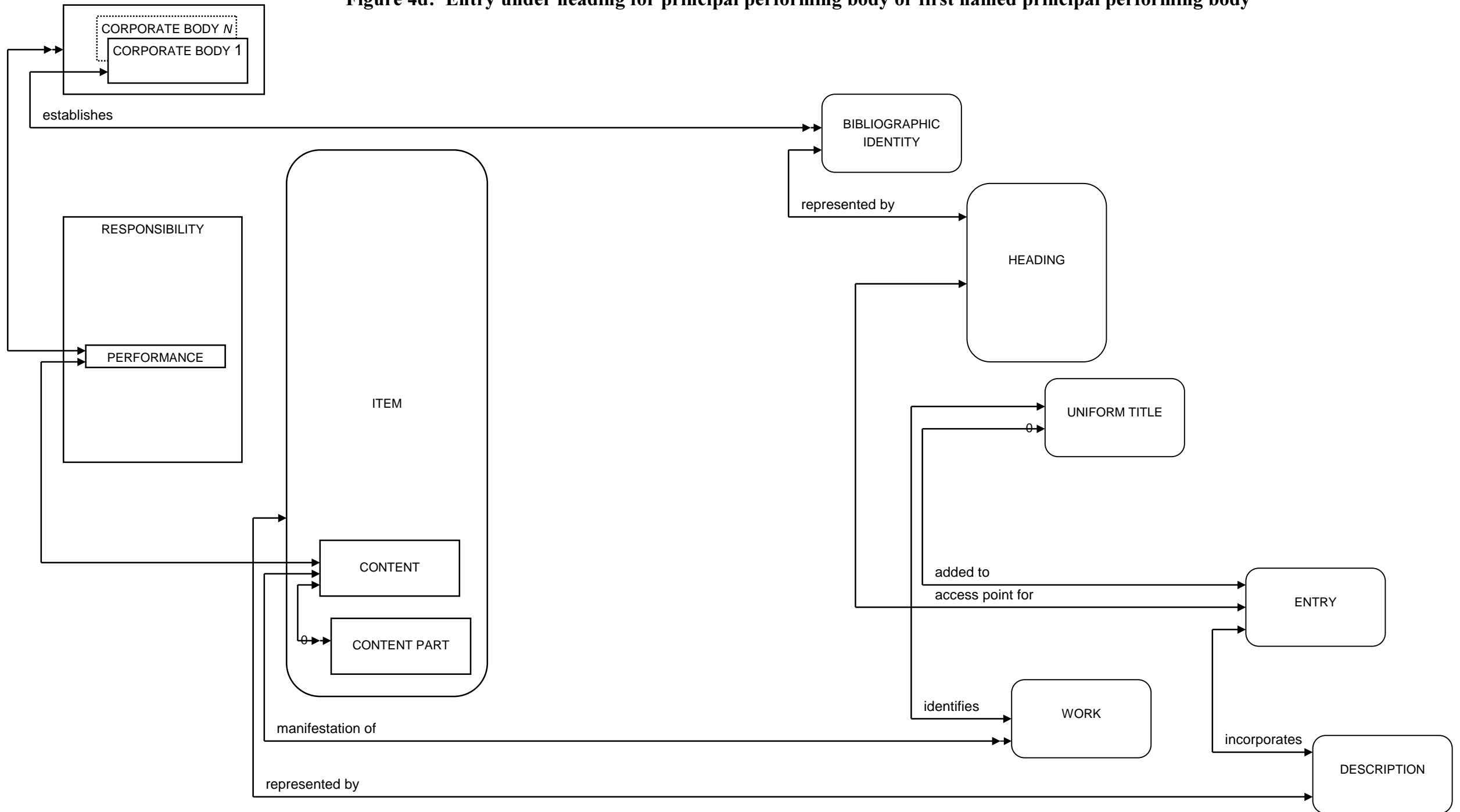


Figure 4d: Entry under heading for principal performing body or first named principal performing body



Entry under heading for principal performing body or first named principal performing body (Figure 4d)

Figure 4d depicts the “real world” entities that are reflected in an entry under a heading representing the principal performing body or first named principal performing body of a work or works contained in a sound recording. One or more bodies may be represented as being responsible for the performance of the content of the item.

The heading for the entry represents a bibliographic identity established by the body represented as the principal performing body or the first named principal performing body where more than one performing body is given prominence in the chief source of information.

The item may contain one or more works by a single writer or composer, or by different writers or composers. As noted under **Figure 4a**, if the entry has a uniform title added to it, the uniform title identifies one work. If the item contains more than one work, the uniform title may be co-extensive with the content of the item as a whole, or may represent only the first work named in the item.

A main entry of the type depicted in **Figure 4d** is specified in rules for sound recordings containing collections of works by different persons (21.23C1, 21.23D1).

An added entry of the type depicted in **Figure 4d** is specified in rules for sound recordings containing one work (21.23A1); sound recordings containing two or more works by the same person or body (21.23B1); and sound recordings containing collections of works by different persons (21.23D1).

Entry under heading for body responsible for augmented work (Figure 4e)

Figure 4e depicts the “real world” entities that are reflected in an entry under a heading representing the body responsible for the previously existing work, where the content of the item includes in addition to that work a commentary, interpretation, or exegesis by another person or body.

The heading for the entry represents a bibliographic identity established by the body responsible for the content of the previously existing work.

The item, in effect, contains two works: the previously existing work and the augmenting work (commentary, etc.). If the entry has a uniform title added to it, the uniform title identifies either the previously existing work or the augmenting work, depending on which of the two is emphasized in the chief source of information.

A main entry of the type depicted in **Figure 4e** is specified in rules for texts with commentary, etc., where the original work is emphasized (21.13C1, 21.13D1).

An added entry of the type depicted in **Figure 4e** is specified in rules for texts with commentary, etc., where the commentary, etc. is emphasized (21.13B1, 21.13D1).

Figure 4e: Entry under heading for corporate body responsible for augmented work

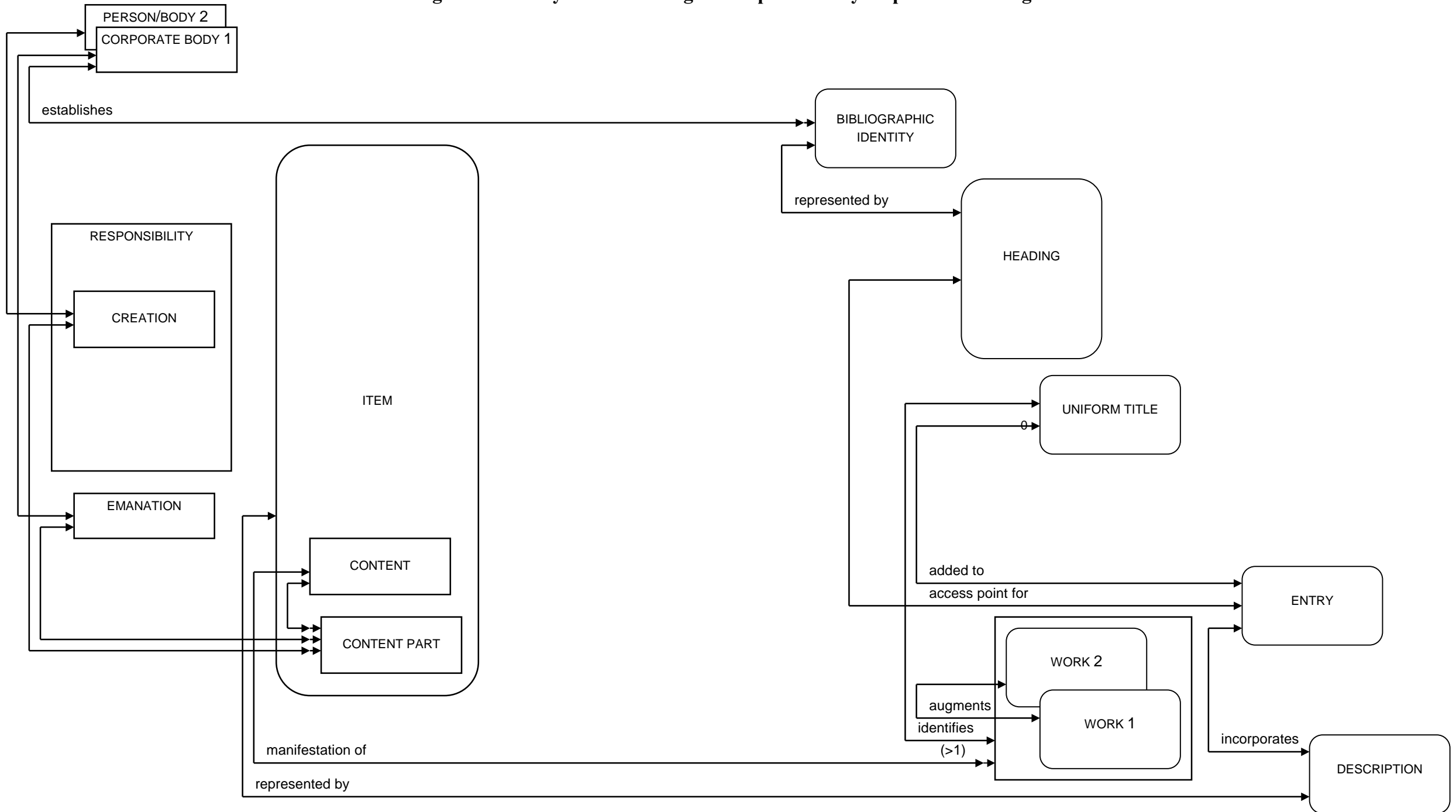
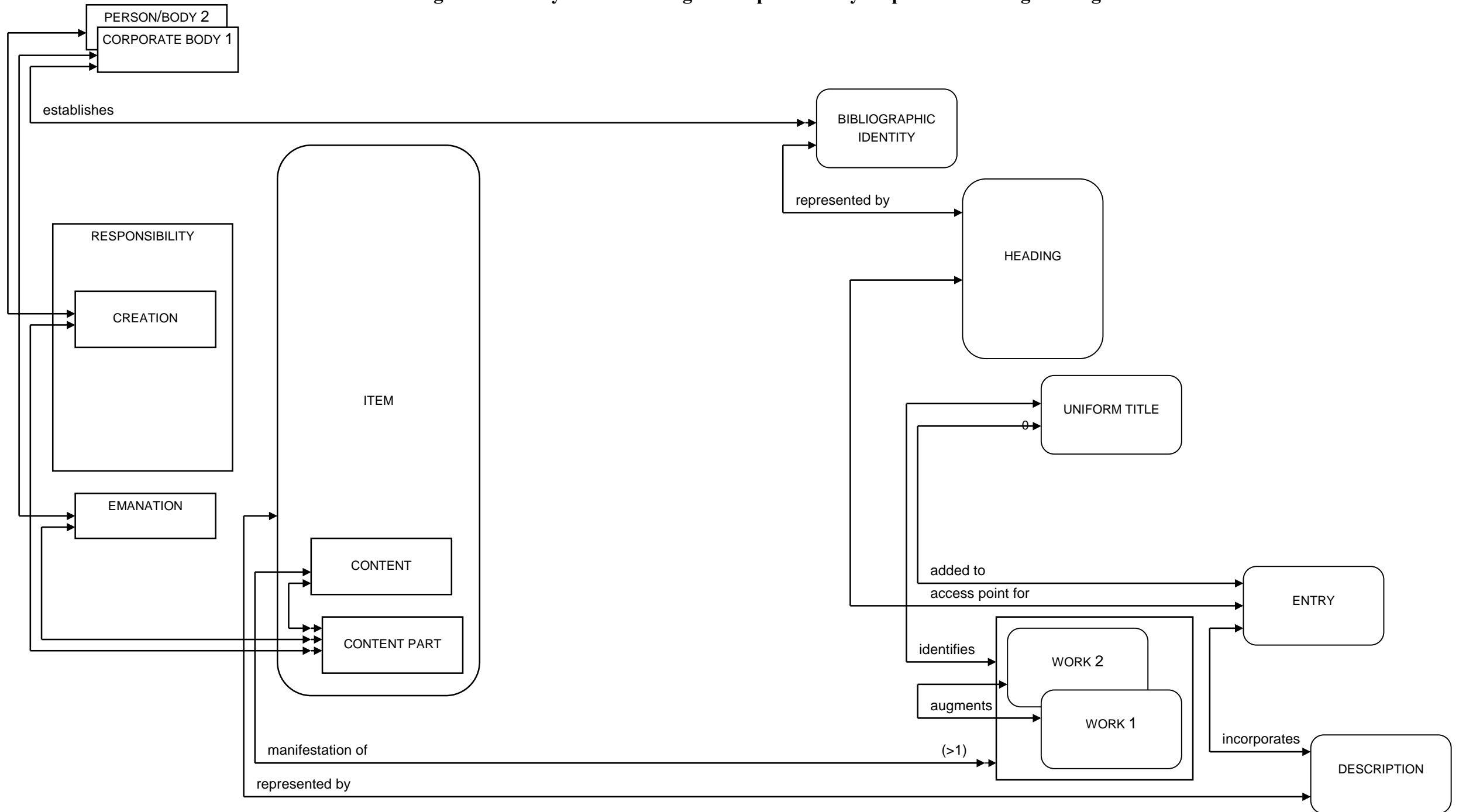


Figure 4f: Entry under heading for corporate body responsible for augmenting work



Entry under heading for corporate body responsible for augmenting work (Figure 4f)

Figure 4f depicts the “real world” entities that are reflected in an entry under a heading representing the body responsible for the augmenting work, where the content of the item includes a previously existing text, art works, or musical composition by another person or body as well as a commentary, interpretation, or exegesis.

The heading for the entry represents a bibliographic identity established by the body responsible for the content of the augmenting work (i.e., commentary, etc.).

The item, in effect, contains two works: the previously existing work and the augmenting work (commentary, etc.). If the entry has a uniform title added to it, the uniform title identifies either the previously existing work or the augmenting work, depending on which of the two is emphasized in the chief source of information.

A main entry of the type depicted in **Figure 4f** is specified in rules for texts with commentary, etc., where the commentary, etc. is emphasized (21.13B1, 21.13D1).

An added entry of the type depicted in **Figure 4f** is specified in rules for texts with commentary, etc., where the original work is emphasized (21.13C1, 21.13D1).

Entry under heading for corporate body responsible for original work (Figure 4g)

Figure 4g depicts the “real world” entities that are reflected in an entry under a heading representing the body responsible for the original work, where the content of the item is a translation of a previously existing work.

The heading for the entry represents a bibliographic identity established by the body responsible for the original work on which the content of the item is based.

If the entry has a uniform title added to it, the uniform title identifies the original work, not the modification contained in the item.

A main entry of the type depicted in **Figure 4g** is specified in the rule for translations (21.14A).

Entry under heading for second (or third) corporate body responsible for a work of shared responsibility (Figure 4h)

Figure 4h depicts the “real world” entities that are reflected in an entry under the heading for a corporate body (other than the principal body or first named body) in a work of shared responsibility. For an entry of this type, the content of the item emanates from two or more bodies.

The heading for the entry represents a bibliographic identity established by a body other than the one with principal responsibility, the first named of two or more principal bodies, or the first named body where principal responsibility is not indicated.

