Revising AACR2 to Accommodate Seriality:

Report to the Joint Steering Committee on the Revision of AACR

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Executive Summary

This report recommends changes to the Anglo-American Cataloguing Rules, 2nd ed., rev. in order to accommodate new forms of bibliographic resources and to better address the description of serials and other resources that exhibit seriality. Recommendations that would have the greatest impact on AACR2 are:

1. To define two types of publication: "finite" and "continuing" and to further define a category of "integrating resources" for which special rules will be provided. The term "serial" is revised but not essentially redefined.

2. To describe the entire resource rather than a single issue. This would be accomplished by including earliest and latest data in the publishing area, and providing notes that indicate the earliest and latest issues consulted, as appropriate.

3. To base the description of all continuing resources on the latest issue, rather than the earliest (current practice for serials) in order to provide a more useful and up-to-date description.

4. To limit the use of other title information.

5. To adopt the ISBD(S) and ISSN language of "major and minor" changes.

6. To increase the types of changes to titles that can be considered as "minor" in order to reduce the number of new records.

7. To apply both successive and latest entry cataloging conventions for the cataloging of electronic journals, based on the presence of the earlier titles within the journal site.

8. To reorganize the descriptive portion of the code according to ISBD areas of the description. And to consider dividing the code three ways, rather than two, with the third part covering how relationships to related works and manifestations are handled.

For each recommendation, specific goals are identified and the impact on AACR2, ISBD(S), ISSN, and MARC 21 is explained.

In addition to the recommendations, certain ideas for further consideration are also presented, as well as illustrative records.

A. Introduction

Background

In 1998, the Joint Steering Committee charged me with recommending rule revisions in support of the recommendations in the paper, Issues Related to Seriality[1] which I co-authored with Crystal Graham (University of California, San Diego) and presented at the International Conference on the Principles and Future Development of AACR. Early in the year, four groups were established to work on issues related to the definition of serial, the possible use of successive and latest entry cataloging conventions, descriptive cataloging of serials, the cataloging of electronic journals, and possible improvements to the rule for title changes. In July, I met with the JSC and proposed that rather than presenting actual rule revisions, I write a report with specific recommendations. The reasons for this being the need for harmonization with ISBD(S) and the ISSN rules and also the possibility that the code would be reorganized making the placement of the rules uncertain. I proposed that such a report could detail the basic content or intent of the rules while avoiding the necessity to wordsmith or decide where the rules would go. In this way, the ISBD(S) Working Group and ISSN community could agree or disagree with the content of the proposals and the JSC could assess further need for harmonization before proceeding with rule revision. The JSC agreed and thus, the following report.

Acknowledgments

This report reflects the creativity, hard work, and thoughtful comments of many working catalogers and cataloging experts from around the world. First, I want to thank the chairs of the AACR review groups — Kristin Lindlan (University of Washington), Les Hawkins (Library of Congress), and Sara Shatford Layne (UCLA) for their hard work and contributions. Most of the work was accomplished over email and involved over 70 participants and consultants from the United States, Australia, Canada, Great Britain, and Germany. Second, I want to thank the CONSER AACR Review Task Force, chaired by Sara Shatford Layne, which has been vital in distilling the group reports and recommending solutions to the more difficult issues. Finally, I want to give a very special thanks to my colleagues at the Library of Congress Regina Reynolds and Judy Kuhagen who have worked closely with me on this report and throughout the entire process of review. Since harmonization has been a major goal, Judy's knowledge of ISBD(S) and Regina's knowledge of ISSN have been essential to the process, as well as their excellent knowledge of serials and AACR2.

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[1] Hirons, Jean and Crystal Graham. "Issues Related to Seriality," in International Conference on the Principles and Future Development of AACR. *The Principles and Future of AACR*. Jean Weihs, ed. Chicago : American Library Association, 1998.

Goals of the Revision Proposals

The numerous recommendations and future considerations included in this report are unified by a set of goals, initially identified by the CONSER AACR Review Task Force and included in the Hirons/Graham paper. Additional goals, such as harmonization, have been added as well. I might add, that wherever possible, my own personal goal has been to aim for simplicity and clarity in order to make the concepts understandable and easy to teach and apply.

In the rationale for each recommendation, I have listed the specific goals that would be achieved by that recommendation with the parenthetical abbreviations from the following list.

1. incorporating rules for resources not covered (e.g., loose-leafs, databases) (new rules);
2. introducing seriality throughout the code (seriality);
3. harmonizing practices with ISBD(S) and ISSN (harmonization);
4. describing the whole work rather than a single issue (whole work);
5. emphasizing identification rather than transcription (identification);
6. focusing on constants rather than variables (constants); and
7. providing rules that take advantage of and acknowledge the current environment of online catalogs and cooperative cataloging (environment).

Harmonization

The revision of AACR2 is coinciding with the revision of the International Standard Bibliographic Description for Serials (ISBD(S)). The ISSN International Centre is also in the process of revising its manual. Much of this revision has been necessitated by the emergence of electronic serials. However, all groups agree that other changes and improvements are needed as well. I am currently serving as a resource person on the ISBD(S) Working Group, chaired by Ingrid Parent (National Library of Canada) and Judy Kuhagen and Regina Reynolds are corresponding members. Regina is also part of a group that will be revising the ISSN manual. We three have contributed to the discussions and working papers for the ISBD(S) review. Reaching agreement on issues such as the definition of "serial" what constitutes a title change, and the use of latest entry cataloging conventions will be critical for achieving international standards and record sharing. It is hoped that this report will provide a key element in the process of harmonization. In the summary of recommendations in Appendix C, those important for harmonization are indicated by italics.

Other Initiatives

At the same time that we have been working on seriality, a CC:DA task force, chaired by Lynne Howarth (U. Toronto), has been working on adding changes in the revised ISBD(ER) to AACR2 Chapter 9. While most of what is addressed in ISBD(ER) is primarily monographic and does not deal very specifically with electronic journals, databases, or Web sites, nevertheless, the general

rules in ISBD(ER) might indeed apply to these resources as well. Thus, I attended the meeting of the ISBD(ER) task force at ALA and will be included on their discussion list.

The work of the CC:DA 0.24 task force, under the direction of Martha Yee (UCLA), has also been of great interest. Crystal Graham is a member of that group and regularly reports on issues of interest to the seriality discussions.

And finally, Tom Delsey's extensive reports to the JSC on the logic of AACR2[2] have influenced this report in matters of terminology, modeling, and thoughts about the organization of the code.

Structure of the Report

The report is comprised of recommendations and future considerations organized into five categories: general, type of publication, description, major and minor changes, and relationships. Under each of the recommendations I have listed the goals that would be achieved and the impact on AACR2, ISBD(S), ISSN, and MARC 21. The proposals labeled as "future considerations" are for ideas that cannot be readily implemented or that need more thought and work. Resolving some of the issues has been extremely difficult and, as I noted above, there has been much creative thinking that has taken place during the past year. Some suggestions have been aired and rejected. Others we believe hold promise for the future. These are ideas that we want to share with the international community for their reaction to ascertain whether the ideas warrant further development.

Reports detailing some of the most creative ideas: incorporating entry, a succession of latest entry records, and creating a benchmark for title changes are all available on the CONSER Web site at: `http://lcweb.loc.gov/acq/conser/seriality/`.

MARC 21

While this report is primarily concerned with changes to AACR2, it is impossible to divorce these proposals from MARC 21, the communications format in which we in the US and other countries create our records. Evidence of this will be seen in two ways: 1) examples include MARC 21 tagging, when needed for clarity; and 2) the impact of the recommendations on MARC 21 is included in the report where applicable. [See also discussion on Seriality and MARC 21 below.]

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[2] Delsey, Tom. *The Logical Structure of the Anglo-American Cataloguing Rules, Parts I and II.* Available at: `http://www.nlc-bnc.ca/jsc/`.

Further Considerations

Electronic resources. While the following report provides recommendations for the cataloging of electronic resources, it is recognized that alternative means of access are also being employed by many libraries. For electronic versions of journals, many are employing a single-record technique sanctioned by the CONSER Program. For many Web sites no cataloging will be done, or the use of metadata may prevail. However, there is a growing desire to have electronic resources available in library catalogs and it is imperative that the cataloging code accommodate such resources.

Levels of serials cataloging activity. The recommendations in this report primarily reflect the opinions of U.S. catalogers, since they greatly outnumbered those from other countries, and I realize that we in the U.S. take serials cataloging very seriously! Others may choose to provide less maintenance; however, in the U.S. and Canada with the CONSER Program, catalogers regularly work on records cooperatively to maintain an up-to-date database of serial records. Thus, some of the recommendations reflect the desire for the rules to accommodate such maintenance of records. And if seriality is to be applied throughout the code, it must be recognized that many publications have the potential for change, from multi-parts, to serials, to loose-leafs and electronic resources.
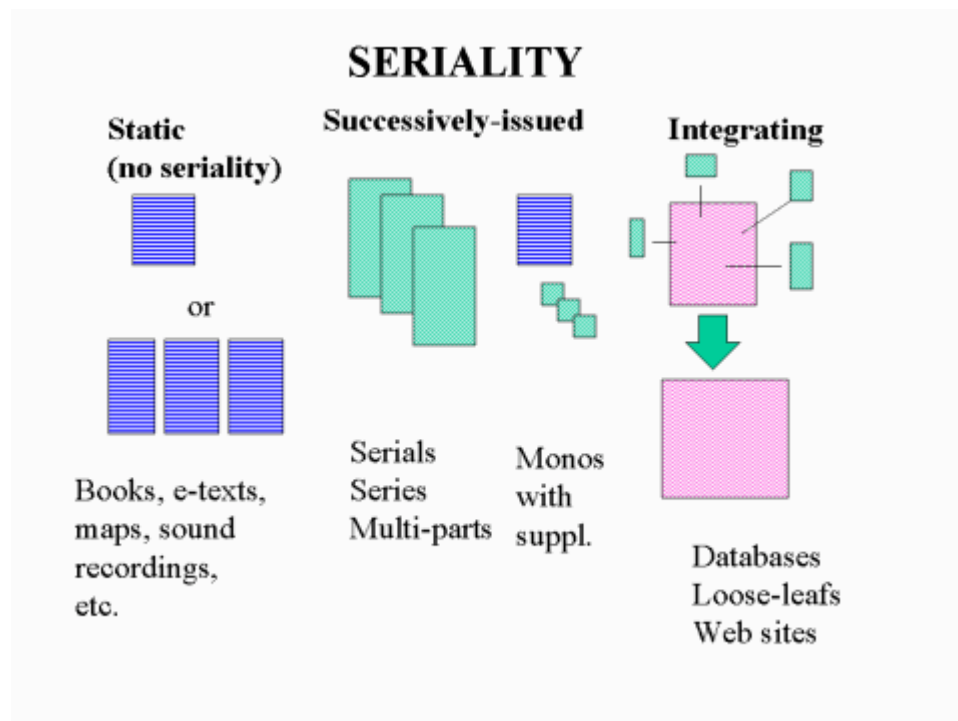
B. Seriality

Seriality refers to the fact that certain types of bibliographic resources are issued over time, regardless of whether they are intended to be complete or have no predetermined conclusion and thus, the bibliographic data can change over time. Additionally, because the bibliographic record reflects the entire work, the level of specificity of some data may be affected by seriality. In addition to being important for the appropriate cataloging of a resource, seriality is a critical concept for the acquisition and internal control of such resources.

There are three aspects to seriality of importance to catalogers: 1) how bibliographic resources exhibit seriality, 2) how seriality is handed in AACR2, and 3) how seriality is handled in MARC 21 and online catalogs. This paper focuses on the first two and will leave the issue of MARC coding to a separate discussion paper, noted below.

Seriality and Bibliographic Resources

A wide variety of resources can exhibit seriality. The following pictorial model provides a color-coded schema to understanding the forms in which various resources are issued.

The model is divided into three categories. The portions of the model that are colored green (diagonal lines) depict seriality. The "static"category (blue/horizontal lines) exhibits no seriality. This category includes resources that are complete as first issued, whether in a single part or multiple parts. Included here are books, maps, sound recordings, multi-volume sets, software,

electronic texts, etc. The second category includes resources for which additional information is supplied in a succession of discrete parts. This category includes serials, series, and multi-part items that are not complete as first issued. It also includes monographs that are updated by a succession of supplements. The monograph is colored blue (horizontal lines) because it is static and does not change, while the supplements are coded green (diagonal lines) to indicate seriality. The third column depicts resources that are updated over time for which the updates are integrated into the resource and do not remain discrete. These resources may be thought of as being more dynamic since the information contained within can change over time.

