

Exactly how endangered have we become ... ? : views on the status of cataloguers and feedback on the institute on cataloguing standards held in Orlando February 2003, by Ina van der Merwe.

Good morning colleagues. I feel privileged to have this opportunity to address cataloguers from a wider community than I usually encounter. My talk will deal with the current status of cataloguers and how it compares with that of our peers in the United States, and I will give you feedback on the proceedings of the training institute that I was privileged to attend in Orlando in February. This will include information on the Functional Requirements of a Bibliographic Record and an overview on the Dublin Core and AACR2 standards.

I would like to begin with the status of cataloguers in South Africa. Who are we? In my mind's eye I see a group of dedicated professionals desperately clinging to the magic potions of the trade which we need to keep the squeaky hinges of the doors that give access to the information described in our catalogues, well oiled. I use the word "desperately" deliberately because of the uneasy feeling that we could become an entry on the Red Data List of Endangered Species. Hence my question: exactly how endangered have we become?

A cataloguing benchmark study conducted at ten academic institutions last year by the CSIR and the Academic Information Services of the University of Pretoria, revealed that all the cataloguers at these ten institutions are very experienced and that a high percentage are close to retirement. It appears that almost 90% of the cataloguers are 50 years of age or older, and with at least 20 years of experience. It came to light that most of the cataloguers are white females and that cataloguing departments find it extremely difficult to attract young professionals, because of a waning interest in cataloguing as an occupation.

Library Schools have not helped by scaling down their cataloguing courses. The sad thing nowadays is that students perceive cataloguing as a back office activity best left to older ladies. The poor image of cataloguers and cataloguing is well documented in the overseas library literature. Dullness, drudgery and difficulty are cited as the primary culprits. Cataloguing positions are seen as dead-ends that offer no rewards, recognition or opportunities for advancement (Joudrey 2002:63).

What about the views and actions of South African library directors on cataloguing and cataloguers? According to the same study, it appeared that the management of these various institutions was aware of this trend but nothing was being done to retain the knowledge of cataloguers or to replace them upon retirement. No "in training" staff members were appointed in any of the cataloguing departments surveyed and the most recent appointment was three years ago.

In all fairness, the following factors need to be taken into account. Inflated prices for scholarly materials combined with decreased funds for acquisitions, make it impossible for libraries to meet the number of books and journals ideally required (Meyer 1997:198). Our colleagues who qualified for additional information resources through the EU Donations, are no doubt very thankful for this windfall.

Libraries in South Africa are at a crossroads. The financial needs of libraries must be marketed to donors more actively to raise funds to meet rising costs and to ensure the continued relevance and development of these important institutions.

Within our turbulent environment, we find that the triumph of access over ownership, the new trend towards business orientated solutions and sophisticated computing technology, have forced radical changes in the ways that librarians and their suppliers interrelate (El-Sherbini 1997:24).

Vendors nowadays offer a buffet of outsourcing services, which range from collection development and acquisitions, to providing catalogued and shelf ready materials, all of which encroach upon the traditional preserve of the library and at a commercially profitable price.

In the light of these developments, management is adjusting its views with regard to Technical Services. The products offered by vendors can potentially streamline and speed-up library processes and this opportunity to save costs is very attractive to library managers, however, what counts as a business gain can sometimes be a loss for the library user. On the other hand, the explosion in the quantity and variety of information resources, in conjunction with the administrative demand to control costs, places tremendous pressure upon cataloguers.

Involvement with OCLC, through Sabinet Online, has facilitated access to shared cataloguing and has streamlined many operations, increased efficiency and reduced duplication of effort. One essential truth, however, that library administrators should bear in mind is that OCLC's success is built upon contributions produced by cataloguers who adhere to prescribed international cataloguing standards. Michael Gorman (2002:2) stressed that these records do not grow on trees and that library administrators should realize that they cannot safely dispense with original cataloguers.

Although cataloguing is a costly and labour intensive activity, administrators should remember that purchased information resources become an asset only once the information is organized in such a way that it is retrievable by information seekers (Holley 2002:45). Purchased materials, stacked away in one or other backroom because of some administrative problem can only be regarded as wasteful expenses. The cost of cataloguing is justified by the quality of the catalogue, as it is the tool that offers access to information.

