

LIBRARY RESOURCES & TECHNICAL SERVICES

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One Editor About Another

Paul S. Dunkin

Bob Wedgeworth showed up one fall in my doctoral seminar in technical services. He was bright, he was enthusiastic, he was easy to like. Best of all, he asked questions and he could defend his doubts from his own experience as well as from book learning. Such a student is a teacher's chief reward. He teaches the teacher, he argues with the teacher and his fellow students, and they all get new ideas.

Bob's term paper in that course was published in *LRTS*. This was his first contribution to *LRTS*; others followed. I hated the tedious job of selecting and editing the sometimes jargon-filled and verbose ERIC/CLIS abstracts; Bob gladly agreed to take it over, and only my insistence gave him published credit for his work. I went on a long summer vacation; Bob filled in and even after I returned saw the ALA summer program papers through to publication. I hated the dirty work of checking proof and arranging details and wrangling with printers and publishers and sometimes (alas) authors. I asked Bob to be assistant to the editor and I was mighty glad when he agreed.

When I retired from my library job it seemed that *LRTS* might also need new blood—hopefully, younger blood. I was glad to recommend Bob as editor and was greatly pleased when the RTSD Board of Directors chose him to succeed me.

In Robert Wedgeworth we have new blood, younger blood; and *LRTS* will change with a changing world. I wish him well.

Things to Come

Robert Wedgeworth

With the coming of a new editor to *LRTS* the question arises as to how the journal will change. Change it must, for everything does, and as Paul Dunkin once said, "To serve as Editor of *LRTS* is not to conduct a holding operation." Perhaps the simplest answer to this question is to reaffirm the scope of *LRTS* and to submit what I consider to be the role of *LRTS* as the official journal of the Resources and Technical Services Division of the American Library Association.

Articles, book reviews, and abstracts which appear in *LRTS* are intended to represent the best in thought as well as practice in the areas of library acquisitions, cataloging and classification, reproduction of materials, and serial publications. They are selected with a view toward reporting new developments, articulating issues, and raising questions. As a quarterly, little space can be devoted to news items. Letters to the editor, however, are welcomed.

In my opinion, the role of *LRTS* is to disseminate information to the profession about the concerns of RTSD. As such, it is a program activity to be justified within the context of other RTSD programs. While it is easy to take the divisional journal for granted, ALA's tight budget and numerous journal commitments make it unwise to do so.

Therefore in your response to the questionnaire inserted in this issue the Editorial Board of *LRTS* would appreciate any comments you may have as to the importance of *LRTS* to your membership in the division.

Documentation-in-Source for Library and Information Science

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Provision of abstracts-in-source for all articles in library and information science journals is proposed, similar to the practice now accepted by journals of the engineering societies and some foreign library periodicals. Standards for the bibliographical format of abstracts should be compiled by The American National Standards Institute. Keywords for indexing-in-source of abstracts should be taken from a thesaurus of library and information sciences to be compiled.

“PEOPLE ARE BONE LAZY about reading in their own literature.” This statement, made by David Batty at the Conference on the Bibliographical Control of Library Literature (Albany, 1968) when discussing the reading habits of librarians, and reported by Karl Nyren in his review, “The Shoemakers’ Children,” is probably true.¹ It is but a small consolation that it applies not only to librarians, information scientists, documentalists, information media specialists, or whatever the members of our profession like to call themselves at different levels of sophistication, but also to technologists and scientists in all other fields. Faced with what they have been told to be an “information explosion,” most people, including those who themselves add new fuel and explosives to the general conflagration, have to be content to watch the fireworks from a safe distance: rather than read the literature itself (much of which bristles with hard-to-digest and sometimes abstruse mathematics or is written in polysyllabic gobbledygook or both), they try to keep up to date with what is going on in their field by scanning abstracts.

This practice is now so universal that it has been officially recognized in UNESCO’s recently published *Guide for the Preparation of Authors’ Abstracts for Publication*, where it is expressly stated: “In writing abstracts authors should bear in mind that these may be the only parts of the papers that are read.”² It is also well known that scientists and engineers frequently make notes of abstracts possibly relat-

ing to their present or contemplated work, and that they keep their own personalized information files.

The question then may be restated: Are librarians and documentalists, who handle hundreds of abstracting and indexing publications as part of their daily work, less interested in the abstracts of their own literature than the scientists and engineers whom they provide with a large number of such references and abstracts? Do information people have a blind spot for their own information? Are they really lazier than their customers?

The answer seems to be that the adherents of the "Principle of Least Effort" are at least as numerous among scientists and engineers as they are among librarians, but that the former are now much better provided with easy access to abstracts of their literature, demanding only a minimum of effort to keep a personal information file. This is largely due to the endeavors of some farsighted engineers who initially had but little help from professional information providers. One would really have expected librarians to have hit upon the idea of making individual abstracts available in a form that lends itself to easy handling, obviates the need for laborious copying of bibliographical data by hand, may be duplicated quickly and cheaply, and can be filed according to personal preferences under whatever heading or symbol is most convenient and useful to its owner—in short, in the form of a card. But, surprisingly enough, the large-scale distribution of short, indicative abstracts in a form other than the conventional journal or bulky volume was first put into effect when the *Engineering Index* began to make its abstracts of the literature available to individual subscribers in the form of 3" x 5" cards carrying a concise subject heading, a complete bibliographical description of the document, and an abstract of about 100-130 words. This service began in 1928 and is still flourishing, providing tens of thousands of engineers with the raw material for their personal file of references.

Documentation-In-Source in Engineering Journals

It took thirty-five years until the scientific and engineering community came to the conclusion that abstracting after publication was neither fast enough nor convenient enough, and that something had to be done to make documentation-in-source possible for the busy man who is not himself an expert in information retrieval. Now, engineers are mostly very busy people, but they are also used to solving practical problems in the most efficient way. The Engineers Joint Council (EJC) devoted itself to the problem in 1962, when it held a conference and initiated studies as the result of which most of the journals published by the engineering societies in the U.S. began to include abstracts of articles and papers published in the same issue in which they appeared, accompanied by indexing aids in the form of keywords.³ This might appear not to have been so much of an innovation, since some of



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Please, address any letters or other correspondence to the Editor and not to individual authors.

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UDC 025.4 (03) : 001.11 : 002 :: 001.4

Wersig, G.:

Eine neue Definition von „Thesaurus“ (A new Definition of “Thesaurus”)

Nachr. Dok. 20 (1969) No. 2, p. 53–62 (Orig. D)

The importance and the forms of terminology work are explained. A programme for defining “thesaurus” is set up. Further elaboration of this definition is based on a systems-theoretical examination of an “empty formula” of a definition. The concept “designation” seems to be essential in the work to follow.

UDC 002 : 658.8.012.1

Uebel, F.:

Marktwirtschaftliche Untersuchungen im Dokumentationswesen (Methods of Market Analysis applied to Documentation)

Nachr. Dok. 20 (1969) No. 2, p. 64–66 (Orig. D)

The informational model of advertising can be usefully applied to the general problem of information dissemination. Elaboration of demand profiles by means of methods of market analysis could result in an optimum correspondence between information demand and offer.

Figure 1. Combined contents page and abstracts strip from *Nachrichten für Dokumentation* (English version).

the journals had been printing abstracts at the head of papers for several years. But the decisive step was to publish them in a form that enabled the reader to clip or tear out the abstract immediately after reading or scanning the article. Even if you are a very tidy and information-conscious person, you might not have your index cards handy when or where you read an article, or you might be terribly busy and have to defer making a note about that interesting paper—and then, of course, you never get around to making it at all, because you forget it, new papers attract your attention, or another journal appears on your desk, and so it goes. . . . The engineering societies' publications introduced the "instant abstract," printed as a separate page that can be torn out or cut up without damage to the journal, or easily detachable 3" x 5" slips. At least one of the societies, the American Society of Civil Engineers, reprints its abstract cards in a special bimonthly publication on card stock after they appeared as part of their journals (where they are printed on regular paper). Another society, the Water Pollution Control Federation, publishes the abstracts of articles in their monthly *Journal* simultaneously in English, French, German, and Spanish.

Each abstract card or slip is accompanied by a number of keywords (taken from the EJC's thesaurus (*TEST*) which provides the engineering community with a common indexing language), and the reader may use these when setting up his own reference file by simply underlining the keyword most appropriate to his needs.⁴ When an abstract has to be filed under more than one keyword, modern photocopying methods make it easy to duplicate the card or slip and to file it under all desired keywords; or it may be handled by one of the post-coordinate indexing methods for personal use (such as Peek-a-boo or edge-punched cards) that can take care of a practically unlimited number of keywords without cluttering up the files with too many reference cards.

In a recent survey of eighteen major engineering journals that carry their own abstracts in detachable form—there are many more—it was found that such services were used by almost 70 percent of all individual subscribers and by more than 60 percent of institutional subscribers.⁵ About 41 percent of individual subscribers and 44 percent of institutional subscribers also use the index words supplied on abstract cards.

Similar developments took place in other parts of the world, especially in England, Germany, France, and in some East European countries, where scientific and engineering publications appear not only with abstracts-in-source, but also in many cases with translations of these abstracts into one or more languages and with preclassification [in most instances by the Universal Decimal Classification (UDC) which is, of course, very well suited to scientific and technical topics].

Although we are still very far from a state of affairs where every article in the world's main professional journals is accompanied by an

abstract card and by indexing keywords and/or classification marks, the engineering community is rapidly moving toward such a goal, despite the fact that there is still some lack of standardization in the arrangement of data on abstract cards (we shall return to this topic later on).

Abstracts in Library Journals

Librarians—at least those who handle engineering publications and use abstracting services—must have been aware of this movement, and one would have thought that the ideas promoted by engineers and so successfully put into practice in scientific and technical information retrieval would have been applied also to the literature of information retrieval itself. But, none of the established English-language journals in the field of librarianship and information science began to print abstracts of their own articles before 1965, except for one pioneer journal, *American Documentation*, which began to print abstracts of its own articles in 1960. It is significant that this journal was launched primarily by people coming from fields other than traditional librarianship—engineers and scientists who became interested in the problems of information, its gathering, analysis, storage and dissemination.

This, then, is only another aspect of the well-known “Shoemakers’ children” syndrome with which the community of information providers is afflicted. While we urge scientists, engineers, doctors, and lawyers to use abstracts in order to keep up to date, and while some of us even teach them how to write good abstracts and how to apply indexing aids such as thesauri, we ourselves do not have good or even passable abstracts of our own literature right where we need them and in a form that demands a minimum of effort in use and application.

The list of periodicals in Table 1 is probably not complete and there may be a few other library and information science periodicals carrying their own abstracts.* The list is too short for statistically valid conclusions to be drawn, but it seems that the following trends can be discerned.