Figure 4g: Entry under heading for corporate body responsible for original work

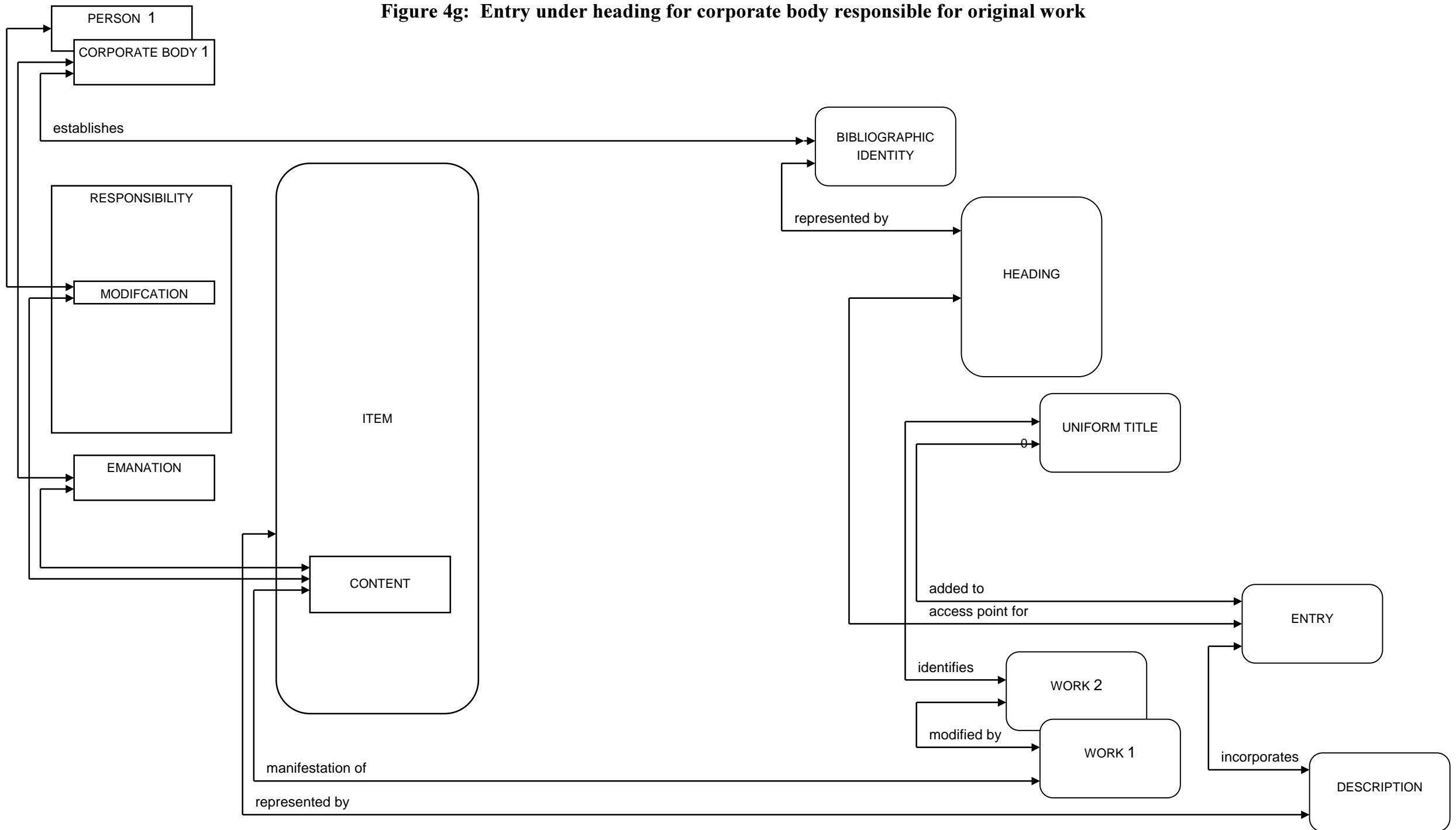
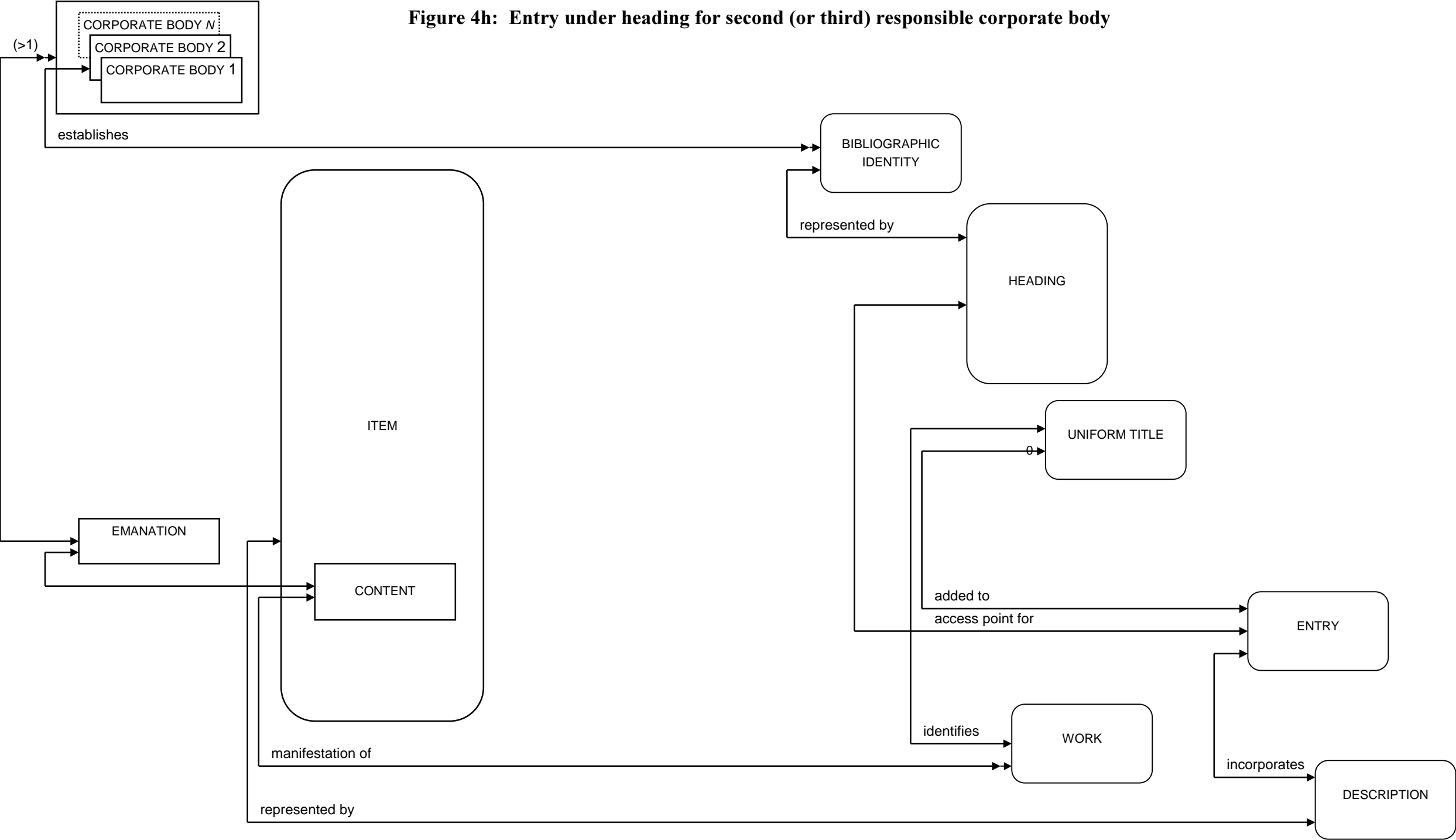


Figure 4h: Entry under heading for second (or third) responsible corporate body



The item may contain one or more works emanating from the bodies sharing responsibility for the content. As noted under **Figure 4a**, if the entry has a uniform title added to it, the uniform title identifies one work. If the item contains more than one work, the uniform title may be co-extensive with the content of the item as a whole, or may represent only the first work named in the item.

An added entry of the type depicted in **Figure 4h** is specified in rules for works of shared responsibility (21.6B1, 21.6B2, 21.6C1); and in the rule for added entry under collaborator (21.30B1). Note that the rules limit the number of added entries for collaborating bodies to two (in cases where there are no more than three bodies responsible), and provide for an entry only under the principal body or first named body in cases where there are four or more bodies responsible.

Entry under heading for second (or third) corporate body responsible for works in a collection (Figure 4i)

Figure 4i depicts the “real world” entities that are reflected in an entry under a heading representing the second (or third) corporate body named in an item containing two or more works (or extracts from two or more works) by different bodies. For an entry of this type, different bodies are responsible for the content of individual content parts contained in the item. In this particular case, the item contains more than three works but there are only two or three bodies responsible for the works in the collection.

The heading for the entry represents a bibliographic identity established by one of the bodies (other than the body responsible for the first work named in the chief source of information) responsible for two or more of the works contained in the item.

In this case the item contains more than one work. If the entry has a uniform title added to it, the uniform title identifies one work. The work represented by the uniform title may be co-extensive with the content of the item (i.e., the uniform title may represent the complete contents of the item by means of a collective title derived from the item itself). However, if the item lacks a collective title, the uniform title will represent only the first work named in the item.

An added entry of the type depicted in **Figure 4i** is specified in rules for collections of works by different bodies (21.7B1, 21.7C1).

Entry under heading for second (or third) principal performing body (Figure 4j)

Figure 4j depicts the “real world” entities that are reflected in an entry under a heading representing the second (or third) principal performing body of a work or works contained in a sound recording. Two or three bodies may be prominently represented as being responsible for the performance of the content of the item.

The heading for the entry represents a bibliographic identity established by the body represented as the second (or third) principal performing body where more than one performing body is given prominence in the chief source of information.

Figure 4i: Entry under heading for second (or third) corporate body responsible for works in a collection

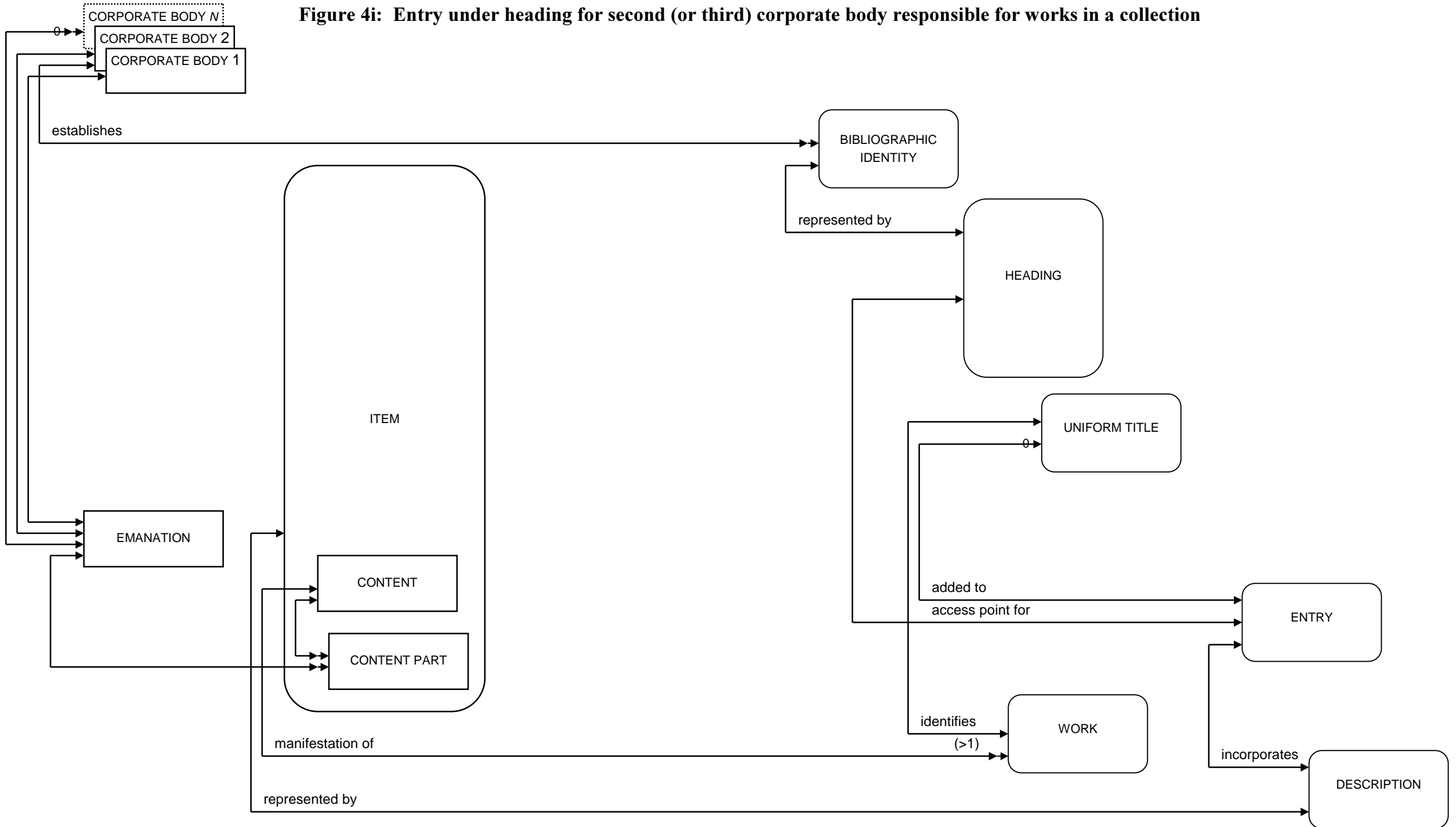
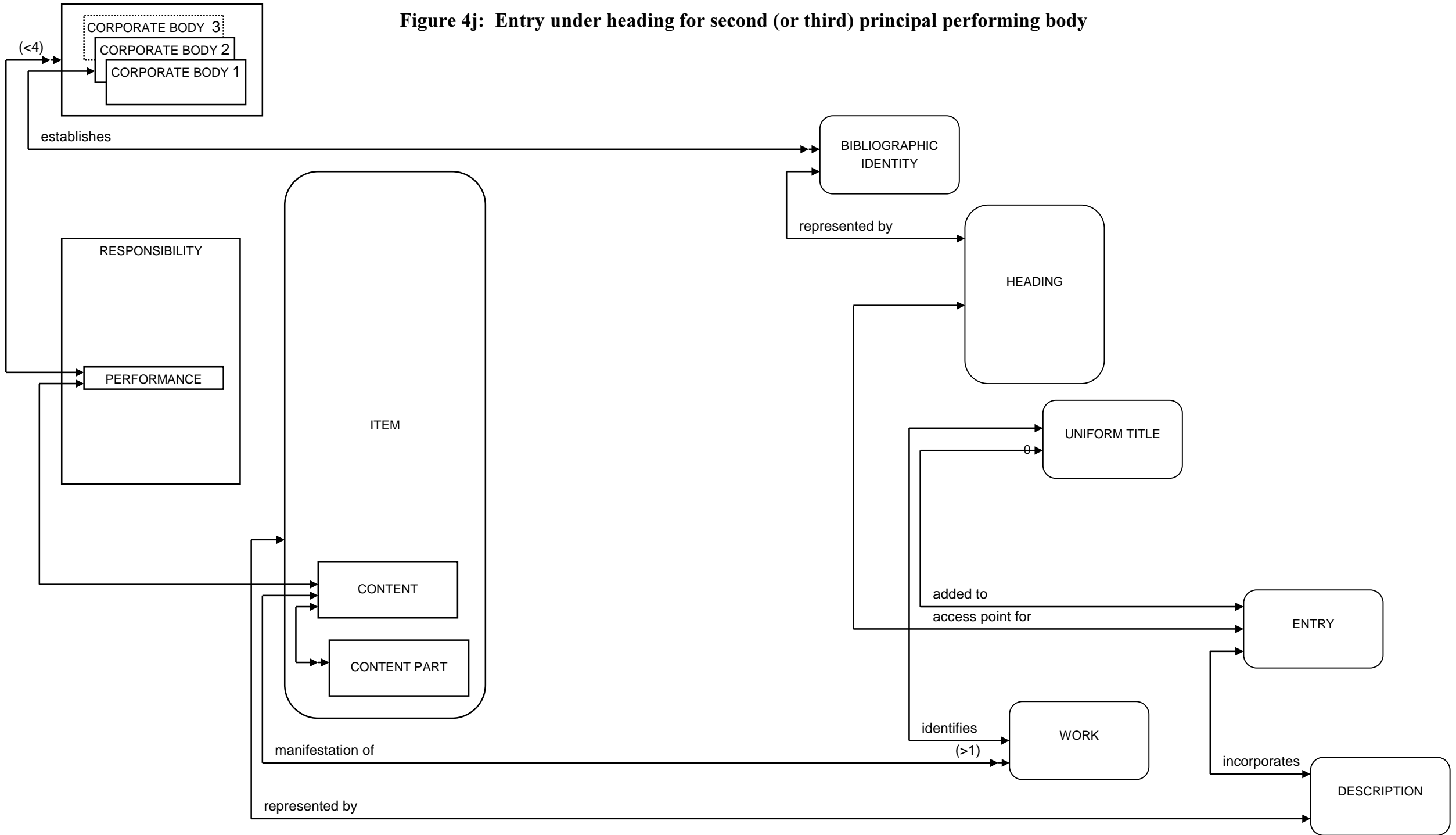


Figure 4j: Entry under heading for second (or third) principal performing body



The item may contain one or more works by a single writer or composer, or by different writers or composers. As noted under **Figure 4a**, if the entry has a uniform title added to it, the uniform title identifies one work. If the item contains more than one work, the uniform title may be co-extensive with the content of the item as a whole, or may represent only the first work named in the item.

An added entry of the type depicted in **Figure 4j** is specified in rules for sound recordings containing one work (21.23A1); sound recordings containing two or more works by the same person or body (21.23B1); and sound recordings containing collections of works by different persons (21.23C1, 21.23D1). Note that the rules limit the number of added entries for principal performing bodies to two (in cases where there are no more than three principal performing bodies), and provide for an entry only under the principal performing body or first named performing body in cases where there are four or more principal performing bodies.

Entry under heading for prominently named or other related corporate body (Figure 4k)

Figure 4k depicts the “real world” entities that are reflected in an entry under a heading representing a body associated with the content of the item in a way other than having responsibility for issuing, originating, or performing the content. The association may be one involving attribution of responsibility, acting as defendant, plaintiff, etc. in a court proceeding, etc., being the venue for an exhibition, etc. The association may be one between the item and any body prominently named in the item that functions other than simply as a publisher, distributor or manufacturer.

