

**Cataloguing Code Comparison for the
IFLA Meeting of Experts on an International Cataloguing Code
July 2003**

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DRAFT

1. PARIS PRINCIPLES

1.1. Is your cataloguing code based on the Paris Principles for choice and form of headings and entry words?

AACR maintains “general conformity with the Paris Principles of 1961...the second edition continues to reflect the tendency to closer conformity with the Paris Principles that was already embodied in amendments to the 1967 texts...specifically the abandonment of entry under the name of a place of certain institutional bodies, as related to section 9.4 of the Paris Principles, and some other shortfalls...notably...the substitution of uniform titles for form subheadings in relation to section 9.5.” (cf. p.xxvii of Preface to the 1998 revision of AACR2).

1.2. In what ways do you vary from the Paris Principles and why (to meet what needs)? (Please address each of the following Paris Principles, indicating how your rules address each, e.g., cite your rule that corresponds or give the alternative that your rule provides. You only need to respond to those Paris principles where your rules differ.) Note: Paris Principle 1 is just the scope so is omitted here.

√ Paris Principle 2. Functions of the Catalogue: the catalogue should be an efficient instrument for ascertaining

2.1 whether the library contains a particular book specified by

- a) its author
- b) if the author is not named in the book, its title alone, or
- c) if author and title are inappropriate or insufficient for identification, a suitable substitute for the title; and

2.2 (a) which works by a particular author and

(b) which editions of a particular work are in the library.

AACR2 is same

√ Paris Principle 3. Structure of the Catalogue: To discharge these functions the catalogue should contain

3.1 at least one entry for each book catalogued, and

3.2 more than one entry relating to any book, whenever this is necessary in the interests of the user or because of the characteristics of the book – for example:

3.21 when the author is known by more than one name or form of name, or

For different names used by a person: 22.2B1, 22.2B2, 22.2B3, 22.2B4, 22.1C1, 22.11D, 22.28B2.

For variant forms of names used by a person: 22.3A1, 22.3B1, 22.3B2, 22.3B3, 22.3B4, 22.3C1, 22.3C2 (and its footnote 4), 22.6A1, 22.18A, 22.22B1, 22.28C1, 22.28D1, 22.28D2, 22.28D3.

AACR2 prescribes handling the permutations of name order in 22.5C, 22.5D, 22.5E1, 22.5F1, 22.8A1, 22.8B1, 22.9B1, 22.10A, 22.11A, 22.11B, 22.22B1, 22.25A1, 22.26B1, 22.26C1, 22.26D1, 22.26F1, 22.26G1, 22.27B1, 22.27D1, 22.28A1, 22.28C1.

AACR2 also introduces the concept of “separate bibliographic identities” which permits using different names (e.g. pseudonyms) used by a person. See rules 22.2B2 and 22.2B3.

For names of corporate bodies in chapter 24:

For different names used by a corporate body: 24.1C1.

For variant forms of the name of the same corporate name: 24.1A, 24.1B1, 24.2, 24.3A, 24.3B, 24.3C1, 24.3C2, 24.3D1, 24.3E1, 24.3F, 24.3G.

For permutations of the corporate names: 24.12A, 24.14A, 24.17A, 24.19A, 24.21A.

3.22 when the author’s name has been ascertained but is not on the title-page of the book, or

AACR2 rules 21.0B permits using an author’s name as an access point when known and the chief source is insufficient. Also see 21.4A1 to enter under the person’s name whether named in the item being catalogued or not and 21.4C1 to enter under the actual author when the work is erroneously or fictitiously attributed to another person.

3.23 when several authors or collaborators have shared in the creation of the book, or

AACR2 rules 21.6 works of shared responsibility provide access points for two or three, when more than three, entry is under title with an added entry for the first person or corporate body named prominently (cf. 21.6C2). Note that the JSC is reviewing this “rule of three” in the online environment, but practical economic reasons may prevent expansion of this rule to always give access under all authors and collaborators. Also see AACR2 rules 21.8 and 21.24-21.27 for works of mixed responsibility.

3.24 when the book is attributed to various authors, or

AACR2 rule 21.5 works of unknown or uncertain authorship or unnamed groups

3.25 when the book contains a work known by various titles.

AACR2 chapter 21 deals with providing access points (main and added entries) for titles found on the chief source of information. Rules on uniform titles (rules 25.2E1, 25.2E2, 26.4B1) deal with variant titles that are to be given as cross references in authority records rather than redundantly in each bibliographic record.

√ Paris Principle 4. Kinds of Entry: Entries may be of the following kinds: main entries, added entries and references.

4.1 One entry for each book – the main entry – must be a full entry, giving all the particulars necessary for identifying the book. Other entries may be either added entries (i.e. additional entries, based on the main entry and repeating under other headings information given in it) or references (which direct the reader to another place in the catalogue).

AACR2 rule 0.5 on “Main Entry and Alternative Headings,” and chapter 26 on “References.”

√ Paris Principle 5. Use of Multiple Entries: The two functions of the catalogue (see 2.1 and 2.2) are most effectively discharged by

5.1 an entry for each book under a heading derived from the author's name or from the title as printed in the book, and AACR2 works of personal authorship rule 21.1A2, corporate responsibility 21.1B2, title entry 21.1C1 and chapters 22 (headings for persons), 24 (headings for corporate bodies), and 25 (headings for titles) for the authorized form for the heading.