1. The periodicals being information-retrieval-minded right from the beginning, starting to print source abstracts in volume 1, no. 1 (with one notable exception, the recently founded *Journal of Librarianship*), are aimed at a highly sophisticated audience of specialists, many of whom are scientists working in other disciplines as well. Again, those whose training is in the fields of mathematics and the physical and biomedical sciences were the

* The term “abstract” is used here in the broadest possible sense. In fact, anything printed between the title and the first sentence of an article and conveying in condensed form the gist of the matter in that article, has been counted as an abstract. If only those abstracts that conform to internationally accepted standards of abstract writing had been taken into consideration, the list would have been considerably shorter.²

TABLE 1
SOME ENGLISH-LANGUAGE PERIODICALS IN LIBRARY AND INFORMATION SCIENCE
PRINTING ABSTRACTS OF THEIR OWN ARTICLES

Title	Since when	Remarks
American Documentation*	v.11, 1960	
Bulletin of the Medical Library Association College & Research Libraries	v.53, 1965 v.26, 1965	
Information Scientist	v.1, 1967	
Information Storage and Retrieval	v.1, 1963	
Journal of Chemical Documentation	v.6, 1966	
Journal of Documentation	v.22, 1966	
Journal of Librarianship	v.1, 1969	
Journal of Library Automation	v.1, 1968	
Library Association Record	v.70, 1968	
Library Resources & Technical Services	v.12, 1968	
Methods of Information in Medicine	v.1, 1962	UDC classification
Special Libraries	v.57, 1966	
UNESCO Bulletin for Libraries	v.24, 1970	UDC classification

* Now *Journal of the American Society for Information Science*.

first to recognize the importance of adequate abstracting and information retrieval at the source. *American Documentation*, while starting to print abstracts late in life, was still earlier than any of the other periodicals in the list.

2. Among the more traditional library periodicals, those catering to a specialized or research-oriented community were next in line to become aware of the need for abstracting-in-source, the *annus mirabilis* being 1965/66, when *Bulletin of the Medical Library Association*, *Journal of Chemical Documentation*, *Journal of Documentation*, and *Special Libraries* introduced abstracts.
3. The last ones to follow suit were the general library periodicals, with the most popular one, *UNESCO Bulletin for Libraries*, taking the step only in 1970.

Only two of the periodicals in the list assign a classification mark. (Note that both are international journals and that they use the UDC, despite the well-known fact that UDC is weak just in the field of librarianship and documentation.*) None of them print the abstracts in a form that can be utilized by readers for their own documentation files, nor do any of the periodicals provide keywords for indexing.

The list is, of course, remarkable for what it does not contain, i.e., the dozens of important library and information science periodicals which do not publish any kind of abstract with articles appearing in these vehicles of communication intended for the use of people who are hopefully, presumably, or allegedly information-minded. Not a few of those abstract-less, keywordless and therefore hard-to-retrieve outpour-

* Work is at present in hand to construct a completely new classification schedule for documentation and librarianship in UDC, by redeveloping classes 03 and 04, to be published in 1971.

ings bemoan just the fact that it becomes increasingly difficult to keep track of the current literature, that abstracting journals in our own field duplicate and triplicate work that should be done only once, and that the documentation of documentation is in a generally deplorable state. . . .

The picture is a little less gloomy when we turn to European and international library and information science journals. The pioneer in the field of documentation-in-source was the *Revue Internationale de la Documentation* which carried bilingual abstracts of its own articles on the contents page of each issue, printed on translucent paper in a form that made it easy to cut out and mount individual abstracts on 3" x 5" cards. The translucent paper was chosen to facilitate duplicating by the diazo process, then the most economic and popular reproduction process (xerography had not yet become commercially available). The practice started in 1957 and ceased only with the untimely demise of the journal in 1965.

The German organ of documentalists, *Nachrichten für Dokumentation*, prints its contents page in a form ready to be cut up into individual slips; it even prints this contents page in duplicate, one page in German, the other carrying abstracts in English (see Figure 1). A similar practice is followed by the East German journals *Zentralblatt für Bibliothekswesen* and *Der Bibliothekar*, except that their contents strip is in German on the recto and in Russian on the verso. Both East and West German journals also provide a UDC number with every abstract.

Some Hungarian, Polish, and Romanian library publications—*Tudományos és Műszaki Tájékoztató*, *Aktualne Problemy Informacji i Dokumentacji*, *Studii si Cercetări de Documentare*, to name only a few—also carry abstracts in up to four languages—the national language; Russian; and either English, German, or French.

All this shows that librarians as a professional group are probably not much lazier than their colleagues in other disciplines when it comes to reading their own literature, but that they (or rather the editors of their English-language journals) have been terribly slow to catch up with modern methods of personal information storage and retrieval. This is the more astonishing since at least some of them, as shown in Table 1, have now embraced the idea of printing abstracts for their own articles, and it would cost almost nothing to present these in a physical form that lends itself readily to personal documentation.

Abstracts-In-Source

Every journal has a contents page. Every abstract has to be printed somewhere in the journal. The only thing to do in order to make instant individual documentation possible is to bring the two together in one place and to arrange them typographically in a way that allows individual entries to be cut out and mounted on cards, or even better, to print them as 3" x 5" frames that can readily serve as documentation

slips in a personal file. A page of this journal could accommodate three such frames. The latter solution would of course need more space and paper; but this could probably be compensated for by more advertising space available on the back of the pages carrying the abstract frames (as done in some of the engineering journals).

The proposed practice should be considered seriously for speedy adoption by all editors of library and information science periodicals, despite the well-known conservatism of our profession that probably makes it difficult to change the familiar layout of a title page. The "innovation" of printing ready-made abstract slips or card-size frames would certainly boost the popularity of journals adopting this feature, and it would also be an incentive to "lazy" readers to keep their own card files. The "Shoemaker's children" could at least walk in home-made sandals.

A much more ambitious proposal put forward by Atherton and Greer (also citing as motto the proverbial shoemaker!) to microfilm author abstracts of papers, reports, etc., reviewed in the *Annual Review of Information Science and Technology* as well as abstracts from *Information Science Abstracts* and to distribute them to subscribers has not been taken up so far; and, it is doubtful whether the necessary funds to launch such a venture will be found in the near future.⁶ The abstracts-in-source proposal, on the other hand, would not be dependent on any outside funding and could be put into action right now, given only the goodwill and cooperation of authors and editors. If the Atherton-Greer proposal is transformed into reality at some future date—and one would wish that it could be done, the sooner the better—the resulting microfiche or aperture cards could easily be integrated into personal files built up from abstract-in-source cards.

Bibliographical Format of Abstracts

There are still two problems to be solved before large-scale documentation-in-source could become truly effective. One is the problem of bibliographical format, i.e., agreement on a standardized format for abstract cards printed in periodicals. This problem has not yet been tackled by the engineering societies and is a distinct disadvantage of the system for any scientist or engineer who builds up his own documentation file from more than one source—not to mention librarians in industrial and scientific libraries who use these ready-made abstracts in their card files. The confusion is great. Some abstracts resemble closely what librarians have always done when cataloging books or single papers: They are in the order, title-author-bibliographical data-abstract-keywords. Others put the keywords on top, followed by the abstract, and relegate the bibliographical reference to the bottom of the card. Still another variation on the theme is to put the title on top of the card, with keywords, abstracts, and bibliographical references following. The latter practice makes it rather awkward to read bibliographical data in a closely packed file, not to speak of the fact that

6520 AIRCRAFT NOISE: FACTOR IN LAND USE PLANNING

KEY WORDS: aircraft noise; airports; environmental engineering; land use; regional planning; urban development; urban planning; zoning

2114

ABSTRACT: Aircraft noise, a concomitant of expanded operations at major airports, has overspread large portions of metropolitan areas. Influence of aircraft noise may amount to environmental blight because of interference with sleep, recreation, education, and other activities in neighborhoods once thought to be beyond the zone of airport influence. Relief from severe noise exposure is obtainable through both remedial and preventive land use planning followed by appropriate community action. Remedial planning involves programming redevelopment of occupied land to eliminate noise-sensitive uses in exposure zones. Preventive planning applies available methods for predicting the extent of future high-noise zones and prescribes appropriate development restrictions. A combination of preventive and remedial planning is needed to deal with noise-exposure problems in the environs of many major airports; both approaches need improved public understanding and support to relieve worsening conditions.

REFERENCE: McGrath, Dorn, C., "Aircraft Noise: Fugitive Factor in Land Use Planning," Journal of the Urban Planning and Development Division, ASCE, Vol. 95, No. UP1, Proc. Paper 6520, April, 1969, pp. 2114-2119.

Figure 2. Abstract-in-source from *Proc. American Society of Civil Engineers*. (Note that the punching of a hole for the rod obliterates the page reference.)

when one punches a hole in the card (as librarians do to secure it in a card drawer) part of the reference, having been punched out, may be made illegible (see Figure 2).

It seems that here is a field to which the American National Standards Institute Committee Z-39 should devote its efforts as soon as possible. Librarians could thus make a contribution to documentation-in-source at least as far as the standardization of its bibliographical format is concerned. Such a standard should ideally be identical to or compatible with the Committee on Scientific and Technical Information (COSATI) standard for reports.⁷ This is not only a matter of convenience (or rather inconvenience) to users of abstract cards who have to learn to look for the reference in different places depending on which journal the cards came from. It is a matter of national and international importance, because before long these in-source abstracts will routinely be recorded on machine-readable input media similar to what is now being done with books in the MARC project and form source material for the compilation of specialized or interdisciplinary abstract services. Chemical Abstracts Services, the American Institute of Physics and *Engineering Index* already do that with their own abstracts, and thus standardization and compatibility of formats and arrangement of bibliographical data in abstracts are of great importance and will become more so in the near future.

Lack of agreement on bibliographical format should, however, not deter any library journal editor from publishing abstracts-in-source. Fortunately, librarians have a traditional format for bibliographical citation, and there is nothing to prevent us from printing our own

abstracts in this accepted form, until committee Z-39 comes up with an applicable standard.⁸ The main thing is to achieve uniformity right from the beginning and not to let the innate individualism of librarians ("Anything you can catalog, I can catalog better") spoil the common efforts of various library journals.

The following rules are proposed as an interim standard.

Size: 3 x 5 inches (7.5 cm x 12.5 cm) for frames.

Text lines not exceeding 4 inches (10 cm) for strips.