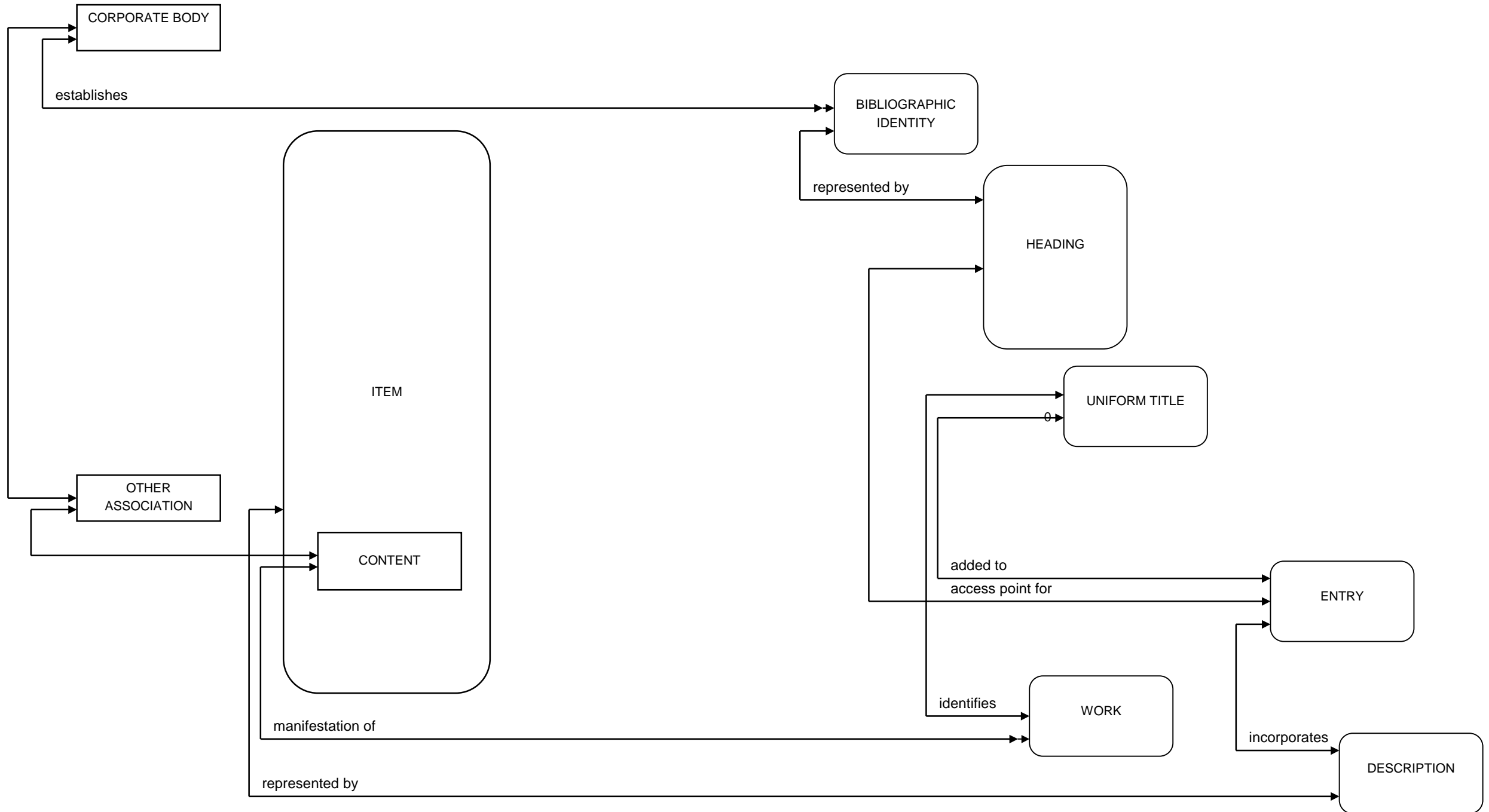
The heading for the entry represents a bibliographic identity established by a body associated with the content of the item in one of the ways noted above.

The item may contain one or more works. As noted under **Figure 4a**, if the entry has a uniform title added to it, the uniform title identifies one work. If the item contains more than one work, the uniform title may be co-extensive with the content of the item as a whole, or may represent only the first work named in the item.

A main entry of the type depicted in **Figure 4k** is specified in rules for laws, etc. (21.31B1-21.31B2) administrative regulations (21.32B1, 21.32C1); constitutions, etc. (21.33A); court rules (21.34A); and rules for reports of court decisions, cases, etc. (21.36A1, 21.36C5-21.36C6, 21.36C8-21.36C9).

An added entry of the type depicted in **Figure 4k** is specified in rules for works erroneously or fictitiously attributed to a body (21.4C1); works of uncertain attribution (21.5A, 21.5B); reproductions of art works (21.16B); added entries for prominently named corporate bodies (21.30E1); added entries for other related bodies (21.30F1); laws governing more than one jurisdiction (21.31B2); administrative regulations (21.32A1); constitutions, etc. (21.33A); court rules (21.34A); reports of court decisions, cases, etc. (21.36A1-21.36A2, 21.36B1, 21.36C1-21.36C9); theological creeds, etc. (21.38A); and liturgical works (21.39A1-21.39A2, 21.39B1, 21.39C1).

Figure 4k: Entry under heading for prominently named or other related corporate body



Entry under title (Figures 5a-5g)

Figures 5a-5g illustrate the range of entries that are specified in the rules for entry under title. Each diagram shows the specific relationships between the “real world” entities that come into play for the entry illustrated.

Entry under title for a work of unknown authorship or by an unnamed group (Figure 5a)

Figure 5a depicts the “real world” entities that are reflected in an entry under the title for a work of unknown authorship or by an unnamed group.

The entry may or may not have a heading superimposed as an access point. If a uniform title has been added to the entry, the uniform title functions *de facto* as the heading. If there is no uniform title, the title proper of the item may be superimposed on the entry as the heading (see 0.6). If there is no heading superimposed on the entry, the lead element for the entry is the first element in the description (i.e., the title proper).

Note that the item may contain one or more works by the body from which the content emanates. If the entry has a uniform title added to it, the uniform title identifies one work. If the item contains more than one work, the work represented by the uniform title may be co-extensive with the content of the item, or it may represent only the first work named in the item.

A main entry of the type depicted in **Figure 5a** is specified in rules for works erroneously or fictitiously attributed to a person or corporate body (21.4C1-21.4C2); and works of unknown authorship or by an unnamed group (21.5A).

Entry under title for a work of diffuse authorship (Figure 5b)

Figure 5b depicts the “real world” entities that are reflected in an entry under the title for a work of diffuse authorship (i.e., a work for which more than three persons and/or corporate bodies are responsible).

As noted under **Figure 5a**, the entry may or may not have a heading superimposed as an access point.

The item may contain one or more works. If the entry has a uniform title added to it, the uniform title identifies one work. If the item contains more than one work, the work represented by the uniform title may be co-extensive with the content of the item, or it may represent only the first work named in the item.

A main entry of the type depicted in **Figure 5b** is specified in rules for works of shared responsibility (21.6C2); and reports of interviews or exchanges (21.25A).

Figure 5a: Entry under title for a work of unknown authorship or by an unnamed group

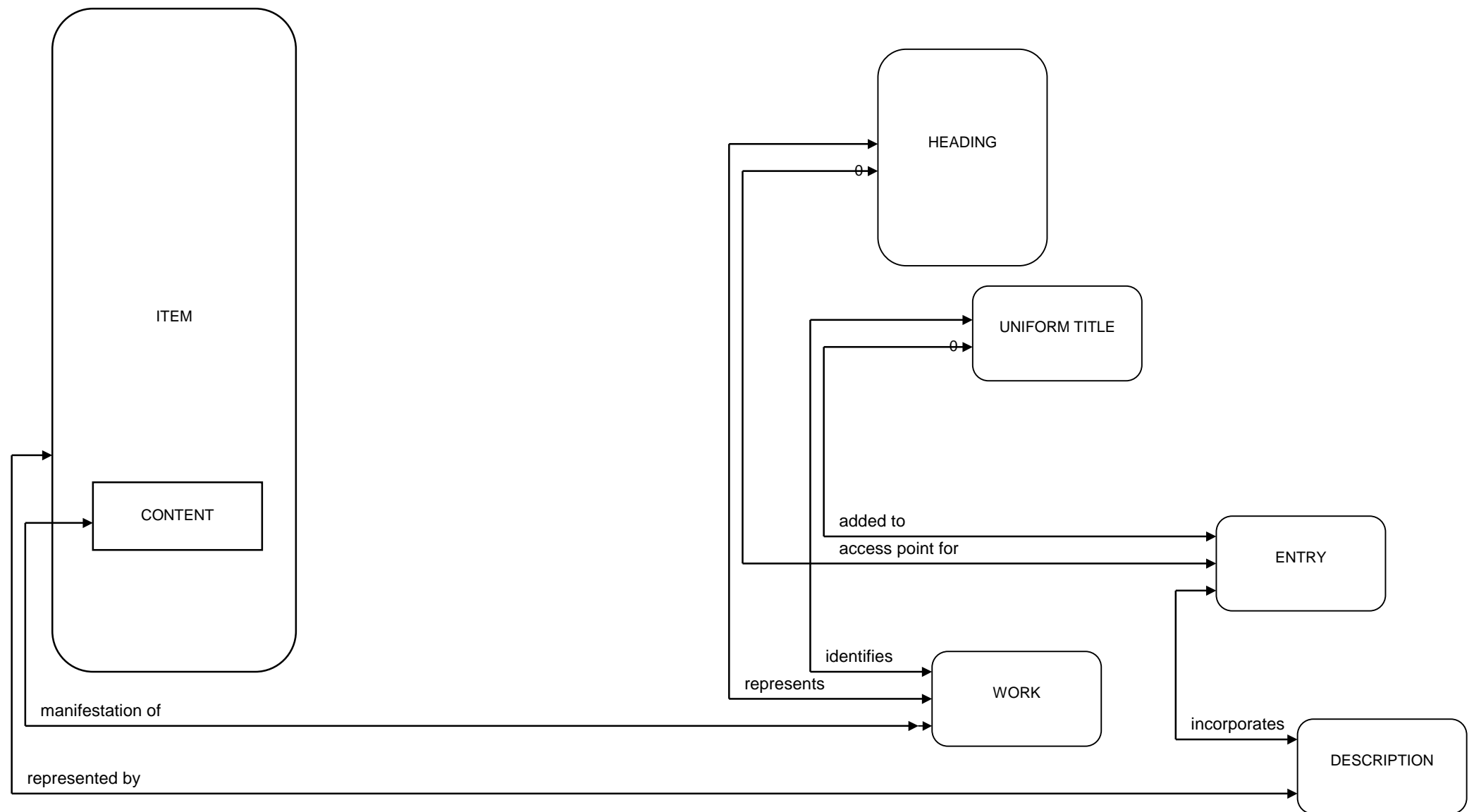
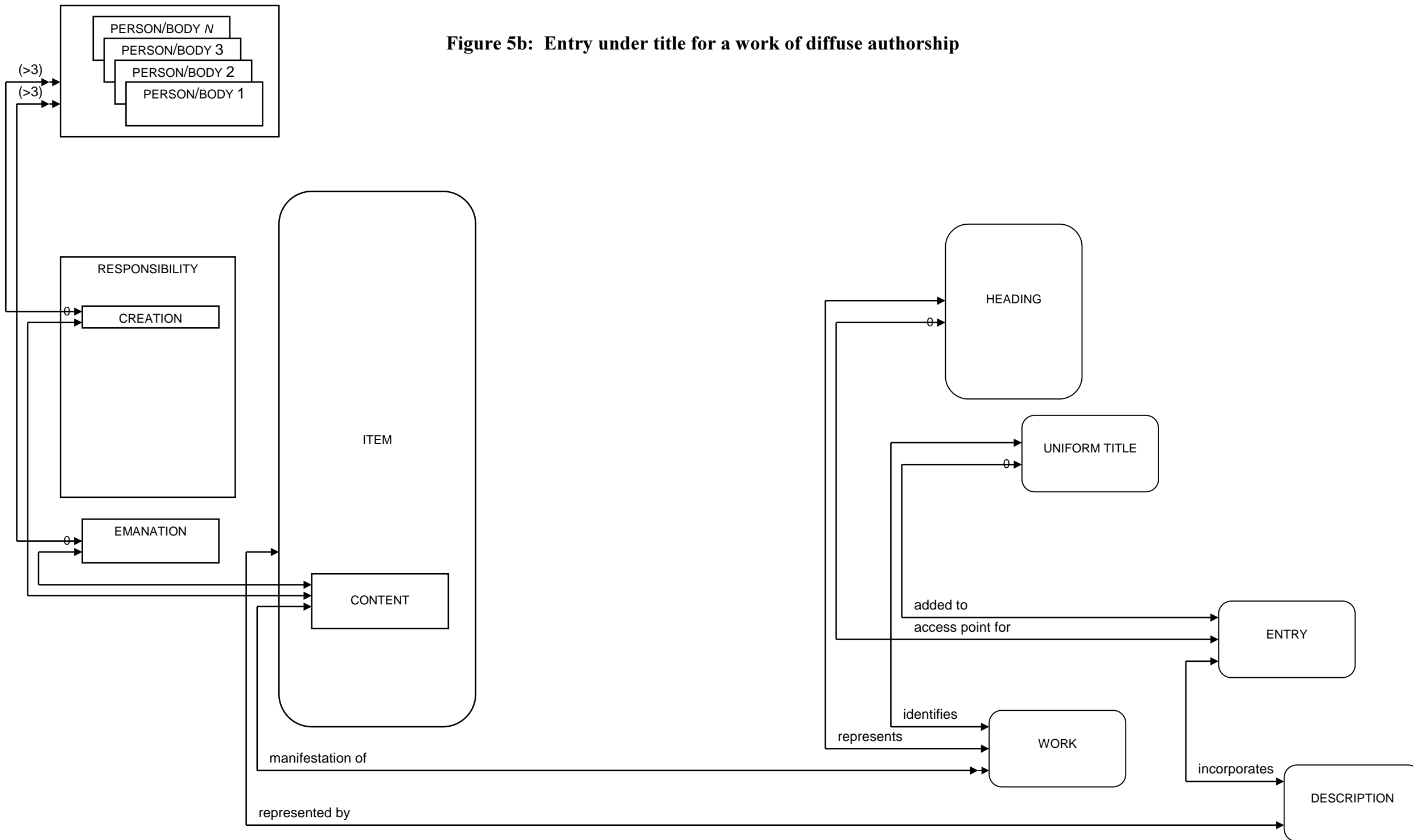


Figure 5b: Entry under title for a work of diffuse authorship



Entry under title for a collection of works by different persons and/or bodies (Figure 5c)

Figure 5c depicts the “real world” entities that are reflected in an entry under the title for a collection of works by different persons and/or bodies. The item may or may not have a collective title. If the item has a collective title, the entry is under that title. If the item lacks a collective title, and the first work named in the item is one that would be entered under title, the entry is under that title.

As noted under **Figure 5a**, the entry may or may not have a heading superimposed as an access point.

If the entry has a uniform title added to it, the uniform title identifies one work. The work represented by the uniform title may be co-extensive with the content of the item, or it may represent only the first work named in the item.

A main entry of the type depicted in **Figure 5c** is specified in rules for collections of works by different persons and/or bodies (21.7B1, 21.7C1); collections of translations of works by different persons and/or bodies (21.14B); collections of a writer’s works set by several composers (21.19C); and sound recordings containing collections of works by different persons and/or bodies (21.23C1, 21.23D1).

Entry under title for a work emanating from a corporate body (Figure 5d)

Figure 5d depicts the “real world” entities that are reflected in an entry under the title for a work emanating from a corporate body where the work is of a type that falls outside the categories specified for entry under corporate body in rule 21.1B2 and is not a work of personal authorship.

As noted under **Figure 5a**, the entry may or may not have a heading superimposed as an access point.

The item may contain one or more works associated with the body from which the content emanates. If the entry has a uniform title added to it, the uniform title identifies one work. If the item contains more than one work, the work represented by the uniform title may be co-extensive with the content of the item, or it may represent only the first work named in the item.

A main entry of the type depicted in **Figure 5d** is specified in rules for a work emanating from a corporate body but not falling into one of the categories specified for entry under corporate body and is not a work of personal authorship (21.1C1).

Entry under title for a certain religious works (Figure 5e)

Figure 5e depicts the “real world” entities that are reflected in an entry under the title for certain religious works. The work is associated with a religious group in that it is accepted by the group as sacred scripture, a creed, or part of its liturgy.

