

REUSE or Rule Harmonization

Just a Project?

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German academic libraries acquire a large number of books from British and American publishers. The bibliographic records of the Library of Congress and the British National Bibliography are offered in most German library networks. Thus, projects REUSE and REUSE+ were undertaken when there was a demand for harmonization of Germany cataloging rules with AACR2. Experts in the United States and Germany systematically analyzed bibliographic data and compared the codes on which the data were based. Major and minor differences in cataloging rules were identified. The REUSE group proposed German participation in international authority files and changes in RAK, the German cataloging rules. In REUSE+ the different types of hierarchical bibliographic structures in USMARC and MAB2 and other German formats were analyzed. The German project group made suggestions concerning both the German formats and the USMARC format. Steps toward rule alignment and harmonization of online requirements were made when the German Cataloging Rules Conference made decisions on resolutions prepared by the Working Groups on Descriptive Cataloging that dealt with titles, encoding of form titles and conference terms, prefixes in names, hierarchies, entries under persons and corporate bodies, and the conceptual basis of RAK2 in the context of harmonization. Although problems remain, German rule makers have made progress toward internationality.

German academic libraries acquire more than 60% of their books abroad; 90% of this material is provided by Anglo-American publishers. The bibliographic records of the Library of Congress (LC) and the British National Bibliography are offered in most of the German library networks. However reuse of these records without considerable manual and intellectual intervention is appallingly low, especially in the context of networks with linked files. Former retrocon projects of OCLC and the German Library Institute showed the same results (Report 1993). And vice versa: LC came to similar conclusions when trying to import German records to their system as Thomas (1996) reported at the German "Bibliothekartag."

So the REUSE projects emerged in a time when changes toward harmonization with AACR not only were accepted but demanded. This was not only due to resources rapidly getting scarcer but I think just as well due to the fact that the Internet is a mighty international factor that we librarians have to keep up with by using common standards.

At the same time in Germany the call for online alignment of cataloging rules was at least as strong as the claim for internationality. So we catalogers tried to serve both aims, which apparently turned out easier than expected or at first feared.

Table 1. Germany Library Landscape

German Regional Networks (Verbuende)
Bayerischer Bibliotheksverbund: Bavarian Library Network (Munich) www.opac.bib-bvb.de
Bibliotheksverbund Berlin-Brandenburg: Berlin-Brandenburg LN (Berlin) www.dbi-berlin.de/de/ibas/bvbb/bvbb_00.htm
Hessischer Bibliotheksverbund: Hessian LN (Frankfurt) www.hebis.de/hebis
Gemeinsamer Bibliotheksverbund: Common LN (of Central and Northern Germany) (Goettingen) www.brzn.de
Hochschulbibliothekszenrum: University Library Center of Northrhine-Westphalia (Cologne) www.hbz-nrw.de
Südwestdeutscher Bibliotheksverbund: Southwest German LN (including Saxony) (Constance) www.swbv.uni-konstanz.de/index.htm
National Networks
Zeitschriftendatenbank: Serials Data Base (Berlin) www.dbilink.de
Verbundkatalog: Union Catalog (Berlin, combining all regional LN in one file—no active LN) www.dbi-berlin.de
National and State Libraries
Die Deutsche Bibliothek: the German Library (Frankfurt/Leipzig) www.ddb.de
Bayerische Staatsbibliothek: Bavarian State Library (Munich) www.bsb.badw-muenchen.de
Staatsbibliothek Preußischer Kulturbesitz: Berlin State Library www.sbb.spk-berlin.de
National Authority Files
National Authority File for Corporate Bodies at the Berlin State Library (Berlin)
NAF for Names of Persons (Frankfurt)
NAF for Subject Headings (Frankfurt)

Before I discuss the contents of REUSE and its results, let me delineate the German landscape of rule-making committees and the main rule application forum: the regional library networks (LN) and the Authority Files (see table 1). In Germany all university libraries (in most cases including their campus institutions) and state libraries are members of regional library networks. In addition many special collection libraries participate. Serials are cataloged in the Serials Data Base in Berlin and the regional records and holdings are imported (weekly) into the regional LN.