Sequence of bibliographical and indexing data:

Author(s)

Title

Source (title, volume, issue number, date, pages [inclusive])

Abstract

Keywords

Thesaurus of Library and Information Science

A more serious problem is the provision of keywords. Unfortunately, no equivalent to the EJC thesaurus (*TEST*) exists for the field of library and information science. The most exhaustive survey of terms, thesauri, subject heading lists, and classification schemes pertaining to our own field came to the sad conclusion "that there is no existing formal structure for the discipline of information science as determined by an examination of lexical aids. . . . Many of the terms in lexical resources addressing this discipline have originated in other disciplines. These terms are assimilated into the language of information science with little change in meaning. . . . Each resource examined reflects the viewpoint of the author. This is true even of classification schemes and structured authority files which attempt to represent the topical universe of the discipline of information science."⁹

This being so, we might well ask ourselves whether Library Science or the more recent Information Science can really be considered as true sciences because, as Léon Brillouin puts it: "Science begins when the meaning of the words is strictly delimited. Words may be selected from the existing vocabulary or new words may be coined, but they are all given a new definition, which prevents misunderstandings and ambiguities within the chapter of science where they are used."¹⁰ We seem to be very far yet from reaching that goal, judging from the different and often contradictory definitions of "information science" that appeared during the last few years.^{11, 12, 13, 14, 15, 16, 17}

Maybe we could again learn from the engineers' experience. They faced similar difficulties—but on a vastly larger scale because of the broad range of their field—when abstracting-in-source began in the late fifties. This was the period when most "documentalists" still thought that totally unstructured "free terms" or "natural language" were all that was needed for an effective retrieval system. If they had looked into some of the findings of modern classification and indexing theo-

ry, they might have avoided many of the mistakes and pitfalls that beset the first attempts to reinvent the wheel of alphabetical subject indexing in the more sophisticated form of a "thesaurus." The first re-invented wheels were neither very round nor well-oiled. But, lessons have been learned. Now, merely ten years after the first abortive attempts at creating a unified and well-structured list of standard keywords, the engineers' wheels in the form of the *TEST* thesaurus are freely spinning, while our own carriage is still largely running on steel-rimmed contraptions whose latest technical improvements date from 1904 (when Cutter's *Rules* were published in their latest and still valid version). The story of the engineers' success is basically simple: They gathered vocabularies and lists of terms and names from hundreds of scientists and engineers in all fields and distilled them into the present compilation of keywords, nonpermitted terms, and related terms, complete with definitions. True, not all users agree on the validity or definition of this or that term, and the thesaurus like any such list should be updated and revised from time to time. But, by and large, there is now a common indexing language for the whole community of creators and users of scientific and technical information.

It must be possible to do a similar thing for our own subject field of library and information science. It must be done by an authoritative body, because obviously no personal or individual efforts could ever achieve even a minimal measure of acceptance. The only published attempt at a thesaurus for information science is living proof of this.¹⁸ It is admittedly based on a personal collection that is heavily slanted toward certain aspects only—those that interest the compiler of the thesaurus. It also contains many terms of rather restricted value for a larger community of users, while some general terms are conspicuously absent.

The task of compiling an authoritative thesaurus must be undertaken by an independent body that is acknowledged by the profession in general, such as the Council on Library Resources, possibly in close cooperation with the newly established Educational Resources Information Center (ERIC) Clearinghouse for Library and Information Science (operated by The American Society for Information Science in Washington) which will become a focal point for most of what is being written in our field and will be in urgent need of a specialized thesaurus for this body of literature, since the current ERIC thesaurus is not adequate to cover it in detail.¹⁹

If and when such a thesaurus comes into being, it would serve as the sole source from which authors of articles would be asked to choose the terms that best characterize their work. Editors would also use it to supplement the abstract of the article with further terms if necessary. It need not be emphasized what this would mean for the standardization of our own documentation, the prevention of duplication in abstracting services like *Library and Information Science Abstracts* and *Information Science Abstracts*, and the ease of access to

Wellisch, Hans

Documentation-in-source for library and information science. *Library Resources & Technical Services*, v.15 no.4, Fall 1971:439-51.

Provision of abstracts-in-source for all articles in library and information science journals is proposed, similar to the practice now accepted by journals of the engineering societies and some foreign library periodicals. Standards for the bibliographical format of abstracts should be compiled by the American National Standards Institute. Keywords for indexing-in-source of abstracts should be taken from a Thesaurus of library and information sciences to be compiled.

KEYWORDS: Abstracts, Articles, Bibliographical format, Indexing, Information science, Keywords, Library science, Periodicals, Standards, Thesauri.

Figure 3. Abstract frame

relevant material in bibliographies based on the original abstracts and keywords.

Again, the present lack of such an agreed-upon thesaurus need not stand in the way of speedy acceptance of the proposals put forward here. Authors should be encouraged by editors of library journals to provide not only an abstract but also to suggest suitable keywords for indexing-in-source, taken from whatever source is available to them. These would probably have to be edited to conform to journal policy or further keywords might have to be added by the editor to bring out aspects that were not indexed—a frequent mistake made by authors who write their own abstracts. The keywords accompanying abstracts in the leading journals of our profession might in time become a valuable basis for the construction of the envisaged thesaurus of library and information science.

I hope that it will not take too long before the "abstract frame" shown in Figure 3 will appear in this journal which devotes itself to problems of bibliographical format and control, as an item in its regular feature of contents page-cum-abstracts, ready to be clipped and incorporated in your own personal information file.

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Problems of the National Library of Medicine Classification for Serials

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A brief history of the development of serial classification patterns from the National Library of Medicine scheme is followed by the enumeration of some of the difficulties encountered by medical libraries attempting to use the scheme. Solutions to the problems utilized by five large medical libraries are described in detail. Adaptations to the NLM classification scheme for serials are suggested as well as recommendations for improved numbering procedures. A final call is made for the National Library of Medicine to revise its classification schedules for serials in order to meet the needs of other libraries and avoid duplication of cataloging effort.

The Classification Scheme

AMONG THE MANY CLASSIFICATION SCHEMES in use at present, the National Library of Medicine (NLM) classification scheme seems to be the most comprehensive and practical one for application to medical literature. The first edition of the NLM classification scheme in 1951 provided fewer classes than the preliminary edition. Some needless subdivisions were eliminated and new tables were used to supersede the floating tables. However, the most important major change in this first edition is the classification of serial publications. They are classified by form; subdivisions number 2 and 3 under each main class are omitted except in class W. Serials are divided into five categories.¹

1. Serial publications of medical importance.
2. Nonmedical serials which are classified according to the LC classification.
3. Serial publications of medical congresses.
4. Serial publications of hospitals regardless of private or public sponsorship.
5. Medical serial publications of governments.

When the second edition appeared in 1956, classes WC 3, WE 3, WG 3, WH 3, WQ 3, and WR 3 were omitted and put together in

category 3 (W 3) of the scheme.² No guidance was given for determining the form of name for congresses or the cutting pattern to be used in category 1 (Serials W 1) or category 3 (Congresses W 3). The procedures followed by the National Library have not been made available.

In response to the heavy demand by medical librarians for a detailed explanation of NLM's serial numbering policy, Hasting stated in 1959 that the "collection contains a heavy duplication both of titles in many languages and of title entry words." Therefore, a call number is used to identify titles and also to keep them in alphabetical order.

The basic plan for the numbering is as follows.

1. The first two letters of the entry (not an article) are used; e.g., ME for Medicine.

2. The numbers 101-999 are used under each two-letter combination, except when the Library has more than 500 entries under the same two-letter combination, two to five numbers (11-99999) may be used depending upon the number of entries involved.

The numbers are used in the same manner as cutter numbers, being expanded and filed as decimal numbers.³

In the third edition (1964) a new device has been introduced.⁴ Instead of using two letters mnemonically plus two to five Arabic numerals, the NLM uses the two letters plus two or three Arabic numerals followed by capital letters used just as the additional Arabic numerals had been used. In this way the numbers can be expanded by multiples of 26 instead of by multiples of 9.

Problems of Small Medical Libraries

At present, publications in the field of medicine and related sciences are innumerable. The organization of this type of material causes many problems, especially the classification of monographic series, conferences, and symposia. Examples of serials and congresses classified according to the NLM scheme are as follows.

1. W 1 Advances in pharmacology and chemotherapy
AD78K v.7- 1969-
(Current Catalog, v.5 no.4, Apr. 1970)
2. W 1 Smith, David W.
MA492N Recognizable patterns of human malformation; genetic,
v.7, 1970 embryologic, and clinical aspects. (Major problems in
 clinical pediatrics. v.7, 1970)
(Current Catalog, Jan.-Mar. 1970)
3. W 1 Progress in gastroenterology
PR668W v.1- 1968-
(Current Catalog, Annual cumulation 1968)
4. W 3 International Conference on Gastric Cancer, Nagoya, Japan,
GA163 1966

- v. 3, 1966 Epidemiological, experimental, and clinical studies on gastric cancer; proceedings.
(Current Catalog, Jan.-Sept. 1969)
5. W 3 International Symposium on Rubella Vaccines, London, 1968
SY734K Proceedings. (Symposia series in immunobiological standardization, v.11)
v.11, 1968 (Current Catalog, Jan.-Sept. 1969)
6. W 3 International Congress of Internal Medicine, 10th, Warsaw,
IN428 1968
1968a (Current Catalog, Jan.-Sept. 1969)

The above call numbers show serials and medical congresses of different subjects which fall into categories 1 and 3 or classes W 1 and W 3. They are classified by form of publication and separated from their subject specialties in other individual classes of the scheme; e.g., textbooks about hematology are classed in WH, *Progress in Hematology* in W 1, and *Proceedings* of the International Congress of Hematology in W 3. It is time consuming for both library staff and users to get the book out of the shelves, with or without the call number from the card catalog.

Since detailed explanation of the numbering arrangement of serial publications has not been available for public use, other librarians cannot follow the NLM's serial numbering policy. The use of Arabic numerals with capital letters and the small letter used after date of publication cannot be interpreted. On the other hand, librarians have problems with the assignment of numbers and letters for serials which do not appear in the NLM *Current Catalog*.

In order to find solutions to these problems, an investigation of the situation was undertaken in some medical libraries in New York City. The five medical libraries which were visited were: (1) New York Academy of Medicine, (2) Cornell University Medical Center, (3) Albert Einstein School of Medicine, (4) Rockefeller University, (5) State University of New York, Downstate Medical Center.

Statement of the Findings

1. All five medical libraries use the NLM and the LC classification schemes for medical and nonmedical publications, respectively.

2. All libraries classify monographic series by subject, except Albert Einstein Library which uses the word SERIAL rather than a classification number.