5.2 when variant forms of the author's name or of the title occur, an entry for each book under a uniform heading, consisting of one particular form of the author's name or one particular title, or, for books not identified by author or title, a uniform heading consisting of a suitable substitute for the title, and AACR2 rules in chapters 22 (headings for personal authors), 23 (headings for geographic names), 24 (headings for corporate bodies), and chapter 25 (uniform titles).

5.3 appropriate added entries and/or references. AACR2 calls for making added entries and references throughout the rules and references are also specifically addressed in chapter 26.

√ Paris Principle 6. Function of Different Kinds of Entry

6.1 The main entry for works entered under author's names should normally be made under a uniform heading. The main entry for works entered under title may be either under the title as printed in the book, with an added entry under a uniform title, or under a uniform title, with added entries or references under the other titles. The latter practice is recommended for the cataloguing of well-known works, especially those known by conventional titles (see 11.3)²

²The principles established for treatment of works entered under title may be followed also in arranging entries under any particular author heading.

Yes, AACR2 rules for headings for persons and corporate bodies assure uniform headings for main entries under their names. As noted above the chapter 21 rules for choice of entry also specify using the headings, i.e. the controlled, authorized forms of names for persons and corporate bodies, and the title proper or a uniform title for title entries. Chapter 25 on uniform titles describes the references to be made from variant forms of title.

6.2 Entries under other names or forms of name for the same author should normally take the form of references; but added entries may be used in special cases.³

³e.g. when a particular group of works is associated with a particular name.

Yes, AACR2 rules follow this guideline, but have a provision for "bibliographic identity" (cf. rules 22.2B2 and 22.2B3) as noted in response to 3.21 above. Also AACR2 rule 21.6D1 on choice of access points, uses the pseudonym in cases of pseudonyms by two or more persons that use a single pseudonym with references from their names as well as references from the pseudonym to any established names of those persons.

6.3 Entries under other titles for the same work should normally take the form of added entries; but references may be used when a reference can replace a number of added entries under one heading.⁴

⁴e.g. when a particular variant title has been used in a number of editions.

Yes, AACR2 rule 26.6A. See response to 3.25 above

6.4 Added entries (or in appropriate cases references) should also be made under the names of joint-authors, collaborators, etc., and under the titles of works having their

main entry under an author's name, when the title is an important alternative means of identification.

Yes, use added entries, not references for such added authors and collaborators as noted above in 3.23. Also beyond shared responsibility, rules 21.29-21.30 are rules for two or more persons or bodies, collaborators, writers, editors and compilers, corporate bodies prominently names, other related persons or bodies, related works, other relationships, and title added entries.

√ Paris Principle 7. Choice of Uniform Heading: The uniform heading should normally be the most frequently used name (or form of name) or title appearing in editions of the works catalogued or in references to them by accepted authorities.

7.1 When editions have appeared in several languages, preference should in general be given to a heading based on editions in the original language; but if this language is not normally used in the catalogue, the heading may be derived from editions and references in one of the languages normally used there.

Yes, AACR2 rule 22.2A1 for names of persons gives preference to the name by which the person is clearly most commonly known and otherwise to prefer this order:

- a) name that appears most frequently in the person's works
- b) name that appears most frequently in reference sources
- c) the latest name. However, preference is given to a well-known English name in certain cases, e.g., persons entered under given name or a Roman of classical times (22.3B3; 22.3C1).

Yes, AACR2 rule 24.1A first prefers the name by which the corporate body is commonly identified, with exceptions for corporate hierarchies. "Commonly identified" is intended to be "from items issued by that body in its language...or, when this condition does not apply, from reference sources." However, preference is given to a well-known English name in certain cases, e.g. ancient or international bodies (24.3C2), geographic names (23.2A)

Yes, for uniform titles there are two different guidelines: for works created after 1500 rule 25.3A says to "Use the title of form of title in the original language by which a work created after 1500 has become known through use in manifestations of the work or in reference sources." Rule 25.3B goes on to say "If no title in the original language is established as being the one by which the work is best known, or in case of doubt, use the title proper of the original edition. Omit from such titles:

- 1) introductory phrases (e.g., Here beginneth the tale of)
- 2) statements of responsibility that are part of the title proper (see 1.1B2), if such an omission is permissible grammatically and if the statement is not essential to the meaning of the title."

However, preference is given to a well-known English title in certain cases, e.g., classical and Byzantine Greek works (25.4B1), sacred scriptures (25.17), certain treaties (25.16B2).

√ Paris Principle 8. Single Personal Author:

8.1 The main entry for every edition of a work ascertained to be by a single personal author should be made under the author's name. An added entry or reference should be made under the title or each edition in which the author's name is not stated on the title-page.

Yes, AACR2 rules for main entry for works of personal authorship 21.1A1 and 21.4A for single personal authorship.

8.2 The uniform heading should be the name by which the author is most frequently identified in editions of his works⁵, in the fullest form commonly appearing there, except that

⁵Subject to section 7.1

[See 7.1 above](#)

8.21 another name or form of name should be taken as the uniform heading if it has become established in general usage either in references to the author in biographical, historical and literary works, or in relation to his public activities other than authorship;

[See 7.1 above](#)

8.22 a further identifying characteristic should be added, if necessary, to distinguish the author from others of the same name.

[AACR2 has a section on “Additions to Names” in chapter 22, rules 22.12-22.19.](#)

√ Paris Principle 9. Entry under Corporate Bodies:

9.1 The main entry for a work should be made under the name of a corporate body (i.e. any institution, organized body or assembly of persons known by a corporate or collective name),

9.11 when the work is by its nature necessarily the expression of the collective thought or activity of the corporate body,⁶ even if signed by a person in the capacity of an officer or servant of the corporate body, or

⁶e.g. official reports, rules and regulations, manifestoes, programmes and records of the results of collective work.