In 1997 the organization of cataloging rules committees was changed (see table 2). We now have:

- a working level—the Working Group for Descriptive Cataloging consisting of ten members representing the regional library networks, the Serials Data Base, the German Library, and the Library Supply Center (mainly for public libraries) and the Austrian LN; and
- a decision level—the Cataloging Rules Conference (i.e., for descriptive and subject cataloging).

To complete the German landscape: Four library networks (Bavaria, North-Rhine-Westphalia, the Southwest

Table 2. German Rules Landscape

Institutions	Members Working Level (WG Descriptive Cata)	Members Decision Level (Cat. Rules Conf.)*
Bavaria (Munich)		
LN	Gaby Messmer	Friedrich Geißelmann
State Library	Gaby Messmer	Klaus Haller
Berlin		
LN (Berlin/Brandenburg)	Günter Franzmeier	Monika Kuberek
State Library	Günter Franzmeier	Günter Hädrich
German Libraries Inst.	Hella Braune	Dieter Höchsmann
Central+North. G. LN (Göttingen)	Feruzan Akdogan	Reiner Diedrichs
Hesse (Frankfurt)		
Hessian LN	Sieglinde Korell	Sabine Wefers
German Library	Kristina Zimpel	Reinhard Rinn
Northrhine-Westf. LN (Cologne)	Luise Hoffmann	Heinz-Werner Hoffmann (Chair)
South-West G. LN (Constance)	Monika Münnich (Chair)	Marion Mallmann-Biehler
For the Public Libraries Supply Center for Libr. (Reutlingen)	Petra Friedmann	Albrecht Fischer Ute Scharmann Peter Petsch Angelika Hesse
German Library Association/ Section 1-3**		
Austrian LN (Vienna)	Johann Winkler	Wolfgang Hamedinger (Guest)
Conference of German Swiss Univ. Libr. (Bern)		Hans Lehmann (Guest)

* Subject Working Groups are not part of this table.

** Three sections of the German Library Association (Deutscher Bibliotheksverband) representing different sizes of public libraries supplying towns from fewer than 100,000 to more than 400,000 inhabitants.

with Saxony, and the Serials Data Base) migrated to Horizon at the beginning of 1999. This has been and still is a major factor of rapid progress in rule changes, at least for rule changes that can be carried out automatically.

REUSE

REUSE and REUSE+ were projects in which bibliographic data were systematically analyzed in several work packages and codes that underly these bibliographic data were compared.

The close cooperation of rule experts in the United States and Germany made the analysis possible. In this context I would like to thank above all Barbara Tillett of LC and Glenn Patton of OCLC.

The close cooperation (and partly personal union) with German rule experts was the prerequisite for realization of rule changes and harmonization. I would prefer to summarize the projects from the point of view of rule alignment and not delineate the methods. The reports of the project can be found at www.oclc.org/oclc/cataloging/reuse-project/index.htm.

REUSE

From the standpoint of rules, minor and major differences were defined as follows:

- Minor rule differences
 - ISBD: a few alignments will be necessary
 - Main and added entries:

We do have major differences in this context. But regarding the online world, we kept the topic as minor. The Toronto Conference, though, showed the difference. Thus the solution of the German Rules Experts might be of interest.
- Major rule and format differences

Headings for persons, corporate bodies, and titles are different, in some cases definitions differ and in many cases entities do not match, a few examples:

 - Main differences in headings for persons:

Modern names are similar though there are still some decisive differences:

 - prefixes within a surname are written without any spaces,
 - above all, identical names are not differentiated by qualifiers

Ancient names differ considerably, as we use the Latin or the original form.
- Main differences in headings for corporate bodies
 - executive and information agencies are not entered as subdivisions (they are omitted)
 - conferences of organizing corporate bodies are not entered as subdivisions (their publications are entered under the organizing body)
 - geographic names are always entered under the original and official name, etc.
 - Within the corporate bodies many entities will not be matched.

A comparison of corporate bodies in AACR2 and RAK has been made by colleagues in Cologne based on a check of all RAK examples by LC colleagues in NAF (see www.oclc.org/oclc/cataloging/reuse-project/comparison.htm).