In the United States, libraries have scaled down the appointment of qualified cataloguers, because they require only 2-8% of original cataloguing to be done for OCLC (Intner:2003). Cataloguers for some academic libraries in South Africa, indicate that original cataloguing is needed for 25-30% of library materials, such as books published in South Africa, resources in all the official languages, local research materials and government publications. The fact that some academic libraries in South Africa hardly do any original cataloguing, or only do so on their local system, and sometimes not at all, is cause for concern because the practice of copy cataloguing means that cataloguers are not always actively honing their cataloguing skills.

Our peers in the United States created fast cataloguing units to do straightforward copy cataloguing at the point of material receipt. Items with member copy, that is, any contributing

library other than LC that was responsible for the creation of a bibliographic record, are separated from items with LC copy, because for most of their collections they follow the LC Classification Scheme. According to policy, they are accepting records created by LC exactly as they are. Library Assistants, that is paraprofessionals with a high school qualification and a minimum of two years of relevant work experience or two years of college, are the staff who do this fast cataloguing.

Library Assistants are graded from entry level grade I to grade IV and, thereafter, they can be promoted to Associate Librarian. In the libraries that I have visited, the Library Associates dealt with the member copies, especially in cases where Dewey numbers need to be added for selected collections. Copy cataloguing is essentially quality control. Before a record can be added to a database, it must be reviewed for accuracy and completeness, and be corrected if necessary. They have stated that to update these records can be very time consuming. Students are employed to deal with the final preparation of library materials.

Most libraries in South Africa use the Dewey Decimal Classification Scheme and therefore most of the bibliographic records found on OCLC need to be updated with the relevant Dewey number. Real fast cataloguing can only be done by institutions that use the LC Classification Scheme. Upgrading of records should only be done if errors occur in the access points. Currently, as far as I could ascertain, the same staff members, in most cases professional staff, do fast, copy and original cataloguing.

Although our current situation in South Africa seems to favour the continued existence of the traditional cataloguer, we need to be aware of the trends as manifested overseas, namely the separation of tasks pertaining to original, copy and fast cataloguing, and the territorial shift in cataloguing activities at vendor level. These trends may spread to our country and result in fewer jobs for traditional cataloguers.

Another area of concern, revealed by the benchmark study is that of low productivity. Cataloguers must take heed not to measure their productivity levels merely according to the library materials that need to be processed, for there are many challenging tasks to get involved with, such as authority control and, for INNOPAC users, the headings reports produced by the system and of course database maintenance.

What is happening to cataloguing in Library Schools? I think you will agree that teaching cataloguing becomes more difficult by the day because of the changes brought about by technology and the variety of bibliographic formats, for example, all the electronic resources. It is necessary to rethink the entire context of the cataloguing curriculum to accommodate these new areas of study while retaining the wisdom of fundamental theory and critical thinking processes of bibliographic control (Vellucci 1997:36).

Two issues that keep recurring are:

Theory versus practice, in other words, formal education versus on the job training; and The integration of technology, such as the use of MARC within a networked environment; and the integration of the MARC record with various other record structures such as XML and HTML, and more (Intner: 2003).

A survey done in the United States in 2002 which analysed 48 LIS programmes, indicated that 199 courses in cataloguing education are still being offered (Joudrey. 2002:91). The South African benchmark study to which I referred earlier could possibly be extended to survey LIS schools in South Africa to determine the current situation in our country. It seems, upon informal observation, that the trend is that of a broader general approach towards the organization of information.

Taking all these issues into consideration, it is imperative that we leave our comfort zone and reach out to young aspiring cataloguers by getting involved with Library Schools, in order to introduce students to the practical aspects of professional activities and to implement internship positions. We can successfully impress upon these youngsters the importance of bibliographic control and the far reaching implications that our work has, not only in terms of sharing at the national and international levels, but also in terms of the revolutionary linking capabilities that bibliographic records have nowadays between the bibliographic record and the full text electronic document.

It is important to demonstrate that cataloguers develop special abilities to understand the structure of a bibliographic record in the online catalogue and therefore they have the ability to provide an excellent reference tool and service. They are aware of the strengths and weaknesses of subject headings and classification numbers as subject retrieval tools, they are familiar with the required access points and all the other tricks for finding information through multiple searches that build upon the structure of a record (Holley 2002:45).