3. None of them follow the NLM in classifying medical congresses:
- New York Academy of Medicine classifies congresses by form and subdivides by subject.
 - Cornell Medical Center classifies them by subject.
 - Albert Einstein used the word SERIAL followed by the first

COMPARISON OF CALL NUMBERS FOR MEDICAL CONGRESSES OF NLM AND FIVE OTHER MEDICAL LIBRARIES

Title (as indicated by main entry)	NLM	New York Academy of Medicine	Cornell Medical Center	Albert Einstein School of Medicine	Rockefeller University	Downstate Medical Center
1. International Conference on Medical Electronics, 3rd, London, 1960, Proceedings	W 3 IN1826 1960	2. N. Medical electronics 3, 1960	QH 324 IN846M 1960	SERIAL I	QT 34 I615 1960	WB 495 I61M
2. International Congress for Microbiology, 8th, Montreal, 1962	W 3 IN244 1962	2. N. Microbiology 8, 1962	QW 1 IN846R 1963	SERIAL I	QW 3 I615 1962	QW 3 I61M 1962
3. International Congress of Biochemistry, 5th, Moscow, 1961, Proceedings	W 3 IN339 1961	2. N. Biochemistry 5, 1961	QU 1 IN847p 1963	SERIAL I	QU 3 I615 1961	QU 3 I61B 1961
4. International Congress of Genetics, 11th, The Hague, 1963	W 3 IN383 1963	2. N. Genetics 11, 1963	QH 431 IN846G 1963	SERIAL I	QH 431 I613 1963	QH 431 I61G 1963
5. International Congress of Hematology, 6th, Boston, 1956, Proceedings	W 3 IN387 1956	2. N. Haematology, Society 6, 1956	WH 1 IN846p 1962	SERIAL I	WH 3 I614 1956	WH 3 I61H 1961
6. International Congress of Histochemistry and Cytochemistry, 1st, Paris, 1960, Proceedings	W 3 IN388E 1960h	2. N. Histochemistry & Cytochemistry 1, 1960	QS 525 IN846H 1963	SERIAL I	QH 611 I64 1960	QH 611 I61H 1960
7. International Congress of Neuropathology, 4th, Munich, 1961, Proceedings	W 3 IN452 1961	2. N. Neuropathology 4, 1961	WL 1 IN846p 1962	SERIAL I	WL 3 I615 1961	WL 3 I61N 1961
8. International Congress on Hormonal Steroids, 1st, Milan, 1962, Proceedings	W 3 IN598M 1962h	2. N. Steroids, Hormonal 1, 1962	WK 150 IN846H 1964	SERIAL I	WK 150 I61 1962	WK 150 I61 1962
9. International Neurochemical Symposium, 5th, St. Wolfgang, Austria, 1962	W 3 IN767 1962c	2. N. Neurochemistry 5, 1962	WL 102 IN846c 1964	SERIAL I	WL 3 I62 1962	WL 102 I61 1962

letter of the main entry, e.g., Neurochemistry Symposium, Rome, 1961, is classified "SERIAL N."

—Both Rockefeller University and Downstate Medical Center classify congresses by subject. They use the number "3" under each subject class for congresses throughout the classification.

The *Current Catalog* annual cumulation for 1968 stated that Countway Library at Harvard University has also modified its use of the NLM classification by using form number 3 in any schedule where applicable.

It was found that the method which is used in Rockefeller University, Downstate Medical Center, and Countway Library is based on the instruction which appeared in the preliminary edition (1948) of the NLM classification:⁵

Mnemonic features. Uniformity in order and in notation is provided for general types of material in each schedule by the assignment of the numbers 1–32 to the same divisions throughout the classification, as indicated in Table A. These numbers may be used as is or terminally. Thus 3 stands for congresses in the uniform assignment of numbers; a surgical congress is, therefore, classified WO 3, a dental congress WU 3, a congress on orthopedics WE 3, and a congress on obstetrics WP 1203. Since 32 stands for laws relating to a subject, WY 32 is for laws relating to nursing, QS 132 is for laws relating to dissection, and WA 32 is for laws relating to public health.

Adaptation to the NLM Classification for Serials

In order to facilitate use of all material in a small, open-shelf library, serials (periodicals, proceedings, and transactions of societies, annuals, or other continuations) except congresses, conferences, and symposia, should be assigned number 1 under each class throughout the NLM classification scheme as indicated in Table A of the preliminary edition; e.g., *Advances in Pediatrics* WS 1; *Annual Review of Microbiology* QW 1, *Yearbook of Medicine* WB 1, etc.

Congresses, conferences, and symposia should be classified by subject, regardless of form. Some librarians prefer to classify them by subject and subdivide them by form of publications. Thus, form division number 3 can be used as is or terminally. In the author's opinion, if number 3 is used terminally, it may cause some problems in the future when classification numbers are expanded for new subjects. In this case, it is suggested that the decimal point be used with number 3 to differentiate the form of congresses on any specific subjects; e.g., a textbook about tuberculosis in general is classified WF 200; *Proceedings of the International Conference on Tuberculosis* would have the classification WF 200.3, instead of WF 203; works on nutrition QU 145; *Transactions of the Far East Symposium on Nutrition* would be QU 145.3. Whenever form division number 3 or .3 is used as is or terminally, it indicates a congress on that particular subject. In this way material on the same subject will be under the same class.

Other serial publications which may not be classified under various schedules throughout the scheme will fall into categories 1 and 3 or classes W 1 and W 3 of the classification.

When serial publications of medical importance (W 1) and medical congresses (W 3) are classified under individual subject specialties and subdivided by form, they are distributed to various schedules throughout the scheme. Therefore, the numbering policy of main entry is less important. In order to distinguish serials from textbooks, the first two letters of the main entry should be used with Cutter-Sanborn tables.

In 1966 the NLM began to publish a biweekly listing of all its cataloging. Monographic and serial publications of numbered congresses are classified W 3. Unnumbered congresses and the meetings of one society are classified by subject.⁶ Since July 1, 1968, the *Current Catalog* contains citations for works owned and cataloged by the Countway Library at Harvard University (MBCO) and the Upstate Medical Center Library of the State University of New York at Syracuse (SUNY). Therefore, call numbers of some congresses are different from that of the NLM, e.g., International Congress of Histochemistry and Cytochemistry, 3rd, New York, 1968, was assigned

DNLM: W 3 IN388E 1968s

MBCO, SUNY: QS 504 I61s 1968 (Cit. No. 134707)

The call number assigned by Countway and the Upstate Medical Center Library is practical. In order that centralized cataloging service be absolutely fulfilled and duplication of cataloging effort eliminated, the National Library of Medicine should revise some of its classification schedules to meet the needs of other libraries.

Acknowledgment

The author would like to thank all the librarians who allowed her to visit those libraries mentioned in this paper while she was a student at the School of Library Service, Columbia University.

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The Form Distinction in the 800 Class of the Dewey Decimal Scheme

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The most frequently recognized problem in the arrangement of literary works according to the 800 class of the Dewey Decimal Scheme based on form distinction is the scattering of works by and about single authors. However, there are also other problems not frequently mentioned in print but keenly felt by catalogers, such as the difficulty in application of the 800 class caused by the lack of common denominators (or basis of division) among the "forms," by the lack of clear, workable definitions of the "forms," and by the diffusive nature of certain literary works. The causes of the problems can be traced back to the genre origin of Dewey's form distinction and to certain categories, especially 8-5 to 8-8, that are questionable in their nature as literary "forms." In view of these problems, the validity of the form distinction in the classification of literature is called into question.

Introduction

THE 800 (LITERATURE) CLASS in the Dewey Decimal Classification system is a prime example of the form classes. Yet ironically, it is this form distinction that has created the greatest problems in the application of this scheme to the arrangement of literary works in the library. The most common problems are the following.

1. Problems encountered by the catalogers:
 - (a) The difficulty in application caused by the lack of clear, workable definitions of the forms;
 - (b) the problems of treating works of mixed forms or uncertain forms; and
 - (c) some of the forms that are questionable in their nature as literary forms.
2. Problems encountered by the users:
 - (a) Inconvenience resulting from the separation and scattering of works written by and about single authors; and
 - (b) confusion caused by the seemingly arbitrary decisions made by the catalogers as regards the forms of certain literary works.

The question that must be raised here, then, is why the Dewey scheme, based on seemingly clearcut categories, should cause such problems and difficulties in dealing with literary works. It is the purpose of this article to attempt an explanation by tracing the original reasons and the basic principles of the form distinction in the 800 class. It is hoped that it will then be possible to examine the validity and the applicability of the form distinction.

The first section of the article will deal with the four basic forms (8-1 to 8-4) with regard to their origins and development. The remaining categories (8-5 to 8-8) will be discussed in the second section.

Origin of the Form Distinction

The form distinction in the Dewey Classification Scheme is probably based on the genre concept in literature. Indeed, in examining the first draft of the Dewey Table, the genre origin is obvious. The notations for the first four categories under Latin and Greek Literatures in the 1876 edition of *A Classification and Subject Index for Cataloguing and Arranging the Books and Pamphlets of a Library* (Amherst, Mass., 1876) are given as the following.

870	Latin Literature	880	Greek Literature
871	" Poetry	881	" Poetry
872	<i>Dramatic</i>	882	<i>Dramatic</i>
873	<i>Epic</i>	883	<i>Epic</i>
874	<i>Lyric</i>	884	<i>Lyric</i>

Note that the *dramatic*, the *epic*, and the *lyric* are subsumed under the heading "Poetry." This classification of literature conforms to the "traditional triple division of poetic g[enres] or kinds into the epic, the drama, and the lyric."¹ Based on the theory of Aristotle, these three—the epic, the drama, the lyric—are the basic types or kinds of poetry and they are distinctive categories.

The distinction of the basic genres represented in the original concept is not precisely the same as the distinction which we now use for literary "forms," even though similar terminology is used in the names of the forms. In classical literature, all three basic genres were written in the verse form. Therefore, the distinction lies not in the medium but rather in the "manner of imitation" (or "representation"); that is, the *persona* in lyric poetry is the poet himself; epic poetry is characterized by a mixed narrative, the narrative being presented partly through the voice of the poet as the narrator, and partly through the characters' direct discourse; and in drama, the poet himself disappears completely behind his cast of characters.²

Difficulties of Classification by Form

In adopting the genre distinction to a classification scheme, the basic supposition must be that every work belongs to a kind. This as-

sumption is tenable according to the classical theory of genres, which asserts not only that genre differs from genre, in nature and in glory, but also that they must be kept apart and not allowed to mix.³ Since the classical writers adhered to the traditional rules of genres, each of the Latin and Greek literary works falls neatly into a genre as prescribed. Dewey's divisions work well in those two areas.

However, in dealing with modern literatures, Dewey recognized the need to modify the genre division slightly to suit the categories of modern literary works. The first draft gives these notations for the four basic forms in 820-860.

8-0	(Language)	Literature
8-1	"	Poetry
8-2	"	Drama
8-3	"	Romance (fiction in later editions)
8-4	"	Essays

In this modification, the basis of division has also necessarily shifted. Since in modern literature, drama and fiction (counterpart of the epic) are not always written in poetic form as in classical literature, these two categories are no longer subsumed under, but become parallel forms to *Poetry*. Because 8-1 (*poetry*) also includes the lyric, the notation 8-4 (originally occupied by *lyric poetry*) was reassigned to *essays*, a form not recognized in classical literature. With the modification of the forms, there was also a shift in the basis of distinction, which no longer lies in the "manner of imitation," as mentioned above with regard to the genres, but in other characteristics, although it has not been made clear what they are.

Based on current practices in cataloging, the basis of distinction between *poetry* and *fiction* tends to be a formalistic one. Works written in metric forms are usually classified as *poetry*, and works that are classified in *fiction* are generally prose narratives. Yet this poetry-prose distinction is not applicable to the other categories. *Drama* can be either in verse form or in prose. Both *fiction* and *essays* are in *prose* form, and the distinction between them must lie in some other characteristics. There is a lack of common denominators among these forms. In the Introduction to the 17th edition of the *Dewey Table*, the editor states:

To classify a collection of objects or concepts is to place together in 'classes' those objects or concepts which have certain characteristics in common and to separate from them the objects or concepts which do not have those characteristics.⁴

However, this principle does not seem to operate in the form distinction in the 800 class.