- Main differences in headings for titles
 - In many cases in RAK the title is not entered as it occurs in the item, especially as hyphens, slashes, and other marks are concerned—spaces are added or omitted differently.
 - The so-called “Ansetzungssachtitel”: a kind of a filing title for e.g. volume and author statements at the beginning or the end of a title. In case of author statements AACR-catalogers sometimes enter under a uniform title.
 - Multivolume records are treated considerably differently: we use hierarchies and links; I'll refer to these below.
 - Romanization in non-Latin languages is considerably different.

As a result of their work the REUSE working group proposed a number of actions to be taken immediately in Germany:

- Active participation of German libraries and library networks in international authority files. In this context differentiation of identical personal names should be mandatory. The entities of corporate bodies should be equalized as well.
- Changes in the bibliographic record section of RAK
 - The title proper should be the main title. The title should be entered as it appears in the item.
 - All form titles (as *festschrift*, treaties, constitutions, and “*Sammlung*”—collected works etc.) should be encoded. An international standardization should be the aim.
 - Multivolume works should be analyzed in a further project (REUSE+). Within this context the hierarchy of separate records for subseries (*Abteilungen*) should be abandoned.

REUSE +

In REUSE+ the different types of representations of hierarchical bibliographic structures in the formats USMARC and MAB2 (including the formats of the Goettingen and Constance Library Networks) were analyzed.

As the final project report is written in German, with only an English summary available, I will give some details and examples. In German library networks we create records for the whole and the parts, i.e., for every volume of a multivolume work regardless whether the title is distinctive or not. Thus it is done once in the central database as a master record for all participants. Local systems reuse these records.

Thus we dutifully follow AACR in applying hierarchies in multivolume works:

AACR 13.6A: Divide the descriptive information into two or more levels. Give at the first level only information relating to the item as a whole. Give at the second level information relating to a group of parts or to the individual part being described. If information at the second level relates to a group of parts, give information to the individual parts at a third level.

To import German data into USMARC should not be difficult as we differ between parts without distinctive titles (so called *Bandaufführung*) and with distinctive titles (*Stücktitel*). The last have the same record structure as monographic series, the first could be imported to 505 with or without further information. The difficulty is to extract the information for multivolume works from American records, especially when using the tags 300 and 505, as 505 is used for other information as well (e.g. TOCs, contents works). The information indicating multivolume works now can only be retrieved by the “v.” in 300. Illustrations are shown in figures 1 and 2.

The context of the project includes statistical material from OCLC concerning the occurrence of variant fields for multivolume records: a statistical evaluation regarding the use of the combinations USMARC tag 300 (including the v. for volume) with tag 505, or tag 490 with 8XX. In both types tag 245 is used in different ways. In the first case tag 245 contains the collective title and in the second case mostly the distinctive title is put in tag 245. The group could not recognize a reliable pattern in which way the subfields of tag 245 for the part of an multivolume work are used and what is the difference of using the combination 300 with 505 by multivolume items, which do not have distinctive titles.

A term difference is to be stated in the use of “series” which is obviously applied for finite multivolume works as well as for ongoing monographic series. We differentiate between multivolume (finite) works and monographic (ongoing) series.

A further problem are the differences of specific coded terms (monographic component part, monographic series, multipart item) which makes it difficult to convert the bibliographic information of the coded fields of USMARC into the German context.

McCallum described several models of linking-concepts in a paper presented to the REUSE Project for multi-level structured items in USMARC by using tag 773 and 774 in addition to the known tags and combinations of these. New are the ideas to make a link from the particular volume to the collective title by the record identification number and to integrate more than one level.