Figure 5c: Entry under title for a collection of works by different persons and/or bodies

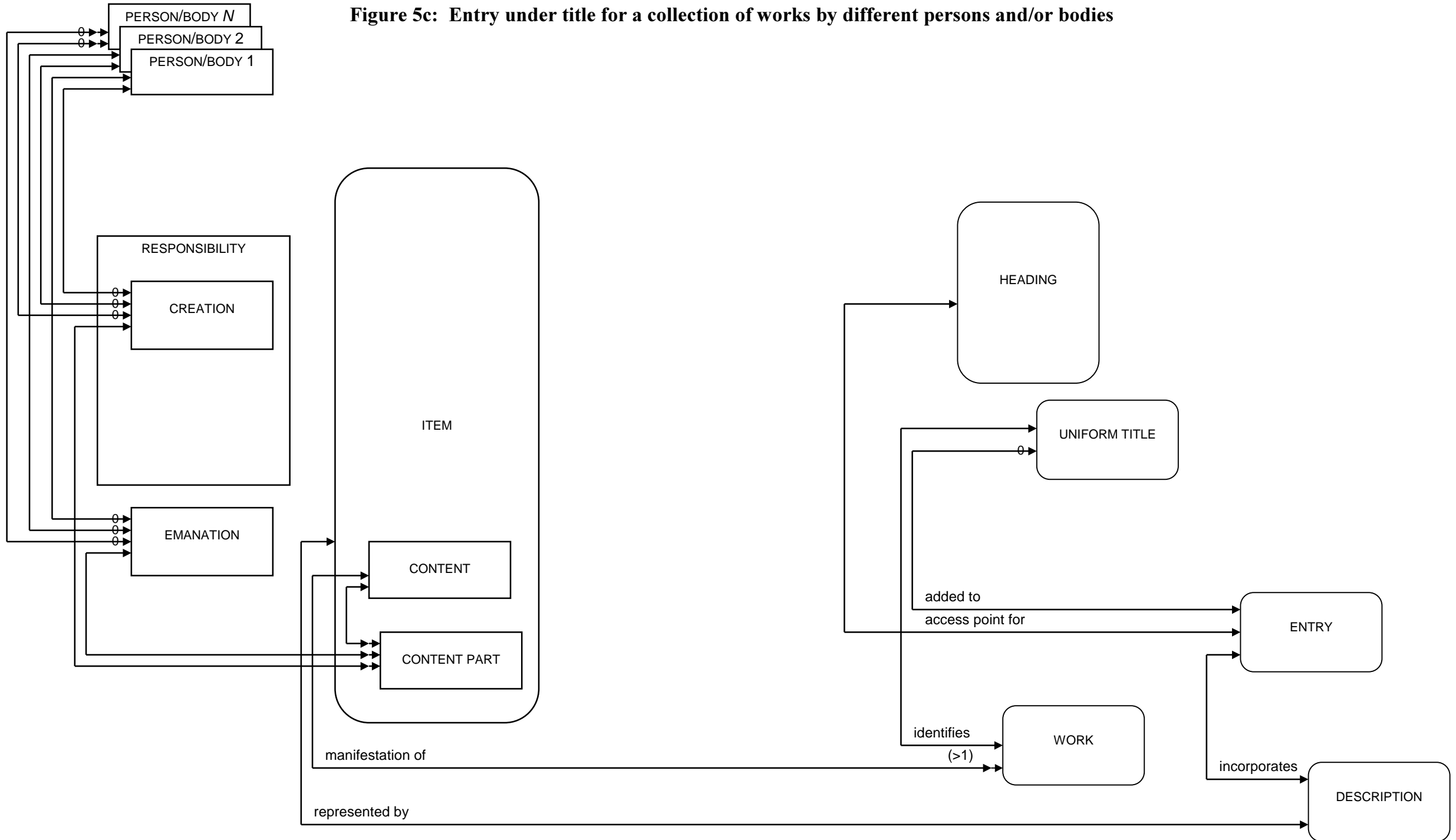
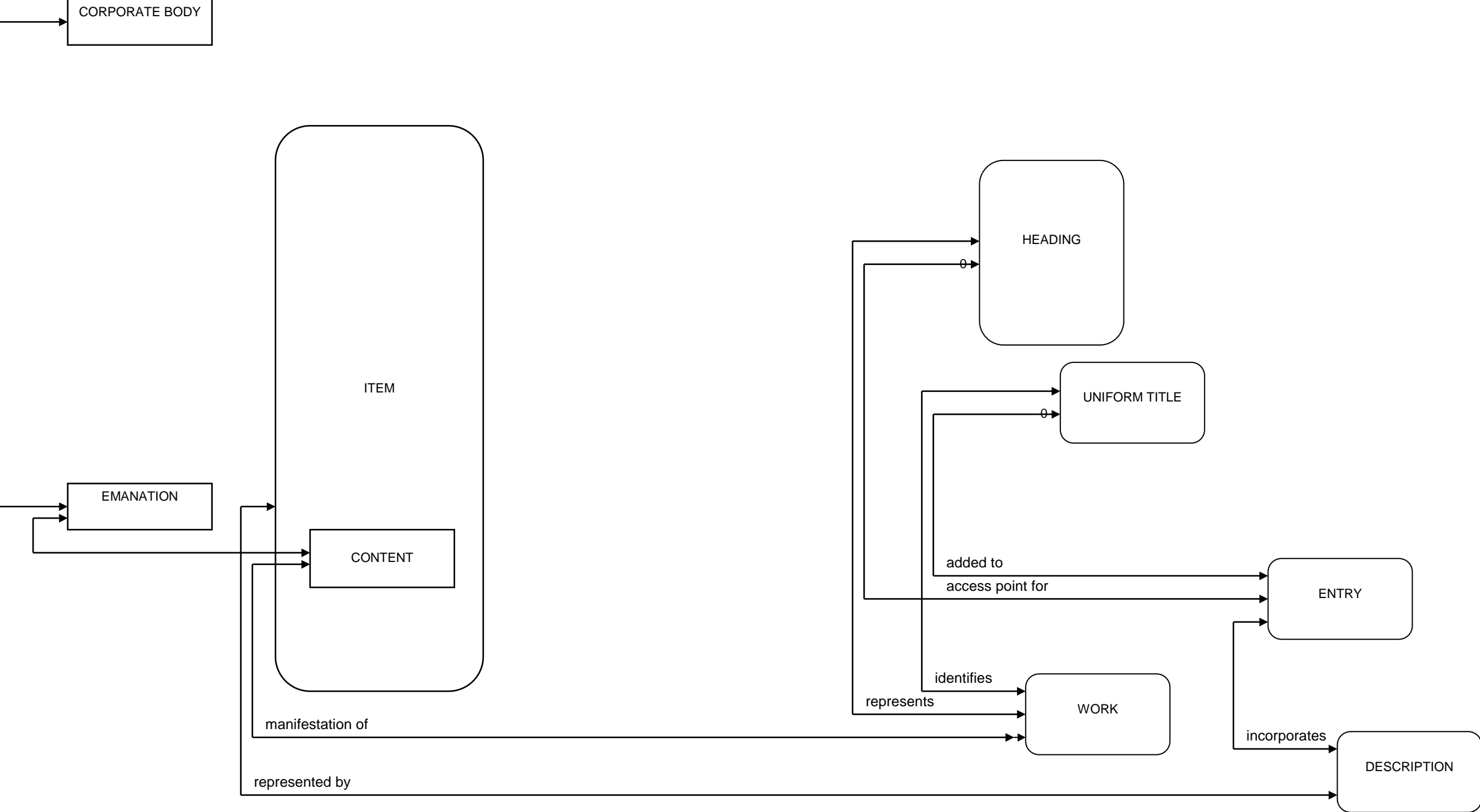


Figure 5d: Entry under title for a work emanating from a corporate body



As noted under **Figure 5a**, the entry may or may not have a heading superimposed as an access point.

The item may contain one or more works associated with the religious group. If the entry has a uniform title added to it, the uniform title identifies one work. If the item contains more than one work, the work represented by the uniform title may be co-extensive with the content of the item, or it may represent only the first work named in the item.

A main entry of the type depicted in **Figure 5e** is specified in rules for works accepted as sacred scripture (21.37A); theological creeds, etc. (21.38A); and Jewish liturgical works (21.39C1).

Entry under title for other works (Figure 5f)

Figure 5f depicts the “real world” entities that are reflected in an entry under the title for other works.

As noted under **Figure 5a**, the entry may or may not have a heading superimposed as an access point.

The item may contain one or more works. If the entry has a uniform title added to it, the uniform title identifies one work. If the item contains more than one work, the work represented by the uniform title may be co-extensive with the content of the item, or it may represent only the first work named in the item.

A main entry of the type depicted in **Figure 5f** is specified in rules for compilations of laws governing more than one jurisdiction (21.31B2); ancient laws, etc. (21.31C1); collections of administrative regulations (21.32C1); treaties, etc. (21.35A2, 21.35B1); and citations, digests, etc. (21.36B1)

An added entry of the type depicted in **Figure 5f** is specified in rules for works of unknown or uncertain authorship or by unnamed groups (21.5B); and in the rule for title added entries (21.30J1).

Added entry under variant title in the item (Figure 5g)

Figure 5g depicts the “real world” entities that are reflected in an added entry under a variant title appearing in the item described.

Note that in this case the added entry heading (i.e., the variant title) represents the item, as distinct from the work contained in the item .

An added entry of the type depicted in **Figure 5g** is specified in the rule for title added entries (21.30J1).

Figure 5e: Entry under title for certain religious works

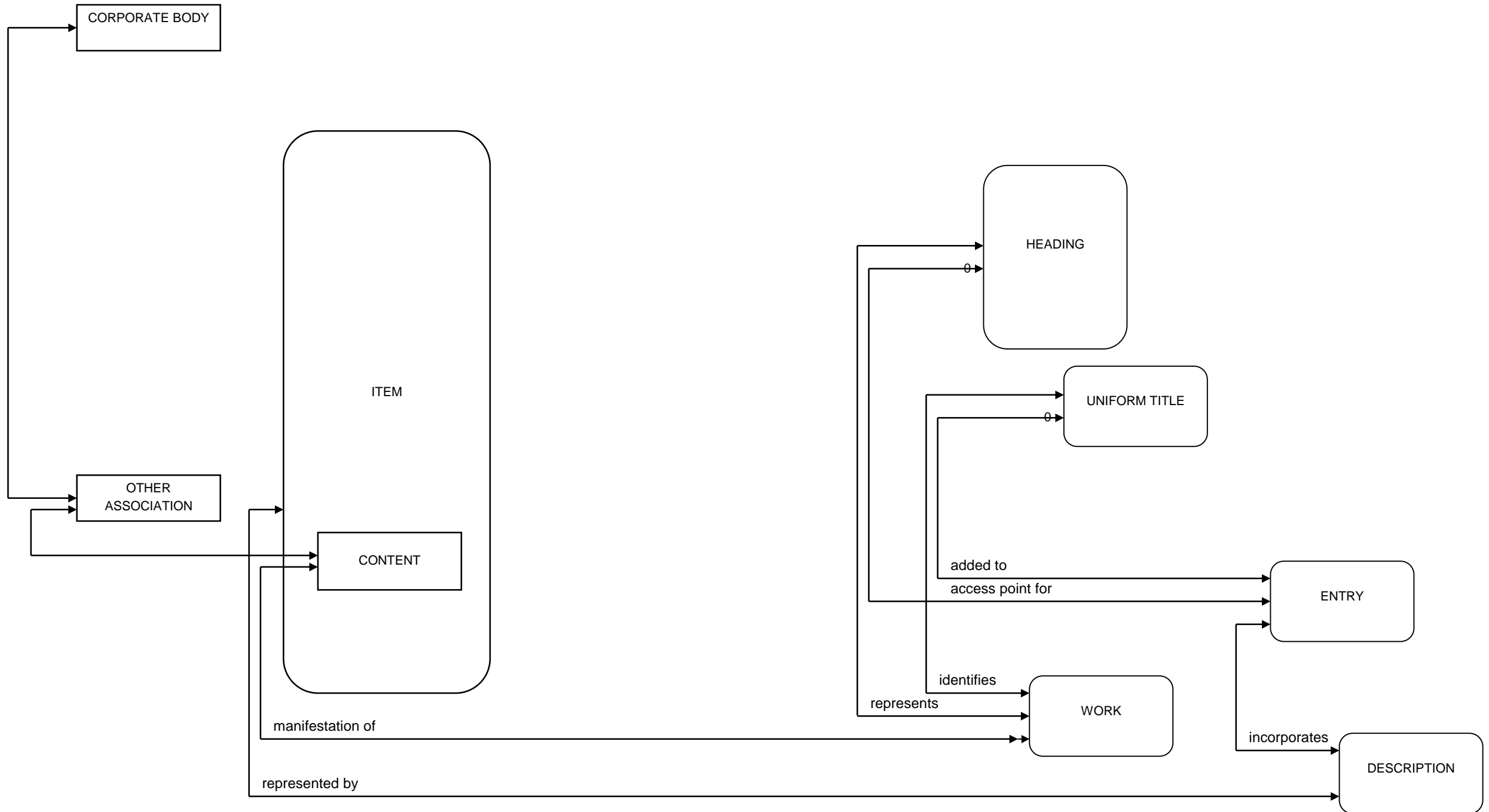


Figure 5f: Entry under title (other works)

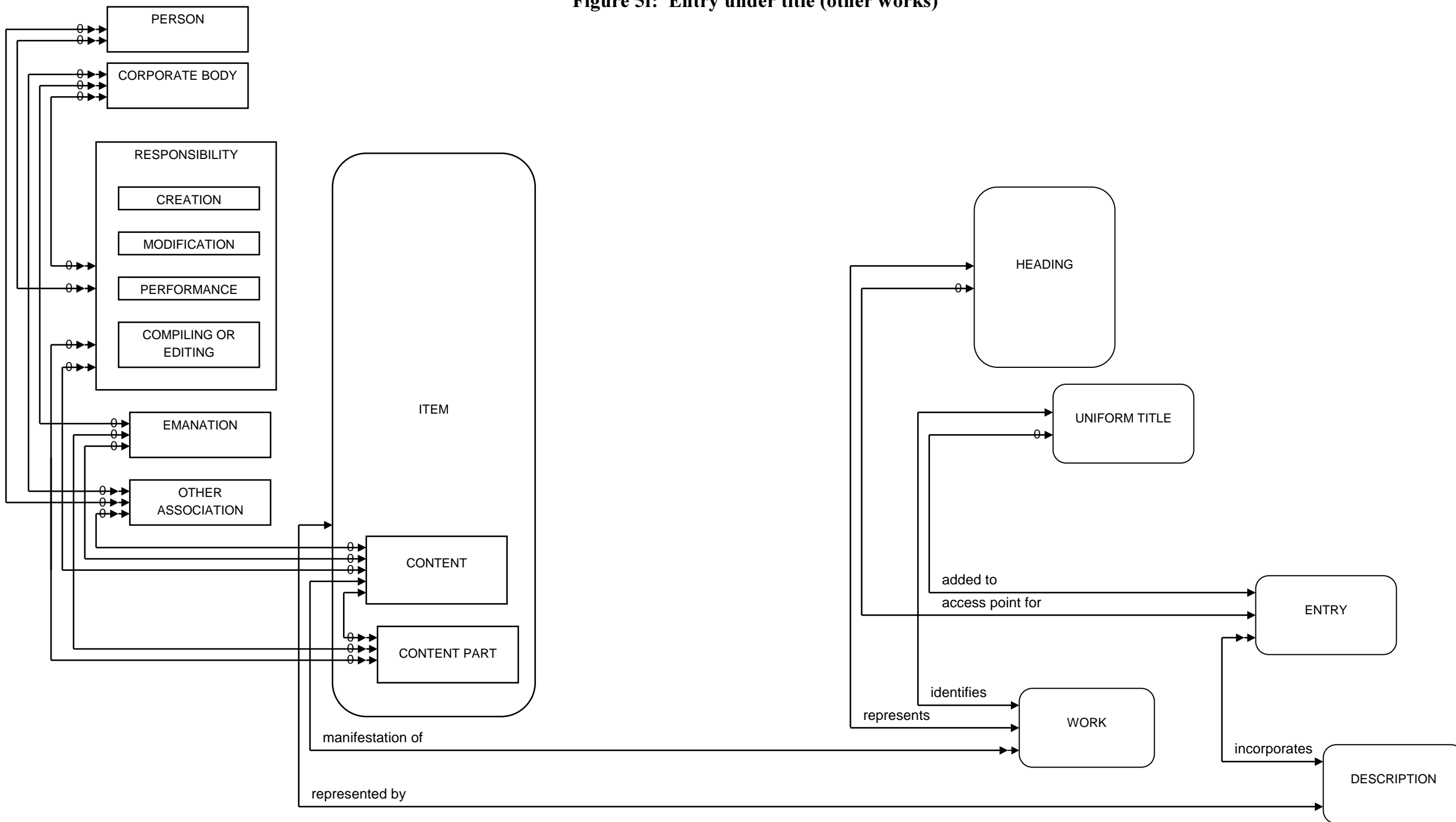
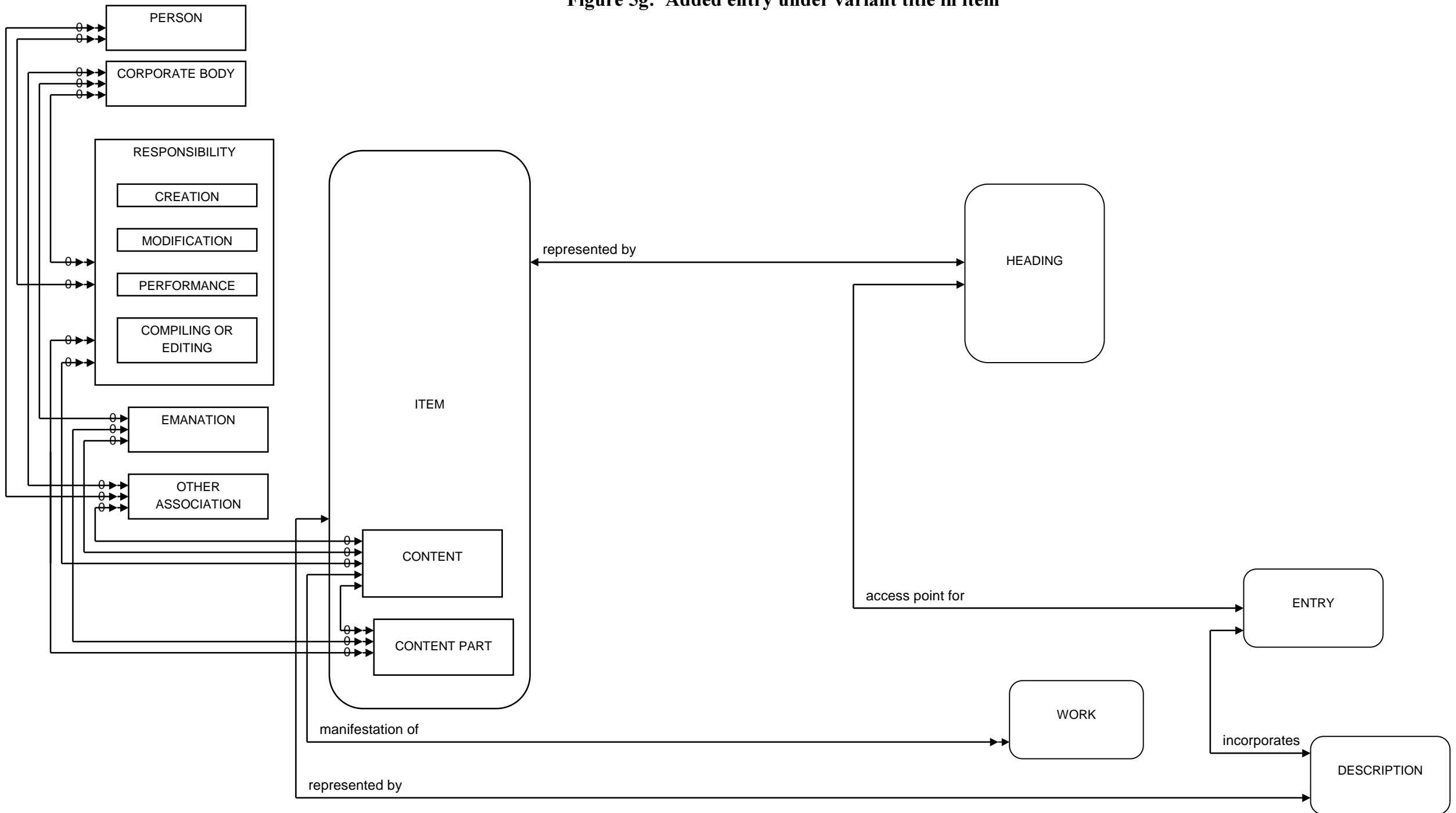


Figure 5g: Added entry under variant title in item



Name-title added entries (Figures 6a-6d)

Figures 6a-6d illustrate the range of name-title added entries that are specified in the rules for related works and for works represented in an item containing more than one work. Each diagram shows the specific relationships between the “real world” entities that come into play for the entry illustrated.