There is a very insightful article by Michael Rogers (2003) on how funded commitment to fostering internships, is enticing new librarians unto the field. Another way of promoting the profession is illustrated by the Syracuse University's School of Information Studies, where a Web site was created that offered tip sheets for new librarians and links for career exploration and to online career fairs (Rogers 2003:40-41). Although we may currently feel comfortable with who we are and what we do, we have a responsibility to ensure the upliftment of our profession.

What does the future hold for us?

McCombs (1997:202) predicts that technology will lead to more jobs, more diversity of jobs and that an even higher level of skill will be required from cataloguers. Despite the fact that data is increasingly available in electronic form, the principles governing bibliographic control will remain much the same and so will the function of the catalogue. Although we only need to catalogue selected documents available by remote access to satisfy the needs of our target users, the Internet serves as a cautionary tale as to why controlled vocabularies are needed for the organization of electronic resources. Despite the fact that it is unlikely that the producers of Internet content will let cataloguers apply the necessary controls and authorized search terms, there is potentially, enough work to last us for a lifetime.

Financial pressures and the reprimand to work smarter will always loom over our heads, but are we ready to capitulate? Cataloguing will always remain the intellectual foundation of

librarianship (Gorman 2002:10) because without the organization of information, its retrieval is impossible, it might however, be shifted into the electronic arena.

The necessary knowledge resides in our magic potions, found in the international cataloguing standards of which we must stay abreast. Only by empowering ourselves can we leave a legacy for our successors with which they can oil the hinges of the doors, given that they may look different, that provide access to information.

Therefore, while the future looks bleak, the onus is on the cataloguing profession to protect our survival and prevent ourselves from appearing on that Red Data List.

In this, the second part of my talk, I would like to give you feedback on the training institute that was presented by the Association for Library Collections and Technical Services (ALCTS), in February 2003. The speakers were all experts within their fields and what made it special is the fact that most of them were involved with the rule changes. It was a tremendous experience to be amongst the big names and to learn from the experts themselves. The institutes take place on an annual basis and are a way to disseminate information on relevant topics in the form of lectures. This year's lectures dealt with the current status of AACR2, emerging standards and their impact on cataloguing. I am very grateful for the opportunity to share with you the knowledge and insight that I gained.

By way of background information, I would like to refer to the International Conference on the Principles and Future Developments of AACR2 that was held in Toronto in 1997. This conference triggered the in-depth re-evaluation of the fundamentals of this standard. Realising that cataloguing rules must respond to changing needs, the Joint Steering Committee of AACR2 commissioned several working groups after the conference to take charge of identified issues.

One of these, The Format Variation Working Group, was instructed to investigate how best to describe works, expressions and the variations among their manifestations, in other words, when to create a new record. The Work Group for FRBR Terminology evolved from the Format Variations Working Group. Their brief was to examine the

terminology in parts I and II of AACR2 with a view of aligning it with the terminology in the FRBR or FiRBiR model.

FRBR stands for the Functional Requirements of Bibliographic Records. IFLA commissioned a study group to develop a conceptual model in order to provide a general view of the bibliographic universe that we know today. This model was explained in-depth by Dr. Barbara Tillett from the Library of Congress.

The aim of this study, on the one hand, was to produce a framework that would provide a commonly shared understanding of what the bibliographic record aims to provide information about and what it should achieve in order to address user needs, and, on the other hand to ensure that all records produced by national bibliographic agencies meet essential user requirements.

An Entity-Relationship Model was developed, aiming to meet the objectives of the catalogue in new ways.

The user needs for bibliographic data identified by the IFLA Study Group were in fact a rewording of the four primary functions of the catalogue that have been discussed for over a century:

Using the data to **find** materials that correspond to the user's needs

Using the data to **identify** an entity

Using the data to **select** an entity appropriate to the user's needs

Using the data in order to **obtain** access to the entity, e.g., to submit a request for interlibrary loan.

The function of the catalogue, however, goes beyond informing the user whether a given publication is held by the library, or whether a given publication could be found under the form of the author's name as used in the publication when it was issued. It is also about collocating, in other words bringing together for the user *all* of an author's work and all of a work's editions and translations. What the user obtains as a result, and not how the user started the search, is what matters. **This can only be accomplished by means of controlled vocabularies for precision searching.**

This brings me to the Entity-Relationship model that was developed. The terms of reference for this study called for the identification and clearly defined *entities* of interest to users of bibliographic records; the *attributes* of each entity and the types of *relationships* that operate between the entities.