Concerning German formats (MAB2 and others), the German REUSE Project Group suggests:

- revising the deep hierarchical structure in German data models and integrating all levels in the volume record;

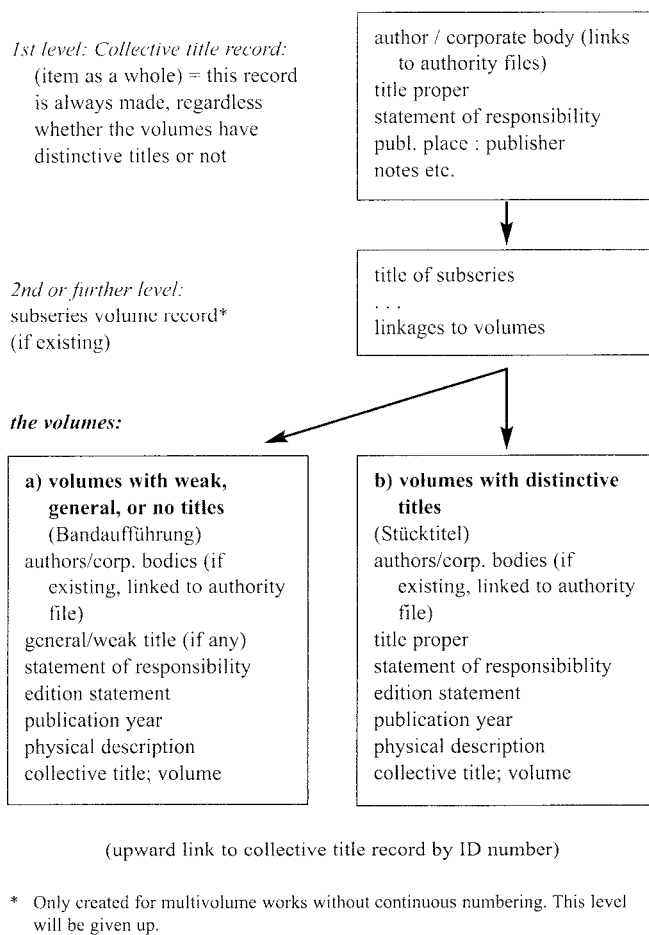


Figure 1. Structure of Multivolume Records in Germany

- standardizing the different structures for multivolume works and series in German systems;
- aligning the English expression “series” in RAK; and
- reducing the physical volume record statement on the bibliographical area in cases like the German encyclopedia “Brockhaus” (vol. 1–21).

Concerning the USMARC format, the German REUSE Project Group suggests:

- using an indicator in tag 505 that indicates a multivolume item, if possible;
- examining the use of the tag 245 in combination with 300 and 505 or in combination with 490 and 800; and
- examining Sally McCallum’s draft and the possibility of introducing a linking structure in American network systems.

Concerning the international discussion platform, the German REUSE Project Group suggests:

Records for a Multivolume Work with Weak Title (Type A)**OCLC-1 record**

001 ocm28254594
 ...
 100 1 aYarwood, Doreen.
 245 14aThe architecture in
 Europe /cDoreen
 Yarwood
 260 aLondon :bBatsford,1992-
 300 av.<1-3 >;c25 cm
 ...
 505 1 av.1 The ancient classical
 and Byzantine world,
 3000 . . . --v.2. The Middle
 Ages, 650-1550
 -- v.3 Classical architecture,
 1420-1800

Southwest German LN-4 records
1st level, collective title record

idn 2993008
 BND 3
 200eYarwood, Doreen
 320*_The_ architecture in Europe
 359 Doreen Yarwood
 410 London
 412 Batsford
 574 mb (indicates the
 multivolume work)

2nd level-1st volume

idn 2993032
 ...
 440 442 (2993008) _The_
 architecture in Europe ; 1
 445 The ancient classical and
 Byzantine world, 3000 . . . -
 1992. - VII, 166 S. : zahlr. Ill.,
 Kt.
 ...
 574 od (indicates that it is a
 volume record type a), without
 a distinctive title)

records for the 2nd and 3rd
volume are equivalent**Records for a Multivolume Work with a Distinctive Title (Type B)**

In this case, a monographic series which is treated identically as finite multivolume records in most German LN

OCLC-1 record

001 ocm13063011
 ...
 100 1 aBrazier, Paul.
 245 10aArt history in education
 :ban annotated . . .
 /cPaul Brazier ; introduction . .
 .
 260 aLondon . . .,c1985
 300 acii, 72 p. ;c22cm
 ...
 490 1 aStudies in
 education,x0458-2101 ; vnew
 ser. 15
 ...
 830 0a aStudies in education
 (London, England);vnew ser.
 15