[AACR2 21.1B2 describes this as](#)

[“Enter a work emanating² from one or more corporate bodies under the heading for the appropriate corporate body \(see 21.4B, 21.5B\) 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 \(e.g., catalogues, inventories\)](#)
- b) [some legal, governmental, and religious works of the following types:³](#)
 - [laws \(see 21.31\)](#)
 - [decrees of the chief executive that have the force of law \(see 21.31\)](#)
 - [administrative regulations \(see 21.32\)](#)
 - [constitutions \(see 21.33\)](#)
 - [court rules \(see 21.34\)](#)
 - [treaties, etc. \(see 21.35\)](#)
 - [court decisions \(see 21.36\)](#)
 - [legislative hearings](#)
 - [religious laws \(e.g., canon law\)](#)
 - [liturgical works \(see 21.39\)](#)
- c) [those that record the collective thought of the body \(e.g., reports of commissions, committees, etc.; official statements of position on external policies\)](#)
- d) [those that report the collective activity of a conference \(e.g., proceedings, collected papers\), or an expedition \(e.g., results of exploration, investigation\), or of an event \(e.g., an exhibition, fair, festival\) falling within the definition of a](#)

- corporate body (see 21.1B1), provided that the conference, expedition, or event is named in the item being catalogued
- e) those that result from the collective activity of a performing group as a whole where the responsibility of the group goes beyond that of mere performance, execution, etc. Publications resulting from such activity include sound recordings, films, videorecordings, and written records of performances. (For corporate bodies that function solely as performers on sound recordings, see 21.23)
 - f) cartographic materials emanating from a corporate body other than a body that is merely responsible for their publication or distribution.

In case of doubt about whether a work falls into one or more of these categories, treat it as if it does not...”

² Consider a work to emanate from a corporate body if it is issued by that body *or* has been caused to be issued by that body *or* if it originated with that body.

³ Some legal and governmental works are entered under headings for bodies other than the body from which they emanate.

9.12 when the wording of the title or title-page, taken in conjunction with the nature of the work, clearly implies that the corporate body is collectively responsible for the content of the work.⁷

⁷e.g. serials whose titles consists [sic] of a generic term (Bulletin, Transactions, etc.) preceded or followed by the name of a corporate body, and which include some account of the activities of the body.

See 9.11 above

9.2 In other cases, when a corporate body has performed a function (such as that of an editor) subsidiary to the function of the author, an added entry should be made under the name of the corporate body.

See 9.11 above. Also AACR2 rules that go beyond the corporate main entry situation (21.30E1) to added entries for corporate bodies prominently named if the role is “beyond that of merely publishing the item being catalogued,” and (21.30F1) to added entries for a person or corporate body having a relationship to a work if it provides an important access point.

9.3 In doubtful cases, the main entry may be made either under the name of the corporate body or under the title or the name of the personal author, with an added entry in either case under the alternative not chosen for the main entry.

AACR2 rules on added entries are in 21.29-21.30.

9.4 The uniform heading for works entered under the name of a corporate body should be the name by which the body is most frequently identified in its publications, except that

See 7.1 above – prefer commonly known in items issued by the body in its language; when variant forms are found, prefer the name as it appears predominantly on chief sources of information, presented formally.

9.41 if variant forms of the name are frequently found in the publications, the uniform heading should be the official form of the name;

AACR2 rule 24.2D

9.42 if there are official names in several languages, the heading should be the name in whichever of these languages is best adapted to the needs of the users of the catalogue;

[AACR2 rule 24.3A1 prefers the English form.](#)

9.43 if the corporate body is generally known by a conventional name, this conventional name (in one of the languages normally used in the catalogue) should be the uniform heading;

[AACR2 rule 24.3C on conventional names uses it if it is frequently identified by the conventional name in reference sources in its own language.](#)

9.44 for states and other territorial authorities the uniform heading should be the currently used form of the name of the territory concerned in the language best adapted to the needs of the users of the catalogue;

[AACR2 rule 23.2A1 prefers the English place name.](#)

9.45 if the corporate body has used in successive periods different names which cannot be regarded as minor variations of one name, the heading for each work should be the name at the time of its publication, the different names being connected by references⁸;

⁸It is a permissible alternative, when it is certain that the successive names denote the same body, to assemble all the entries under the latest name with references from the other names.

[Yes, AACR2 follows the rule not the footnote in the Paris Principles – rule 24.1C says to “...establish a new heading under the new name for items appearing under that name, Refer from the old heading to the new and from the new heading to the old \(see 26.3C\).”](#)

9.46 a further identifying characteristic should be added, if necessary, to distinguish the corporate body from others of the same name.

[Yes, AACR2 rule 24.4 is on Additions.](#)

9.5 Constitutions, laws and treaties, and certain other works having similar characteristics, should be entered under the name of the appropriate state or other territorial authority, with formal or conventional titles indicating the nature of the material. Added entries for the actual titles should be made as needed.