Entities could be described as the "things" that the data in a bibliographic record describes, in other words, the key objects of interest to users of bibliographic data. They have been divided into three groups.

The first group comprises the products of intellectual or artistic endeavour that are described in bibliographic records and they are: ***works, expressions, manifestations and items.***

The second group comprises those entities responsible for the intellectual or artistic content such as *persons and corporate bodies*; and the

third group comprises an additional set of entities that serve as the subjects of intellectual or artistic endeavour that are defined as the *concept, object, event and place*.

For today's session I will only deal with group 1, the products of intellectual or artistic behaviour.

**Group 1**

**is realised through**

**is embodied in**

**is exemplified by**

A **work** is an abstract entity. It begins as a set of impressions in the mind of its creator, whether intellectual, or artistic. In other words, it can be described as a concept within someone's head. When we speak of Homer's *Iliad* as a **work**, we are therefore not referring to the text of the work, but to the intellectual creation in Homer's mind.

Once the creator has mulled over these ideas to formulate a presentation, then it becomes an **expression**, in other words, the intellectual or artistic realization, or recording of a work in any of the following forms such as text, music, sound, image and so forth, or a combination of such forms. For example, Homer thought about the *Iliad* and recorded it in terms of words, Bach thought about his creation and recorded it in the form of sound, Michelangelo thought about his creation and recorded it in the form of an image. Their works are therefore **realised through expressions**.

After a work is realized, or recorded, the resulting expression of the work may be physically embodied on, or in a medium such as paper, canvas, plaster and many more. That physical embodiment constitutes a **manifestation** of the work. According to our example, Homer's *Iliad* is manifested in print format, therefore a book; Bach's work, expressed in the form of sound, is manifested on a sound cassette; Michelangelo's work, expressed as an image, is manifested on canvas. Their expressions are therefore **embodied in manifestations**. When the production process involves changes in physical form, the resulting product will be considered a new manifestation, for example a version in print and electronic format.

The fourth entity in the group is **item** and it represents a concrete entity for example a copy of a monograph or a single sound cassette. Item is a single exemplar of a manifestation. Manifestations are therefore exemplified by item.

I would now like to illustrate the way that relationships within group 1 are mapped. Bibliographic relationships exist when bibliographic entities are associated with each other in some way.

### **Work/expression**

- w 1** Charles Dickens' *A Christmas carol*
- e 1** the author's original text
- e 2** Tamil translation by V.A. Venkatachari

Translations from one language to another, dubbed or subtitled versions of film are considered different expressions of the same original work.

When the modification of a work involves a significant degree of independent intellectual or artistic effort, it results in a new work:

- w 1** John Bunyan's *The pilgrim's progress*

**w 2** an anonymous adaptation of *The pilgrim's progress* for young readers

### **Work/expression/manifestation**

**w 1** J.S. Bach's *Goldberg variations*

**e 1** performance by Glen Gould in 1981

**m 1** recording released on sound disc in 1982 by CBS Records

**m2** recording released on CD in 1993 by Sony

**m3** digitisation of Sony release as MP3 in 2000

### **Work/expression/manifestation/item**

**w 1** Ronald Hayman's *Playback*

**e 1** the author's text edited for publication

**m1** the book published in 1973 Davis-Poynter

**i 1** copy autographed by author.

A set of characteristics or attributes was assigned to each entity. For example the attributes of a manifestation would be the title, statement of responsibility, edition, imprint, etc. The attributes of the entity serve as the means by which users formulate queries and interpret responses when seeking information.

In the context of the model, relationships serve as the vehicle for depicting the link between one entity and another. In the same way that all these intricate relationships have been identified for entities within group 1, so they have been identified for the other groups. For further reading, the full details of the FRBR report are listed in the bibliography.

By making use of this entity-relationship structure and the mapping of attributes and relationships to user tasks, the study group could recommend what basic level of functionality is required for the creation of bibliographic records by national bibliographic agencies.

Taking the terminology into consideration, you can imagine the bewildering outcry from the cataloguing community when this report was made public, because of the confusing use of terminology. Until now, I have always understood a "work" to be something physical and the "item" to be the "thing" that needs to be catalogued. In future, the terminology in AACR2 will be aligned with that of the FRBR model to provide a common language.