Southwest German LN-2 records
Record for the collective title:

idn 642075
 ...
 ...
 320* Studies in education
 ...
 410 London
 574 se (Indicator for an - infinite
 - series)

Record for the part:

idn 1395340
 ...
 200*Brazier, Paul
 320 Art history in education
 335 an annotated . . .
 359 Paul Brazier
 410 London
 412 Heinemann Educational
 Books
 425 XII, 72 S.
 440 442 (0642075) Studies in
 education ; N.S., 15

- standardizing coded terms on an international scale; and
- standardizing ongoing publications on the basis of Hiron and Graham (1998).

What Happened after REUSE

The lucky personal union and the close connection and cooperation of the German project participants and expert members in the Working Group, the conference, and the regional networks certainly had a positive influence on a quick realization of all measures that had to be taken. And last but not least, in cases of doubt as far as AACR2, LCRI, or practices in American networks are concerned, our American colleagues in LC and OCLC and others have always been of utmost help in providing support.

Major steps toward rule alignment on the one side and toward harmonization with online requirements on the other have been made in the meantime.

The Cataloging Rules Conference then decided upon the first six resolutions prepared by the Working Group Descriptive Cataloging.

Titles

The first resolution refers to titles:

- The RAK term “Titel” comprises the title (Sachtitel) and the statement of responsibility. The conference accepted the reduction of the term according to international usage.
- The title proper will be the primary title. The Ansetzungssachtitel (filing title) will be an additional title and will be used in rare cases. The title generally will be entered as it appears in the item (exceptions have to be defined).

Encoding of Form Titles and Conference Terms

The encoding of certain terms is supposed to improve catalog searching and at the same time to simplify the international exchange as codes provide a multilingual bias:

- The German form titles Festschrift, Vertrag (treaty), and Verfassung (constitution) will be encoded. The dates of treaties and constitutions will be entered in an authorized form in a different tag, not as qualifiers.
- The encoding of “Sammlung—Collection” (partly equivalent to the uniform title of Works though not differentiated according to Collected Works, Selection etc.) is referred back to the Working Group. The conference sees no need to use that term in online catalogs.

Figure 2. Examples of the Structure of Multivolume Works

- All conference proceedings will be encoded as “conferences” regardless of whether they are named or unnamed. The qualifiers will be replaced: the conference place will be entered under a different tag and should be linked with the Authority File of Corporate Bodies in Berlin to provide all the references as well. The numbering and the year will be entered—in an authorized form—in a new tag.

Thus we allow the user to search a conference in a certain year at a certain place not knowing any title or named or unnamed corporate body.

The Working Group has to revise the rules for conference proceedings in this context. So far named and unnamed conferences are treated differently: the first are entered monographically, the second as serials. Conferences of organizing corporate bodies so far are not entered subordinately. The publications are entered under the parent corporate body. I am not sure if an agreement can be reached in the Working Group and the Rules Conference. At least the encoding will improve the exchange.

- Exhibitions will be encoded in the same way. With the revision of the conference rules we hopefully will introduce the LCRI regulation concerning exhibitions, i.e., to enter exhibitions as corporate bodies if they are named and ongoing. This will be a considerable reduction for German catalogers.
- All language qualifiers (of uniform titles and collected works) will be entered in separate tags according to ISO 639-2—the Alpha 3 code.

Prefixes in Names

In RAK the prefix and the surname are treated as one filing word (without any spaces). Even names in titles were entered in the same manner. This has led to much confusion for patrons and catalogers as well. The working group proposed a change and it was accepted. It's a harmonization with AACR as well. We expect that corrections in our Name Authority File can be made automatically.

Hierarchies

As delineated above in the German exchange format hierarchies for subseries (Abteilungen) within finite multivolume works are entered as separate records. The Conference accepted the abolition of these hierarchies. This means that subseries statements are entered in the area of the volume statement.