The example of "works combining two or more literary forms" given in the 16th edition—"Humorous fiction in verse"—tells more about the ambiguous basis of the classification scheme than the ambivalent nature of literary works. The phrase "humorous fiction in

verse" actually displays three different aspects of a work which are not mutually exclusive, rather than a combination of three parallel or coordinate "forms." The word "humorous" relates to the tone; "fiction," in this context, indicates the author's approach to his material (whether it is imaginative or factual); and "verse" is the medium through which the author expresses his imagination in a humorous tone. In other words, the "forms" do not have the same basis of division.

Lack of Workable Definitions

Part of the reason for this lack of a clearly defined basis of division is that since classical times, both the nature of literary works and the concept of genres or literary kinds have evolved and changed greatly. A modern epic is very different from the *Iliad* or the *Aeneid*. A modern drama is often a far cry from the works of Sophocles. Dante called his masterpiece a "comedia," but the term is used in a completely different sense from the comedies of Aristophanes, for example. The term "tragedy" has been used to refer to both form and content. Such evolutions and changes in the nature of literary works and in the semantics of the names of the forms result in the difficulty in describing and defining the forms in precise terms.

This difficulty can be illustrated by excerpts from the definitions of the forms given in the Thrall/Hibbard *Handbook to Literature*, the recognized authority on literary terms.⁵

Poetry: A term applied to the many forms in which man has given a rhythmic expression to his most imaginative and intense perceptions of his world, himself, and the interrelationship of the two. Such a definition, however inadequate, points to the impossibility of binding in a simple formula a mode of expression and communication as primary and as enduring and still as eternally changing as *poetry* is . . . This is not strange; indeed, it would be strange if man's most concrete form of expression yielded itself easily to abstract definition. (p.364)

Drama: Aristotle called *drama* "imitated human action." But since his meaning of IMITATION is in doubt, this phrase is not so simple or clear as it seems . . . Dramatic elements have been combined and emphasized so differently in dramatic history as to make theoretical definition difficult. (p.150)

Fiction: Narrative writing drawn from the IMAGINATION of the author rather than from history or fact. The term is most frequently associated with NOVELS and SHORT STORIES, though DRAMA and NARRATIVE POETRY are also FORMS of *fiction*, and FABLES, PARABLES, FAIRY TALES, and FOLKLORE contain fictional elements. (p.201)

Essay: A moderately brief prose discussion of a restricted topic. Because of the wide application of the term, no satisfactory definition can be arrived at. (p.183)

Neither does the third edition of *Webster's International Dictionary* offer much help in this regard. The definition given for *poetry* is "2b. Inventive or imaginative writing; literary imitation or creation; the representation, often, the idealized representation, of nature or history,

esp. in verse." *Fiction* is defined as "fictitious literature; all works of imagination in narrative or dramatic form." According to these definitions, poetry does not always appear in verse form, and fiction can be drama also. These definitions quoted from authorities illustrate the difficulty of defining the literary forms in precise terms.

Problems of Mixed Forms

In addition to the evolution in the nature of these forms, there is the change in the concept and theory concerning the genres. As Wellek and Warren have pointed out, while classical theory is regulative and prescriptive, modern theory, on the other hand, is descriptive: "it doesn't limit the number of possible kinds and doesn't prescribe rules to authors. It supposes that traditional kinds may be 'mixed' and produce a new kind."⁶

The development of new kinds or combination of traditional kinds further obliterates the already vague demarcation lines between the literary forms. These new or mixed forms pose problems for catalogers of literary works.

An example is Fernando de Rojas' *La Celestina* (1499) which has been described in literary history both as a drama and as a novel. In the earlier editions of Dewey, in which major authors and works are assigned specific numbers, *Celestina* is listed under 863.23 (*Spanish fiction*). However the Dewey number assigned on Library of Congress printed cards has usually been 862.2 (although a recent source study of the book [*Petrarchan Sources of La Celestina*, 1961] has been assigned back to 863.2).⁷ One reason for treating *La Celestina* as drama is that it was originally published under the title *Comedia de Calisto y Melibea*, or, *Tragicomedia de Calixto y Melibea*. Nonetheless, this "Comedia" or "Tragicomedia" is not in the form of the traditional drama. It is a dialog in twenty-one acts. The dual nature of the book is reflected in the subtitles of two recent English translations: *The Celestina; a Novel in Dialogue* (translated from the Spanish by Lesley Byrd Simpson, Univ. of Calif. Press, 1955) and *Celestina; a Play in Twenty-One Acts, attributed to Fernando de Rojas* (translated from the Spanish by Mack Hendricks Singleton, Univ. of Wisconsin Press, 1958). Due to the inadequacy in form distinction, *La Celestina* can be classified equally logically in 863.2 or 862.2.

The editors of the recent editions (16th and 17th) of the *Dewey Table* recognize the problem of mixed forms and deal with it by a note at the beginning of the 800 class.

Observe the following table of precedence for works combining two or more literary forms, e.g., English poetic drama 822

Drama
Poetry
Fiction
Essays
etc.

According to this table, works such as Milton's *Dramatic Poems*, Browning's *Pippa Passes*, Shelley's *Hellas*, and Byron's *Manfred* should be classified in 822 (*English drama*). However in practice, this table of precedence has not always been followed. On Library of Congress printed cards, most of the above examples have been given the number 821 (*English poetry*). Yet this practice can be defended logically for two reasons. First, under 811.02-08 in the *Dewey Table* (17th edition), instruction is given to divide specific kinds of poetry like 808.812-808.818. Accordingly, English dramatic poetry would have the number 821.02. Secondly, the reason for assigning 821 to the drama written by Shelley, Browning, and Byron may be that the majority of their works are classed in 821. In the latter case, the form distinction is not operative.

Some Questionable Forms

In addition to the four basic forms of literature, there remain other categories in the scheme which also raise questions. These forms include *speeches* (8-5), *letters* (8-6), *satire and humor* (8-7), and *miscellany* (8-8). It is not clear why Dewey included these as "literary forms," for they are quite different in nature from the four basic forms.

8-5 is the form notation for *speeches* (the term *oratory* was used through the 16th edition). "Speech" or "oratory" as a form of belles lettres is questionable. The only justification for its being classified in literature lies in the classical concept of oratory, for "in its original form, rhetoric was the systematic study of oratory."⁸ This form was popular in classical times and has produced many outstanding examples, such as the speeches of Demosthenes. These orations can be justified as literature, especially when their rhetorical values are considered to be greater than their subject significance.

However, to treat *speeches* or *oratory* as a form in modern literature raises questions, for there are few speeches that would not fit better in the subject classes, e.g., the presidential addresses. In the earlier editions of Dewey such authors as Alexander Hamilton, Henry Clay, John Caldwell Calhoun, and Daniel Webster were listed under 815 (*American oratory*), and William Pitt and Edmund Burke were included in 825 (*English oratory*). However, in practice, due to the contents of their speeches, they have been more frequently classed in 300 (social sciences) or 900 (history). The few examples of *speeches* by literary figures, when classified as literature on LC cards, were assigned to locations other than 8-5. For instance, Charles Dickens' *Speeches* (publ. 1960) was placed in 828.8. George Bernard Shaw's *Religious Speeches* (publ. 1963) was also assigned to 828.912. Robert Grave's *Oxford Addresses on Poetry and On Poetry: Collected Talks and Essays* were classified with the subject, 821.09 and 808.1, respectively. As a result, the notation 8-5 is seldom used in practice.

A further weakness in considering *speeches* as a literary form is that it encroaches on two other forms—*essays* (8-4) and *prose litera-*

ture (a subdivision of 8-8). Speeches differ from these, in terms of form, only in the manner of presentation. Other than the fact that *speeches* are addressed to specific audiences, they show little difference in "form" from *essays*, *prose* writings, or even *letters*. In view of the fact that "essays and lectures" have been grouped together in the standard subdivision -04 in the earlier editions of Dewey and included in -08 (Collections and anthologies) in the 17th edition, to place *speeches* in a separate category from *essays* or *prose literature* seems both illogical and impractical.

The inclusion of *letters* (8-6) as a literary form in the 800 class is peculiar, to say the least. The one possible justification is to consider the term in the sense of *epistle* as appeared in classical literature, particularly the form used by Horace in his *Epistles* and Ovid in his *Heroides*, as well as their later imitations.⁹ Later examples of this form are found in Alexander Pope's *Epistles to Several Persons (Moral Essays)*, *Epistle to Bathurst*, and similar works. However, in practice, literary works written in the epistolary form have no place in 8-6. Horace's *Epistles* was classified in 877.3, Ovid's *Heroides* in 873.01, Pope's "Eloisa to Abelard" and *Epistles to Several Persons (Moral Essays)* in 821.5, and his *Epistle to Bathurst* in 827.5. But Dewey evidently intended the notation 8-6 to be used for personal correspondence, although, according to the earlier editions, there were certain limitations. As Sayers has pointed out:

Yet it may be added that the placing of letters in the literature class is a Dewey expedient and it has its justification only when the letters have a strong literary interest and not always then. The famous letters of Gray, Horace Walpole, and Cowper, come into the latter category, but those of the Brownings and most other folk ought not to do so; they are the best illuminants of biography and ought to be classed there.¹⁰

This statement is in agreement with the instruction given for 816 in *Guide to Use of Dewey Decimal Classification*.

Include here, and in subdivision 6 under other literatures, only those letters which are compiled to be read for their literary value and enjoyment, and are not on a specific subject. Class as biography those collections of letters which are compiled to show the life and personality of the writer; class letters on a specific subject with the subject, e.g., letters by an early 20th century American poet on his own poetry 811.52, on foreign relations of the United States and Great Britain 327.73042.¹¹

In the earlier editions of the *Dewey Table* this principle was observed. Thus, under 826 (*English letters*) specific numbers were assigned to the *Paston Letters*, the *Letters* of Lady Mary Wortley Montagu, Lord Chesterfield, Horace Walpole, and Mrs. Elizabeth Montagu.

However, in current practice (based on the evidence of Dewey numbers assigned on LC cards), the tendency is to use the number 8-6 indiscriminately for personal correspondence of literary figures as an alternative to the biography number. This practice produces a great

deal of inconsistency. For example, *The Letters of Thomas Carlyle to His Brother Alexander, with Related Family Letters* and *The Letters of Thomas Wolfe to His Mother* (letters clearly with biographical tendency) were assigned to 826.8 and 816.52, respectively. Two collections of Robert Browning's correspondence, *Learned Lady; Letters from Robert Browning to Mrs. Thomas FitzGerald* and *New Letters of Robert Browning*, were also placed in 826.8. On the other hand, George Bernard Shaw's *Letters to Granville Barker* and *Thirty Housman Letters to Witter Bynner* were placed in 928.2. Even among works by the same author such inconsistency occurs. *Mark Twain's Correspondence with Henry Huttleston Rogers* was assigned the number 817.4 (!); *Mark Twain's Letters to His Publishers* was placed in 816.4; while the *Mark Twain-Howells Letters* landed in 928.1! Likewise, Alexander Pope's *Correspondence* was placed in 928.2, while his *Letters* received the number 826.5.