Electronic Journals

Issues or articles are issued successively and remain discrete
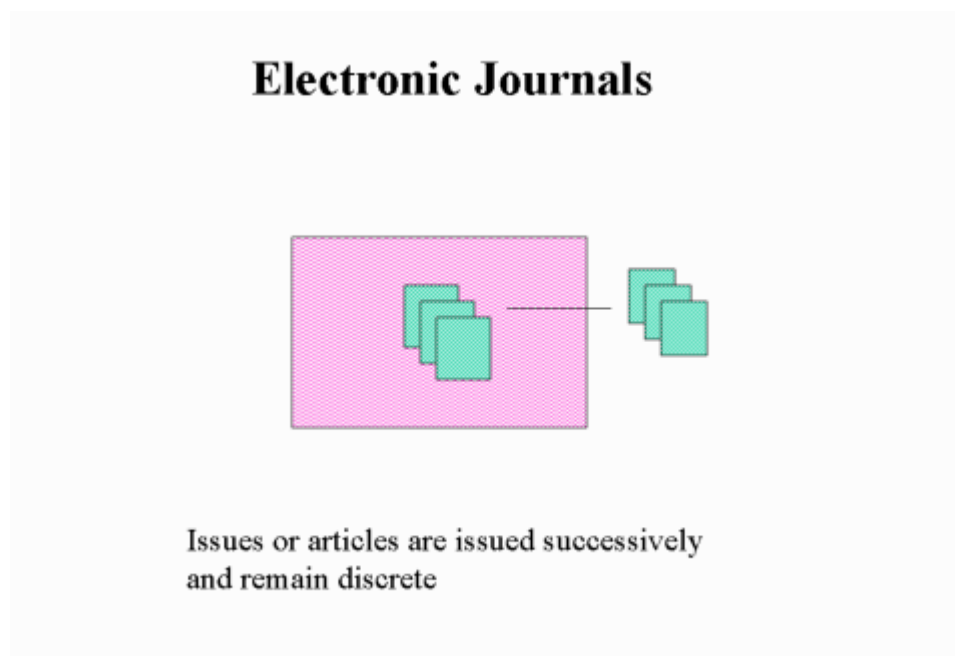
Electronic journals are problematic because they combine aspects of the successive and the integrating. While the individual issues, or in some cases articles, are issued successively and remain discrete, they are housed on a single site and sometimes have only a single title associated with them at any one time. In other cases, the issues/articles bear the journal title. Whether to treat electronic journals as primarily successively-issued or as primarily integrating resources has been a major debate, because of the way that title changes are handled for the two forms of issuance (i.e., successive entry and latest entry). This is addressed in Rec. 3.7.

Seriality and AACR2

Definitions. AACR2 defines two "types of publication": the "monograph" and the "serial." A monograph is defined as being complete or intended to be complete in a finite number of parts. A serial is defined as being issued in a succession of numbered parts that are intended to continue indefinitely. The division between monograph and serial has been an important one because different rules are applied to the description, the entry (in some cases), and the manner in which change is accommodated. Aside from the code itself, the distinction has been important to the division of labor in cataloging departments, cooperative cataloging programs, and library association committees. As has been discussed in the Hirons/Graham paper, the definitions have

never been totally adequate because they omit loose-leaf publications, which are neither finite nor successively issued. The emergence of electronic resources has created many new types of resources that use the publication model of the loose-leaf. These resources fit neither the current definition of monograph nor the definition of serial and in this paper are referred to as "integrating resources."

The seriality model above does not address "type of publication" (i.e., whether or not a resource is finite or continuing in nature). Thus, there are resources, such as multi-parts and supplemented monographs that are finite but that also exhibit seriality. Integrating resources are, by definition, intended to be updated over time; however, for some the time is finite, while for most it is not predetermined and is thus, continuing. The major question addressed by the Hirons/Graham paper was whether integrating resources should somehow fit into one of the existing categories or whether they should constitute a third category of their own, which would not require a distinction between finite and continuing. The recommendation of that paper was that, because integrating resources are "ongoing" by nature, they more closely resemble serials and many are electronic versions of printed serials, thus, the definition of "serial" should be extended to include them. However, in the process of actually redefining "serial," I and my colleagues came to the conclusion that this was not the best approach because the removal of the requirements for numbering and separate parts that would be needed in order to accommodate integrating resources would make it difficult to distinguish multi-part monographs from serials. Furthermore, using a single term to describe such a broad category would make it difficult to provide rules for serials (as currently defined) without imposing these rules on other types of continuing resources. For instance, uniform titles are applied to different serials with the same title. Such uniform titles have not been applied to loose-leafs. Thus, by employing the umbrella concept of "continuing," the rules can acknowledge the common aspects (i.e., the seriality) of both, while retaining special rules to accommodate the differences in their form of issuance.

The basic premise of this report is that AACR2 should accommodate seriality wherever it is needed, regardless of whether a resource is labeled as "finite" or as "continuing."

Organization of the code. AACR2 currently includes a separate chapter for serials and does not accommodate serials in any of the special category chapters, such as maps, sound recordings, and computer files. Thus, the organization is also a critical aspect of how seriality is accommodated by AACR2 and is addressed in the general recommendations 0.1, 0.2 and 0.3 below.

Seriality and MARC 21

While it is possible to accommodate seriality in AACR2 without calling everything a "serial," this is much harder in MARC 21. For textual materials, the first decision for a cataloger using an online utility or local system is whether to use a serial or a monographic workform. These workforms are based on a code in the leader of the record that labels the record as a monograph or as a serial. There is no in between. How seriality is currently accommodated by MARC 21, how integrating resources should be coded, and the various options for how MARC 21 might better accommodate seriality in the future will be the subject of a separate discussion paper that I

and others will prepare for MARBI (the American Library Association group that approves changes to MARC 21) for discussion at the June 1999 meeting of ALA.

C. *Recommendations and Future Considerations*

0. General Recommendations

Recommendation 0.1. Create an expanded introduction to either the descriptive section of the code or the whole code (as determined to be most appropriate).

> *Rationale.* The current code provides no guidance on what constitutes a serial, other than the definitions in the glossary. Furthermore, it is not clear when to make a new record for a monograph due to a change in edition. With the expansion of seriality to cover continuing resources, as described in Rec. 1.1 below, this type of introduction will be very important.

> The expanded introduction should include the basic decisions that have to be made before one creates a description for a finite or continuing resource, such as: levels of description; when to make a new description because of changes in the edition, title, format, etc.; what distinguishes a monograph from a serial or other continuing resource; and the use of catalogers judgment. This recommendation is based on the recommendation for an introductory chapter in the Hirons/Graham paper. The chapter or introduction envisioned would allow for more general explanation such as the introduction to the serial chapter in AACR1.

> ### Impact

> *AACR2.* The code now has a general introduction and introductions to parts 1 and 2. All three are organized in the form of specific rules. Careful attention must be given to what is currently in the introductory chapters and how this information would be retained in a new or expanded chapter for Part 1.

> *ISBD(S).* No impact. Note that ISBD(S) has an introduction that addresses the cases when a description must be made.

> *ISSN.* No impact.

> *MARC 21.* No impact.

Recommendation 0.2. Reorganize the descriptive portion of AACR2 into chapters according to the ISBD area of the record.

Rationale. This is an endorsement of the proposal by Tom Delsey. The primary advantage, as proposed by Delsey, is that such an arrangement would allow for a more content-oriented catalog and the code would be more accommodating to new types of materials. From the serials point of view, it would eliminate questions such as whether rules for electronic journals and databases should be included in chapter 9 or chapter 12. It would also reduce redundancy. For example, the rule for omitting designations from the title of a continuing resource would only have to be given once rather than in separate chapters for categories of materials.

One of the recommendations from the Hirons/Graham paper was to introduce seriality into the entire code. Such a reorganization would enable this integration in a more thorough way than would be possible with the current structure. The rules would be arranged from general to specific and would include, as necessary, special rules needed for categories of material and physical carriers. The first step in the process might be the creation of a single chapter for Continuing Resources that could be later integrated into the reorganized code. This is more fully explored in Appendix B.

Goals achieved: 1 (new rules) 2 (seriality)

Impact

AACR2. While this reorganization might have a negative impact on users of the code who catalog resources in a single medium, I have heard from generalists that such a reorganization would be a real benefit. Obviously, such a reorganization would have a major impact on the code, but Delsey's report on Part 1 could provide the framework for the revision. It should also be noted that such a revision, while greatly changing the organization of the code, would not necessarily result in changes to the content of the rules nor the records created according to those rules.

ISBD(S). There is thinking at present that all of the ISBDs should be combined into one, arranged by area. Such a restructuring would greatly facilitate any similar AACR2 reorganization.

ISSN. No impact.

MARC 21. No impact.

Recommendation 0.3. Changes. Include the rules for changes to data with the rules for a specific area of the description, even when such changes may be handled by notes (which are a separate area). Alternatively, provide references to the rules that discuss the changes. For example, the rule for changes in the statement of responsibility might follow the rules on the recording of the statement of responsibility. Or a statement could be given such as "For changes in the statement of responsibility on subsequent issues, see …"

Rationale. One of the primary characteristics of continuing resources, as well as finite resources that are not yet complete, is the potential for change. Sometimes the change will result in a new description; other times in a change to the existing description; and

still other times the change will require a note. General rules are needed to describe how changes are handled in the catalog record and specific rules are needed for area-specific changes. By including rules for changes following rules for the description, or at least referencing the rules for changes, the code would better accommodate seriality.

Goals achieved: 2 (seriality), 4 (whole work)

Impact

AACR2. Changes that require a new record should be grouped together in the introductory chapter. Decisions would have to be made whether to decentralize the note area, or to reference rules for notes that involve change within the area of the description.

ISBD(S). [0.1.3.] Changes that require a new description are already grouped together. ISBD(S) also gives information within each area about how to handle changes of data elements in that area. It may be desirable but not necessary that both ISBD(S) and AACR2 agree on a similar arrangement.

ISSN. While this would not directly impact on ISSN, it could have the positive benefit of causing more accommodation for change within the rules. Currently, the rules do not call for notes but rather for changing the description when significant changes occur.

MARC 21. No impact.

1. Type of Publication

Recommendation 1.1. Define two types of publication: 1) *Finite:* those that are complete or intended to be completed (e.g., monographs) and 2) *Continuing:* those that are intended to be continued for an indeterminate period (e.g., serials, loose-leaf for updating publications, databases, etc.) according to the model below.

AACR Type of Publication Model

Bibliographic Resources

Finite

- **Complete**
  - *Monographs*
- **Incomplete**
  - **Successively-issued**
    - *Multiparts*
    - *Supplemented monographs*
  - **Integrating**
    - *Revised e-texts*
    - *Some loose-leafs*

Continuing

- **Successively-issued**
  - *Serials (including series and E-journals)*
- **Integrating**
  - *Most Loose-leafs*
  - *Databases*
  - *Web Sites*
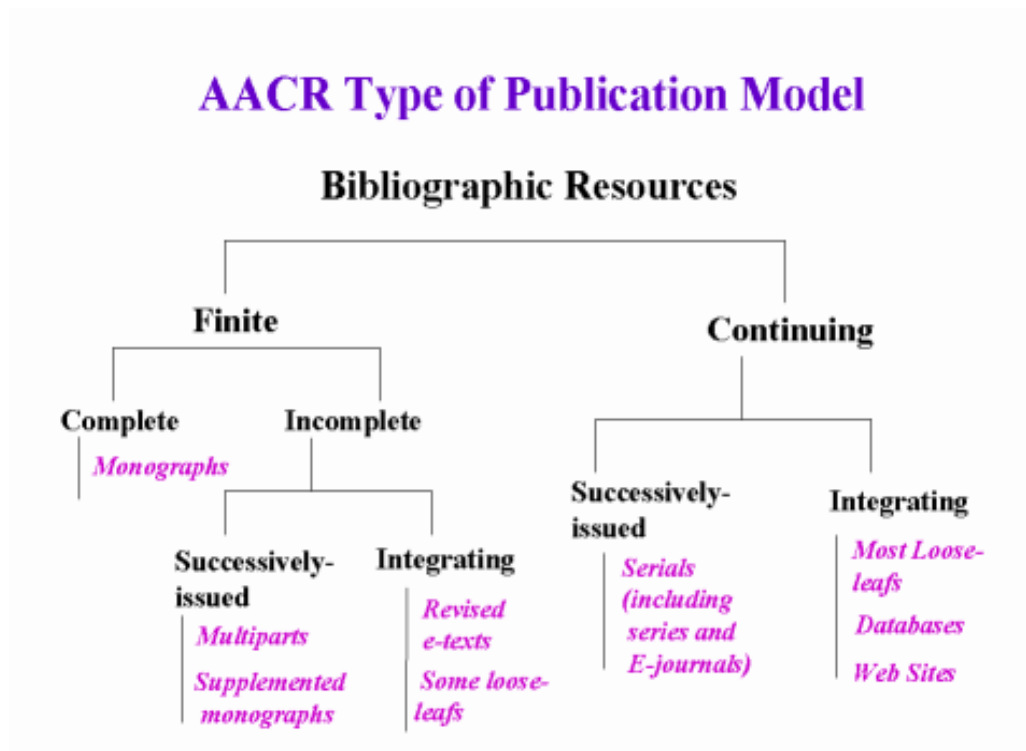
Rationale. The category *finite* includes bibliographic resources that are complete in one or more parts or that are not yet complete. This category includes monographs in all media, including books, electronic texts, sound recordings, maps, graphic materials, and motion pictures. *Finite* relates to the basic work, not to any supplementary material which may be of a more continuing nature, as demonstrated in the seriality model. Thus, a monograph that is updated by an annual supplement is considered to be finite because the description is primarily for the monograph. Because finite resources include those that are not yet complete, they exhibit a certain degree of seriality. The not yet complete multi-part and the supplemented monograph, though different, may each require certain accommodation for change in the bibliographic records, as well as serial control in the handling of the materials themselves.