[Yes, AACR2 rule 21.1B2b\) for entry under the corporate body and rule 21.30J for added entry under titles proper. Specific rules for entry are in 21.31 and rules for conventional titles are in 25.15 and 25.16.](#)

9.6 A work of a corporate body which is subordinate to a superior body should be entered under the name of the subordinate body, except that

[Yes, AACR2 rule 24.12A and 24.17A enters subordinate bodies directly under their own name, unless the name belongs to one or more of the listed types.](#)

9.61 if this name itself implies subordination or subordinate function, or is insufficient to identify the subordinate body, the heading should be the name of the subordinate body as a subheading;

[Yes, see AACR2 rules 24.13 for subordinate and related bodies entered subordinately and 24.18 for government agencies entered subordinately.](#)

9.62 if the subordinate body is an administrative, judicial or legislative organ of a government, the heading should be the name of the appropriate state or other territorial authority with the name of the organ as a subheading.

Yes, see 9.61 above

√ Paris Principle 10. Multiple Authorship: When two or more authors⁹ have shared in the creation of a work,

⁹In this section the word “author” is used to include a corporate body under whose name entries are made (see section 9).

10.1 if one author is represented in the book as the principal author, the others playing a subordinate or auxiliary role, the main entry for the work should be made under the name of the principal author;

Yes, AACR2 rule 21.6B1 Principal responsibility indicated

10.2 if no author is represented as the principal author, the main entry should be made under

Yes, AACR2 rule 21.6C Principal responsibility not indicated

10.21 the author named first on the title-page, if the number of authors is two or three, added entries being made under the name(s) of the other author(s);

Yes, AACR2 21.6B2 for principal responsibility is attributed to two or three persons or bodies, enter under first named. “Make added entries under the headings for the others.”

10.22 the title of the work, if the number of authors is more than three, added entries being made under the author named first in the book and under as many other authors as may appear necessary.

Yes, AACR2 21.6C2, includes added entry for first named, but 21.29C allows to make an added entry if a user might suppose an item would be found under that heading or title or if in a given catalogue it is required (21.29D) giving a note to explain why the added entry is given if it’s not apparent in the description (21.29F).

10.3 Collections¹⁰. The main entry for a collection consisting of independent works or parts of works by different authors should be made

¹⁰A large minority of the Conference did not accept the text of 10.3 but favoured the following alternative text [see 10.3 Minority text]

10.31 [Main text] under the title of the collection, if it has a collective title;

Yes, AACR2 rule 21.7B1

10.3 [Minority text] The main entry for a collection consisting of independent works or parts of works by different authors should be made

10.31 when the collection has a collective title

10.311 under the name of the compiler (i.e. the person responsible for assembling from various sources the material in the collection) if he is named on the title-page;

10.312 under the title of the collection if the compiler is not named on the title-page;

10.32 [Main text] under the name of the author, or under the title, of the first work in the collection, if there is no collective title

10.32 [Minority text] when the collection has no collective title, under the name of the author, or under the title, of the first work in the collection.

Yes, AACR2 rule 21.7C1

10.33 [Main text] in both cases, an added entry should be made under the name of the compiler (i.e. the person responsible for assembling from various sources the material in the collection) if known.

10.33 [Minority text] An added entry should always be made under the name of the compiler (if known), when not chosen as heading for the main entry; and under the title, of the main entry is under the compiler.

Yes, AACR2 21.7B1 (with collective title, added entry under compiler if not more than three) and 21.7C1 (without collective title, same as 21.7B1), and also 21.30D (added entries for editors and compilers).

10.34 [Main text] Exception: if the name of the compiler appears prominently on the title-page, the main entry may be made under the name of the compiler, with an added entry under the title.

No, AACR2 considers all compilers as secondary roles, never given main entry.

10.4 If successive parts of a work are attributed to different authors, the main entry should be made under the author of the first part.

In AACR 2 rule 21.3A2 the first sentence is consistent with the principle: "If there is a change in responsibility between the parts of a multipart monograph, enter the monograph under the heading appropriate to the first part."

However, this AACR rule currently goes beyond that principle to say (1) that main entry is changed to another person/body if that person/body is predominant for the multipart monograph as a whole, and (2) that main entry is changed to title if more than three persons/bodies are responsible for the completed multipart monograph. The JSC is considering revising the rule to remove these two possibilities.

√ Paris Principle 11. Works entered under Title:

Yes, AACR2 rule 21.1C1 covers the following conditions of the Paris Principle 11.

11.1 Works having their main entry under the title are

11.11 works whose authors have not been ascertained;

11.12 works by more than three authors, none of whom is principal author (see 10.22);

11.13 collections of independent works or parts of works, by different authors, published with a collective title;

11.14 works (including serials and periodicals) known primarily or conventionally by title rather than by the name of the author.

11.2 An added entry or reference should be made under the title for AACR2 rule 21.30J for added entry

11.21 anonymous editions of works whose authors have been ascertained;

Yes, AACR2 would use author as main entry when ascertained, per rules 21.1A2, 21.4A1, and 21.5B (if reference sources indicate that a person is the probable author, enter under the heading for that person) and per rule 21.30J the title added entry is made.

11.22 works having their main entry under the name of the author, when the title is an important alternative means of identification;

See 11.2 above

11.23 works whose main entry is made under the name of a corporate body, but which have distinctive titles not including the name of the corporate body;
[See 11.2 above](#)

11.24 collections whose main entry is made exceptionally under the compiler.
[No, AACR2 does not make such an exception for compilers.](#)

11.3 The uniform heading (for main or added entries, see 6.1) for works entered under title should be the original title or the title most frequently used in editions of the work¹¹, except that

¹¹Subject to Section 7.1

[See 7.1 above - AACR2 chapter 25 is devoted to uniform titles and follow the Paris Principles.](#)

11.31 if the work is generally known by a conventional title, the uniform heading should be the conventional title.