Entries under Persons and Corporate Bodies

The question of main and added entries has been a very con-

troversial topic—if we remember the aacrconf-list. In Germany most of the catalogers think it doesn't make any sense in the online world. On the other hand, scholars' bibliographic citation of a work must be taken into consideration. Thus we found a wonderful compromise—at least to our minds:

- The first author is marked.
- The author definition is expanded considerably (all persons that do not have a distinctive function, as e.g. editor). In cases of doubt the person is an author. In present RAK the author term is defined narrowly (e.g., if you can assign parts of a work to different authors they are not “authors” anymore). With this change we have come very close to the AACR definition, and as the first author is marked, the exchange of bibliographic records will be considerably improved.
- An almost revolutionary decision and extension of the present number of entries was made by the conference: All authors that appear prominently on the item may be entered, except for authors in anthologies, collections, conference papers, etc. (they could be entered as analytics). In former card catalogs the number of entries and cards enlarged a catalog. In online catalogs this deserves no consideration—however, authority work has to be done. The information for the patrons was considered to be more useful. The same is recommended for persons with functions. The basic standard for entries is three. Though this measure exceeds AACR it will not impede the exchange. Perhaps it could be an encouragement?

Conceptual Basis of RAK2 in the Context of Harmonization

The last resolution I had to present and defend was the conceptual basis of RAK2 (still a working title).

RAK2 pursues the following aims:

- adaption to online conditions;
- high international compatibility; and
- consideration of economic aspects.

Thus the basic rules will be adapted according to the changes mentioned above.

No changes will be made as far as fundamental international terms are concerned as work, edition, etc. We do hope and wait for the functional requirements.

Within the section of general rules, statements concerning the card catalogs have to be revised, online instructions have to be introduced. ISBD will be kept as a presentation form, the regulations will not be primarily in

online cataloging, though the necessity of reconstruction of an ISBD record has to be ensured.

The codes for entering the title proper are going to be aligned (i.e., as stated on the item).

Entries under names of persons and corporate bodies will not be changed in general, as the existing authority files forbid that. On the other hand, if we strive for an international authority file on the basis of what Tillett termed access control, a general alignment of names is not needed. But the identity of entities is a prerequisite for a common file (Tillett 1990; 1995).

In this context a notable tendency has to be stated: We will introduce differentiation of equal names on a voluntary and feasible basis, which is a major step for German catalogers, but the only means for international authority participation.

We have made adaptations in the case of prefixes as reported before, an adaptation useful in Germany as well.

We will try hard to harmonize at least the entities as far as corporate bodies are concerned. The headings for conference corporate bodies will hopefully be harmonized; at the very least the encoding will improve data exchange.

The headings under formal titles have been improved on the basis of encoding.

And last but not least, entries under persons and corporate bodies have been expanded:

- the first author is marked and the author term is changed closely to that of AACR; and
- the number of headings is increased: American standards will be served, in some cases exceeded.

Problems Left

One problem has not been solved in the projects: the different way of romanization. We should keep this in mind. If we achieve all the alignments that have been identified many problems still remain. But I think we better get started.

Immediate Steps or Starting the Dream

German rule makers have made a considerable step, at least to our minds. The new code was intended to be almost completed by the end of 1999. Nevertheless this is a very moderate step towards internationality as I mentioned before.

To conclude, our dream of internationality could be started right away and from the German perspective the steps could look like this:

- The Germans should realize all proposed code changes.
- American and German librarians should talk about participation of the German Library and/or German Regional Networks in LCNAF on the basis of access control as soon as possible.
- Germans would like to talk about a slight alignment in the treatment of multivolume works—possibly not only a German plea but a European one as well.
- Data exchange under the new perspectives should be tested.
- Cataloging on an international scale should be promoted, e.g.:
 - The functional requirements should be integrated in international cataloging. The Toronto Conference has shown interesting approaches.
 - Ongoing publications should be treated equally worldwide. Hiron and Graham (1998) is worth a worldwide discussion. Within this context the key title problem should be solved.
- A basis for an international discussion forum should be realized to reach the aim of international cataloging as soon as possible.

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