The category *continuing* includes resources that are intended to continue over time with no predetermined conclusion. The resources may be issued successively in discrete parts,

or in an integrating fashion where parts are subsumed into the whole. Continuing resources include serials, monographic series, electronic journals, loose-leaf for updating publications, databases, and Web sites.

The model acknowledges that some integrating resources are truly monographic, while most are continuing in nature. Those that are known to be finite should be treated as such. Otherwise, an integrating resource should be treated as continuing. The difference in cataloging could involve the choice of entry (avoid personal authorship for continuing) and the level of specificity in the notes. Otherwise, the description would be essentially the same.

Electronic journals are defined as "successively-issued" and thus as serials, because the issues/articles remain discrete.

Goals achieved: 1 (new rules), 2 (seriality)

Impact

AACR2. For purposes of AACR2, the categories in the model could serve to identify broad groupings of bibliographic resources, either for separate chapters, or for sections within chapters. For example, within a chapter on the title statement, there could be a section for continuing resources with rules relating to the omission of data, etc.. Further subdivision could then be given for successively issued and integrating resources, as necessary, to provide rules for transcribing titles from such resources.

ISBD(S). Further harmonization is needed here for this very critical concept. While the ISBD(S) Review Group endorsed the expansion of ISBD(S) to cover all continuing resources, they would like to do so by redefining the term "serial." [See explanation under "Seriality and AACR2" in Section B for reasons why this approach is not desirable.]

ISSN. The ISSN Directors endorsed the use of an umbrella concept but had problems with the original suggestion to use the term "ongoing." The expansion raises the issue of what will be covered by ISSN. The network routinely assigns ISSN to electronic journals and recently decided to experiment by assigning ISSN to databases.

MARC 21. This is *the* major issue for MARC! Since all records are now divided into monographs or serials, it will be necessary to come to agreement on the best way to code resources. Possibilities include expanding the definition of either the current monograph or serial code to accommodate integrating resources (currently they are treated as monographs) or to define a new category within the bibliographic level (leader/07).

Recommendation 1.2. Definitions. Add or redefine the following terms in the AACR2 glossary.

Bibliographic resource: A manifestation of a work that forms the basis for bibliographic description. A bibliographic resource may be in any medium or combination of media or may not be a physical entity. *[new]*

Rationale. This definition uses terminology from the *Functional Requirements for Bibliographic Records* (FRBR)[3] and is the foundation for the others that follow. This term replaces the word "publication" in most of the following definitions because "publication" has been considered to be too print-based.

Finite. Complete as first issued or intended to be complete within a finite number of parts or within a fixed period of time.

Continuing. Having no predetermined conclusion.

Successive issuance. A form of issuance that describes a bibliographic resource that is issued as a succession of discrete parts. Examples of successively-issued resources include printed or other tangible serials, electronic journals, multi-part items issued over time, and monographic series. *[new]*

Integrating issuance. A form of issuance that describes bibliographic resources that are added to or changed by means of updates that do not remain discrete and are integrated into the whole. The updates may be separately issued (e.g., loose-leafs), or integrated by the publisher (e.g., an electronic database or Web site). *[new]*

Rationale (for successive and integrating). As the definitions state, these terms relate to the form in which a bibliographic resource is published and this form is important to the description of these resources. While there will be similarities, there will also be differences in the rules that are used to describe the two categories.

Monograph. A bibliographic resource that is complete or is intended to be completed within a finite number of parts or within a fixed period of time. *[revision]*

Rationale. The definition has been revised to omit the first part of the current definition: "a non-serial item" and to add "or within a fixed period of time" to accommodate electronic texts that are under revision. Note: ISO definition is the same as the current AACR2 definition.

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[3] *Functional Requirements for Bibliographic Description* is available at:
http://www.ifla.org/VII/s13/projects.htm.

Serial. A bibliographic resource issued in a succession of discrete parts, usually bearing numeric or chronological designations, that has no predetermined conclusion. Examples of serials include journals, magazines, electronic journals, annual reports, newspapers, monographic series, etc. *[revision]*

> *Rationale.* The primary changes are 1) the addition of the term "usually" in conjunction with the numbering, 2) the addition of "discrete" in relation to the parts, and 3) the change in wording of the third criterium. The addition of "usually" allows for the inclusion of unnumbered series and the occasional serial that lacks a designation on the first issue (see also Rec. 2.8). This term is currently used in the ISBD(S) and ISO definitions of serial. The word "discrete" has been added to help distinguish serials from integrating resources. The change from "intended to be continued indefinitely" to "has no predetermined conclusion" is as softening of the definition. This wording is also used in the ISSN definition. Note that "in any medium" has been removed from the current definition because it is part of the definition of bibliographic resource. It could be retained in a revised definition, if considered useful.

Integrating resource. A bibliographic resource issued in an integrating manner. Examples of integrating resources include publications that are loose-leaf for updating, databases, and Web sites.

> *Rationale.* While "integrating issuance" has been defined as a form of issuance, we also need a collective term to refer to the resources themselves.

Loose-leaf publication. An integrating resource that consists of unbound leaves or pages intended to receive updates. The format permits the addition, substitution, or removal of pages and allows for frequent addition or revision to materials that need to be kept current. *[new]*

> *Rationale.* The definition is limited to printed publications and thus the use of the word "publication." An electronic equivalent would not be referred to as a loose-leaf.

Database. An electronic resource consisting of a set of interrelated files containing bibliographic data created and managed by a database management system. Primary access to the contents is provided by a search interface. A database may be issued on CD-ROM, diskette, or other direct access method, or as a remotely-issued computer file accessed via dial-up methods or on the Internet. *[new]*

> *Rationale.* There is no definition for "database" in ISBD(ER), only of "data" and "database program." A definition is needed for the bibliographic resource.

Web site. An electronic resource that consists of a collection of digital documents, commonly referred to as home pages that are usually interconnected by the use of hypertext links. Web site is a broad category of electronic resources, exclusive of resources that fit the definitions of database or electronic journal. *[new]*

> *Rationale.* This definition is a revision to the definition included in ISBD(ER) which relates to the location rather than the resource. The second sentence is important in distinguishing databases and electronic journals as particular types of electronic resources that, while they may look like and be located on a Web site, may require different treatment from Web sites in general.

Electronic journal. A serial that usually consists of articles and is delivered via a computer network. *[new]*

> *Rationale.* The definition has been included because this term will be needed for the rules. It clearly states that all electronic journals are serials.

2. Description

Recommendation 2.1. Provide rules for the description of integrating resources. In order to supply such rules, begin by adding rules for loose-leafs based on Adele Hallam's *Cataloging Rules for the Description of Loose-leaf Publications*[4] and add additional rules, as needed, that would be applicable to electronic resources.

Rationale. There currently are no rules for the cataloging of loose-leaf publications nor many of the electronic resources that have emerged over the past decade. A significant difference between successively-issued and integrating resources would be the use of the numeric/chronological designation. For successively-issued resources, the designation would be required for all but unnumbered series; for integrating resources, the designation should be optional so that it can be used as applicable to the resource.

There are some significant differences between different types of integrating resources that the rules will need to accommodate. For example, a loose-leaf publication can be issued in editions, each with its own set of updates, while a database is generally issued as a single continually-updated work.

Note: the degree to which the description of integrating resources will differ from that of successively-issued resources depends on the source of the description and whether Rec. 2.3. below is accepted.

Goals achieved: 1 (new rules), 2 (seriality)

Impact

AACR2. For short term implementation, chapter 9 should be limited to finite electronic resources. A single chapter for continuing resources, including those that are integrating, could replace the current chapter 12. See Appendix B.

ISBD(S). New rules will be needed here as well. An area for harmonization.

ISSN. New rules will also be needed.

MARC 21. No impact.

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[4] Hallam, Adele. *Cataloging Rules for the Description of Looseleaf Publications*. 2nd ed. Washington, D.C. : Office of Descriptive Cataloging Policy, Library of Congress; for sale by the Cataloging Distribution Service, 1989.

Recommendation 2.2. Concept of the chief source. [Rule 12.0B1]. For continuing resources, eliminate the concept of the "chief source of information."

> *Rationale.* AACR2 defines "chief source of information" as "the source of bibliographic data to be given preference as the source from which a bibliographic description is prepared." For continuing resources there are two aspects to be determined: 1) which issue or, in the case of integrating resources, which iteration, and 2) which source within that issue/iteration will serve as the chief source. The AACR2 definition implies that a single source in a single issue will serve as the "chief source" for the description. This is not the case. Information for area 3 (designation) and the publication date in area 4 are taken from the first and last issues when these issues are in hand. Furthermore, the need to specify an issue is limited to areas 1 (title and statement of responsibility), 2 (edition statement) and 4 (place and name of publisher). The need to specify a source within that issue is limited to areas 1 and 2, since these are the only areas with specific sources currently "prescribed."

> This report endorses a more holistic approach to the description of continuing resources that recognizes that a serial or other continuing resources cannot be adequately described from a single issue/iteration.   Thus, the concept of a "chief source" for the entire description is not valid.

> [See Rec. 2.3, 2.4, 2.15 and Appendix A below]

> *Goals achieved:* 2 (seriality), 3 (harmonization), 5 (identification)

> **Impact**

> *AACR2.* Delsey has suggested that the concept be eliminated for all resources.

> *ISBD(S).*   ISBD(S) lists prescribed sources but does not mention a "chief source." However, some of the recommendations below would require harmonization.

> *ISSN.* There is no concept of chief source in the ISSN rules.

> *MARC 21.* No impact.

Recommendation 2.3. Source of title/statement of responsibility and edition statement: which issue/iteration?   [Rule 12.0B1] For all continuing resources, record the title and statement of responsibility and edition statement from the latest piece in hand or the latest iteration as it appears at the time of cataloging. When changes occur within the title and statement of responsibility or edition areas, change the description and provide notes and added entries, as appropriate for the earlier information.   [See also Appendix A.]

> *Rationale.* For integrating resources, there is little choice but to describe from the latest information, since that is all that may be available at any one time. For successively-issued resources, there is a choice. Under AACR and the ALA rules, the description was

based on the latest issue. In recent times, only under AACR2 has the description been based on the earliest issue. This has been a matter of expediency and stability of the catalog record. If the title proper were to be changed to reflect every minor change without the use of an additional stable title, the impact on associated records (e.g., links and added entries in related bibliographic records, check-in, binding records, etc.) would be massive. Thus, this recommendation is linked very closely to the recommendation to extend the use of the uniform title for serials cataloged according to successive entry conventions (see Rec. 4.2.).

This was not the original recommendation from the AACR review group and some members of the task force are strongly opposed. However, I am recommending this approach based on the following perceived advantages: 1) it would provide much more useful information for patrons and reference staff viewing brief records displays (which rarely contain notes) or using citations from A&I services, as well as acquisitions staff who need the latest information for ordering, claiming, and check-in; 2) when combined with a uniform title based on the earliest issue, it would provide a more holistic approach to the work; 3) it would standardize the description of all continuing resources; 4) it would be a step toward the adoption of an international title benchmark (see Rec. 4.4); and 5) it would be better suited to electronic journals, where minor changes in the title reflected on the home page could be given in the title proper. In addition, it would. minimize the differences in description between categories of resources that in the electronic world are becoming hard to distinguish.

This recommendation is also closely tied to the recommendation for major/minor changes in title (Rec. 3.3). If the title change recommendation is approved, changes that are more significant will be handled by a single record and retaining the earliest title as title proper will make the record even less useful.