[AACR2 uses the term “established title” or as identified in modern sources \(rule 25.4A1\) or well-established English title \(25.4B1\).](#)

11.4 The uniform heading for works of which successive parts or volumes bear different titles should be the title of the first part, unless the majority of the parts of volumes bear another title.

[See 10.4 above and AACR2 prefers the chief source of information for the first part \(rule 1.0H2\).](#)

11.5 When a serial publication is issued successively under different titles, a main entry should be made under each title for the series of issues bearing that title, with indication of at least the immediately preceding and succeeding titles. For each such series of issues, an added entry may be made under one selected title.¹² If however, the variations in title are only slight, the most frequently used form may be adopted as a uniform heading for all issues.

¹²If it is desired to collect information about the serial publication as a whole in one place in the catalogue.

[AACR2 follows successive entry for serials: AACR2 rule 12.1B8 requires a new entry when there is a major change in title proper; rule 21.2A specifies what differences in title proper are major changes and what differences are only minor changes. \(The “major/minor” terminology was adopted from the ISBDs.\) Notes and added entries are given on the existing record for minor title changes per rules 12.7B4.2 and 21.30J2.](#)

[AACR rule 12.7B8 specifies notes for bibliographic relationships: immediately preceding, immediately succeeding, and simultaneously issued resources.](#)

11.6 Multi-lateral international treaties and conventions and certain other categories of publications issued with non-distinctive titles may be entered under a uniform conventional heading chosen to reflect the form of the work.¹³

¹³If it is desired to group these publications in one place in the catalogue.

[Yes, AACR2 rules 25.16A1 and 25.16B1 use “Treaties, etc.” for treaties or use a collective name, if one exists.](#)

√ Paris Principle 12. Entry Word for Personal Names: When the name of a personal author consists of several words, the choice of entry word is determined so far as possible

by agreed usage in the country of which the author is a citizen, or, if this is not possible, by agreed usage in the language which he generally uses.

Yes, AACR2 rule 22.3C1 for entry under a given name (prefer as in English-language reference sources); 22.4A “select as the entry element that part of the name under which the person would normally be listed in authoritative alphabetical lists in his or her language or country of residence or activity.” There are also specific rules for such conditions as 22.5C2 for compound surnames, 22.5C3 for hyphenated surnames, 22.5C4 for other compound surnames, except those of married women whose surname consists of surname before marriage and husband’s surname; 22.5C5 for other compound surnames (married women whose surname consists of surname before marriage and husband’s surname); 22.5C6 for nature of surname uncertain; 22.5D for surnames with separately written prefixes; etc.

1.3. Do your rules call for a main entry and added entries (per the Paris Principles) or what other device is used for arranging bibliographic records in your catalogue/bibliography/list?

Yes

1.4. What is the most typical "main entry" for works according to your rules (e.g., author then title; first author/title; all authors/title; title only when there is no author; other?)

Author then title

2. ISBD (INTERNATIONAL STANDARD BIBLIOGRAPHIC DESCRIPTION)

2.1. Is your cataloguing code based on ISBD for rules for description?

Yes

2.2. In what ways do you vary from the ISBDs and why (to meet what needs)? Please cite your rules that differ.

(1) For publications without a collective title, ISBD(M) provides for creating only one record (1.1.4.2.1). AACR2 provides for creating separate records for each title as well as for creating one record (1.1G2).

(2) For a corporate body name to be given in a statement of responsibility in area 1, ISBD(M) restricts the name to appearing only on the chief source and only when the relationship between the body and the publication is explicitly stated or can be expressed by the addition of a term (1.5.2.6, 1.5.2.9). AACR2 permits any corporate name to be given in a statement of responsibility in area 1 whenever the name appears prominently (1.1F1).

(3) For statements of responsibility in area 1, ISBD(M) provides for giving statements appearing anywhere in the publication (1.5.4.2). AACR2 restricts area 1 statements to those that appear prominently (1.1F2). [“Prominently” = “... a formal statement found in one of the prescribed sources of information ... for areas 1 and 2 for the class of material to which the item being cataloged belongs” (AACR2 rule 0.8)]

(4) For multiple names appearing in statements of responsibility, ISBD(M) permits the number of names to be given at the discretion of the bibliographic agency (1.5.4.3). AACR2 restricts the number to three; if there are more than three, only the first is given (1.1F5). Note: this AACR2 rule is currently under review.

(5) For multiple places of publication and names of publishers, ISBD(M) specifies noting omitted names by "etc." (4.1.5, 4.2.3). AACR2 does not require the omitted names to be noted at all (1.4C5, 1.4D4).

(6) For qualifiers to local places of publication, ISBD(M) specifies giving the qualifier within parenthesis when the qualifier appears in a prescribed source (4.1.9). AACR2 does not provide for parentheses if the qualifier appears in the same source as the local place (1.4C3).

(7) For publishers whose names appear in area 1, ISBD(M) permits the name to be given in an abbreviated form in the publisher statement (4.2.6). AACR2 no longer has such a provision.

(8) For publications with both a publisher and a distributor, ISBD(M) restricts giving the name of the distributor in area 4 to those appearing in the same source (4.2.4). AACR2 has no such restriction: distributors can be given in area 4 if named anywhere in the publication (1.4D5).

(9) For publications with a numbered main series and a distinctively-titled subseries, ISBD(M) provides for giving only the subseries in the series statement; the main series is given in a note (6.1.3). AACR2 provides for giving both titles in the series area (1.6H1).