In addition to the problem of inconsistency and confusion resulting from the application of 8-6 to personal correspondence, the fundamental question that should be raised is whether *letters* as such entail a distinctive "literary form." If so, what are their characteristics of distinction? But until *letters* as such can be established as a *bona fide* literary type, one cannot profitably pursue a discussion of the characteristics of this particular "form."

The question raised with regard to *satire* and *humor* (8-7) is more complex—whether it is a "form" in the sense that poetry or drama is. Originally, satire did represent a literary form. Part of the difficulty results from the evolution of the word "satire" from a term signifying a form to that describing a tone or attitude. The etymological origin of the term is *satura*. The Princeton *Encyclopedia of Poetry and Poetics* gives a succinct definition and history of this literary form.

No strict definition can encompass the complexity of a word which signifies, on one hand, a kind of literature, and on the other, a spirit or tone which expresses itself in many literary genres. The difficulty is pointed up by a phrase of Quintilian (*Institutio Oratoria*, 10.93): "*satura* [as opposed to other literary forms] *tota nostra est*"; Quintilian seems to be claiming *s.* as a wholly Roman phenomenon, . . . The point is that by *satura* (which meant originally something like 'medley' and from which comes our 'satire') he intended to specify that kind of poem 'invented' by Lucilius, written in hexameters on certain appropriate themes, dominated by a Lucilian-Horatian tone. *Satura* referred, in short, to a poetic form, established and fixed by Roman practice.¹²

That Dewey originally recognized the form *satire* in this classical sense is evidenced in the fact that, in his first draft, the notation 877 denotes "Latin *Satire*," but 887, "Greek *Humor*," indicating that the term *satire* referred to the specific form developed in the Roman period, which did not exist in the Greek era. Then, for modern literatures, he included both *satire* and *humor*, but assigned them two different notations: 8-7, *satire*; 8-8, *humor*.¹³

Since the classical period, the concept of the term "satire" has evolved and changed considerably. The term has now "broadened to include works that were 'satirical' in tone, but not in form."¹⁴ Such seems to be the case in the application of the notation 8-7 in the Dewey scheme, as evidenced in the lists of authors included under 8-7 in the earlier editions of the *Dewey Table*. In this sense, *satire* and *humor* become an inner form, as distinguished from the outer forms *poetry*, *drama*, *fiction*, etc.¹⁵ Such a shift in the definition of the form causes problems in classification. The outer form (specific metre or structure) and the inner form (attitude, tone, purpose) are not mutually exclusive.¹⁶ In this sense satire denotes the author's attitude, but is inevitably written in one of the outer forms—poetry, drama, fiction, or essays. Here the question of the so-called "mixed forms" comes to the fore. In the 17th edition, one note of instruction following the table of precedence under 800 indicates the editors' awareness of this problem: "If preferred, give precedence to satire and humor over all other forms." Such a provision, first of all, gives the catalogers yet another opportunity to make arbitrary decisions. Second, it further divides and separates an author's works, even those written in the same outer form. For instance, such a "preference" would result in separating Byron's satiric poem *Don Juan* from the rest of his poetic works. Consequently, while the classification by form groups together works written in the same "form," it frequently separates them at the same time. On the other hand, if the cataloger follows the table of precedence, nothing will ever filter down to the seventh "preference," *satire* and *humor*, since no satiric work can be written that is not in one of the outer forms—*drama*, *poetry*, *fiction*, or *essays*. In practice, the outer form often takes precedence over the inner form. Alexander Pope's *Dunciad*, *Epistles and Satires*, and "Rape of the Lock," the best examples of satiric poems in English literature, are assigned to 821.5 on LC cards. John Dryden's *Satire* is also placed in 821.4.

The form 8-8 (*miscellany*) is another example of confusion. This form notation has seen an interesting shift since the first draft of Dewey (1876). Originally, 8-8 (in classes 820-860) was assigned to *humor* as distinguished from 8-7 *satire*, and 8-9 was used for *miscellany*. In the second edition, Dewey combined *satire* and *humor* in 8-7, reassigned 8-8 to *miscellany* and 8-9 to *literature in related languages*.

The scope of 8-8 has also seen some interesting changes. In earlier editions (through the 14th), the "scope" note under 828 (*English Miscellany*) reads: "Anecdotes, ana, epigrams, quotations, etc.,"; in other words, minor forms and subgenres not included in 8-1 to 8-7. In the 15th edition, the note is expanded to read: "Includes anecdotes, anagrams, epigrams, quotations, epitaphs, literary works that cannot be classified under other literary forms." The last phrase in this note was probably responsible for the current practice of classifying collected works of single authors not limited to a specific form in the 8-8 number. Thus, the scope of 8-8 has expanded considerably, from a no-

tation used for minor forms not provided for in 8-1 to 8-7 to a number that is to be used as a general catchall.¹⁷

The 17th edition saw the greatest expansion of the scope of 8-8. General instructions are given for 818 which are also applicable to other literatures.

- 810.8 Collections and anthologies by more than one author
Class collected works of single authors not limited to or chiefly identified with one specific form [formerly 810.81] in 818.1-818.5
- 811-818 Specific forms
If preferred, class description, critical appraisal, biographical treatment, single and collected works of single authors regardless of form in 818 with or without period subdivision.
- 818 Miscellany
(Optional: class here with or without period subdivision description, critical appraisal, biographical treatment, single and collected works of single authors regardless of form; prefer 811-818)
- 818.109 Single authors not limited to or chiefly identified with one specific form
Description, critical appraisal, biographical treatment, collected works.

In a formalistic scheme, the classification of collected works has always been a problem. Collected works often include writings in more than one literary form. According to the instructions given in the *Dewey Table*, there are several possible numbers for collected works by single authors. Based on the earlier editions, one can either use the standard subdivision -081 with the number for national literature (e.g., 810.81), or class the collected works in the author's assigned number. The general instruction under "Literature" given in the earlier editions reads: "Numbers assigned to individual authors include only their *literary* works of that section and complete works which can not be divided."

Consequently, the complete works as well as the satires of John Donne were classified in 827.35, and the complete works as well as the essays of Matthew Arnold went to 824.85. On the other hand, the complete works of both authors can also go to the number 820.81 (collected works of English literature by single authors).

With the expansion of 8-8 in the 17th edition to include collected works of single authors, these works can also be assigned to the number 828. The result is a great deal more confusion and inconsistency. To give an example, the *Wit and Wisdom of Bernard Shaw* was placed in 828.912, while the "wit and wisdom" of Mark Twain (*A Treasury of Mark Twain; the Wit and Wisdom of a Great American Writer*) was assigned the number 817.4. Surely, this was not a reflection of the classifier's evaluation of the "wit and wisdom" of these writers. Similar inconsistency occurs even among works by the same author. *The Writ-*

ings of Mark Twain was assigned the number 817.4, while *The Forgotten Writings of Mark Twain* is placed in 818.4. Also, Horace's *Collected Works* was classified in 878, while his *Complete Works* was placed in 874. Such inconsistencies reflect the arbitrary nature of the classification scheme by form, rather than the classifiers' individual interpretations or even whims.

Practicability of the Form Distinction

After discussing the intrinsic weaknesses of the form distinction in the 800 class, we may now turn to its functional aspect, i.e., the usefulness of arranging literary works by form. The most keenly felt problem created by such an arrangement is the scattering of works written by and about single authors.

Although many of the classical writers produced works in one particular genre, e.g., Homer, Sophocles, Sappho, etc., few literary writers since then confine themselves to writing in one form only. By assigning each work to a different class number according to its literary form, works by the same author are often scattered in several locations. Indeed, this problem is a familiar one and has been the basis of most of the criticism on the form distinction. One example suffices as illustration.

Classification of Works by Mark Twain

- | | |
|--------|---|
| 810.81 | The Art, Humor, and Humanity of Mark Twain |
| 811.4 | On the Poetry of Mark Twain; with Selections from His Verse |
| 812.4 | Ah Sin, a Dramatic Work, by Mark Twain and Bret Harte |
| 813.4 | The Adventures of Huckleberry Finn
The Adventures of Tom Sawyer
The Gilded Age
Mark Twain's Mysterious Stranger
The Prince and the Pauper
Pudd'nhead Wilson |
| 813.3 | A Cure for the Blues |
| 814.4 | The Complete Essays of Mark Twain |
| 816.4 | Mark Twain's Letters to His Publishers |
| 817.4 | The Complete Travel Books of Mark Twain
The Innocents Abroad
Mark Twain's Satires and Burlesques
A Treasury of Mark Twain, the Wit and Wisdom of a great American Writer
Contributions to the Galaxy, 1868-1871
Letters from the Earth
Roughing it
Travelling with the Innocents Abroad
A Connecticut Yankee in King Arthur's Court
Mark Twain's Correspondence with Henry Huttleston Rogers
The Writings of Mark Twain |
| 818.4 | The Forgotten Writings of Mark Twain
Life as I Find it |

- 818.408 A Tramp Abroad (also classified in 914.0428)
The War Prayer of Mark Twain
- 917.703 Life on the Mississippi
- 914.0428 A Tramp Abroad
- 928.1 Autobiography of Mark Twain
Mark Twain-Howells Letters

Thus, to locate the works written by Mark Twain, one must refer to at least thirteen class numbers, ten of these within the literature class.

Related to the problem of the scattering of works of single authors is the treatment of criticism about them. Critical studies of single authors, if they treat particular literary forms, are scattered also. If they deal with more than one form, they are assigned to yet a different number (most likely 8-8) which often results in separating them from the works they treat.

Approaches of literary studies are such that it would be more convenient and useful to have the works written by and about single authors grouped together. A critic writing about Shaw's drama cannot ignore his essays. A writer dealing with Coleridge's poetry must consult his prose works. These are similar problems faced by students of literature. Hence, from the user's point of view, the idea that arranging literary works by form is more useful (usefulness being Dewey's foremost consideration in classification) is questionable. This problem, indeed, is not a new one. It has been most keenly felt in academic and research libraries which use the Dewey system. Remedies have been sought and devised. Many university and college libraries have adopted a modified Decimal classification for literature which groups together works by an individual author regardless of literary form and results in an elimination of the form distinction from the arrangement.¹⁸

Conclusion

Such, then, are the problems inherent in the form distinction in the classification of literature. They are problems faced by the catalogers, the library users, and library science instructors. The problem encountered by the last group is that in teaching the Dewey Classification Scheme, the instructor must teach not only how to use the table and the index, and how to manipulate the standard subdivisions and the area table, but also expound the basis, or characteristics, of division among the classes and subclasses. With regard to the form distinction in the literature class, since the basis of division is not at all clear, it is almost impossible to teach students how to distinguish one form from another.