Nevertheless, there are potentially serious drawbacks to making such a change. These include: 1) additional maintenance of records; 2) the possible need to change existing records when further changes are added; and 3) preserving the identify of records for purposes of record sharing in union catalogs and cooperative databases, as well as record matching and duplicate detection. These are not small matters and careful consideration must be given to them. (Note: The proposals to include earliest and latest publishing data in the description (Rec. 2.10-2.11) and the extended use of the uniform title for the earliest issue (Rec. 4.2) address some of these concerns.) However, I believe that the use of latest data in the title proper, coupled with the earliest title in a uniform title, provides a much more complete and useful description of the resource.

Note that for titles cataloged according to successive entry, major changes in the title would still require the creation of a new record.

Goals achieved: 1 (new rules), 2 (seriality), 3 (harmonization), 7 (environment)

Impact

> *AACR2.* This is a major change for AACR2 and would mean revising the existing chapter 12, as needed, to accommodate the change.

> *ISBD(S).* A comment from a member of the ISBD(S) review group prompted the reexamination of the original proposal to retain description from the earliest issue. ISBD(S) currently specifies the earliest issue. Would require harmonization.

> *ISSN.* The ISSN rules base the description on the latest issue at the time of registration.

> *MARC 21.* No impact on format. Changes to existing records would only be needed when changes occurred in the publication. Uniform titles would be added to existing records that lacked them only when a minor change was to be recorded in the title proper. The existing title in the record would be used as the uniform title.

Recommendation 2.4. Prescribed sources for the title and statement of responsibility and edition statement. [Rule 12.0B1]. For continuing resources, prescribe sources of information for the title and statement of responsibility and edition areas, according to the type of resource. For printed and other non-print resources, other than electronic, retain the current lists of preferred sources found in AACR2. [See also Appendix A]

> *Rationale.* Because of the differences between printed serials, loose-leaf publications, CD-ROMS, and remote electronic journals and Web sites, no single set of preferred sources can be applied. There is precedent set in AACR2 6.0B1, which breaks down the application of the chief source rule to types of sound recordings. Prescribed sources for other areas of the description are not specified for serials and should not be specified for continuing resources in general.

Recommendation 2.4A. **Electronic journals.** Consider the entire source in order to select the title proper, preferring a source that results in the most complete representation of the title. If the journal is organized into issues, prefer a title given in a formal statement in association with the latest issue or article. If the title is not given in association with the issues or articles, transcribe the title from the home page or other prominent pages within the resource. Always record the source from which the title was selected in a source of title note.

> *Rationale.* After studying over 130 electronic journals, the review group could not recommend a single source as preferable over all others. In some cases the home page was preferable, but in other cases it was not. For journals with print counterparts, selecting the title associated with an issue, when there is an issue, is important for keeping the records for the manifestations in sync. Note: It is possible that by the time that rules are being written that the format of electronic journals may have become more standardized and that preferred sources can be prescribed.

> *Goals achieved:* 1 (new rules), 4 (whole work), 5 (identification)

Impact

>AACR2. Would require a separate rule for electronic journals or a section within 12.0B1 to cover this category.

>*ISBD(S).* Would require new rule.

>*ISSN.* Would require new rule.

>*MARC 21.* No impact

Recommendation 2.4B. Other remotely-issued continuing resources (e.g., databases, Web sites). [Rule 9.0B1] Prefer the title screen, home page, main menu or other prominent pages.

>*Rationale.* This is the current practice and is reflected in ISBD(ER).

Impact

>*AACR2.* This is the current rule in chapter 9. If a special chapter for continuing or just integrating resources is created, the rule would be included there.

>*ISBD(ER).* Current rule.

>*ISSN.* No rules at present but centers are beginning to work with databases.

>*MARC 21.* No impact.

Recommendation 2.4C. Direct access electronic resources. [Rule 9.0B1]. For all direct access electronic resources, prefer eye-readable information given on the disc label to internal information, such as the title screen.

>*Rationale.* The current rule prefers the "title screen" as the chief source. There is some confusion as to just what the "title screen" is. On many CD-ROMs the title appears only for a few seconds on a screen, sometimes called the "splash screen," and cannot be easily transcribed by the cataloger. Nor is this title viewed by the patron. Furthermore, for continuing CD-ROMs, using the internal source makes it difficult for check-in staff and others processing the pieces to identify the item and detect title changes.

>*Goals achieved:* 5 (identification)

Impact

>*AACR2.* Would require a change in rule 9.0B1.

>*ISBD(ER).* Lists the title screen and other internal sources as preferable. An area for harmonization.

>*ISSN.* Rules covering electronic resources are under development and this should provide a good opportunity for harmonization.

>*MARC 21.* No impact.

Recommendation 2.4D. Loose-leaf publications. [Hallam 0C]. Use the title page or title page substitute.

> *Rationale.* Current practice. Loose-leaf publications generally have title pages or traditional title page substitutes.

Impact

> *AACR2.* New rule

> *ISBD(S).* New rule needed

> *ISSN.* Might not be applicable?

> *MARC 21.* No impact

Recommendation 2.5. Inaccuracies. [Rule 12.0F].   Correct obvious typographical errors in the title proper rather than transcribing them as given according to 1.0F. Give the uncorrected title in a note and provide an added entry, if considered useful. In any case of doubt whether the spelling of a word or words is incorrect, transcribe the spelling as found.

> *Rationale.* The catalog record for a continuing resource represents all issues/iterations of that resource and the recording of an obvious error in a single issue, that happens to be the one upon which the title is based, continues the practice of transcribing from a single issue rather than considering the resource as a whole. Furthermore, if the inaccuracy occurs on the earliest piece, a uniform title based on this piece would not be useful if it contained the inaccuracy.

> *Goals achieved:* 3 (harmonization), 4 (whole work), 5 (identification)

Impact

> *AACR2.* Library of Congress rule interpretation 12.0F allows catalogers to correct the title proper. Consideration has been given to using a uniform title instead to correct the title proper, but a majority of catalogers polled elected to retain the LCRI practice. This would result in different practices for finite and continuing resources.

> *ISBD(S).* Rule 0.10 for misprints states that inaccuracies are transcribed as found while accidental misprints are ignored. It has been pointed out that inaccuracies are generally accidental and that the discrepancy needs to be remedied.

> *ISSN.* Typographic errors are corrected when constructing the key title.

> *MARC 21.* No impact.

Recommendation 2.6. Title proper. [Rule 12.1B1]. When introductory words, such as Welcome to … or Disney presents … precede the title and the cataloger determines that such words are not meant to be part of the title proper, even though grammatically linked, apply the following: 1). Choose another source of the title proper that does not contain the introductory words and consider that source to be the source of title. 2). If there is no other source, delete the introductory words when recording the title proper and give a note and added entry, if considered useful.

Title: Welcome to the Montgomery County Libraries home page
[no other source of title]
Title proper: 245 Montgomery County libraries home page

Rationale. Such introductory words have always been problematic with some popular magazines. Now they are becoming even more prevalent with the "Welcome to" pages found in conjunction with Web sites and electronic journals. Such words are rarely considered by the publisher or creator of a site to be part of the title. Rule 1.1B2 refers to statements of responsibility or the name of the publisher that are grammatically linked to the title but does not cover many of the situations found on serials and electronic resources.

Goals achieved: 5 (identification)

Impact

AACR2. Would require a new rule or a revision of 1.1B2. Such a rule would also be applicable to motion pictures (there is currently an LCRI for chapter 7).

ISBD(S). Would require a new rule.

ISSN. Would require a new rule.

MARC 21. No impact.

Recommendation 2.7. Other title information. [Rule 12.1E1]. Do not record other title information in descriptions of continuing resources with two exceptions: 1) when the other title information contains the acronym/initialism or full form rejected as title proper (cf. 12.1B2), and 2) when the statement of responsibility is embedded within the other title information. If other types of other title information, such as subtitles, are considered useful, give them in a quoted note.

Rationale. Other title information on continuing resources is highly volatile and can be confusing to check-in staff and others processing the serial when it is recorded with the title proper. Furthermore, if description from the latest issue is approved, frequent changes in other title information would cause unnecessary maintenance. The prior practice of using a quoted note for useful subtitles worked very well and is a practice that could easily be reinstated. Added entries could be given (field 246) if considered useful.

Another consideration is that many systems do not distinguish title proper from other title information in their indexing and this has been particularly problematic for serials.

Goals achieved: 4 (whole work), 6 (constants)

Impact

AACR2. This would result in a different practice between finite and continuing resources. Serials catalogers following LC/CONSER practice, however, have always applied separate guidelines for the use of this data in AACR2 records.

ISBD(S). Rule 1.4.5.1. says to always transcribe other title information. This is an area that is not absolutely necessary for harmonization since it does not impact on the creation of new records and record sharing.

ISSN. Rules do not include recording of any other title information; thus, no impact.

MARC 21. No impact.

Recommendation 2.8. No designation on first issue. [Rule 12.3D1]. Amend the rule as follows: If the first issue of a serial lacks a numeric, alphabetic, chronological, or other designation, give *[No. 1]* or its equivalent in the language of the title proper. **Alternatively, when considered more appropriate, supply a chronological designation based on the coverage of the issue when the resource is more likely to be identified by a date and is clearly intended to be issued on a regular basis.**

Rationale. This rule is needed in AACR2 because under the current definition, a publication must have a designation in order to be a serial. The proposed change in the definition to say that serials ***usually*** bear a designation would apply primarily to unnumbered series. Serials that are most likely to lack numbering on the first issue are often those most likely to be identified by a chronological designation, such as annual directories and guidebooks. Supplying a chronological designation would have to be limited to situations in which the intended frequency is clearly stated. Often the coverage date can be determined from the content and supplying such a date would be more meaningful than [no.1].

A further possibility would be to eliminate the rule if the revised definition of serial is approved which states that a serial ***usually*** bears a designation. However, supplying a designation to resources that would normally be designated is useful for check-in, labeling, etc.

Goals achieved: 5 (identification)

Impact

AACR2. Revision to existing rule. Note: this would apply to publications that would normally have a designation and thus, not to unnumbered series.

ISBD(S). No rule is provided because the current definition of serial includes the qualification that numbering is *usually* present.

ISSN. No impact because numbering is not an absolute requirement of what constitutes a serial.

MARC21. No impact.

Recommendation 2.9. Changes in numbering. [Rule 12.3G1]. If the numbering of a serial begins again with the exact same numbering scheme and words such as *new series* (or their equivalent in other languages) are not given with the new designation, consider the chronological designation (when present) to distinguish the earlier numeric designation from the later; when there is no chronological designation, or perhaps in all cases (?), supply "[new ser.]" (or its equivalent in other languages) before the new designation.

> *Rationale.* This recommendation was added in conjunction with Rec. 3.6 below that recommends that changes back to the original numbering scheme not be considered reason for creating a new record. AACR2 is silent on this issue since the examples in the rule do not illustrate this situation. LC/CONSER practice has been to make a new record for reasons of practicality [LCRI 12.3G] and because the new numbering was considered an indication of a new work. In order to harmonize the rules with ISSN, however, it is felt that this practice should not be continued and the rules should be more explicit.
>
> The question of what constitutes the designation is also raised here. When a chronological designation is present, the date when added to the numbering, makes the designation unique. When there is no chronological designation, the addition of "[new ser.]" or its equivalent may be necessary.
>
> *Goals achieved:* 3 (harmonization)

Impact

> *AACR2.* Revise 12.3G to accommodate such situations and to provide the optional addition of [new ser.] in brackets. Consideration must also be given to 1.6G (series numbering) as well. This would impact on monograph catalogers creating series authority records and is perhaps more of a problem for series than for serials because series rarely have chronological designations.
>
> *ISBD(S).* This is not specifically addressed and could use clarification. Rule 3.8 says that the serial *normally* contains wording such as new series but does not say what to do when such wording is not present.
>
> *ISSN.* No impact.
>
> *MARC 21.* No impact.

Recommendation 2.10. Place of publication. [Rule 12.4C.]. When the place of publication changes, without an accompanying change of publisher, include the latest place, in addition to the earliest, in the publishing area. Precede the earliest place with the word "originally" (or its equivalent in other languages) and enclose this word and the original place in brackets. Apply to all continuing resources.

> New York, NY ; [originally Princeton, NJ] : Prentice-Hall, 1998-

Recommendation 2.11. Name of publisher. [Rules 12.4D1]. When the publisher changes, add the current place and name of publisher preceding the earliest place and name of publisher, separated by a full stop, space, dash, space (. –). Precede the earlier publisher or place and publisher with the word "originally" (or its equivalent in other languages) and enclose the entire statement in brackets. If a later place of publication associated with the first publisher has been recorded, delete this information. Record any intervening places or publishers of importance in a note. Apply to all continuing resources.