(10) In ISBD(CR) an unnumbered common title cannot be a main series. It can be a main series in AACR. AACR2 differs because the subseries rules (1.6H) are based on serial rules for common title/section title (12.1B4-12.1B5) where the numbering status (numbered vs. unnumbered) does not affect the decision to record the titles or their transcription.

(11) In ISBD(CR) it is possible to transcribe in brackets in area 1 a dependent title if it does not appear in the same source as the title proper. AACR2 does not allow this practice.

3. PERSONAL NAMES

3.A. PRINCIPLES

3.A.1. Do your rules have a goal to collocate the works of an author under the controlled name of the person?

Yes. See Paris Principle 7.1 and 8 above

3.A.2. What other underlying principles guide your treatment of personal names?

3.B. CHOICE:

3.B.1. Which name used by a person is the preferred name for your rules?

See Paris Principle 7.1 and 8 above

3.C. STRUCTURE

3.C.1. Do you follow the IFLA Names of Persons when formulating the structure of a personal name?

Not specifically, although some AACR2 rules reflect the same structure as the IFLA Names of Persons. For names in languages for which there are no specific rules in AACR2, the cataloguer is referred to the IFLA Names of Persons (22.21, footnote 17)

3.C.2. What is the structure of personal names (headings and references) in your code?
Generally inverted order, surname followed by forename[s], with additions as needed to make headings unique.

3.C.3. What are the guiding principles for structuring names in your code?
Paris Principles

3.D. PSEUDONYMS

3.D.1. Do your rules provide for the identification of "bibliographic identities" for the personas used by a person or group of persons?
Yes

3.D.2. How are pseudonyms treated (as references to a real name, as references to a predominantly used name, etc.)?
AACR2 rule 21.6D1 for a shared pseudonym (to use the pseudonym);
22.2B1 for one pseudonym, to use it with a reference from the real name to the pseudonym;
22.2B2 for separate bibliographic identities to enter under each with references to connect the names;
22.2B3 for contemporary authors using more than one pseudonym or pseudonym and real name to enter under each name with references to connect the headings.

3.E. DIFFERENTIATING

3.E.1. Do your rules differentiate the names of persons so each has a unique authorized form as heading?
Yes and when cannot differentiate, AACR2 rule 22.20 covers undifferentiated names to use the same heading for all persons with the same name.

3.E.2. What elements are used to distinguish one name from another that is similar?
Dates, fuller forms as qualifiers, distinguishing terms

3.E.3. When do you add these elements?
As needed to distinguish identical names. Dates and fuller forms as qualifiers may optionally be added when known, even when there is no need to distinguish between headings. Some distinguishing terms, such as titles of royalty or words or phrases denoting place of origin, etc. are routinely added when associated with the name even when not needed to distinguish between headings. Other types of distinguishing terms are used only in cases of actual conflict with another person of the same name.

3.E.4. Which elements do you add to the heading and which do you include in an authority record for that person?
See 3.E.2 above for additions. Such additions are included in the heading for the person in the authority record. Authority records also may include such information as references, catalogers' notes, sources where identifying information or variant names were found, classification numbers associated with the person, etc.

3.F. AUTHORITY CONTROL

3.F.1. Do your rules call for the creation and maintenance of an authority file for controlling the forms of personal names used as headings and references in your catalogs and national bibliographies?

Not specifically except mention in rule 26.1Ab) “there is a record of every reference under the name heading or uniform title to which it refers in order to make possible the correction or deletion of the reference.” The Joint Steering Committee for AACR (JSC) currently is exploring the addition of a section of the rules devoted to authority control.

3.F.2. Do you provide links between names of individuals that are part of groups and the corporate name for the group? If so, in what situations?

Such links are not specifically mentioned in AACR, but may be authorized under application of rule 26.2C for See also references.

4. CORPORATE NAMES

4.1. What entities do your rules consider as corporate bodies? (e.g., ships, spacecraft, government or private agencies, institutions, corporations, societies, expeditions, performing groups, named meetings and conferences, festivals, exhibitions, etc.)

AACR defines a corporate body as “An organization or group of persons that is identified by a particular name and that acts, or may act as an entity. Typical examples of corporate bodies are associations, institutions, business firms, nonprofit enterprises, governments, government agencies, religious bodies, local churches, and conferences.”

National libraries have also issued more detailed guidelines listing specific types of entities to be considered as corporate bodies.

4.A. PRINCIPLES

4.A.1. Do your rules have a goal to collocate the works of a corporate body under the controlled name of the corporate body?

Yes. See Paris Principle 7.1 and 9 above.

4.A.2. What other underlying principles guide your treatment of corporate body names?

4.A.3. Are there limits on what sub-bodies are considered for naming?

No, as long as the sub-body actually has a specific appellation rather than a general description. Rule 21.1B1 instructs: “Consider a corporate body to have a name if, in a script and language using capital letters for proper names, the initial letters of the words referring to it are consistently capitalized and/or if, in a language using articles, the words are always associated with a definite article.”

4.B. CHOICE

4.B.1. Which name used by a corporate body is the preferred name for your rules?

See Paris Principle 7.1 and 9 above.

4.B.2. How are sub-bodies treated (are they established under their own name or subordinately under the name of a higher level body in the corporate hierarchy?)

Either is possible. See Paris Principle 9.6-9.62 above.

4.C. STRUCTURE

4.C.1. Do you follow the IFLA Form and Structure of Corporate Headings when formulating the structure of a corporate body's name?

Not specifically, although some AACR rules may reflect the same structure as the IFLA IFLA Form and Structure of Corporate Headings.

4.C.2. What is the structure of corporate body names in your code?