Name-title added entry (personal name) under heading for related work (Figure 6a)

Figure 6a depicts the “real world” entities that are reflected in a name-title added entry under the heading for a related work where the related work is entered under a personal name heading. The related work may be the original work to which an adaptation, illustrations, revision, musical setting, continuation, sequel, supplement, index, concordance, incidental music, cadenza, choreography, or libretto is related. The related work may also be a cinematographic work produced from a screenplay or scenario. The related work may also be the serial to which a special number belongs or from which a collection of extracts has been taken.

The work represented by the name-title added entry is a work related to the work contained in the item described. The name element in the heading represents a bibliographic identity established by the person responsible for the creation of the related work. The title element in the heading represents the related work. The title element in the heading may be a uniform title identifying the related work.

A name-title added entry of the type depicted in **Figure 6a** is specified in rules for adaptations (21.10A, 21.16A, 21.18C1, 21.19A1); separately published illustrations (21.11B); revisions (21.12B1); musical settings (21.19A1); and continuations, sequels, supplements, indexes, concordances, incidental music, cadenzas, scenarios, screenplays, choreographies, librettos, special numbers of serials, and collections of extracts from serials (21.28A1, 21.28.B1).

Name-title added entry (corporate name) under heading for related work (Figure 6b)

Figure 6b depicts the “real world” entities that are reflected in a name-title added entry under the heading for a related work where the related work is entered under a corporate name heading. The related work may be the original work to which an adaptation, illustrations, revision, musical setting, continuation, sequel, supplement, index, concordance, incidental music, cadenza, choreography, libretto, or regulation is related. The related work may also be a cinematographic work produced from a screenplay or scenario. The related work may also be the serial to which a special number belongs or from which a collection of extracts has been taken.

The work represented by the name-title added entry is a work related to the work contained in the item described. The name element in the heading represents a bibliographic identity established by the corporate body responsible for the related work. The title element in the heading represents the related work. The title element in the heading may be a uniform title identifying the related work.

Figure 6a: Name-title added entry (personal name) under heading for related work

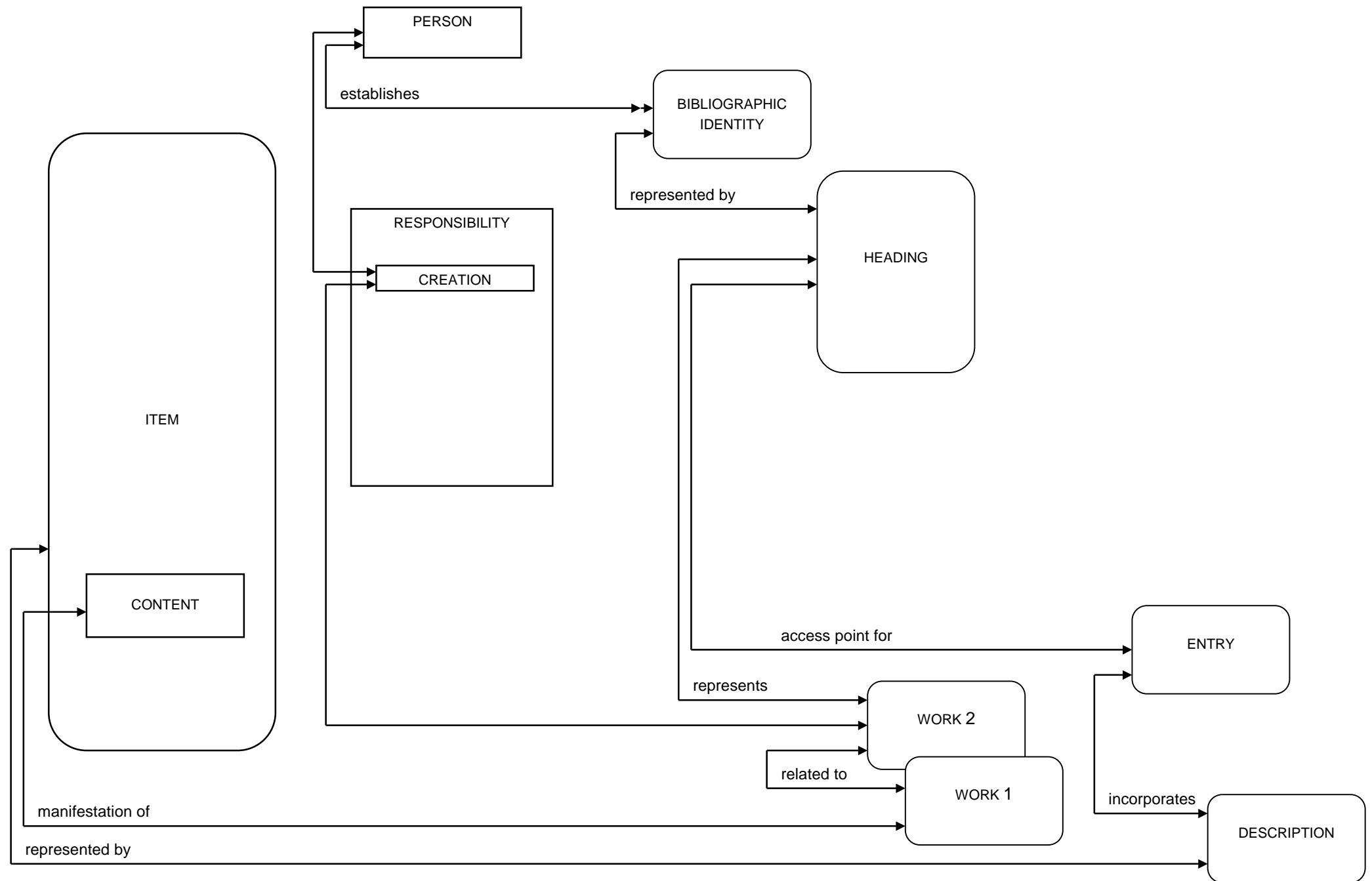
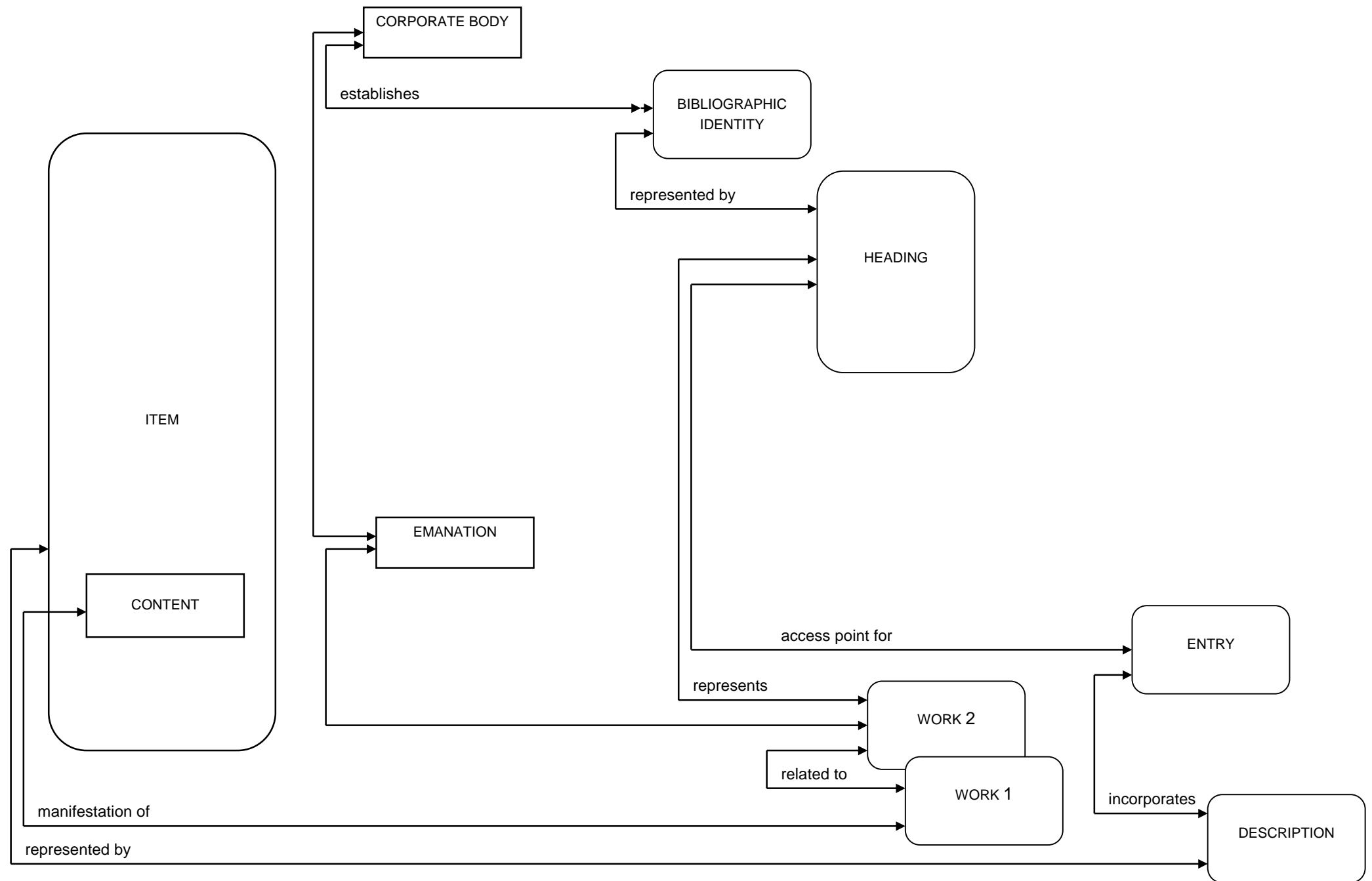


Figure 6b: Name-title added entry (corporate name) under heading for related work



A name-title added entry of the type depicted in **Figure 6b** is specified in rules for adaptations (21.10A, 21.16A, 21.18C1, 21.19A1); separately published illustrations (21.11B); revisions (21.12B1); musical settings (21.19A1); continuations, sequels, supplements, indexes, concordances, incidental music, cadenzas, scenarios, screenplays, choreographies, librettos, special numbers of serials, and collections of extracts from serials (21.28A1, 21.28.B1); and regulations (21.32A1-21.32A2, 21.32B1).

Name-title analytical added entry (personal name) (Figure 6c)

Figure 6c depicts the “real world” entities that are reflected in a name-title analytical added entry for a work represented in an item containing more than one work where the work represented is entered under a personal name heading.

The work represented by the name-title added entry is a work contained in the item described (other than the first named work) where the item contains more than one work. The name element in the heading represents a bibliographic identity established by the person responsible for the creation of the work represented in the heading. The title element in the heading represents one of the works contained in the item. The title element in the heading may be a uniform title identifying the work.

A analytical added entry of the type depicted in **Figure 6c** is specified in rules for collections of works (21.7B1, 21.7C1); and the rule for analytical added entries (21.30M1).

Name-title analytical added entry (corporate name) (Figure 6d)

Figure 6d depicts the “real world” entities that are reflected in a name-title analytical added entry for a work represented in an item containing more than one work where the work represented is entered under a corporate name heading.

The work represented by the name-title added entry is a work contained in the item described (other than the first named work) where the item contains more than one work. The name element in the heading represents a bibliographic identity established by the body responsible for the work represented in the heading. The title element in the heading represents one of the works contained in the item. The title element in the heading may be a uniform title identifying the work.

A analytical added entry of the type depicted in **Figure 6d** is specified in the rules for analytical added entries (21.30M1); analytical added entries for a collection of laws governing more than one jurisdiction (21.31B2); and analytical added entries for an item containing both a regulation and the law from which it derives (21.32A2).

Figure 6c: Name-title analytical added entry (personal name)