> New York, NY : Elsevier. – [originally Princeton, NJ : Prentice-Hall], 1998-
> > *[change in both place and publisher]*

> Washington, D.C. : Dept. of Agriculture, Forest Service, Reports Section. –
> > [originally Dept. of Agriculture, Forest Service, Information Bureau], 1965-
> > > *[change in publisher only]*

> *Rationale (2.10 & 2.11).* This area of the description is one in which identification is more important than transcription. The latest place of publication and/or name of the publisher is very useful information for patrons and acquisitions and reference staff and needs to be in an identifiable location, rather than buried in notes. The earliest place and publisher is also needed for the continued identification of the record in online catalogs.

> The primary issues regarding such a change involve record maintenance and record identification. Regarding maintenance, catalogers now record changes of significance to the place and/or publisher in notes. This recommendation would require that the publishing statement be changed instead and perhaps a note would be needed for intervening bodies. Whether catalogers would feel compelled to change the description for minor changes that they would not, under current rules, record in a note, is an issue for discussion. The degree to which record maintenance is observed may be an issue for local or cooperative cataloging policy; however, it is also important to record sharing and identification. The major issue for record identification is the need to keep the earliest place and publisher in a predictable place in the record for matching. This might be accomplished through subfield coding (see MARC 21 below).

> *Goals achieved:* 3 (harmonization), 4 (whole work), 5 (identification), 7 (environment)

Impact

> *AACR2.* This could be the practice for all continuing resources, since it would be compatible with latest entry description as well.

ISBD(S).   The working group has been considering this issue and also considers it important to be able to record the latest publisher. Deciding on punctuation between the earlier and later publishing statements would be an issue for ISBD to resolve. The punctuation given in the recommendation is merely suggestive.

ISSN. The ISSN manual calls for use of the latest publisher.

MARC21. There are various ways in which such data could be accommodated in MARC 21. Within a single 260 field, separate subfield coding could be used to identify the earliest and latest place and publisher. The word "originally" would probably also have to be separately coded to accommodate retrieval of the data that followed.   New subfields would be required for the later place and publisher and these subfields would appear in different places within the field over time. Following is an example of how this might look (the codes are merely suggestive):

    As first cataloged: 260 $a Princeton, N.J. :$b Prentice-Hall, $c 1996-

    As later changed: 260 $j Amsterdam : $k Pergamon. – $i [originally
                                            $a Princeton, N.J. : $b Prentice-Hall], $c 1996-

Another possibility would be to use separate fields with some type of coding to indicate the earliest and latest. This will require further exploration and discussion.

Recommendation 2.12. Dates of publication. [Rule 12.4F1, 12.4F2]. When the first and/or last issue is not in hand, omit the date from the description. Optionally, supply a probable date in square brackets according to 1.4F7 when the date can be readily ascertained.

Rationale. Rule 12.4F1 refers the cataloger to 1.4F7 which deals with cases in which the date is not given on the item. It does not cover situations in which the first issue is not in hand, which is common with serials. LC's practice has been to omit the information because it could not be easily determined what the date of publication was or how it appeared on the piece. There has been some criticism of this practice; however, it should be noted that publication dates for serials are not as important as coverage dates and were omitted entirely under earlier rules. The optional addition has been included for agencies that want to supply the date when it is readily available from other sources.

Goals achieved: 2 (seriality)

Impact

AACR2. This will clarify the current rules which are inadequate. It would codify LC practice; practice by other AACR2 constituencies is unclear.

ISBD(S). Rule 4.4.6. allows for an approximate date to be given when no date can be ascertained for the issue. Like AACR2, it is not specific to the situation where the first issue is not in hand.

ISSN. The ISSN system uses the dates of publication, rather than the chronological designation in their coded dates and considers the date of publication to be a significant data element.

MARC 21. No impact.

Recommendation 2.13. Angle brackets. [Rule 1.7/12.7]. Introduce the use of angle brackets in notes to indicate the known dates to which the information applies, when the first or last date to which the note applies is unknown.

> *Rationale.* The angle bracket allows the cataloger to indicate the issues for which the information is known when the first/last issues are not known or available. This is a CONSER practice, also used by LC catalogers of multi-parts, that was introduced in the 1970s with online cataloging records. When LC was printing cards, the angle brackets and information inclosed in them was left out. Having this information sanctioned by AACR2 would be a step towards a more holistic approach to serials cataloging. With electronic resources, it is going to be increasingly difficult to specify first/last dates to which information applies and the use of angle brackets would be very helpful.

> *Example:* 550 Issued by: International Trade Commission, <1987-1998>

> *Goals achieved:* 2 (seriality), 4 (whole work), 5 (identification), 7 (environment)

Impact

> *AACR2.* This would be a new concept for AACR2.

> *ISBD(S).* This would be new to ISBD(S).

> *ISSN.* ISSN rules do not require notes which is where angle brackets are normally used.

> *MARC 21.* No impact.

Recommendation 2.14. Variations in title. [Rule 12.7B4]. Amend rule to read: Make notes on titles borne by the serial **or by which the serial** [or resource?] is known other than the title proper.

> *Rationale.* This recommendation furthers the identification of the work by providing information and access to a title popularly known but not carried on the resource.

> *Goals achieved:* 5 (identification)

Impact

 AACR2. Slight amendment to rule

 ISBD(S). Rule 7.1.1.4 says that the expanded form can be taken from outside the issue, but otherwise this would be a new concept for ISBD(S).

 ISSN. No impact

 MARC 21. No impact

Recommendation 2.15. Item described. [Rule 12.7B23]. In order to provide a more inclusive approach to the description, replace the "description based on" note with an"earliest issued consulted/latest issue consulted" note, as illustrated below. For integrating electronic resources, provide a "date viewed" note to indicate when the resource was last viewed. Other wording might be applied to other types of continuing resources, as illustrated in the last example.

1st issue in hand only:
 362 0   (Area 3)   Vol. 1, no. 1 (Jan. 1999)-

1st and later issues in hand:
 362 0   (Area 3)   No. 1 (Spring 1998)-
 500   (Note)   Latest issue consulted: no. 4 (Spring 1999).

Several issues in hand other than the first or last:
 500   (Note):   Earliest issue consulted: Vol. 1, no. 3 (Mar. 1999); latest issue
                                 consulted: vol. 2, no. 1 (Jan. 2000).

Single issue in hand which is not the first:
 500   (Note):   Issue consulted: 1998.

Changes occur on later issue; note is changed to:
 500   (Note)   Earliest issue consulted: 1998; latest issue consulted: 2001.

For online resources without designated parts:
 500   (Note):   Earliest date viewed: Jan. 17, 1999; latest date viewed: Oct. 23,
                                 2001.

For a loose-leaf publication:
 500   (Note)   Record based on: 1994 ed., through update 7 (fall 1997)

Optionally, provide a note to explain the coverage as of a certain date for serials for which the back files are in the process of being digitized.

 E.g., Coverage as of Sept. 18, 1999: v.12 (1978)-

Rationale. The use of both earliest and latest issue consulted notes is useful in identifying not only what issue the title proper and later publisher are taken from (latest issue consulted), but also the issue from which the uniform title and earlier publication place and date are based on (earliest issue consulted) when the first issue is not given in area 3. This note is, of course, for the benefit of catalogers. CONSER catalogers have been giving the latest issue consulted in an OCLC local field (936) in addition to the "description based on" note. The note could be combined with the source of title note (12.7B3).

Goals achieved: 2 (seriality), 4 (whole work), 7 (environment)

Impact

AACR2. Addition to existing rule

ISBD(S). This would be new to ISBD(S)

ISSN. Doesn't require a designation; no impact?

MARC 21. No impact

3. Major/Minor Changes

Recommendation 3.1. Adopt the terminology of "major changes" and "minor changes" which is currently used in ISBD(S) and ISSN.

> *Rationale.* Catalogers now use the term "title changes" to refer to any situation in which a new record is required. Using "major change" and "minor change" is far better because the terms can apply to changes in the title as well as changes in the corporate body main entry, physical format, etc.
>
> *Goals achieved:* 1 (new rules), 3 (harmonization)

Impact

> *AACR2.* This change would require a certain amount of editing of the code.
>
> *ISBD(S).* No impact; achieves harmonization
>
> *ISSN.* No impact; achieves harmonization
>
> *MARC21.* No impact?

Recommendation 3.2. In the introduction to the descriptive rules, provide a listing of changes considered to be major changes that will result in the creation of a new description (e.g., changes in the edition statement for a monograph, major changes in title for a serial, changes in physical format) or in changes to the catalog entry of an existing description (integrating entities represented by a single description).

> *Rationale.* Title and corporate body changes are now addressed in chapter 21 which deals primarily with access and main entry. Furthermore, other changes such as physical format and uniform title qualifiers are not to be found in the rules at all. It would be very helpful to catalogers to have such changes included in a single place within the code and in conjunction with the description rather than with the access points since the decision whether to make a new description must be made before further action can be taken.
>
> *Goals achieved:* 1 (new rules), 2 (seriality), 3 (harmonization)

Impact

> *AACR2.* Addition of rules for changes in physical format, uniform title qualifiers (i.e., corporate body, edition statement)
>
> *ISBD(S).* Lists major and minor changes in the title and other descriptive elements in a single rule, as well as in the rules for specific data elements; however, ISBD(S) doesn't cover catalog entry.
>
> *ISSN.* Lists major and minor changes in key title in a single area.
>
> *MARC 21.* No impact

Recommendation 3.3. Title changes [Rule 21.2A1]. Suggested revision of current rule.

Consider any change to or rearrangement of the first three words of the title proper to be a major change, with the exception of articles, prepositions, or conjunctions and changes considered to be minor. Consider the following changes to be minor:

a) Changes occurring after the first three words that do not change the meaning of the title or indicate a different subject matter. *[revision]*

> e.g., Best restaurants in Arlington | Best restaurants in Arlington, Virginia
> *but not*
> Best restaurants in Arlington and Falls Church
> *[reflects a change in scope]*

b) Changes in the representation of a word or words, including the name of the issuing body (e.g., abbreviated word or symbol vs. spelled-out form, singular vs. plural form, one spelling vs. another); *[same]*

> e.g., Fishery bulletin | Fisheries bulletin
> Art & architecture index | Art and architecture index

c) The addition, deletion, or rearrangement of the name of the issuing body and elements of its hierarchy anywhere in the title; *[revision]*

> e.g., Dept. of State bulletin | State Department bulletin
> Annual report of the Librarian of Congress | Librarian of Congress' annual report

If, however, a change in name would require the creation of a new heading for the name, consider the change to be a major change;

> e.g., DHEW bulletin | DHHS bulletin

d) For periodicals (i.e., magazines, journals, newsletters, etc.), the addition or deletion at the end of the title of words that indicate the type of resource, such as "magazine," "journal," or "newsletter" or their equivalent in other languages, even when such words are added or deleted within the first three words, so long as the addition or deletion does not signify a change in the type of resource;

> e.g., C | C magazine
> CONSER : [newsletter] | CONSER newsletter

The addition, deletion or change is one of punctuation; *[same]*

e) Changes in the order of titles when the title is given in more than one language on the piece, as long as the title chosen as title proper still appears. *[new]*

In deciding whether a change is major or minor, take into consideration the typography, the form of the title found in other sources within the serial, and any stated intentions of the publisher. In case of doubt as to whether the change is major or minor, consider it to be minor.

When minor changes occur, replace the title proper and provide an added entry for the earlier title. When major changes occur, either make a new record or change the title proper according to whether the resource is cataloged according to successive or latest entry conventions.

> *Rationale.* The significant revisions to the rule are: 1) first three rather than five words; 2) the addition, deletion or change in form of the name of the body anywhere in the title; 3) the addition or deletion of words denoting type of publication for periodicals; 4) order of titles; 5) addition of considerations and catalogers judgment; and 6) the "in case of doubt" clause has been reversed.

> 1. The change to the first three words was a compromise. The suggested text of the rule from the review group didn't specify any number of words; however, changes at the beginning of the title can be critical to filing (particularly for periodicals) or online display. If this is considered too disruptive, the specification for five words could be retained. The additions to the list of minor changes are perhaps more significant.

> 2. The inclusion of the corporate body in the title is something that is often arbitrary and susceptible to change and rarely indicates a change of any significance in the work; thus, the suggestion to consider variations to be minor is appropriate.