Hence, both the applicability and usefulness of the form distinction in the literature class are in question. The evolution of the Dewey Decimal Classification has always been along the line of expansion in keeping with the growth of knowledge. In science and technology especially, new fields and new branches of knowledge constantly de-

velop which demand further expansions or relocations of notations. But, in literature, the inability of the scheme based on the form distinction to treat the categories of modern literature renders further expansion or retention of the form distinction impractical. In this area, eliminating the form distinction may be more feasible. The lack of a clearly defined basis of distinction and the increasingly diffusive nature of modern literary works in terms of form make such an adjustment desirable. This step will save catalogers innumerable hours of agonizing over the forms of literary works—a thankless task because it is a case of much ado for very little in return in terms of “usefulness.” For the users, the elimination of the form distinction will facilitate the retrieval of materials and mitigate the confusion caused by the arbitrary decisions catalogers must now make with regard to literary forms.

There is indication that the editors of DDC are beginning to be aware of the problems; for in the 17th edition, for the first time, there appears under 818 this instruction.

Optional: class here with or without period subdivision description, critical appraisal, biographical treatment, single and collected works of single authors regardless of form; prefer 811–818.

However, the last clause makes this statement appear only a grudging concession.

The editors of the *Dewey Table* have been viewing the 800 class with a certain complacency.

We believe that most of 400–600, 800–900, and parts of the other classes will be generally fairly successful in meeting the needs and classifying the literature of the 1960's.¹⁹

Perhaps it is now time to take a long look at the basic principles of this classification by form and reevaluate its validity both from the point of view of its applicability and its usefulness which was, after all, Dewey's supreme principle in classification.

NOTES AND REFERENCES

1. *Encyclopedia of Poetry and Poetics*, ed. Alex Preminger (Princeton: Princeton University Press, 1965), p.307.
2. Cf. René Wellek and Austin Warren, *Theory of Literature* (3d ed., New York: Harcourt, Brace & World, 1956), p.227–28, and René Wellek, *Discriminations* (New Haven: Yale University Press, 1970), p.234.
3. Wellek and Warren, p.233–34.
4. *Dewey Decimal Classification and Relative Index* (17th ed., v.1; Lake Placid Club: Forest Press, 1965), p.5.
5. William Flint Thrall and Addison Hibbard, *A Handbook to Literature*; rev. and enl. by C. Hugh Holman (New York: The Odyssey Press, 1960).
6. Wellek and Warren, p.234–35.
7. These and all the subsequent examples are taken from Library of Congress printed cards.
8. *Encyclopaedia Britannica*, v.19 (Chicago: Encyclopaedia Britannica, 1970), p.257.

9. The Epistles in the Bible are also outstanding examples of this form, but the Bible is regularly classified in religion rather than in literature.
10. W. C. Berwick Sayers, *A Manual of Classification for Librarians* (4th ed., completely rev. and partly rewritten by Arthur Maltby; London: Andre Deutsch, 1967), p.86.
11. *Guide to Use of Dewey Decimal Classification* (New York: Forest Press, 1962), p.120.
12. *Encyclopedia of Poetry and Poetics*, p.738.
13. However, from the 2d edition on, *satire* and *humor* were combined and shared the same notation 8-7 (in Latin as well as Greek literature), thus obliterating the original distinction.
14. *Encyclopedia of Poetry and Poetics*, p.738.
15. The outer forms and the inner forms have been gradually recognized in recent editions of the *Dewey Table* with regard to standard subdivisions. No such distinction has yet been made with respect to the form notations in the literature class, although it has been used by Wellek and Warren in their discussion of literary genres in *Theory of Literature*.
16. Wellek and Warren, p.231.
17. This expansion of the scope of 8-8 to include collected works was probably influenced by the standard subdivision -08, "collections and anthologies." To use 8-8 for collected works of single authors thus enhances the mnemonic feature of the notation 8.
18. Cf. Elsie D. Sullen, "Literature Classification Scheme Used at the University of Southern California," *Journal of Cataloging and Classification* 12:73-80 (1956), in which the author mentioned seven university and college libraries which used a modification of the Decimal Classification that avoided a separation of an author's titles by literary form. These included the libraries of the universities of Illinois, Iowa, Minnesota, Missouri, and Pennsylvania, and of the colleges of Dartmouth and Vassar.
19. "Introduction: Toward Edition 18," in *Dewey Decimal Classification and Relative Index* (17th ed. v.1), p.58.

The Cataloging of Nonbook Materials: Basic Guidelines

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The rapid influx of nonbook materials into the information system in general and libraries in particular makes it imperative that libraries develop uniform methods of cataloging these items. Methods of cataloging continue to proliferate, exceeded in number only by the many forms taken by nonbook items. The problems of indexing, filing, and retrieving nonbook items become more difficult as the proliferation continues. This article presents a set of guidelines intended to provide cataloging consistency for nonbook materials.

Information Framework

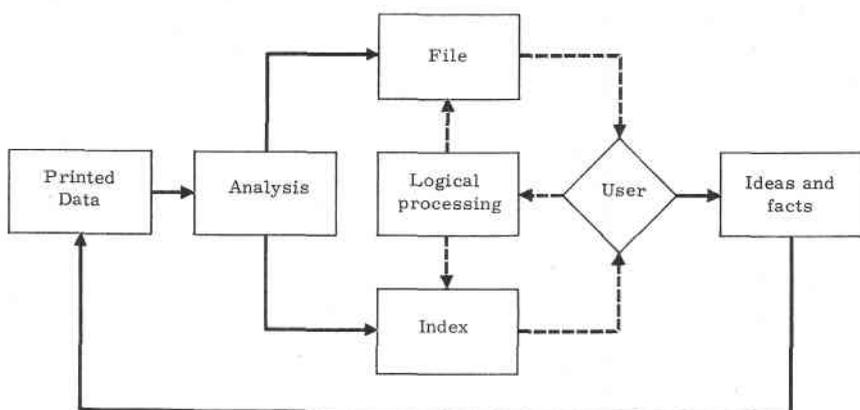
THE NECESSITY OF STANDARDIZED METHODS in the cataloging on nonbook items is easily understood in light of the "Information Framework" developed by Joseph Becker and Robert Hayes.¹ This framework, presented here in diagrammatic form, shows the relationship of the technical problems of analysis, indexing, and filing to the logical problems of retrieval.

A user who approaches a collection of nonbook materials should find that the items have been analyzed by the cataloger and indexed and filed for easy retrieval. The analysis of nonbook items does not differ from the analysis of printed matter. The indexing and filing of nonbook items will differ from printed materials due to the user's "logical processing" and the nonbook item's physical form.

Nonbook items are generally approached through an index by *title* rather than by author or compiler. Nonbook items are generally filed by *type of material* rather than by subject due to the impracticality of storing unlike physical forms together. When the user enters a collection of nonbook items through an index, he should be presented with a uniform catalog form for all materials rather than a special (or different) form for each type of material.

It is the purpose of this article to present a set of guidelines for the

1. Joseph Becker and R. M. Hayes, *Information Storage and Retrieval* (New York: Wiley, 1963), p.69-76.



The Information Framework

cataloging of nonbook materials. The guidelines will provide consistency in methods regardless of the physical form of the nonbook item.

Basic Guidelines

Guideline One—Call number.—The *call number* for nonbook items should be based on a symbol for the type of material, followed by an accession number. The symbol should be descriptive of the form, yet easily followed by the library user. Suggestions are:

- C—Chart
- F—Film
- FS—Filmstrip
- M—Map
- MK—Multimedia Kit
- SP—Study prints
- T—Tape
- TP—Transparency
- etc.

The symbol, followed by an accession number, will serve as a location device. Since nonbook materials require special storage facilities, the location device is necessary for the user of the collection.

Guideline Two—Main entry.—The *main entry* for a nonbook item should be title, followed by the format. Nonbook materials are better known by title than by other possible entries. Example of entries are:

- The face of hunger (Film)
- John Philip Sousa (Filmstrip)
- World-wide favorites (Record)
- Early explorers of North America (Study prints)

If a nonbook item is based on a printed source, the main entry would remain the title of the nonbook presentation. Although the two titles may be identical, the use of a format note will distinguish the forms. Authors and original titles will be traced through added entries (see Guideline Seven).

Guideline Three—Contributor's statement.—A contributor's statement should follow the main entry. This statement should include the name and contribution of all individuals and groups who made a significant contribution to the nonbook item. The contributor's statement may include all contributors in a research library or only the most important in the school library. The determination of a contributor's importance will be based on the same cataloging rules applicable to book materials. In some cases, the important contributors may be listed in notes (see Guideline Six).

Guideline Four—Imprint.—An imprint, including the producer's name and copyright date, is included on the catalog card. This is included as a further means of identification.

Guideline Five—Physical description.—A physical description, brief and abbreviated, is written by the cataloger. This description should include essential information as to size, color, speed, etc. Examples of physical descriptions are:

Filmstrip

35fr., b/w, 35mm.

Sound filmstrip

42fr., color, 35mm., sound, 33.3rpm. record

Film

10min., color, 8mm.

Study prints

14pts., b/w, 8½ x 11.

Record

1rec., 2s., 33.3rpm.

Tape

1rl., 2 tr., 3.75ips.

Guideline Six—Notes.—Notes are included on the catalog card as deemed necessary by the cataloger. The notes vary, depending on the form of material, but may include a summary of the item, contributors, a listing of complete or partial contents, reference to accompanying manuals or guides, the call number for the recorded narration, and the special location of the item if not located in the library.

Guideline Seven—Tracings.—Tracings consist of subject headings and added entries assigned by the cataloger. As with printed sources, the cataloger assigns a sufficient number of subject headings to assure maximum use of the item. The subject heading authority used for nonbook should be identical to the authority for book materials. If Sears is satisfactory for printed items, it is satisfactory for nonprinted items. Added entries are selected from the contributor's statement (Guideline Three)

and the notes (Guideline Six). This implies that within the contributor's statement and the notes all important individuals, organizations, and titles are included.

The application of these guidelines to the cataloging process will produce a card very similar to a book card when the main entry is the title. In Example 1, it should be noted that the call number is placed in the upper left-hand corner of the card. Margins follow basic card form rules.

Call No.	Title (Format) Imprint. Physical description. Notes. Tracings.	Contributor's statement.
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Example 1. Card form

The guidelines are more clearly understood through sample cards for four nonbook items. A sound filmstrip, a film, a set of study prints, and a set of transparencies are used in these illustrations.

Note in Example 2 that the contents of the filmstrip were not summarized as may be necessary in cataloging some filmstrips. It was felt that the title is descriptive of the contents. The card contains a reference to the recording which provides the narration. Since this recording is of little to no value unless used with the filmstrip, it has not been cataloged as a separate item. The recording has been assigned a call number and would be housed with other records.

The form used in the cataloging of the film in Example 3 is identical to that used in the filmstrip example. The symbol and description were changed to more accurately describe the item being cataloged. An added entry, based on information in the summary, was assigned to Merrel Gage since his contribution to the film is significant.

Although more detailed cataloging could be followed with this set of study prints, the card shown in Example 4 is sufficient for most libraries. The user may approach this group of pictures through both title and subject. Individual explorers could be traced if necessary.

The seven guidelines have been applied to a set of transparencies

FS615 Interpretation and evaluation of the short story
(Filmstrip) Joan Smutny, consultant. Society
for Visual Education, 1960.
35fr., b/w, 35mm. sound, 33.3rpm record.
(Development of the American short story series)

For sound, use R76.