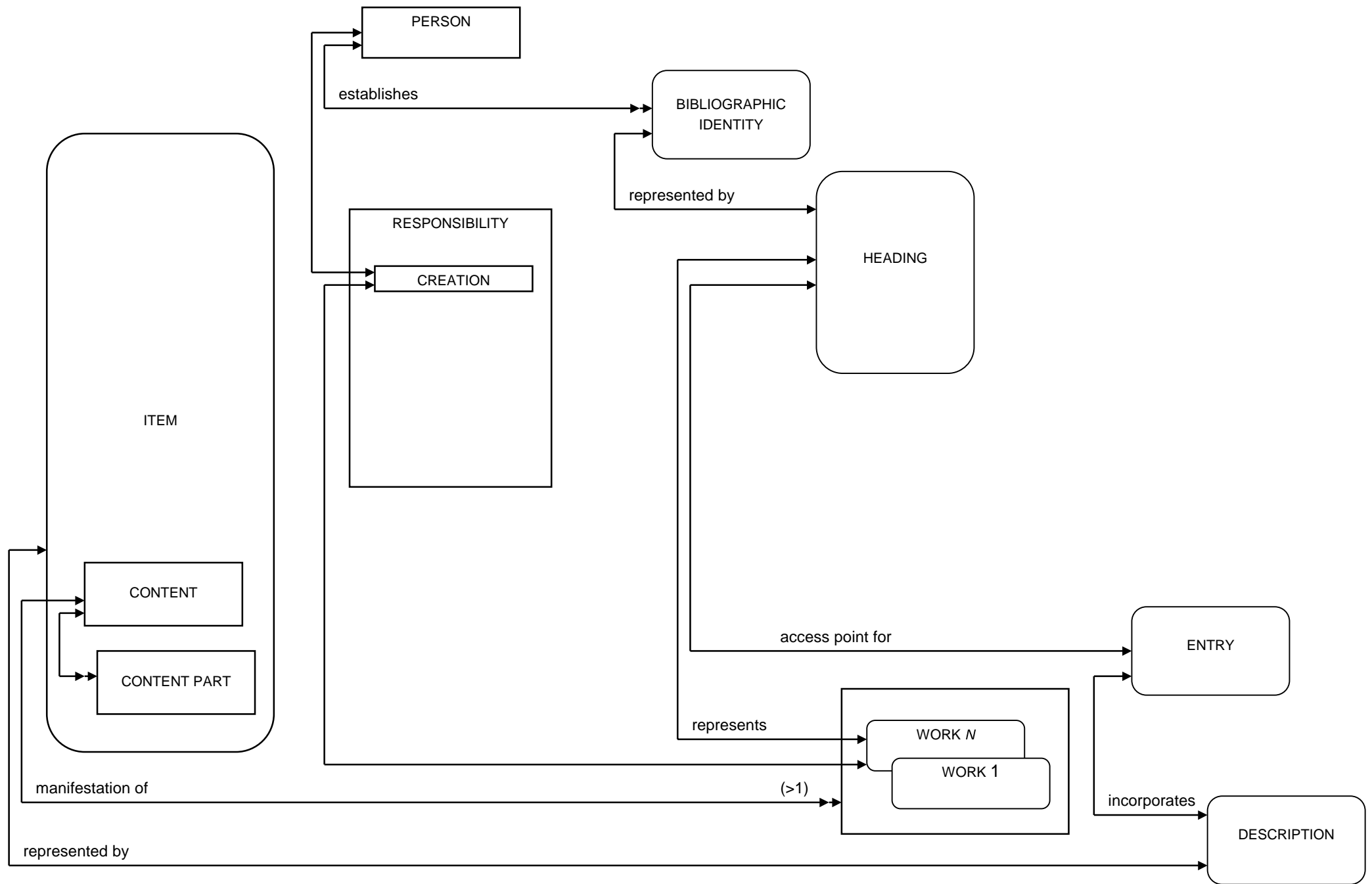
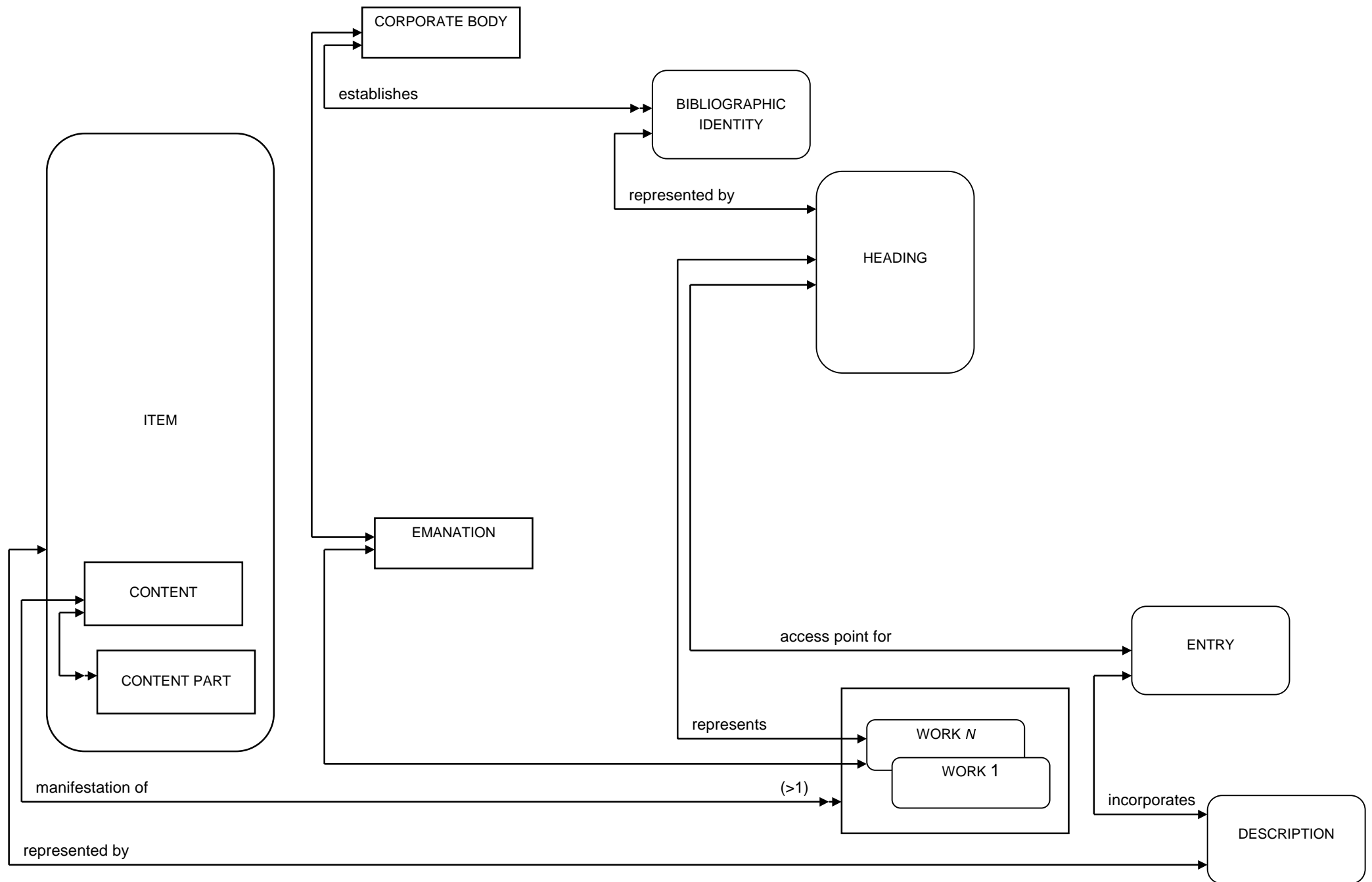


Figure 6d: Name-title analytical added entry (corporate name)



Entry under heading for series (Figures 7a)

Figure 7a depicts the “real world” entities that are reflected in a series added entry.

The series represented by the heading is a series to which the item described belongs. The heading may contain both a name element and a title element or a title element only. The name element in the heading, if present, represents a bibliographic identity established by the person or corporate body responsible for series. The title element in the heading represents the series. The title element in the heading may be a uniform title identifying the series.

A series added entry of the type depicted in **Figure 7a** is specified in the rule for series added entries (21.30L).

Relationships

The rules in Part II provide for reflecting implicitly a number of the relationships that operate between both the “bibliographic” entities and the “real world” entities depicted in **Figure 2** and in the subsequent diagrams illustrating various types of entry.

Relationships between a person and the creation of the content of an item include the “creation responsibility” relationship. (For details on this **PERSON-to-CREATION** relationship and its associated data elements see Tab 23.)

Relationships between a person and the modification of the content of an item include the “modification responsibility” relationship. (For details on this **PERSON-to-MODIFICATION** relationship and its associated data elements see Tab 24.)

Relationships between a person and the performance of the content of an item include the “performance responsibility” relationship. (For details on this **PERSON-to-PERFORMANCE** relationship and its associated data elements see Tab 25.)

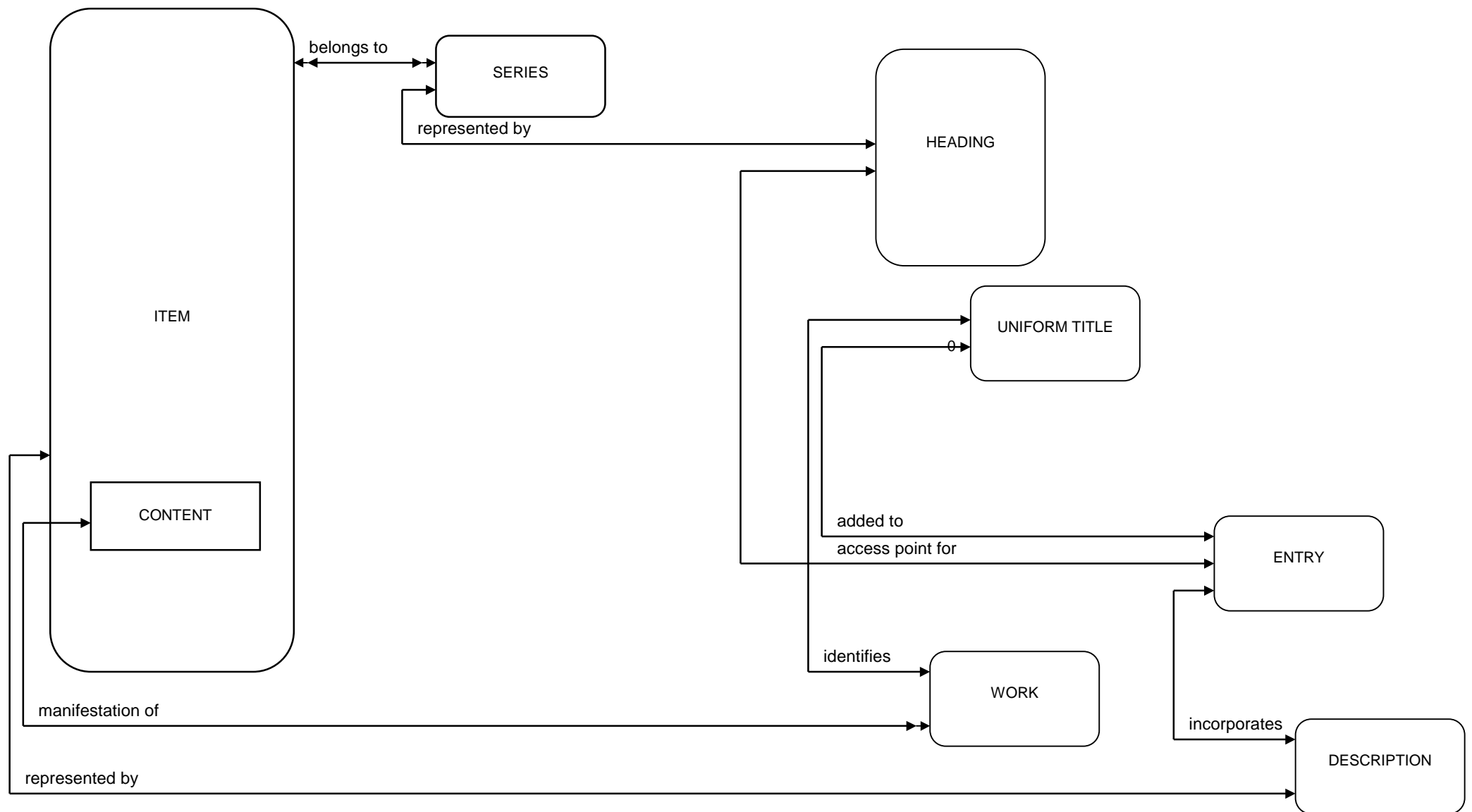
Relationships between a person and the compilation/editing of the content of an item include the “compilation/editing responsibility” relationship. (For details on this **PERSON-to-COMPILATION/EDITING** relationship and its associated data elements see Tab 26.)

Other relationships between a person and the content of an item are included in the “other association” relationship. (For details on this **PERSON-to-OTHER ASSOCIATION** relationship and its associated data elements see Tab 27.)

Relationships between a corporate body and the emanation of the content of an item include the “emanation responsibility” relationship. (For details on this **CORPORATE BODY-to-EMANATION** relationship and its associated data elements see Tab 28.)

Relationships between a corporate body and the performance of the content of an item include the “performance responsibility” relationship. (For details on this **CORPORATE BODY-to-PERFORMANCE** relationship and its associated data elements see Tab 29.)

Figure 7a: Entry under heading for series



Other relationships between a corporate body and the content of an item are included in the “other association” relationship. (For details on this **CORPORATE BODY-to-OTHER ASSOCIATION** relationship and its associated data elements see Tab 30.)

Relationships between one work and another work include the following: “adaptation,” “illustration,” “revision,” “translation,” “reproduction,” “arrangement/transcription,” “musical setting,” “accompaniment/added part,” “continuation/sequel,” “supplement,” “index,” “concordance,” “incidental music,” “cadenza,” “scenario/screenplay,” “choreography,” “libretto/text,” “regulation,” and “whole/part” relationships. (For details on these **WORK-to-WORK** relationships and their associated data elements see Tab 31.)

Relationships between a series and an item within the series include the “whole/part” relationship. (For details on this **SERIES -to-ITEM** relationship and its associated data elements see Tab 32.)

KEY ISSUES

The model produced for this study provides a clearly defined frame of reference for re-examining the principles and assumptions underlying the internal logic of the code and for exploring options for modifying its logical structure. What follows is a re-framing of a number of key issues relating to the structure of the code and its future development with specific reference to the logical structure set out in the model.

1. Functions of the catalogue

Any examination of the principles upon which AACR is based should begin by assessing those principles with respect to their effectiveness in fulfilling the functions of the catalogue.

Although there is no explicit statement in the code relating to the functions of the catalogue, the preface to the 1978 edition does indicate that the code was developed with a view to maintaining general conformity with the Paris Principles of 1961. It can be inferred, therefore, that the assumed functions of the catalogue on which the code is based are those set out in section 2 of the Paris Principles:

2. Functions of the catalogue

The catalogue should be an efficient instrument for ascertaining

- 2.1 whether the library contains a particular book specified by
 - (a) its author and title, *or*
 - (b) if the author is not named in the book, its title alone, *or*
 - (c) if author and title are inappropriate or insufficient for identification, a suitable substitute for the title; and
- 2.2 (a) which works by a particular author and
 - (b) which editions of a particular work are in the library.

Assessing the extent to which catalogues constructed according to the rules in AACR will fulfill those functions requires as a first step an analysis of how the terms “author,” “work,” and “edition” as used in the statement of principles adopted in Paris in 1961 are interpreted in the context of the code.

2. The concept of “authorship”

The term “authorship” is used in AACR only with reference to works of “personal authorship.” The term “personal author” is defined in rule 21.1A1 as “the person chiefly responsible for the creation of the intellectual or artistic content of a work.” The general rule for works of personal authorship (21.1A2) subsequently makes distinctions between works of single personal authorship, works of shared personal authorship, and works of mixed personal authorship.

Based on the definition and categorizations noted above, “authorship” would appear to encompass those relationships between a person or persons and the content of an item that entail responsibility for either creation or modification of the intellectual or artistic content. Presumably the other relationships between a person or persons and the content of an item that are defined in the model (i.e., responsibility for the performance, compiling or editing of the content, and other associations with the content of the item) fall outside the scope of “authorship.”

If that is a valid interpretation of “authorship” as it is reflected in the code, and the code’s concept of “authorship” accurately reflects the concept implied in the Paris Principles, the functions of the catalogue as they relate to the “author” of a “book” and the “works” of an “author” would appear to be fulfilled through the construction of entries under the following headings that are applicable to any item in the catalogue:

- the heading for the author or probable author (Figure 3a);
- the heading for the principal author or first named author of a work of shared responsibility (Figure 3b);
- the heading for the author of the first named work or the first named author in an item containing a collection of works by different persons (Figure 3d);
- the heading for the person responsible for adapting, revising, translating, arranging or transcribing the work (Figure 3f);
- the heading for the person responsible for the original work (Figure 3g);
- the heading for the author of an augmented work (Figure 3h);
- the heading for the author of an augmenting work (Figure 3i);
- the heading for the first named or more prominently named collaborator in a work of mixed responsibility (Figure 3j);
- the headings for other persons collaborating in a work of shared responsibility (Figure 3k);
- the headings for other authors of works in an item containing a collection of works by different persons (Figure 3l);
- the heading for the second collaborator in a work of mixed responsibility (Figure 3n).

There are specific instructions in the rules, however, that limit the making of entries that would otherwise be included among the headings identified in the above list. Those limitations are as follows:

- an entry under the heading for a translator (Figure 3f) is made only under the conditions set out in rule 21.30K1;
- an entry under the heading for an illustrator (Figure 3i) is made only under the conditions set out in rule 21.30K2;
- an entry under the heading for the writer of the text accompanying reproductions of art works (Figure 3i) is made only if the writer is named in the chief source of information;
- an entry under the heading for a person collaborating in a work of shared responsibility (other than the principal author or the first named) (Figure 3k) is made only if there are no more than three principal authors or three persons responsible;
- an entry under the heading for the author of a work in an item containing a collection of works by different persons (other than the author of the first work or the first named author) is made only if there are no more than three authors responsible for the works in the collection;
- an entry under the heading for the author of a work in a sound recording containing works by different persons is not made if the sound recording has a collective title (regardless of the nature of the participation of the performers), or if the sound recording has no collective title and the participation of the performers goes beyond that of performance, interpretation, or execution;
- an entry under the heading for the author of a work in a sound recording containing works by different persons (other than the author of the first work or the first named author) (Figure 3l) is made only if there are no more than three authors responsible for the works in the collection, the sound recording has no collective title, and the participation of the performers does not go beyond that of performance, interpretation, or execution.

In attempting to confirm or establish basic principles relating to the choice of access points, the exceptions noted above that limit the application of the basic principle that would flow from statements 2.1(a) and 2.2(a) in the Paris Principles need to be re-assessed. If they are deemed to be valid as exceptions, it would be helpful if the rationale for those exceptions were articulated in a way that would provide direction in dealing with other cases of an analogous nature that might arise as the new forms of intellectual and artistic expression and new combinations of so-called multimedia works emerge.

A second question arising from AACR's implementation of the "authorship" concept is one relating to the rationale for making entries under headings for persons whose relationship to the content of an item falls outside the scope of creation or modification of the intellectual or artistic content. Entries under headings for performers (Figures 3e and 3m), compilers and editors (Figure 3o), participants in interviews and exchanges, parties in court proceedings, addressees of letters, honourees of festschrifts, etc. (Figure 3p) are not required to fulfill the functions set out in statements 2.1(a) and 2.2(a) in the Paris Principles. Assuming those entries are justified, and that the functions of the catalogue are in fact more extensive than implied in the Paris Principles, the question that arises is what kinds of relationships to persons (beyond those pertaining to "authorship") should be reflected in entries specified by the code. Are there newly

emerging relationships between persons and the intellectual or artistic content of an item that should be reflected through entries in the catalogue? If so, is it feasible to develop basic criteria to support the addition of new rules or to articulate guidelines that cataloguers might follow in the absence of specific rules?

A subsidiary issue related to the concept of “authorship” is a question relating to the concept of “bibliographic identity” as it is reflected in rules relating to choice of name as the basis for the heading for a person who uses more than one pseudonym, or a real name in addition to one or more pseudonyms (22.2B), and indirectly in the rule for entry under shared pseudonym (21.6D). Does the concept of “bibliographic identity” in fact alter the concept of “authorship” in that the “author” in cases affected by rules 22.2B and 21.6D is not a “person” as such, but rather a “persona” that for bibliographic purposes is treated as a “person”? If the “author” is in fact an abstract rather than a physical entity, can an argument be made for extending the application of the separate or shared “bibliographic identity” beyond those instances that have been dealt with under the specific rules cited? Why is it that other instances of a person using more than one name are not treated in an analogous manner? Is it possible to articulate a principle to reflect the rationale for treating certain cases involving the use of more than one name in one way and others in a different way?