The progress of the work of all these work groups can be followed on the AACR2 homepage. The Web address is provided in the list of references.

I will now turn to what was said about the Dublin Core Standard. In the same way that a public card catalogue is a gateway to the holdings of a conventional library, the search of content and metadata is the gateway to a digital library. Metadata can be described as

structured data about resources (Chapman 2002:1) It arose from the desire to improve the retrievability of Web pages and other Internet documents and the Dublin Core standard emerged as the shining star. It consists of 15 denotations or element sets, each of which has, more or less, an equivalent in the MARC record.

**Dublin Core Data Elements**

<b>Content</b>	<b>Intellectual property</b>	<b>Instantiation</b> (Creation of a real instance)
Title	Creator	Date
Subject	Publisher	Type
Description	Contributor	Format
Source	Rights	Identifier
Language		
Relation		
Coverage		

[http://purl.oclc.org/metadata/dublin\\_core\\_elements](http://purl.oclc.org/metadata/dublin_core_elements)

According to Dr. Tillett, Dublin Core is a simplistic and in many ways naïve short list of categories that is expected to substitute cataloguing when put in the hands of non-cataloguers.

**Example on slide**

(Chapman 2002:3)

She furthermore made the following comparison between AACR2 and Dublin Core as metadata standards:

<b>AACR2</b>	<b>Dublin Core</b>
Deliberative rule process	Rules inherited

*DC has no rules for syntax and semantics, for example, there are no guidelines as to how to organize the title*

International standard	Own standard
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*AACR2 is an international standard. It caters for all types of materials and fosters authority control. Dublin Core elements are flexible and are emerging as a standard.*

Intended for all materials	Texts
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*Dublin Core 's focus is on digital texts. It lacks support for seriality*

Authority control	Controlled and uncontrolled
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*AACR2 fosters authority control, whereas Dublin Core caters for controlled and uncontrolled data.*

Bibliographic description and access	Basic information at point of creation
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*Hopefully software will be developed for Dublin Core to accommodate the basic creation of metadata.*

Dr. Tillett reported that Dublin Core is working well for closed communities, but it falls apart when scaling is done up to millions. The whole range of bibliographic data for documents in all formats cannot be contained in 15 elements. It is therefore not consistent. It has, however, the following benefits:

- Simplicity and ease of use.
- Provides a great deal of flexibility.
- Ensures interoperability with other schemes.

Time was devoted to take a good look at AACR2. The code has been criticized for not being able to keep up with the changes. Rule changes, however, are being done carefully and thoughtfully to cater for all forms. A rule change that must be mentioned is the revisioning of 0.24, which now states that it is important to bring out all aspects of the item being described, including its content, its carrier, its bibliographic relationships and whether it is published or unpublished. The implications of this changed rule are that we can now consult all the relevant chapters when describing a particular item. Electronic resources often include components with characteristics found in multiple classes of materials. For example, to describe a serially issued cartographic electronic resource, we can now use chapter 3 in conjunction with chapters 9 and 12.

An overview of the 2001 amendments of AACR2 revealed extensive changes especially to chapter 3, Cartographic Materials, and chapter 9, Electronic Resources.

The most important changes to chapter 3 included changes in the statement of scale and changes about coordinates. A new rule has been added to provide for digital graphic representation and, in the glossary, a definition for a chart has been provided.

Changes to chapter 9 included:

- The alignment with ISBD(ER) in 1997.
- The revision of chapter 9 that was consequently renamed *Electronic Resources*.
- The change of the GMD from *computer file* to *electronic resource*.
- The expansion and clarification of the scope of chapter 9.
- The chief source of information changed from title screen to the entire resource itself.
- There is no longer a clear order of precedence for the selection of the title. Cataloguers

are now free to use sources such as encoded metadata equally as much as a title displayed on the screen.

The inclusion of relevant examples.

Updated terms in the glossary.

Conventional terms are allowed in the physical description, for example 1 CD-ROM, 1 DVD.

A new note 9.7B22 is required for remote access resources. The date on which the resource was viewed for description should be added, for example

500| |\$aTitle from opening screen (viewed May 4, 2003)

### **MARC coding.**

#### **MARC Leader:**

##### **Type of record**

Coding should be done for primary resource content, not electronic carrier.