> 3. Publishers of popular magazines and newsletters are notorious for adding and dropping words such as "magazine" without there being any change in the publication. This rule would save a large number of needless title changes. It is recognized that such a provision is problematic for some bilingual publications (e.g., French and English) where the word denoting type will be at the beginning of one title and at the end of the other; however, it would be possible to exclude the use of this provision for such publications without denying its benefits to serials in general.

> 4. Ignoring the order of titles in different languages is specified in ISBD(S) and has been long standing LC/CONSER practice (cf. LCRI 21.2C).

> 5. The consideration of typography is to be applied when considering whether a change after the first three words is significant.

> 6. The change in the in case of doubt clause reflects the desire to create fewer records, when possible.

> *Goals achieved:* 3 (harmonization), 4 (whole work)

Impact

> *AACR2.* Revision to the rule. This would impact on both monograph and serial catalogers since the creation of series headings is also governed by this rule.

> *ISBD(S).* Achieves harmonization in some areas; others are new.

> *ISSN.*

> *MARC21.* No impact.

Future consideration 3.4. Administrative reports.

[Existing rule for entry: 21.1B2. Enter a work emanating from one or more corporate bodies under the heading for the appropriate corporate body if it falls into one or more of the following categories:

a)   those of an administrative nature dealing with the corporate body itself
  or   its internal policies, procedures, finances, and/or operations
  or   Its officers, staff, and/or membership (e.g., directories)
  or   Its resources (e.g., catalogues, inventories)]

For continuing administrative reports (e.g., annual reports, financial reports of a body, directories, catalogs, etc.) that are entered under corporate body per 21.1B2 and cataloged according to successive entry conventions, do not consider changes in the title to be major unless such changes indicate a major change in the type of report. Make a new record if the corporate body responsible for the report changes its name and requires a new authority or a different body becomes responsible for the report. When changes occur to the title, change the title proper and a uniform title and added entry based on the first/earliest available issue. [See also Rec. 4.2.]

> *Rationale.* The titles of annual reports, in particular, are extremely volatile and are secondary to the name of the corporate body issuing the report. The first consideration was the use of a uniform title: Report, or perhaps Annual report (with annual used regardless of the stated frequency). While this idea held much appeal, some bodies issue more than one type of annual report (e.g., financial reports, reports of activities, etc) and trying to create brief uniform titles to identify them seemed too arbitrary for record sharing. The alternative would be to use the earliest title as a stable uniform title, with the latest title given in the title proper and added entries provided for all variants considered necessary. This practice, with the exception of changing the title proper, is currently being used by the Library of Congress for U.S. session laws for the same reason titles that are insignificant and change frequently.

> If the title change rule is adopted, allowing changes in the placement of the corporate body to be considered minor, part of the problem with annual reports would be resolved. Changes in the frequency, when included in the title, however, would still require a new record.

It should also be noted that the original thinking involved annual reports; however, on reflection, it seemed unfeasible to limit such a rule to one category and that it would be easier applied to all administrative reports in which the corporate body is generally the primary access point, rather than the title. It would be particularly useful for catalogs, staff directories, etc. for which the exact titles are not likely to be known by the public users, nor to technical services and reference staff.

Goals achieved: 5 (identification), 6 (constants)

Impact

AACR2. Would require changing rule 21.2A.

ISBD(S). This would be very problematic for ISBD(S) since it does not include rules for entry.

ISSN. This could have a major impact on ISSN assignment.

MARC 21. Would require a new code in field 008/34 and 006/17 (successive/latest entry). How such a rule would be integrated into existing catalogs might be problematic.

Recommendation 3.5. Corporate body names. [Rule 24.1C1]. Adopt the list of minor changes to the name of the corporate body that is currently given in ISBD(S) 7.1.5.4.

[From 7.1.5.4: Changes to the form of name of a corporate body to be considered minor include, for example, when linguistically applicable:

– articles, prepositions and conjunctions substituted, added or deleted;
– spelling or punctuation changed without affecting meaning;
– inflection of a word changed, for example, from singular to plural form;
– order of elements in the name changed.]

Rationale. Just as there is a list of minor changes to titles, catalogers also need to know what constitutes a major/minor change to the name of a corporate body. This is particularly important to serial catalogers because a change in the body used as main entry or uniform title qualifier requires a new record for successively-issued serials. Adding such a list would achieve harmonization with ISBD(S).

Goals achieved: 3 (harmonization)

Impact

AACR2. Addition to rule 24.1C1.

ISBD(S). No impact

ISSN. No impact

MARC 21. No impact

Recommendation 3.6. Major/minor changes other than the title proper.

Consider as major changes:

3.6A.   Physical format. Consider a change in physical format (i.e., one that constitute a different GMD or SMD) to constitute a major change. Make a new description in all cases.

> e.g.,   print | CD-ROM
> CD-ROM | online

3.6B.   Corporate body as main entry heading or used as uniform title qualifier. Consider either a change in which body is responsible or a major change in the form of name of the responsible body that would require the creation of a new heading to constitute a major change.

Consider as minor changes:

3.6C.   Edition statement: changes in the wording of the edition statement as given in the edition area and uniform title qualifier.

> e.g.,   World-wide ed. | International ed.
> Northeast ed. | Northeastern states ed.

3.6D. Place of publication used as a uniform title qualifier [Rule 25.5B].

3.6E.   Numbering, when the designation begins again with the same form of numbering without the use of new series or its equivalent [LCRI 12.3G]

> *Rationale.* Current CONSER practice is to create a new record for a change in physical format because of the coding needed in the new record, issues of control, etc. This recommendation would codify current practice.   Changes to the corporate body, used either as main entry or uniform title qualifier, also result in new records, although the code only addresses main entry. Whether the practice should continue for corporate body qualifiers is something for further discussion. The status quo is being recommended for the time being. The CONSER Task Force considered whether changes in the wording of the edition statement should constitute a major change in order to bring AACR2 into alignment with ISBD(S) but agreed that this would cause more new records and was not desirable. Changes to the place of publication are currently treated as minor. Numbering is a larger issue and one that received much debate. While some consider the restart in numbering to indicate a new publication, it was agreed that such changes might be handled by the addition of "[new ser.]" and this would bring AACR2 and ISSN records into accord.

> *Goals achieved:* 3 (harmonization)

Impact

AACR2. Would require new rules for physical format, corporate body qualifiers, edition statement, and numbering.

ISBD(S). ISBD(S) also has a provision for creating a new description when a dependent title becomes independent (1.1.5.3) which is not covered in AACR2. ISBD(S) addresses changes in the statement of responsibility rather than main entry. ISBD(S) considers a change in edition statement to be major; AACR2 is silent on this issue.

ISSN. The change in practice for numbering would achieve harmonization with ISSN. Other changes are also consistent with ISSN practice.

MARC 21. No impact.

Recommendation 3.7. Major change conventions. Apply successive and latest entry conventions to continuing resources according to the following:

For successively-issued resources, apply successive entry conventions, as now described in AACR2 [rules 21.2C1, 21.3B1].[For electronic journals, see below.] When a major change occurs, create a new description and link the descriptions with linking entry notes [12.7B7].

For integrating resources, apply latest entry conventions, based on rules to be added to the code. Do not distinguish between major and minor changes; instead, change the title whenever the title on the resource changes. For truly minor changes (e.g., changes in articles, prepositions, conjunctions occurring after the first three words) prefer the use of a "title varies slightly" note to changing the title proper.

> E.g., (Field 245) Title proper: Art and architecture index.
> (Field 247) Note/added entry: Former title: Art index, 1987-June 1994
> (Field 247) Note/added entry: Former title: Art & architecture index,
> <Sept. 1994-Apr. 1998>

When a major change occurs in the corporate body used as main entry or uniform title qualifier, replace the main entry or uniform title qualifier and add the earlier body to the issuing bodies note. However, when a change occurs in the physical format of the resource, make a new description.

For electronic journals, apply the following guidelines:

Consider an electronic journal to be a successively-issued serial because it is issued in discrete parts, even when an article (rather than an issue) equates to the discrete part.

When a major change occurs in the title of an electronic journal, apply successive entry cataloging if the new title is given its own home page, or there is a single home page but the earlier title is presented formally within the site. If the earlier title is no longer stated formally within the

site, apply latest entry conventions. Consider the entire site as a source of title in applying these guidelines. Consider a formal statement to be one given in conjunction with an issue or article.

> *Rationale.* A form of latest entry cataloging (though not referred to as such) is currently being used for loose-leaf publications, and by catalogers cataloging databases and Web sites as monographs. The practice [at least for loose-leafs] is to change the title proper and main entry and to give former titles in a title history note and former authors in a note. Thus, applying latest entry cataloging conventions to integrating resources is a matter of retaining the status quo, as well as recognizing the most appropriate form of cataloging for these resources.

> Electronic journals pose problems, however, because they contain articles that are cited under the journal title. It is hoped that most scholarly publishers will understand the importance of retaining the former title and the goal is to continue successive entry for these journals, whenever possible, to achieve conformity with the print. However, journals which are of a more popular nature or that exist only in electronic form are more likely to contain the title only on the home page and when that title changes there is no record of the former title. Thus, using latest entry for such journals makes more sense. (Note that this situation will result in the inadvertent creation of new records when the cataloger is not aware of the former title and its associated record at the time of cataloging. This has always been a problem with latest entry cataloging; however, in the past the former title didn't disappear from the earlier issues!)

Impact

> *AACR2.* Addition of a new rule or rules.

> *ISBD(S).* This category of latest entry needs to be added to ISBD(S) as it pertains to the description (i.e., replacing the title proper).

> *ISSN.* Major impact since ISSN is based on key title and relies on successive entry convention.

> *MARC 21.* Field 247 is currently valid in MARC 21 so no new tagging is needed. There has been a suggestion to add a new code to the successive/latest entry indicator (008/34 and 006/17) to distinguish latest entry as applied to integrating resources and some electronic journals from older records which employed latest entry conventions for successively-issued serials.

Future consideration 3.8. Use of a succession of latest entry records. Due to the problems associated with latest entry cataloging, particularly for electronic journals (e.g., the likelihood that additional records will inadvertently be created, ISSN assignment, and relating a single record to multiple records for the print version), apply a new convention of creating a new record each time a major change occurs, but incorporate all changes within that record, as prescribed by latest entry conventions.

Rationale.   There has been much concern expressed about the reintroduction of latest entry cataloging, even to a limited category of resources. This concern led to several proposals, beginning with the proposal for "incorporating entry" by Layne in April 1998. The theory behind the proposal was that each new title of an electronic journal incorporates all earlier titles, which became analytics within the whole. While the proposal had appealing aspects, many found it difficult to understand. Subsequently Hirons, Reynolds, and Kuhagen offered a proposal which is quite similar but which would make use of two known conventions: successive and latest entry. This seemed preferable to introducing incorporating entry, which some might see as a totally new convention. Using this succession of latest entry records convention would allow for multiple records to be created in a shared database while a single record could be retained within a local catalog. The proposal was ultimately rejected in favor of straight latest entry cataloging due to the maintenance that would be required and the complexities of dealing with multiple records. However, the review group advised that the proposal for a succession of latest entry records be included for consideration within this report. The complete proposal is available   on   the   CONSER   Web   site   at: http://lcweb.loc.gov/acq/conser/succlat.htm.

Goals achieved: 7 (environment)

4. Relationships

Future consideration 4.1. New area in the code. Divide the code into three parts, rather than two, with *Relationships to Other Works and Manifestations* as the third part.

> *Rationale.* Relationships to other works are expressed by a number of means within AACR2: uniform titles, added entries, general and relationship entry notes. Some of these rules are included in the descriptive portion of the code (e.g., relationship notes in 12.7B7) and others are included in the access portions (chapters 21 and 25, which is currently optional). Thus, there is no clear delineation within AACR2 between access points to the item itself and relationships to other works or manifestations. Such distinctions might not only help catalogers but would also be of great assistance to the designers of Web-based catalogs, where relationships can be separately-listed from notes and provide hot-links to the related record.
>
> The three parts of the code would include: 1) Description, including when to make a new description and how to handle changes to the description; 2) Access points and main entry for the item being described; and 3) Relationships to other works or manifestations.
>
> For serial catalogers, such relationships are particularly important because the work is often divided into a number of records due to major changes in title, main entry, etc. and these records must be connected within the catalog. See also Rec. 4.3 below.
>
> *Goals achieved:* 7 (environment)

> ***Impact***
>
> *AACR2.* This would have a major impact on the organization of the code, particularly Part 2, but not necessarily on the content.
>
> *ISBD(S).* More explanation could be added in 0.1.
>
> *ISSN.* No impact.
>
> *MARC 21.* No impact but this might be a benefit?