3. The concept of the “work”

The introduction to Part II of the code states that the rules therein “apply to works and not to physical manifestations of those works” (20.1). The term “work” serves as a key point of reference throughout Chapters 21 and 25. But nowhere in the code is the term “work” defined.

In the absence of a definition in the code itself, the definition for “work” used in the model is derived from the *ALA glossary of library and information science*: “a specific body of recorded information in the form of words, numerals, sounds, images, or any other symbols, as distinct from the substance on which it is recorded.” That definition, however, is not substantially different from the definition for “content” that is used in the model: “the intellectual or artistic substance contained in an item.” In fact, the terms “work” and “content” as they are used in Part II of the code are to a large extent interchangeable. Differentiating between the two is something that is difficult to do in the form of a definition.

What is required to understand the operative distinctions between a work and the content of an item is an examination of the instructions in the rules relating to the choice of headings for main and added entries and the formulation of uniform titles. From an analysis of those rules, inferences can be made about the operative meaning of the term “work” and its implicit boundaries.

The assumption generally made is that the main entry heading together with the uniform title (if applicable) or the title proper of the item described serve as the standard form of citation for the work. That assumption is supported by statements made in the general introduction to the code (0.5), by the instructions in Part I for citing “other works” in the descriptive portion of the record (1.7A4), and by the instructions in Part II for formulating a name-title added entry to identify a related work (21.30G1). There is also an

assumption generally made that two items with the same main entry heading and uniform title, or with the same main entry heading and title proper, are embodiments of the same work, and by corollary, that two items are *not* embodiments of the same work if they do not have the same main entry heading and uniform title, or (in the absence of a uniform title) the same main entry heading and title proper. These assumptions, however, do not apply equally across all permutations of the variables diagrammed in Figure 2. The key variables and their relationship to the identity and boundaries established for a work are analyzed below.

Item containing a single work

The general assumptions stated above appear to be valid when applied to cases where the content of the item described in the entry is perceived to be a single intellectual or artistic entity (i.e., where the content is seen as a single work). In those cases the main entry heading is normally viewed as representing the person or corporate body most closely associated with the work, and the primary title for the entry (i.e., the uniform title, if one has been added, or, otherwise, the title proper) is viewed as the primary identifier for the work as such. The absence of a uniform title serves as a signal that the content of the item is in effect the work and that the title proper derived from the item itself is for all practical purposes the title of the work.

In cases where the item contains what is perceived to be a single work, the rules set the parameters for determining whether the title proper derived from the item itself qualifies as the title for identifying the work. If the content of the item described in the entry is seen to be substantially the same as the content of previously published items, and the title proper has been consistent from one "edition" to another, the title proper for the item described serves as the title for the work contained in the item. If the title proper for the item described differs from the title that has been used to identify the work as previously published, the rules make provision for adding to the entry a uniform title identifying the work. Similar provisions are made for adding a uniform title to the entry when the content of the item is a translation, a musical arrangement or transcription, or a performance of content previously published under a different title. In each of those cases the content of each individual item is treated as a "manifestation" of one and the same work. On the other hand, if the content of the item described in the entry is seen to embody a revision or updating of the content in a previously published item, rule 25.2B directs the cataloguer not to add a uniform title, signalling that the revised or updated content is to be treated as a new work.

The identity of the work in an item containing a single work is subject as well to another set of criteria linked to the number of persons or bodies responsible for the content, and the nature of the responsibility assumed by those persons or bodies. Those dimensions of the variables illustrated in Figure 2 and their relationship to the identity and boundaries established for a work are analyzed below.

Single person or body responsible

In cases involving an item that contains what is perceived to be a single work for which a single person or body is responsible, the identity of the work is linked entirely to the conditions outlined above that relate to the title of the work. The identity of the work is not subject to change as a result of variations in the way responsibility for the content is

represented from one item to another. The rules provide for a main entry heading under the heading for the person or body responsible regardless of whether that person or body is named or not in the item, and even when responsibility for the content is attributed erroneously or fictitiously to another person or body. The “facts” relating to responsibility for the content, as established through bibliographic reference sources, take precedence over statements of responsibility presented in the item.

Shared responsibility

Cases involving what is perceived to be a single work become more complex, however, where there is more than one person or body associated with the content of the item. If the content of the item is the product of “shared responsibility” between two or more persons or bodies, the main entry heading will of necessity represent only one of those persons or bodies. Significantly, the rules for determining which person or body is represented in the main entry heading are linked not to the “facts” relating to responsibility, but to the wording and layout of the chief source of information for the item described in the entry. As a result, a change in the way responsibility for the content is represented from one “edition” to another can result in a change in the person or body represented in the main entry heading. Rule 21.6C1 gives explicit direction to the cataloguer to enter each edition of a work of shared responsibility (where principal responsibility is not indicated) under the heading for the person or body named first in the chief source of information for that edition. If the order of the names changes from one edition to another, the identity of the work changes by virtue of a change in the main entry heading, independent of any change that may or may not occur with respect to the content or the title. In effect, the so-called “different editions of the work” referred to in rule 21.6C1 become different works in their own right.

Mixed responsibility

The same provisions can be presumed to apply in cases involving two or more persons or bodies having “mixed responsibility” for the content of an item. There are no explicit provisions in the rules for works of mixed responsibility comparable to those set out in rule 21.6C1, but because the wording and layout of the chief source of information for the item described determine which of the collaborating persons or bodies responsible for the content of the item is represented in the main entry heading, it follows that changes from one “edition” to another can result in a change in the heading chosen for the main entry, and consequently a change in the identity of the work.

Cases of mixed responsibility also bring into play another dimension of the variables illustrated in Figure 2: the relationship of the content of the item to a previously existing work. That dimension and its relationship to the identity and boundaries established for a work is analyzed below.

Modification of a previously existing work

The general rule for “works that are modifications of other works” indicates that in cases where modification has substantially changed the nature and content of the original or where the medium of expression has been changed, the modification should be treated as a new work and should be associated with the person or body responsible for the modification. In other cases, the general rule indicates that the modification should not

be treated as a new work but should be associated with the person or body responsible for the original.

The specific rules effectively define classes of modification and assign those classes arbitrarily either to the category where the modification is to be treated as a new work or to the category where it is to be treated as an instance of the original work. Adaptations of texts (including “free” translations), adaptations of art works from one medium of the graphic arts to another, and adaptations of musical works (including musical settings for previously existing texts, etc.) are treated categorically as new works. Abridgements, translations (other than “free” translations), reproductions of art works, arrangements and transcriptions of musical works, and the addition of an instrumental accompaniment or part(s) to a musical work are treated categorically as instances of the original work.

Revisions of texts (other than abridgements) are dealt with not as a category but on a case by case basis. The criteria for determining whether the revision is to be treated as a new work or as an instance of the original work are linked to the way responsibility for the content is represented in the chief source of information for the item. If the person (or body?) responsible for the original is represented as continuing to have responsibility, the content is treated as an instance of the original work. If the person (or body?) responsible for the original is not represented as having responsibility for the revision, the content is treated as a new work. Note, however, that even if the revision is treated as an instance of the original work, a change in title will result in the revision being entered as a new work by the original author, by virtue of the instruction in 25.2B.

Performance of a previously existing work

In cases involving an item that contains what is perceived to be a single work, performance of the work, regardless of the nature of the performance, has no bearing on the identity of the work. The person or body responsible for the original work remains the person or body represented in the main entry heading for the item. If the title of the item containing the performance differs from the title of previously published manifestations of the work, the rules provide for adding a uniform title based on the title for the original work.

It should be noted, however, that the provisions set out in the rules relating to an item containing a performance of a single work are cast specifically in the context of sound recordings. The rules provide no instructions relating to the performance of a single work embodied in an audio-visual item. It is an open question, therefore, as to whether the same principle would apply.

Editing of a previously existing work

In cases involving an item that contains what is perceived to be a single work, editing of the work has no bearing on the identity of the work, providing the “editing” is not sufficiently extensive to result in a “modification” of the content as noted above. The person or body responsible for the original work remains the person or body represented in the main entry heading for the item. If the title of the item containing an edited version of the content differs from the title of previously published manifestations of the work, the rules provide for adding a uniform title based on the title for the original work.

Item containing more than one work

The general assumption that two items with the same main entry heading and uniform title, or with the same main entry heading and title proper, are embodiments of the same work, and its corollary, that two items are *not* embodiments of the same work if they do not have the same main entry heading and uniform title, or (in the absence of a uniform title) the same main entry heading and title proper, has to be qualified when dealing with an item that contains what may be perceived to be more than one work. Because a main entry heading and uniform title or title proper can pertain to only one work, choices have to be made as to which of the works contained in the item is to be represented by the main entry, or alternatively, whether the main entry is to represent the aggregate of works contained in the item as a single entity. The criteria for making that determination are analyzed below.

Previously existing work augmented by another work

Interspersed among the rules for “works that are modifications of other works” are a number of specific rules that relate to cases where there is actually no modification of a previously existing work involved (i.e., the content of that previously existing work has not been changed). What is changed is that the previously existing work has been augmented by the addition of new content that, if published separately, would be treated as a work in its own right. The specific cases set out in the rules relate to texts published with illustrations, with commentary, interpretation, or exegesis, or with biographical or critical material, and reproductions of art works published with accompanying text. As illustrated in Figures 3h, 3l, 4e, and 4f, the item described in the entry contains not one work but two.

Determining which of the works contained in the item is to be represented by the main entry heading depends on how the works are represented in the chief source of information for the item. If the chief source of information emphasizes the previously existing work, the main entry heading is the heading appropriate to that work. If, on the other hand, the chief source of information emphasizes the content that augments the previously existing work, the main entry heading is the heading appropriate to the augmenting work. If a uniform title is added to the entry, it will be based on the title appropriate to whichever of the two works is emphasized in the chief source of information.

It should be noted, that the provisions set out in the rules relating to an item containing a previously existing work augmented by the addition of new content that would be treated as a work in its own right if published separately pertain directly to specific cases. The rules provide no instructions relating more generally to items exhibiting the characteristics illustrated in Figures 3h, 3l, 4e, and 4f. The question remains open, therefore, as to whether the same principle would apply in other cases.

Collections of works

In the case of an item containing a collection of works, a determination has to be made as to whether the main entry is to represent the aggregate of works contained in the

item as a single entity, or whether the main entry is to represent just one of the individual works contained in the item.

The options presented in the rules differ, depending on whether a single person or body is responsible for all the works in the collection, whether the same persons or bodies have shared responsibility for all the works in the collection, or whether different persons and/or bodies are responsible for the individual works in the collection.

In the case of a collection of works for which a single person is responsible, the rules provide for three possibilities:

- if the item has a collective title, the main entry represents the collection as an aggregate entity, using the heading for the person or body responsible as the main entry heading and the collective title as the title for the work;
- if the item lacks a collective title, the main entry may represent the collection as an aggregate entity, using the heading for the person or body responsible as the main entry heading and a collective uniform title (“Selections,” “Plays. Selections,” etc.) provided the collection contains at least three works;
- if the item lacks a collective title, the main entry may represent just one of the individual works in the collection, using the heading for the person or corporate body responsible as the main entry heading and the title of the first named work in the collection.

Although there are no rules dealing explicitly with a collection of works for which the same persons or bodies have shared responsibility for all the works, it can be inferred that in such cases there are four possibilities:

- if the item has a collective title, the main entry represents the collection as an aggregate entity, using either the heading for the person or body with principal responsibility, the first named person or body with principal responsibility, or the first named person or body responsible as the main entry heading (provided there are not more than three persons and/or bodies with principal responsibility or undifferentiated responsibility) and the collective title as the title for the work;
- or the collective title alone (where there are more than three persons and/or corporate bodies with principal responsibility or undifferentiated responsibility);
- if the item lacks a collective title, the main entry represents just one of the individual works in the collection, again using either the heading for the person or body with principal responsibility, the first named person or body with principal responsibility, or the first named person or body responsible as the main entry heading (provided there are not more than three persons and/or bodies with principal responsibility or undifferentiated responsibility) and the title for the first named work;
- or the title for the first named work alone (where there are more than three persons and/or corporate bodies with principal responsibility or undifferentiated responsibility).

In the case of a collection of works where different persons or bodies have responsibility for the individual works, the rules provide for a multitude of possibilities:

- if the item has a collective title, the main entry may represent the collection as an aggregate entity, using the collective title as the heading for the main entry (or alternatively letting the title proper in the description serve as the lead element for the entry);

- if the item lacks a collective title, the main entry may represent just one of the individual works in the collection, using either—
 - the heading for the person or corporate body responsible for the first named work as the main entry heading and the title of the first named work (if a single person or body is responsible for the first named work);
 - the heading for the person or body with principal responsibility, the first named person or body with principal responsibility, or the first named person or body responsible for the first named work as the main entry heading (provided there are not more than three persons and/or bodies with principal responsibility or undifferentiated responsibility) and the title for the first named work;
 - or the title for the first named work alone (where the work is one of unknown authorship or by an unnamed group, or there are more than three persons and/or corporate bodies with principal responsibility or undifferentiated responsibility);
- if the item is a sound recording containing works by different persons or bodies and has a collective title, the main entry represents the collection as an aggregate entity, using the heading for the principal performer or first named principal performer as the main entry heading and the collective title as the title for the work;
- if the item is a sound recording containing works by different persons or bodies and lacks a collective title, the main entry may represent the collection as an aggregate entity, using the heading for the principal performer or first named principal performer as the main entry heading and the title of the first named work, provided the participation of the performer(s) goes beyond that of performance, execution, or interpretation;
- if the item is a sound recording containing works by different persons or bodies, lacking a collective title, and the participation of the performer(s) does not go beyond that of performance, execution, or interpretation, the main entry will represent just one of the individual works in the collection, using either—
 - the heading for the person or corporate body responsible for the first named work as the main entry heading and the title of the first named work (if a single person or body is responsible for the first named work);
 - the heading for the person or body with principal responsibility, the first named person or body with principal responsibility, or the first named person or body responsible for the first named work as the main entry heading (provided there are not more than three persons and/or bodies with principal responsibility or undifferentiated responsibility) and the title for the first named work;
 - or the title for the first named work alone (where the work is one of unknown authorship or by an unnamed group, or there are more than three persons and/or corporate bodies with principal responsibility or undifferentiated responsibility);
- if the item contains a collection of laws, statutory regulations, or court rules and lacks a collective title, the main entry represents just one of the individual laws, regulations or rules in the collection, using the heading for the jurisdiction or body governed by the laws, regulations, or rules as the main entry heading and the title of the first named law, regulation, or rules;
- if the item contains a collection of official proceedings or records of trials and lacks a collective title, the main entry will represent just one of the individual

proceedings, using the heading for the defendant in those proceedings (in the case of criminal proceedings) or the plaintiff (in the case of other proceedings) as the main entry heading and the title of the first named proceedings.

Note that establishing an identity for a collection as an aggregate entity does not alter the identities for the individual works within the collection. Those individual works, when identified through analytical added entries retain the identity they would have if published separately.

General principles relating to the identity and boundaries of a work

If the rules in Part II of the code are to be re-examined with a view to establishing and articulating underlying principles related to the identity of a work and the parameters that determine the existence of a new work as distinct from another instance of the same work, the first question that have to be addressed is whether out of the complexity of criteria involved in determining the identity of the work or works manifested in the content of an item outlined above it is possible to extrapolate principles that can be applied at a higher level of generalization than is currently reflected through a multiplicity of rules applying to specific cases. Is it possible, using the model as a frame of reference, to develop and articulate principles relating to the identity of the work or works manifested in the content of an item at least at a level of generalization corresponding to the subset of variables operating in each of the diagrams illustrating the various types of entry produced in applying the rules? If that can be achieved, and those principles could be enunciated as “general” rules, then dealing with new and different cases arising from the emergence of multimedia publications, new forms of intellectual and artistic expression, and new roles played by the persons and bodies involved in the creation, modification, or performance of intellectual or artistic content would be more manageable and require fewer rules of a specific nature.

The second question to be addressed in re-examining the rules as they relate to the identification of works is whether there is justification, in light of the functional objective set out in statement 2.2(a) of the Paris Principles, for the current restrictions imposed on the identification of individual works in items containing collections of works by different persons or bodies. If the “rule of three” is to continue to apply to the construction of analytical added entries, there needs to be a re-statement of the functions of the catalogue as implemented in AACR that reflects that restriction.

4. The concept of “edition”

The statement relating to the functions of the catalogue in the Paris Principles states that the catalogue should be an efficient instrument for ascertaining “which editions of a particular work are in the library.” In the basic vocabulary of cataloguing terms appended to the Paris Principles, the term “edition” is defined as “the embodiment of a work in a particular typographical form.” The definition also indicates that “different editions may embody an identical text or varying texts.”

In substance, the definition of “edition” in the Paris Principles parallels the definition used in the glossary of AACR. The difference in the way the definitions are framed results from the fact that the definition in the Paris Principles is framed with reference to

the work as an abstract entity, while the definition in AACR is framed with reference to the item as a physical entity. In examining the concept of “edition” and assessing the extent to which a catalogue constructed according to the rules in AACR will serve as an efficient instrument for ascertaining “which editions of a particular work are in the library,” the concept has to be viewed, as it is in the Paris Principles, with reference to the abstract entity identified as the work.