Generally, under name in direct order, followed by additions to the name.

4.C.3. What are the guiding principles for the structure of corporate body names in your code?

Name as found on publications in direct order and See Paris Principle 7.1 and 9 above.

4.C.4. What elements are used to distinguish one name from another that is similar?

Name of place or institutions where a body is located, dates, general designation of the type of body.

4.C.5. When do you add these distinguishing elements?

As needed, when two or more bodies have the same or similar name or to assist in the understanding of the nature or purpose of the body.

4.C.6. What elements are used to identify corporate bodies in headings?

See 4.C.4 above

4.C.7. What elements do you include in authority records to identify the corporate body?

Additions included in the heading for the body are also included in the authority record. Authority records also may include such information as references, catalogers' notes, sources where identifying information or variant names were found.

4.D. AUTHORITY CONTROL

4.D.1. Do your rules call for the creation and maintenance of an authority file for controlling the forms of corporate bodies' names used as headings and references in your catalogs and national bibliographies.

Not specifically except mention in rule 26.1Ab) "there is a record of every reference under the name heading or uniform title to which it refers in order to make possible the correction or deletion of the reference." The JSC currently is exploring the addition of a section of the rules devoted to authority control.

5. UNIFORM TITLES (work-level or expression-level citations) (main and added entries)

5.1. Do your rules consider uniform titles for work beyond anonymous classics? (If so, please describe when they are used.)

Yes, uniform titles may be used for all types of works: "for bringing together all catalogue entries for a work when various manifestations (e.g., editions, translations) of it have appeared under various titles; for identifying a work when the title by which it is known differs from the title proper of the item being catalogued; for differentiating between two or more works published under identical titles proper; for organizing the file" (rule 25.1A)

5.A. PRINCIPLES

5.A.1. Do your rules have a goal to identify and collocate works and/or expressions through the use of uniform titles for the names of the works/expressions? [NOTE: The terms work, expression, manifestation, and item are from the IFLA FRBR report, available at: the IFLA Publications Web site, under the Saur publications;

UBCIM Publications - New Series v. 19

<http://www.ifla.org/V/saur.htm>

(available as a pdf file, 559K)]

5.A.2. Is the use of uniform titles mandatory, or only in certain situations, or never used? (Please explain)

Use of uniform titles is optional, according to the needs of the specific catalogue or situation within a specific catalogue. Guidelines for use of uniform titles are given in rule 25.1A: “Base the decision whether to use a uniform title in a particular instance on one or more of the following, as appropriate:

- 1) how well the work is known; 2) how many manifestations of the work are involved; 3) whether another work with the same title proper has been identified; 4) whether the main entry is under title; 5) whether the work was originally in another language; 6) the extent to which the catalogue is used for research purposes

5.B. CHOICE

5.B.1. Which name used for a work or expression is the preferred name for your rules? (e.g., for a work-level uniform title, what is the preferred source; what is the source for an expression-level uniform title – is it the “best known” or most frequently used or other?)

5.C. STRUCTURE

5.C.1. What elements comprise your uniform titles?

The title may be followed by any of several elements, as appropriate: a qualifying term to insure uniqueness, title or numbering of a part, language[s], date. There are also special rules for manuscripts, incunabula, laws, treaties, sacred scriptures, liturgical works, papal communications, and music with specific instruction on additions to uniform titles for these materials.

5.C.2. Do you use author/title uniform titles or other work-level or expression-level uniform titles to uniquely identify works and expressions?

5.D. AUTHORITY CONTROL

5.D.1. Do your rules call for the creation and maintenance of an authority file for controlling the forms of uniform titles used as headings and references in your catalogs and national bibliographies?

Not specifically except mention in rule 26.1Ab) “there is a record of every reference under the name heading or uniform title to which it refers in order to make possible the correction or deletion of the reference.” The JSC currently is exploring the addition of a section of the rules devoted to authority control.

6. GMDs (GENERAL MATERIAL DESIGNATORS)

6.1. Do your rules call for using GMDs in area 1 of the ISBD areas of description?

Yes as an option

6.2. If so, what list of terms do you follow (please provide the list)?

AACR2 rule 1.1C1 has two lists. List 1 for the British agencies, and List 2 for Australia, Canada, and the United States:

List 1

Braille

Cartographic material

Electronic resource

Graphic

Manuscript

Microform

Motion picture

Multimedia

Music

Object

Sound recording

Text

Videorecording

List 2

Activity card

Art original

Art reproduction

Braille

Cartographic material

Chart

Diorama

Electronic resource

Filmstrip

Flash card

Game

Kit

Manuscript

Microform

Microscope slide

Model

Motion picture

Music

Picture

Realia

Slide

Sound recording

Technical drawing

Text

Toy

Transparency

videorecording

6.3. Have you considered alternatives to GMDs that would clarify the element as being a mode of expression versus a form of manifestations? If so, please explain.

The JSC is currently exploring alternatives

6.4. Do you use a GMD as an identifying element in a uniform title?

No, but the JSC is exploring such a possibility

6.5. For the future, what are your views about using the GMD in area 1 of description?
Or where else does it "belong" in a bibliographic record?

This is currently under investigation by the JSC

7. SERIALITY

7.1. Do your rules cover "continuing resources" in the current ISBD(CR) parlance?

Yes

7.2. How is the topic of seriality as a characteristic of a publication (mode of issuance) treated in your rules?

In AACR2 chapter 12 for serials and integrating resources. AACR2 lacks rules for most aspects of seriality of multipart monographs.