Recommendation 4.2. Uniform titles. [Rule 25.5B]. Assign uniform titles according to rule 25.5B only to serials cataloged according to successive entry conventions. Do not assign uniform titles to integrating resources or electronic journals cataloged according to latest entry conventions.   For serials cataloged according to successive entry, extend the use of uniform titles to provide a stable title. [See also Rec. 2.3, 4.3.]

Assign uniform titles for two purposes: 1) to provide a stable title when the title proper changes and reflects the latest form; and 2) to distinguish between other serials with the same title. Continue to apply uniform titles as distinguishing titles, when needed, by constructing a uniform title comprised of the title proper and an appropriate qualifier. Additionally, assign uniform titles to records for unique titles when the title proper is changed to reflect a minor change. In all cases, the uniform title should consist of the title proper from the first or earliest issue. Do not add a qualifier to a uniform title when the title is unique.

> *Rationale.* Uniform titles assigned to distinguish different resources with the same title or catalog entry are currently applied to serials solely for distinguishing purposes. The extension is needed in order to allow for description from the latest issue. If distinguishing is not needed, a qualifier is not assigned.

> After much consideration, the recommendation is being made NOT to apply uniform titles to resources cataloged according to latest entry conventions. Such uniform titles were not applied under earlier use of latest entry, nor are they being used currently on records for databases and other integrating resources. To assign a uniform title whose title and qualifying information could change in a major way over time, seems fruitless. And to continually change the uniform title or its qualifier also makes little sense. There may be some problem with titles that are common; however, this would not be as problematic as the systematic application of uniform titles to latest entry records.

> *Goals achieved:* 1 (new rules), 4 (whole work), 2 (harmonization), 7 (environment)

Impact

> *AACR2.* Would require revision to 25.5B and that the use of chapter 25 not be optional.

> *ISBD(S).* Uniform titles are not addressed in ISBD(S), only key title.

> *ISSN.* No impact, only key title.

> *MARC21.* No impact.

Recommendation 4.3. Uniform titles for translations and language editions. [Rules 25.5C1, 25.3C]. Do not apply uniform titles to continuing resources that are translations of original works or that are language editions. Instead, provide a uniform title added entry when the original title is readily available.

> *Rationale.* The use of the original title as the catalog entry is particularly problematic for continuing resources, since the original title and the translated title can change at different times. In other cases, one changes, while the other remains the same. Additionally, the exact form of the original title is not always known. Although there are a relatively small number of serials in these categories, serials in translation tend to be some of the more important resources from a country, and the present rules make it particularly difficult to catalog them. Furthermore, it would be difficult to apply both this and the stable form of uniform title called for in .

Goals achieved: 3 (harmonization), 7 (environment)

Impact

AACR2. This would result in different practices for finite and continuing resources.

ISBD(S).   Uniform titles are not addressed.

ISSN. Since the key title is based on the issue in hand, this would result in harmonization.

MARC21.

Future consideration 4.4. Establish a benchmark to determine major changes. Combine the uniform and key title concepts in order to apply a benchmark for determining major changes.

Rationale.   The use of both a key title by ISSN centers and a uniform title by catalogers is redundant and causes confusion. A single identifying title is highly desirable. Furthermore, such a title could be used as a benchmark to determine when a major change has occurred. This would result in international conformity and make it much easier to share records.

A proposal to this effect was made by Hirons, Reynolds and Franzmeier (available at: http://lcweb.loc.gov/acq/conser/keytitle.html) The major concerns with the proposal involved the use of the corporate body name as qualifier. ISSN guidelines call for the body to be used as found on the piece but allow for a CONSER exception which allows for the body to be recorded in its established form. If the key title were to be used in place of the uniform title, the established form would be absolutely essential for access. The future development of an international authority file, which would allow for the form of name to be converted to match ones local file, would make the benchmark proposal more feasible. Thus, it should be given careful consideration as a major improvement for the future. It is hoped that the application of the uniform title, as called for in Rec. 4.2, will be a step in the direction of applying a more universal title benchmark.

Goals achieved: 3 (harmonization)

Recommendation 4.5. Relationship notes. **[Rule 12.7B7].**   The code should acknowledge that in a machine catalog, relationship notes created according to rule 12.7B7 go beyond the scope of a note because they serve as a machine link between records. Such notes are popularly referred to as links or linking entries. The code might refer to them as relationship links. [See also Future consideration 4.1.]

Rationale. Relationship links are extremely important in online catalogs, yet many systems handle them poorly. If the code gave more prominence to their role as a link between related records, catalog designers might make better use of links. Furthermore, linking notes have been used by serials catalogers but could also be employed more for books and other materials.

Goals achieved: 2 (seriality), 7 (environment)

Impact

AACR2. Would require some revision and rearrangement of rules.

ISBD(S). No impact.

ISSN. No impact.

MARC21. No impact. With format integration, linking fields are available for use for all materials.

Recommendation 4.6. Application of and maintenance to relationship links. [Rules 12.7B7, 12.7A2]. For relationship links, as currently provided for in 12.7B7, give the catalog entry in the note [Rule 12.7A2]. In related records, change links to integrating resources cataloged according to latest entry conventions, when the title proper or catalog entry for the integrating resource is changed. For example, a print version represented by several records may be linked to an online version represented by a single record. In such case, the link on each successive record for the print would be changed when the title of the electronic version changed.

Rationale. This represents one of the problems of applying different cataloging conventions. However, the one-to-many relationship that can occur with print and online versions is not unique and can occur with supplements and translations, for example. The biggest problem is the fact that for a latest entry record any change in title will impact on the links to that record from other records. An alternative would be to limit the link to record numbers and a generic statement, such as online version. This alternative, currently employed for reproduction microforms according to CONSER practice, was not recommended by the review group, although something similar is used in the ISSN database.

Goals achieved: 1 (new rules), 7 (environment)

Impact

AACR2. While the basic rules for this need to be in the code, much of the detail can be contained in cataloging manuals.

ISBD(S). Will require additional rule in the notes area.

ISSN. Not as much impact?

MARC21. No impact.

Appendices

Appendix A. Sources of Information

	Successively-issued		Integrating	
Areas, etc.	Which issue?	Sources	Which iteration?	Sources
Uniform title	First/earliest	Same as for title proper	Not applied	
Title and statement of responsibility Print and other non-electronic Direct access electronic (e.g., CD-ROM) Electronic journals	Latest	 t.p. or t.p. subst. Eye-readable data on container, title screen, etc. Title assoc. with issue/article, home page, etc.	Latest (i.e, current at time of cataloging) Loose-leafs Databases Web sites	 t.p. or t.p. substitute Title screen Home page
Edition statement	Latest	Sources spec. for title above, preliminaries, colophon	Latest	Sources spec. for title above, preliminaries, colophon
Designation	First/last; omit for unnum.series	Whole resource	Omit	
Publishing statement Place, publ. Date	 Latest + first/ earliest available First/last	 Whole resource	 Latest + first/ earliest available First/last	 Whole resource
Physical description	Whole resource	Whole resource	Whole resource Omit for remote	Whole resource
Series	Whole resource	Apply priority order for title	Whole resource	Apply priority order for title
Notes	Whole resource (earlier inf.)	Any source	Whole resource (earlier inf.)	Any source
Standard nos.	Any source	Any source	Any source	Any source

Appendix B. Incorporating New Rules into AACR2

While this report recommends the overall reorganization of the code by area of the description, it is recognized that such a reorganization might take some time. As a short term solution to accomplishing the recommendations in this report, there are several ways in which the new and revised rules could be organized. In both cases, it would be necessary to recognize that Chapter 9 (Computer files) is limited to finite resources.

Provide a single chapter for continuing resources. Chapter 12 could be expanded to include all continuing resources. This would serve as a model for eventual code reorganization, if the JSC decides that this is the direction that should be taken. The chapter would begin with an introduction and then be followed by rules on an area-by-area basis. Within each area, the rules would be divided, as necessary, between those for successively-issued and integrating resources and would become increasingly more specific to cover rules applying to specific types of resources or carriers. The overall organization would be as follows.

> Chapter 12.
> > Introduction.
> > Chief source.
> > > Successively-issued
> > > Integrating
> > Title proper
> > > Successively-issued
> > > Integrating
> > Etc.

Provide separate chapters for successively-issued and integrating resources and an introductory chapter that would precede them. Chapter 12 could be divided into 12-S and 12-I with an introduction to the two. Chapter 12-S would include the rules currently in Chapter 12 as well as rules for electronic journals. Chapter 12-I would include rules for loose-leaf services and integrating electronic resources, databases, updating works, and Web sites. Having two chapters would require some repetition of rules that are general to all continuing resources, but might be easier to compile and use in the short term.

> Chapter 12. Continuing Resources. Introduction.
> > Subchapter 12-S. Successively-issued Resources: Serials and Series.
> > > Chief source
> > > Title proper, etc.
> > Subchapter 12-I. Integrating Resources: Loose-leaf services and Continuing
> > Electronic Resources
> > > Chief source
> > > Title proper, etc.

Appendix C. Summary of Recommendations

Following are the recommendations, given in the briefest possible form. Future considerations have been excluded. Those that are considered of major importance are asterisked (*). Those that are considered critical for the harmonization of AACR2 with IBSD(S) and ISSN are given in italics.

General recommendations

0.1. Create an expanded introduction to either the descriptive section of the code or the whole code (as determined to be most appropriate).

0.2.* Reorganize the descriptive portion of AACR2 into chapters according to the ISBD area of the record.

0.3.*   **Changes.** Include the rules for changes to data with the rules for a specific area of the description, even when such changes may be handled by notes (which are a separate area).

Type of Publication

*1.1.** Define two types of publication:* 1) Finite: those that are complete or intended to be completed (e.g., monographs) and 2) Continuing: those that are intended to be continued for an indeterminate period (e.g., serials, loose-leaf for updating publications, databases, etc.)

*1.2.** **Definitions.** Add or redefine the following terms in the AACR2 glossary. {Definition of serial is particularly critical}

Description

*2.1.** Provide rules for the description of integrating resources.*

2.2.   **Concept of the chief source. [Rule 12.0B1].** For continuing resources, eliminate the concept of the "chief source of information."

*2.3.** **Source of title and edition statement: which issue/iteration?   [Rule 12.0B1]** For all continuing resources, record the title from the latest piece in hand or the latest iteration as it appears at the time of cataloging.

2.4. **Prescribed sources for the title and edition statement. [Rule 12.0B1].** For continuing resources, prescribe sources of information for the title and statement of responsibility and edition areas, according to the type of resource. For printed and other non-print resources, other than electronic, retain the current lists of preferred sources found in AACR2.

2.4A.* Electronic journals. Consider the entire source in order to select the title proper, preferring a source that results in the most complete representation of the title. If the journal is organized into issues, prefer a title given in a formal statement in association with the latest issue or article.

2.4B.   **Other remotely-issued continuing resources (e.g., databases, Web sites). [Rule 9.0B1].** Prefer the title screen, home page, main menu or other prominent pages.

2.4C. Direct access electronic resources   **[Rule 9.0B1].**   For all direct access electronic resources, prefer eye-readable information given on the disc label to internal information, such as the title screen.

2.4D.   **Loose-leaf for updating publications. [Hallam 0C].** Use the title page or title page substitute

2.5. Inaccuracies. [Rule 12.0F].   Correct obvious typographical errors in the title proper rather than transcribing them as given according to 1.0F.

2.6. Title proper [Rule 12.1B1].   When introductory words, such as Welcome to … or Disney presents … precede the title and the cataloger determines that such words are not meant to be part of the title proper, even though grammatically linked, apply the following: 1) Choose another source of the title proper that does not contain the introductory words and consider that source to be the source of title. 2) If there is no other source, delete the introductory words when recording the title proper and give a note and added entry to explain.

2.7. Other title information. [Rule 12.1E1]. Do not record other title information in descriptions of continuing resources with two exceptions.

2.8.   **No designation on first issue. [Rule 12.3D1].** Amend the rule as follows: If the first issue of a serial lacks a numeric, alphabetic, chronological, or other designation, give *[No. 1]* or its equivalent in the language of the title proper. **Alternatively, when considered more appropriate, supply a chronological designation based on the coverage of the issue when the resource is more likely to be identified by a date and is clearly intended to be issued on a regular basis.**

2.9.   Changes in numbering. **[Rule 12.3G1].** If the numbering of a serial begins again with the exact same numbering scheme and words such as *new series* or their equivalent in other languages are not given with the new designation, consider the chronological designation (when present) to distinguish the earlier numeric designation from the later; when there is no chronological designation, or perhaps in all cases, supply "[new ser.]" or its equivalent in other languages before the new designation.

2.10.* Place of publication. **[Rule 12.4C.].** When the place of publication changes, without an accompanying change of publisher, include the latest place, in addition to the earliest, in the publishing area. Precede the earliest place with the word "originally" (or its equivalent in other languages) and enclose this word and the original place in brackets. Apply to all continuing resources.