Code “a” for language material should be used for electronic resources with primarily textual content.

Code “m” should be used for:

Computer software

Computer-manipulable numeric data

Computer-oriented multi-media

Online system or services

#### **MARC control fields**

##### **006**

This should only be added when “Type of record” in Leader is other than “m”.

The appropriate value for “Type of computer file” should be added.

##### **007**

The physical description field for computer files is mandatory.

##### **008**

The value for the “Form of item” when the coding in leader is “a” for language material, should be added.

An overview of the 2002 amendments to AACR2 revealed amongst the minor changes and the terms added to the glossary, an entirely new chapter 12 now known as *Continuing Resources*. The scope of the chapter changed from a focus on serials to a focus on continuing resources.

The following graphical representation of the categorisation of bibliographic resources in AACR2, will offer a better understanding of the scope of chapter 12.

### **Bibliographic resources in AACR2**

## Finite resources

## Continuing Resources

### Monographs Finite Integrating Resources | Serials Continuing Integrating Resources

On the one hand we have *finite resources* and on the other *continuing resources*. Finite resources can be further divided into *monographs* and *finite integrating resources*, whilst continuing resources can be divided into *serials* and *continuing integrating resources*.

A continuing resource can be defined as a bibliographic resource issued over time with no predetermined conclusion.

A serial is defined as a continuing resource issued in a succession of discrete parts, usually bearing numbering, that has no predetermined conclusion. Examples of serials include journals, magazines, electronic journals, continuing directories, annual reports, newspapers and monographic series.

**An Integrating Resource** can be defined as a bibliographic resource that is added to or changed by means of updates that **do not remain discrete** and are integrated into the whole such as web sites. Integrating resources can be either finite or continuing. An example of a finite integrating resource would be the working papers from a single conference, issued over time and with a predetermined ending date. Please note that there is no difference at all in the cataloguing and coding of finite or continuing integrating resources. Both categories are covered by chapter 12. There are three major types of continuing integrating resources:

Updating Loose-Leaf – a bibliographic resource that consists of a base volume(s) updated by separate pages which are inserted, removed and/or substituted.

Updating Database – a database is a collection of logically interrelated data stored together in one or more computerized files

Updating Web Site – a Web site that is updated, but does not fit into one of the other type of Continuing Resource categories

These are, in other words, resources that are all serial-like in nature. When cataloguing integrating resources, most changes are considered minor and do not require a new record. The bibliographic record should be changed to reflect the current iteration and notes should be made to account for information on earlier iterations. Serials should be

described from the earliest issue and catalogued according to successive entry conventions, in other words, a new record will be needed if a major change occurs.

### **MARC coding**

**New codes, only to be implemented mid 2003**

Leader/06 "a" language material

Leader/07 "i" integrating resource

#### **008 for Serials**

008/18 "k" continuously updated

008/21 Type of continuing resource:

"d" updating database; "w" updating website

008/22 Form of original item "s" electronic

008/23 Form of item "s" electronic

008/34 Entry convention "2" integrated entry

**006 (Computer file)** for computer characteristics

**007 (Computer file)** physical characteristics

Future revision of AACR2 will include:

The elimination of Area 3 for chapter 9, that is the MARC tag 256

The reorganisation of Part 1 in order to facilitate the integration of rules for new forms of expression and new media. One option for consideration would be to use the ISBD(G) areas of description as the primary organizing element for the overall structure of Part I. Although the JSC had agreed to aim for the revised introduction of AACR2 to be included in the 2003 package, it was later decided that it should be deferred until the FRBR terminology is incorporated into AACR.

Strategies dealing with format variation, such as multiple manifestations.

The examination of the future role of GMD's.

Separate guidelines on major changes, such as when to create a new record.

A wide-ranging review of chapter 21 and

Changes to the rules of Malay names

The institute ended with an extensive session on the development of a metadata strategy and an illustration of how works of art in the Getty Museum are being described by the use of metadata schemas for art and architecture. Needless to say, I was on unfamiliar territory and therefore I am not able to give any meaningful feedback. However, I have references and contact numbers for those of you who are interested.

**Presented: Interest Group for Bibliographic Standards (IGBIS)**

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