To the extent that the rules referred to in the preceding section relating to the concept of the work serve to bring together under a common heading all the entries for items containing the same work (allowing for the fact that certain instances of a particular work embodied in an item containing more than one work will not be identified because of the “rule of three”), the functional objective relating to all editions of a particular work will be met *de facto*.

There are, however, several provisions in the rules designed to offset the fact that certain instances of content that might be perceived as “editions” of a particular work are treated in fact as instances of a different work. One example occurs in the rules dealing with revisions of texts. In cases where the revision is treated as one where the original author is no longer considered responsible for the work (21.12B), there is an exceptional provision for making a name-title added entry under the heading for the person or body responsible for the original and the title of the last edition entered under that heading. The effect of that name-title added entry is to represent the item described not only as an edition of a new work under the heading for the reviser but also as an edition of the original work under the heading for the person or body responsible for the original.

A variant of that provision is made for different editions of a work of shared responsibility where the names of the persons or bodies responsible appear in a different order from one edition to another (21.6C1). As a result of the change in the order of the names, the editions are treated as different works, each entered under the heading for the person or body named first. Inasmuch as the items might be perceived as editions of the same work, the rules make an exceptional provision for an added entry under the name of the person or body named first in a previous edition, even when the persons or bodies are not named in the item described.

The rules for uniform titles instruct the cataloguer not to add a uniform title to the entry for a revision or updating of a work. As a result, entries for items that are in fact editions of the same work may be separated in the file under the heading for the person or body responsible because of significant differences in title from one edition to another. The rules do provide, however, for the possibility of making name-title added entries in those cases, so as to collocate entries for the two editions not only under the heading for the author but more specifically under each of the titles used in the different editions (25.2B).

As far as the future development of the code is concerned, the question to be addressed is whether the exceptional provisions made in the specific cases noted above might be applicable in other cases as well, and whether such provisions should be regularized and cast as more “general” rules.

It should also be noted that uniform titles, although they are designed ostensibly to identify the work, in some cases serve the further purpose of organizing the entries for

various manifestations of the work into subgroupings based on attributes such as language, version, year of publication, etc. In cases where a year of publication is used as an addition to a uniform title, the effect is to produce a uniform title heading that identifies a particular edition of the work. Rule 25.18A13 even makes provision for constructing two uniform titles for a facsimile edition of the Bible, one incorporating the date of publication of the original for use as the main entry heading and a second incorporating the date of the facsimile to be used as an added entry heading. Again, it may be instructive to question the rationale underlying rules that associate elements relating to a particular edition of a work with the identity of the work itself to determine whether they reflect unstated assumptions about the function of the catalogue with respect to the identification of particular editions of a work and to assess whether the conventions reflected in such rules should be applied more broadly.

5. The citation form for a work

The general introduction to the code sets out two functional reasons for distinguishing between the main entry and added entries for an item (0.5). The first is that instructions relating to the choice of main entry are essential for determining how an item is to be entered in a single entry listing (i.e., in a listing where there is only one entry for each item described). The second is that the citation form represented by the main entry heading and uniform title, or by the main entry heading and title proper, is essential for determining the form of a name-title added entry for a related work.

The rules in Part II provide for making a name-title added entry in the form of the main entry heading and uniform title or the main entry heading and title proper appropriate for a related work as a means of relating the work described in the entry to the related work identified by the name-title added entry heading (21.30G1). (Note that rule 21.30G1 goes on to instruct the cataloguer to add to the name-title added entry heading, when necessary, “the edition statement, date, etc.,” which suggests that the name-title added entry is being used to identify a particular edition or item, not simply the related work in its abstract sense.)

The diagrams illustrating name-title added entries for related works in Figures 6a and 6b show the construction of the citation form as the concatenation of the main entry heading and the title pertaining to the related work. (Not shown in the diagrams is the uniform title that may be used as the means of identifying the related work). Assuming that the entity to be cited is in fact a work, as distinct from a particular edition or item, determining the title element to be used in the name-title added entry identifying the related work comes down to a question of whether the title proper appearing on a particular manifestation of the work being cited will suffice, or whether a uniform title is necessary. The objective, of course, is to formulate the citation (i.e., the name-title added entry) so that the entry on which it is superimposed, when filed in an alphabetic sequence, will be adjacent to the main entry (or main entries) for the related entity.

If there is only one instance of the related entity, and the main entry for that related entity uses the title proper of the item described as its secondary filing element, then a name-title added entry in the form of the main entry heading and the title proper is required. If there are multiple instances of the related entity, and the main entries for all of them use the title proper of the respective items as their secondary filing element,

then again a name-title added entry in the form of the main entry heading and title proper is required. If, however, there are multiple instances of the related entity, and the main entry for each of them uses either a uniform title or a title proper which is effectively the same as the uniform title, the name-title added entry will require a uniform title as its title element. It is only in this latter case that the citation form functions in fact as a citation for the work as distinct from the item. In the other cases the citation form is in fact functioning as a citation for the item (or items), though coincidentally it can be viewed as a citation for the work as well.

What ultimately determines the form of the title element in the citation construct is whether or not a uniform title has been assigned to the main entries for the items embodying the work being cited. Since the instructions in Chapter 25 relating to the use of uniform titles are treated as optional, it will be a matter of library policy to determine whether a uniform title is assigned to those main entries. As a generalization, it can probably be assumed that the assignment of a uniform title will be limited to entries for classics, literary works in the canon of a well-established and frequently re-published author, translations, and musical works. In most other cases, then, the citation form will require nothing more than a title proper as its second element. In those cases the question of whether the entity identified by the citation is an item or a work is moot.

The optionality established in the code with respect to the use of uniform titles becomes somewhat problematic in the context of a shared cataloguing environment. If the construction of the citation form used in name-title added entries for related works is dependent on whether the main entry for the related work has or has not had a uniform title added to it, the name-title added entry can only be constructed to function within the catalogue of the library devising the added entry. Once that entry is "borrowed" for use by another library or added to a union catalogue, there is no guarantee that the name-title added entry will in fact function as intended to collocate the entries for the related works.

The larger issue to be addressed is whether the use of the citation form as it is developed in the code is in fact an optimally effective device for reflecting work-to-work relationships in the catalogue, particularly given the technology currently available to support bibliographic databases.

At an even more fundamental level, the key issue to be addressed with respect to the citation form for a work is what ultimately determines the citation form for a particular work. The framing of the general rules governing choice of entry (21.1A-21.1C) would suggest that the code is based on a number of broad principles that determine the appropriateness of associating a work with its author or with the corporate body from which it emanates, or alternatively of identifying the work simply by its title. However, an examination of many of the specific rules in Chapter 21, particularly those relating to sound recordings, legal works, and religious works, suggests that in many instances the principles that might be inferred from the general rules are in fact overridden by citation practices that prevail in domains external to the cataloguing rules themselves. Hence the rules for entry of certain sound recordings under performer, entry of certain legal works under the name of the defendant, etc. The question of compatibility between the citation form for a work resulting from an application of the cataloguing rules and the citation for the work that a user of the catalogue might derive from other sources is one that has major significance for the rationalization and further development of the code.

Ultimately a determination has to be made as to how best to balance the need for a code that is consistent with an internally defined set of principles and the need to maintain compatibility with citation practices that are externally defined.

6. The organization of the rules for choice of entry

It is evident from the schematics set out in **Figure 2** that the criteria brought into play in constructing entries for the catalogue are linked to a wide range of entities, both conceptual and physical in nature, and that the interrelationships between those entities are complex. It is not surprising, therefore, that the categorizations used to structure the rules for choice of entry are as complex in their make-up as the categorizations around which the rules in Part I are organized, if not more so. Although the work itself is purportedly the entity around which decisions on choice of access points are to be made, it is clear that the relationships between the work or works contained in the item and other entities connected with the work(s)—including the person(s) or corporate body (bodies) responsible for the work(s), any antecedent work(s), and the containing item itself—as well as the specific nature of those relationships all have a direct bearing on the choice of access points.

In **Tables 1, 2, 3, and 4** the key criteria used in categorizing works of personal authorship (the type of responsibility for the work, the configuration of works within the item, the nature of derivation for works that have an antecedent, and the type of work) are mapped on to a matrix similar to the one used to analyze the class of materials concept in Part I. In the left-hand column of the matrix are listed the various “candidates” that might be considered for the main entry heading (author, principal author, etc.).

As can be seen from **Table 1**, the rules offer only two basic options for the main entry heading when a single person is responsible for the work(s) contained in the item being catalogued: the author or probable author (if known), or the title of the work (if the author or probable author is unknown). The table also indicates that the rules specify main entry either under author/probable author or title both for items that contain a single work and for those that contain a collection of works or extracts of works for which a single person is responsible. Although there is no specific reference in the rules to composite works for which a single person is responsible (e.g., text and drawings by the same person), the table indicates that a logical inference could be made that the basic rules would still apply. Similarly a logical inference could be made that the basic rules would apply in all cases where the work contained in the item being catalogued is derived from an antecedent work by the same person (e.g., a composer’s transcription of his/her own original composition), and that they would apply irrespective of the type of work (i.e., they would apply equally to text, art, music, etc.).

However, as we progress through **Tables 2, 3, and 4** it is evident that the application of basic rules across the spectrum of variables that are possible for a given category of works becomes increasingly attenuated. The number of entities on which the main entry heading may be based increases to four in the case of works of shared authorship, to five in the case of collections of works by different persons, and to twenty in the case of works of mixed responsibility. The choice of main entry heading becomes increasingly linked to the configuration of works within the item, to the specific nature of

Table 1: Choice of main entry for an item containing a work or works for which a single person is responsible

Main Entry Heading	Responsibility			Configuration			Derivation								Type of Work										
	Single person responsible	Shared responsibility	Different persons responsible	Mixed responsibility	Single work	Collection of works / extracts	Composite work	New work	Art reproduction	Translation	Arrangement / transcription	Accompaniment / part added	Revision	Illustrated text	Commentary [etc.] added	Adaptation	Performance	Text	Art work	Musical work	Text / art work	Text / musical work	Cartographic work	Cinemagraphic work	
Author / probable author	■				■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
Principal author																									
First named principal author																									
First named author																									
Reviser																									
Principal reviser																									
First named reviser																									
Adapter																									
Principal adapter																									
First named adapter																									
Performer																									
Principal performer																									
First named principal performer																									
Artist																									
Writer																									
Text																									
Composer																									
Work emphasized																									
First named work / contribution																									
Title	■				■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■

□ Specified by rule ■ Logical inference

Table 2: Choice of main entry for an item containing a work or works of shared responsibility

Main Entry Heading	Responsibility				Configuration			Derivation								Type of Work									
	Single person responsible	Shared responsibility	Different persons responsible	Mixed responsibility	Single work	Collection of works / extracts	Composite work	New work	Art reproduction	Translation	Arrangement / transcription	Accompaniment / part added	Revision	Illustrated text	Commentary [etc.] added	Adaptation	Performance	Text	Art work	Musical work	Text / art work	Text / musical work	Cartographic work	Cinemagraphic work	
Author / probable author																									
Principal author		<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
First named principal author		<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
First named author		<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Reviser													<input type="checkbox"/>												
Principal reviser																									
First named reviser																									
Adapter																									
Principal adapter																									
First named adapter																									
Performer																									
Principal performer																									
First named principal performer																									
Artist																									
Writer																									
Text																									
Composer																									
Work emphasized																									
First named work / contribution																									
Title		<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Specified by rule Logical inference

Table 3: Choice of main entry for an item containing a collection of works by different persons

Main Entry Heading	Responsibility				Configuration			Derivation								Type of Work								
	Single person responsible	Shared responsibility	Different persons responsible	Mixed responsibility	Single work	Collection of works / extracts	Composite work	New work	Art reproduction	Translation	Arrangement / transcription	Accompaniment / part added	Revision	Illustrated text	Commentary [etc.] added	Adaptation	Performance	Text	Art work	Musical work	Text / art work	Text / musical work	Cartographic work	Cinemagraphic work
Author / probable author																								
Principal author																								
First named principal author																								
First named author																								
Reviser																								
Principal reviser																								
First named reviser																								
Adapter																								
Principal adapter																								
First named adapter																								
Performer			<input type="checkbox"/>			<input type="checkbox"/>											<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
Principal performer			<input type="checkbox"/>			<input type="checkbox"/>											<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
First named principal performer			<input type="checkbox"/>			<input type="checkbox"/>											<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
Artist																								
Writer																								
Text																								
Composer																								
Work emphasized																								
First named work / contribution			<input type="checkbox"/>			<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Title			<input type="checkbox"/>			<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Specified by rule Logical inference

Table 4: Choice of main entry for an item containing a work or works of mixed responsibility

Main Entry Heading	Responsibility				Configuration			Derivation							Type of Work										
	Single person responsible	Shared responsibility	Different persons responsible	Mixed responsibility	Single work	Collection of works / extracts	Composite work	New work	Art reproduction	Translation	Arrangement / transcription	Accompaniment / part added	Revision	Illustrated text	Commentary [etc.] added	Adaptation	Performance	Text	Art work	Musical work	Text / art work	Text / musical work	Cartographic work	Cinemagraphic work	
Author / probable author				■	■	■			■	■	■	■	■				■	■	■	■				■	■
Principal author				■	■	■			■	■	■	■	■				■	■	■	■				■	■
First named principal author				■	■	■			■	■	■	■	■				■	■	■	■				■	■
First named author				■	■	■			■	■	■	■	■				■	■	■	■				■	■
Reviser				■	■	■	■			■			■				■	■	■	■					
Principal reviser				■	■	■	■			■			■				■	■	■	■					
First named reviser				■	■	■	■			■			■				■	■	■	■					
Adapter				■	■	■	■		■	■						■	■	■	■	■		■	■	■	■
Principal adapter				■	■	■	■		■	■						■	■	■	■	■		■	■	■	■
First named adapter				■	■	■	■		■	■						■	■	■	■	■		■	■	■	■
Performer				■		■	■									■	■	■	■	■				■	■
Principal performer				■		■	■									■	■	■	■	■				■	■
First named principal performer				■		■	■									■	■	■	■	■				■	■
Artist				■		■	■	■	■	■												■	■		
Writer				■		■	■	■	■	■			■									■	■		
Text				■		■	■	■	■	■					■							■	■		
Composer				■		■	■	■	■	■	■	■					■							■	■
Work emphasized				■		■	■	■	■	■					■			■							
First named work / contribution				■	■	■		■	■	■	■	■					■	■	■	■				■	■
Title				■	■	■		■	■	■	■	■				■	■	■	■	■				■	■

□ Specified by rule ■ Logical inference

the relationship between the work and its antecedent, and to the particular type of work involved. The logical inferences that can be made about the applicability of a basic rule to a particular sub-category become progressively more difficult to extrapolate and less likely to extend across sub-categories.

Analyzing the categorization of works that forms the basis for determining choice of access points in a systematic way, as illustrated in the figures and tables presented here, raises a number of questions that need to be taken into consideration, especially as we attempt to determine the applicability of basic principles for the identification of works to an increasingly broad array of intellectual and artistic productions that involve more than one person and that are “multimedia” in nature. We might ask, for example, whether the line of demarcation between shared responsibility and mixed responsibility is sufficiently clear. If works produced through collaboration or exchange between two or more persons can fall under either category, depending on whether the individuals make the same kind of intellectual or artistic contribution or perform different kinds of roles, do we have a clear enough notion of what constitutes a distinct intellectual or artistic role to enable us to make the appropriate categorization in the absence of a specific rule? We might also ask whether the code needs to be extended to cover additional forms of composite works. Can we extrapolate principles from existing rules for works that combine music and text and those that combine art and text that would be applicable to works that combine music, art and text into a single production? We might ask further to what extent rules that are specific to a particular type of work are justified. If we have rules that pertain specifically to textual works, to musical works and to art works, is there a reason why we have no rules that are specific to cartographic or cinematographic works?

It is also worth asking the question as to whether a different approach to structuring the rules in Chapter 21 would simplify their application. Are the primary categories for works of shared responsibility and works of mixed responsibility really necessary or helpful? Would it be simpler and more direct to deal with the number of persons represented as having responsibility for the content of the item (i.e., one person, two or three persons, more than three persons)?

RECOMMENDATIONS

1. Using the model developed for this study as a frame of reference, develop a specification for the functions of the catalogue that fully articulates the objectives underlying the rules in the code that relate to the choice of access points and the construction and use of uniform titles. The tables used in chapter 7 of the *Functional Requirements for Bibliographic Records* might serve as a model for structuring the specifications.
2. Re-assess the concept of “authorship” as it relates to the functions of the catalogue, and determine whether the exceptions in the rules that limit the assignment of access points in certain instances (including the “rule of three”) should be altered.
3. Assess the need to reflect additional relationships between persons and corporate bodies and the content of an item in the context of newly emerging forms of intellectual and artistic expression and multimedia productions.

4. Using the model as a frame of reference, test the feasibility of developing and articulating principles relating to the identity of the work or works manifested in the content of an item that can be applied at a more generalized level than is currently reflected in the specifics of the rules for choice of entry.
5. Re-assess the current restrictions imposed by the application of the “rule of three” on the identification of individual works in items containing collections of works by different persons or bodies.
6. Using the model developed for this study, re-examine the use of the citation form as it is developed in the code to determine whether it is an optimally effective device for reflecting work-to-work relationships in the catalogue in light of the technology currently available to support bibliographic databases.
7. Examine the feasibility of re-structuring the rules in Chapter 21 with a view to simplifying the use of the rules and facilitating the application of “general” rules to particular cases in the absence of rules dealing specifically with the case in question.