2.11.* *Name of publisher.* **[Rules 12.4D1].** When the publisher changes, add the current place and name of publisher preceding the earliest place and name of publisher, separated by a full stop, space, dash, space (. –). Precede the earlier publisher or place and publisher with the word "originally" (or its equivalent in other languages) and enclose the entire statement in brackets.

2.12. **Dates of publication. [Rule 12.4F1, 12.4F2].** When the first and/or last issue is not in hand, omit the date from the description. Optionally, supply a probable date in square brackets according to 1.4F7 when the date can be readily ascertained.

2.13. **Angle brackets. [Rule 1.7/12.7]**. Introduce the use of angle brackets in notes to indicate the known dates to which the information applies, when the first or last date to which the note applies is unknown.

2.14. **Variations in title. [Rule 12.7B4].** Amend rule to read: Make notes on titles borne by the serial **or by which the serial** [or resource?] is known other than the title proper.

2.15.* *Item described.* **[Rule 12.7B23].** In order to provide a more inclusive approach to the description, replace of the "description based on" note with "earliest issued consulted" and "latest issue consulted" notes.

Major/Minor Changes

3.1. *Adopt the terminology of "major changes" and "minor changes"* which is currently used in ISBD(S) and ISSN.

3.2. In the introduction to the descriptive rules, provide a listing of changes considered to be major changes that will result in the creation of a new description.

3.3.* *Title changes.* **[Rule 21.2A1].** Suggested revisions of current rule.

3.5. **Corporate body names. [Rule 24.1C1].** Adopt the list of minor changes to the name of the corporate body that is currently given in ISBD(S) 7.1.5.4.

3.6.* *Major/minor changes other than the title proper*. *Major = physical format, corporate body main entry or qualifier; minor = edition statement, place qualifier, numbering.*

3.7.* *Major change conventions.* Apply successive and latest entry conventions to continuing resources.

Relationships

4.2.* **Uniform titles. [25.5B].** Extend the use of uniform titles created according to rule 25.5B to provide a stable title. Apply only to serials cataloged according to successive entry conventions.

4.3. **Uniform titles for translations and language editions. [Rules 25.5C1, 25.3C].** Do not apply uniform titles to continuing resources that are translations of original works or that are language editions. Instead, provide a uniform title added entry.

4.5. **Relationship notes**. **[12.7B7].** The code should acknowledge that in a machine catalog, relationship notes created according to rule 12.7B7 go beyond the scope of a note because they serve as a machine link between records.

4.6. **Application of and maintenance to relationship links. [Rules 12.7B7, 12.7A2].** For relationship links, as currently provided for in 12.7B7, give the catalog entry in the note [Rule 12.7A2].

Appendix D. Summary of Recommendations with Impact on MARC 21

1.1. Define two types of publication: 1) Finite: those that are complete or intended to be completed (e.g., monographs) and 2) Continuing: those that are intended to be continued for an indeterminate period (e.g., serials, loose-leaf for updating publications, databases, etc.)

> *Fields/codes:* Leader/07 (Bibliographic level); potentially 008/21 and 006/04 (Serial type)

2.10. **Place of publication.   [Rule 12.4C.**].   When the place of publication changes, without an accompanying change of publisher, include the latest place, in addition to the earliest, in the publishing area. Precede the earliest place with the word "originally" (or its equivalent in other languages) and enclose this word and the original place in brackets. Apply to all continuing resources.

> *Fields/codes:* 260

2.11. **Name of publisher. [Rule 12.4D1].** When the publisher changes, add the current place and name of publisher preceding the earliest place and name of publisher, separated by a full stop, space, dash, space (. –). Precede the earlier publisher or place and publisher with the word "originally" (or its equivalent in other languages) and enclose the entire statement in brackets.

> *Fields/codes:* 260

3.7. **Major change conventions.** Apply successive and latest entry conventions to continuing resources.

> *Fields/codes:* 008/34 and 006/07 (Successive/latest indicator)

Appendix E. Topical Groupings

While the recommendations and future considerations are organized into four broad categories, there are many interrelationships between them. For convenience, some of the major topics are given below with the number of the related recommendations or considerations.

Definition of serial: Sect. B (Seriality and AACR2), 1.1, 1.2

Designations: 2.8, 2.9, 3.6E

Electronic journals: Sect. B (Seriality and bibliographic resources), 1.1, 1.2, 2.

Integrating resources: 2.1, 2.3, 2.4B, 2.4D, 3.7, 4.2, 4.6

Organization of the code: 0.1, 0.2, 0.3, 4.1, 4.5

Sources of the description: 2.2, 2.3, 2.4A-D, 2.5, 2.10, 2.11, 2.15, 4.2, App. A

Successive/latest entry conventions: 1.1, 3.7, 3.8

Title and other changes: 2.3, 3.1, 3.2, 3.3, 3.4, 3.5, 3.6A-E

Uniform titles: 2.3, 4.2, 4.3, 4.4

Appendix F. Sample Records

The following examples mix real and hypothetical information in order to illustrate various proposals. Please do not consider them as "real" examples! Significant areas are bolded.

Example 1. Print serial: CONSER/CONSER newsletter

This is an example of a printed serial as cataloged according to current rules and as cataloged according to the proposed revisions.   This record demonstrates: description from latest issue; how a minor title change is accommodated; the change in the rule for minor title changes; and how changes in the publisher might be accommodate. MARC 21 tagging has been included for clarification.

According to **current** rules (2 records)
Record 1.

245 [Title statement]	CONSER : $c [newsletter] / $c CONSER Program.
246 [Variant title]	Cooperative Online Serials Program
260 [Publisher]	Columbus, Ohio : $b OCLC, $c 1978-1990.
300 [Description.]	v. : $b ill. ; $c 24 cm.
362 [Designation]	No. 1 (June 1978)-no. 12 (Sept. 1990].
500 [Note]	Title from caption.
500 [Note]	Published: Washington, D.C. : Library of Congress, 1987-1990.
710 [Added entry]	CONSER Program.
785 [Continued by:]	$t CONSER newsletter $x 0000-8765 $w OCoLC …

Record 2.

245 [Title statement]	CONSER newsletter / $c CONSER Program.
246 [Variant title]	Cooperative Online Serials Program newsletter
260 [Publisher]	Washington, D.C. : $b Library of Congress, 1991-
300 [Description]	v : $b ill. ; $c 24 cm.
362 [Designation]	No. 13 (Jan. 1991)-
500 [Note]	Title from caption.
710 [Added entry]	CONSER Program.
780 [Continues:]	$t CONSER : [newsletter] $x ... $ w ...

According to **proposed** revisions (1 record)

130	[Uniform title]	**CONSER**
245	[Title statement]	**CONSER newsletter** / $c CONSER Program.
246	[Variant title]	**$i Issues for 1978-1990 called: $a CONSER**
246	[Variant title]	Cooperative Online Serials Program newsletter
260	[Publisher]	**$j Washington, D.C. : $k Library of Congress. – $i [originally $a Columbus, Ohio : $b OCLC], $c 1978-**
300	[Description]	v. : $b ill. ; $c 24 cm.
362	[Designation]	No. 1 (June 1978)-
500	[Note]	**Latest issue consulted: No. 15 (Jan. 1996)** ; title from caption.
710	[Added entry]	CONSER Program.

Example 2. Online database: Research library complete

This example is of a database that has been cataloged as a monograph under current practice (actual record) and as cataloged as a continuing integrating resource according to the proposed revisions. There are very few changes because monograph catalogers have been using some serial concepts in order to catalog these resources. The example illustrates latest entry cataloging as applied to integrating resources.

Current **monograph** record

245	[Title statement]	Research library complete $h [computer file].
246	[Variant title]	$i Previously known as: $a Periodical abstracts database
246	[Variant title]	$i On search screen: $a ProQuest Direct
256	[File char.]	Computer data and programs.
260	[Publisher]	$a [Ann Arbor, Mich.] : $b UMI, $c [199-]-
538	[Note]	Mode of access: World Wide Web.
500	[Note]	Title from web page (last viewed on Nov. 17, 1998).
520	[Summary]	Indexing and full text for a basic collection of general interest, humanities, social science and science periodicals and newspapers; 1986 to present. Divided into Newspapers and periodicals sections.
710	[Added entry]	University Microfilms International.
740	[UT added ent.]	Research library newspapers
740		Research library periodicals
856	[URL]	$u http://proquest.umi.com/pqdweb

Record created according to **proposed** revisions (some information made up)

245	[Title statement]	Research library complete $h [computer file].
247	**[Former title]**	**$i Previously called: $a Periodical abstracts database, $f <1997-1998>**
246	[Variant title]	$i On search screen: $a ProQuest Direct
256	[File char.]	Computer data and programs.
260	[Publisher]	$a [Ann Arbor, Mich.] : $b UMI, $c [199-]-
310	**[Frequency]**	**Updated quarterly**
538	[Note]	Mode of access: World Wide Web.
500	[Note]	Title from web page (last viewed on Nov. 17, 1998).
520	[Summary]	Indexing and full text for a basic collection of general interest, humanities, social science and science periodicals and newspapers; 1986 to present. Divided into Newspapers and periodicals sections.
710	[Added entry]	University Microfilms International.
740	[UT added ent.]	Research library newspapers
740		Research library periodicals
856	[URL]	$u http://proquest.umi.com/pqdweb

Example 3. Electronic journal: **Journal of cereal science** (Successive entry)

This is a real serial with some hypothetical changes made to it to illustrate the proposals. In this example, the titles appear with the issues and thus, the journal is cataloged according to successive entry.   The change in title would not be considered major because it occurs after the first three words and does not change the meaning of the title. This is an online serial with a print counterpart. Not all issues have been digitized, thus the "coverage as of" note. The uniform title was already present on the record to distinguish the online version from the print. It also serves as the stable title because the title proper has undergone a minor change.

Existing **online record updated** according to proposals

130	[Uniform title]	Journal of cereal science (Online)
245	[Title statement]	**Journal of cereal science online** $h [Computer file].
246	[Variant title]	**$i Issues for May 1995-April 1997 called: $a Journal of cereal science**
260	[Publisher]	$a London : $b Academic Press,
310	[Frequency]	Bimonthly
362 1	[Desig.note]	**Coverage as of May 20, 1997: Vol. 21, no. 3 (May 1995)-**
500	[Note]	**Earliest issue consulted: Vol. 21, no. 3 (May 1995); latest issue consulted: Vol. 23, no. 3 (May 1997)** ; title from title information screen.
506	[Access note]	Subscription and registration required for access.
516	[File char.note]	Online abstracts and tables or contents are HTML encoded, articles are in portable document format (PDF).
530	[Format note]	Online version of the print title: Journal of cereal science.
538	[Sys.req.note]	System requirements: World Wide Web access and Adobe Acrobat reader.
538		Mode of access: World Wide Web.
550	[Iss.bod.note]	Digitized and made available by: IDEAL (Project).
710	[Added entry]	IDEAL (Project).
776	[Other version link]	$t Journal of cereal science $x 0733-5210 $w ...
856	[URL]	$u http://www.idealibrary.com

On **print** record

776	[Other version link]	$t Journal of cereal science (Online)

Example 4. Electronic journal: The Medieval Review (Latest entry)

In this example, the journal has undergone a title change and the publisher has changed the title on the backfiles to match the current title. Thus, the original title BMMR no longer appears on the site. The journal is thus cataloged according to latest entry conventions. (Note: currently there are separate records for the two titles).

245 [Title statement]	**The medieval review $h [computer file] : $b TMR.**
247 [Former title]	**BMMR, $f 1993-May 1997**
246 [Variant title]	TMR
260 [Publisher]	**$j Kalamazoo, MI : $k The Medieval Institute, Western Michigan University. – $i [originally $a Bryn Mawr, PA : $b Bryn Mawr Reviews], $c 1993-**
310 [Frequency]	Irregular
362 [Designation]	93.8.1-
500 [Note]	**Earliest issue consulted: 93.8.1; latest issue consulted: 98.11.06 ; title from journal home page.**
500 [Note]	**All issues previously published under the former title BMMR [Bryn Mawr medieval review], have been reformatted with the new title: The medieval review.**
516 [File char.note]	HTML encoded text and ASCII email (online reviews)
538 [Note]	Mode of access: World Wide Web and Internet email
710 [Added entry]	Bryn Mawr College.
710 [Added entry]	Western Michigan University. $b Medieval Institute
856 [URL]	$u http://www.hti.umich.edu/b/bmr/tmr.html
856	$z For email subscription send mail to: $u mailto: ...