7.A. PRINCIPLES:

7.A.1. What principles guide the decision on when to make a new record for a continuing resource (serial or integrating resource) as the various identifying elements change over time?

For serials: new records are made for major changes, following the ISBD(CR): in title proper, in statement of responsibility, in edition statement. AACR2 rule 21.3B also requires a new record for the following three situations even when the title proper remains the same: if the heading for a corporate body under which a serial is entered changes; if the main entry is under a personal or corporate heading and that person or body is no longer responsible for the serial; if the corporate body used as a qualifier in the uniform title changes its name or is no longer responsible for the serial.

For integrating resources: new records are made only when there is a new resource, when there has been a merger of other resources, or when the resource splits into separate resources.

7.B. CHOICE

7.B.1. What do your rules require for the name (title or author/title) given to a continuing resource?

AACR2 does not have specific rules for the name for a continuing resource. The possibilities in rule 21.1 (personal name/title, corporate name/title, or title) apply to all bibliographic resources. When a new record is created for a serial (see 7.A.1), the decision about the name for the new record is made again. When the current iteration of an integrating resource has changed, the same record is updated to reflect changes found on the iteration and the decision about the name for the revised record is made again. The use of uniform titles is optional in AACR2; the first rule in chapter 25 says "Although the rules in this chapter are stated as instructions, apply them according to the policy of the cataloguing agency." Uniform titles are most often used for serials when there is a conflict with another serial having the same title (rule 25.5B) and for translations (rule 25.5C).

8. MULTIPART STRUCTURES

8.A. COMPONENTS VERSUS AGGREGATES

8.A.1. Do your rules prescribe the cataloging treatment for collections (or aggregates) of works (not including serials)? (Please describe)

AACR2 has several options for dealing with what is being cataloged and relating it to the whole/part issues. AACR2 Chapter 13 on Analysis includes rules for analysis of monographic series, multipart monographs, works within works. Description of parts and components can also be handled in contents notes (rule 1.7B18 and corresponding rules in special materials chapters) or as accompanying material in the area 5 (rule 1.5E and corresponding rules in special materials chapters). Chapter 13 also covers multilevel description (rule 13.6) for the parts and the comprehensive whole within a single record.

8.A.2. Do your rules prescribe the cataloging treatment for works that consist of components of other works? (Please describe, e.g., do your rules require separate bibliographic records for every physical component; do your rules allow optional ways to catalog such materials, such as all on a single record with notes and added entries for the individual works within the whole; other?)

Optional ways to handle these depending on need of the cataloging agency (see response to 8.A.1 above).

8.A.3. What devices are used to link the parts with the whole and vice versa? (E.g., series statements, notes, added entries for the uniform titles of the main work, contents notes for the parts, etc.)

cf. AACR2 chapter 13: For records for the components, that is, analytics, a cataloger may use a series statement to identify the “whole.” The “series” would typically be given as an added entry to provide access and collocation of the parts from the “whole.”

Another technique option is the “In” analytic technique to identify the whole on a record for the component part. It is optional to give an added entry for the aggregate or “whole.”

On records for the aggregate (i.e., the whole, comprehensive work), if the part is named in the titles and statement of responsibility area or in a contents note, rule 13.2A prescribes giving an added entry for the part. (However, in practice the content notes may be given with or without added entries for the individual works cited in that note.) If the part is an accompanying dependent work, the technique of an addition to the physical description is an option (rule 1.5E noted above).

8.B. PRINCIPLES

8.B.1. Do your rules have a goal to describe each work within each publication (relates to 8.A.2 above), or is that decision left to the cataloguer/cataloguing agency?

No, the decision is left to the cataloguer/cataloguing agency. AACR2 rule 13.1A: “Although the rules in this chapter are stated as instructions, apply them according to the policy of the cataloguing agency.”

8.B.2. If there are such rules or principles, for what materials do they apply?

There are no rules.

8.C. WORK-LEVEL

8.C.1. What options do your rules provide for describing the individual works within multi-volume publications that contain multiple works?

See response to 8.A above

8.D. EXPRESSION-LEVEL

8.D.1. How do your rules handle multiple expressions of the same work? (e.g., one record for every expression, separate records for separate editions and translations, a single record for all expressions, etc.)

Typically separate records for each expression/manifestation combination. The JSC is currently investigating the possibility of expression-based records.

8.D.2. When do your rules instruct a cataloger to make a new or separate bibliographic record when there is change in content (i.e., what sorts of changes to content require a new bibliographic description)?

AACR2 does not indicate that a new record should be made only for change in content without also a change in author, title, edition, etc. (rules 21.2-21.3).

8.E. MANIFESTATION-LEVEL

8.E.1. How do your rules instruct catalogers to handle multiple manifestations of the same expression of a work? (i.e. different physical formats for the same content) (Please indicate if there are multiple options, such as single record, multiple records, linking devices if multiple records are used, etc.)

AACR2 does not have explicit instructions about single vs. multiple records for multiple manifestations. The assumption in various rules (e.g., rules 1.11A, 11.0A1) is that separate records are made for each manifestation. Supplementary cataloging documentation in the U.S. may have instructions about specific situations when a single record will cover more than one manifestation (e.g., details of an electronic reproduction given on the record for the original manifestation).

9. **What else** do we want to know and compare to see if we can work towards an international code? (Please provide any additional issues or comments here.)

Use of series authority records as surrogates for bibliographic records for serials, integrating resources, and multipart monographs for those bibliographic resources as a whole when the issues/iterations/parts of those bibliographic resources are analyzed and classified separately.