1. Short story. I Series. II. Smutny, Joan.



R76 Sound for FS615. Interpretation and evaluation
of the short story.



Example 2. Sound filmstrip

(see Example 5). The physical description used and the notes given serve to describe the item in such a way that it is distinguishable from other items in the collection.

General Considerations

Many systems for the cataloging of nonbook items suggest the use of color-banded or solid color cards. This should be avoided. The color has no relationship to the item being cataloged. Further, what color would be used in the cataloging of a multimedia kit? Do we change our color code for a filmstrip narrated by a recording rather than a tape? Do we

F43 The Face of Lincoln (Film) University of Southern
California, 1954.
22min., b/w, 16mm.

SUMMARY: Merrell Gage describes the life
and career of Abraham Lincoln as he sculpts
a lifelike bust of the 16th president.

1. Lincoln, Abraham. I. Gage, Merrell.



Example 3. Film

SP16 Early explorers of North America (Study Prints)
Audio Visual Enterprises, n.d.
10pts., color, 10½ x 13.

A descriptive caption appears on each print.
Study notes are given on the reverse side.

1. America - Discovery and exploration.



Example 4. Study prints

use one shade of blue for a 16mm film, another for an 8mm, and a third for a super-8mm? The call number code, the form following the title, and the physical description clearly identify the item under consideration. Use standard white cards.

The guidelines given here are not recommended for microformats. They are designed to standardize procedures for nonbook materials. Microforms should be cataloged as book materials.

TP42 Trampoline (Transparencies) 3M
Visual Products, 1964.
25tps., 10 x 10.

Illustrates, with overlaps, basic trampoline techniques.

1. Tumbling.
2. Trampoline



Example 5. Transparencies

Using these guidelines, a library will be able to direct its users to all items in its collection and the user will not be confused by a series of cataloging systems.

Access to Library Collections: Summary of a Documentary and Opinion Survey on the Direct Shelf Approach and Browsing*

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Concern has grown recently, especially among larger libraries, over the expense and complexity of shelf classification with relative location. A frequent justification emphasizes the importance of "browsing," though the term remains imprecisely defined. This survey investigated the validity of the direct shelf approach as a concept for organizing library materials, with special reference to its component, "browsing." Documentary analysis gathered evidence from the professional literature. An opinion questionnaire, rephrasing hypotheses from the literature, was then sent to practitioners and teachers of librarianship. Findings implied policy recommendations for library management and library school curricula.

Introduction

RECENTLY, LARGE LIBRARIES in particular have expressed concern over the cost and the theoretical and practical difficulties of maintaining shelf classification with relative location. Rapidly changing, coalescing, overlapping, and emerging subject fields, as well as the concurrent emphasis by documentalists on nonbook information storage and retrieval, have renewed doubts concerning the efficacy of traditional library classification.¹ Moreover, developments in interlibrary loan, photoduplication, microreproduction, and computerization would reduce the necessity or feasibility of the direct shelf approach. As collections proliferate, some libraries have weighed a return to pre-Dewey fixed location schemes because books shelved by size can save much space.² Another space-saving expedient, coopera-

* This article is based on the author's "An Inquiry into the Validity of the Direct Shelf Approach as a Concept for the Organization of Library Materials, with Special Reference to Browsing," D.L.S. dissertation, School of Library Service, Columbia University, 1971. A book version is scheduled for publication by Scarecrow Press. Supporting statistical tables and questionnaire transcripts, omitted in this article for lack of space, will be found in the dissertation text and the book.

tive and centralized storage, has been protested by researchers who demand immediate access to all possibly relevant materials.³

A recurrent defense of shelf classification (with relative location) stresses the value to the reader of direct access to the shelves, which also stimulates him to "browse"—an opportunity afforded by the "browsability" of a collection so organized.⁴ Though common in the literature, "browsing" has not been precisely defined and seems to have multiple connotations. Thus, the issues of direct access and of shelf classification (with relative location) seem inextricable; serious investigation of one must involve the other.

This survey investigated from a theoretical point of view the validity of the direct shelf approach (and its "browsing" component) as a *concept* for organizing library materials. Major data-gathering tools were the documentary analysis and the opinion questionnaire.

The inquiry attempted, instead of another user study, to assay the degree to which the library profession accepted hypotheses, derived from the professional literature, whose implications or assumptions could to a considerable extent determine current library policies on direct access and shelf classification.

Comparative testimony was sought from the literature and from an opinion poll of practitioners and teachers of librarianship. Hypotheses based on the literature were rephrased for the questionnaire which solicited expressions of agreement or disagreement. The study was designed for American and Canadian libraries, chiefly larger academic and research, although hypotheses were set within a frame of smaller academic and research libraries as well as of public libraries of all sizes.

In the first stage of data gathering, pertinent library and related literature were surveyed to derive hypotheses and also to test them insofar as possible. Representative sources were pursued for the various periods of American library development, principally since 1870, with necessary reference to earlier or non-American data.

In the second stage, the opinion questionnaire, embodying forty-four hypotheses suggested by the literature, was mailed in early 1969 to 244 authorities in library technical and reader services. Addressees were practitioners in various types and sizes of American and Canadian libraries, as well as teachers of the technical and reader services in accredited library schools.

The comparison of data gathered by these two tools was intended to uncover any seeming inconsistencies or contradictions between theoretical concepts expressed in the professional literature and the prevalent assumptions of practitioners and teachers.

The questionnaire employed all three terms because in the professional literature the term "browsing" was widely used but "officially" generally unrecognized within the broader areas of the "direct shelf approach" and "open-shelf access." The intent was to signify the "direct shelf approach" and "open-shelf access" as largely synonymous terms,

and to present "browsing" as a possible component in library situations involving the direct shelf approach and open-shelf access, but *not* necessarily as interchangeable or coterminous with them. Analogous questionnaire statements could thus be tested both under the rubric of "direct shelf approach (open-shelf access)" and of "browsing."

Some light might be expected, therefore, on the relative willingness of librarians and teachers to accept "browsing" as a legitimate term to connote particular conditions of access to library collections.

Documentary Analysis

A review of use and user research from 1870 to 1969 on the direct shelf approach documented attitudes toward open-shelf policy and browsing, provided background for the methodology of this study, and suggested hypotheses later tested by the questionnaire.⁵

In general, such use studies—some specifically concerned with "browsing" at the shelves—were considered inconclusive by their authors or not promising by critics. State-of-the-art reviews expressed general dissatisfaction with methods and results. Frarey and Dunkin thought further use studies not necessarily desirable.⁶ Taube, though confining his comments to scientific information, questioned the overall value of user studies.⁷

The problems of direct access and browsing remained generally unresolved, and evidently peculiarly difficult to handle with established research methods. A theoretically oriented study by Kelley seemed more successful.⁸

This survey of representative use and user studies—as well as recommendations by authorities for a theoretical study of basic principles—confirmed the choice of methodology for this study.⁹

Sociology of Direct Access.—Advocacy of direct access accompanied the drive for free public libraries in the United States and Great Britain during the last half of the nineteenth and the first decades of the twentieth century. The public library movement involved strong though not precisely defined social, pedagogic, and political expectations.¹⁰ These expectations were to be realized through democratic self-education implemented by the open-shelf public library. The librarian's educational responsibility was accentuated in the literature. Academic libraries, influenced by the German seminar, were also expected to provide an essential learning opportunity through direct access.

Opponents of direct access—an ultimately unsuccessful minority—focused on the disarray and pilferage attributable to "prowlers among the shelves."¹¹ On intellectual grounds, they questioned the worth, either in public or academic libraries, of indiscriminate, unguided access.¹²

National library surveys from 1850 to 1969 confirmed the continuous official interest of the government and the library profession in

the educational and social role of freely available American library collections.¹³ Though some later surveys discouragingly appraised accomplishments and influence of American libraries, belief persisted that the library should be an effective educational and social agency in a democratic nation.¹⁴ Recently, surveys have called for an intensified revival of the American librarian's pedagogic and community responsibilities.¹⁵

Nineteenth-century faith in evolutionary progress, auto-didacticism, and the "power of the book" was reflected in the concept of the open-shelf public or academic library—organized through shelf classification and relative location—as a means to the intellectual, social, and political self-realization of the democratic citizen.

Functional Definition of Browsing.—The literature displayed an extreme range of definitions for "browsing": from self-indulgence in worthless or even harmful works to valuable self-education for the general reader and advantageous if not essential research for the scholar.

The advanced researcher often accepted "browsing" as a sophisticated approach to intellectual problems. This attitude was common among documentalists and information scientists for whom "heuristic search" is an important procedure.¹⁶ For many librarians, however, "browsing" represented those undesirable reader habits which were listed among the usual objections to the introduction of direct access at the end of the nineteenth century: aimless or unsupervised handling of materials which resulted in wasted effort, misshelving, and pilferage.

The following functional definition of "browsing" was developed during the documentary analysis: "Browsing is that activity, subsumed in the direct shelf approach, whereby materials arranged for use in a library are examined in the reasonable expectation that desired or valuable items or information might be found among those materials as arranged on the shelves." The definition expressed the patron's assumption that browsing *was* possible and worthwhile because of his confidence in the visible organization of the open-shelf library.

From this functional definition were derived two corollaries: (1) The collection must be adequate for browsing; (2) the collection must be properly arranged for browsing.

Accordingly, a general hypothesis was framed that the acquisition and classification policies of open-shelf libraries have as *one* rationale to implement effective direct shelf access, and to maximize browsability (a component activity of the direct shelf approach) as functionally defined. This hypothesis was variously tested in the questionnaire.

Acquisition Policy and the Direct Shelf Approach.—From the start, proponents of the public library not only advocated open access as necessary to its educational and social role, but also expressed concern over the need for the "right" books, that is, for a correct acquisition policy to fulfill the role.

Pernicious effects of novel reading were decried. Librarians like Cutter felt it their duty, through personal or bibliographical guidance, to direct the attention of patrons not familiar with literature to the *best* books, and to warn against "dull and bad" books.¹⁷

The nineteenth-century printed catalogs of leading American libraries like the Boston Athenaeum and Boston Public Library were widely circulated and exerted a normative influence on American librarians. Numerous later book lists and buying guides, from the 1893 ALA Columbian Exposition catalog to the 1967 *Books for College Libraries*, supplied authoritative aid in selection, although the editors of such "best books" lists invariably posted the caution that recommendations were suggestive not prescriptive.¹⁸

Persistence of such guides implied the desire of academic and public librarians to discharge their acquisition responsibility by structuring their collections so that the direct shelf approach would retrieve a maximum number of desirable works. The establishment of separate undergraduate libraries with carefully designed "core" collections attested such structuring in academic libraries.¹⁹

From 1876 on, librarians concerned with their pedagogical duty had warned against the hazards of unguided direct access. Short of personal assistance from the librarian, a logical expedient was to provide a collection of such quality that the patron or browser would not fail to find something of value.

The popularity of authoritative buying guides contrasted with frequent professional exhortations that librarians, to serve their clientele effectively, must "individualize" their collections.²⁰ The apparent inconsistency has remained unresolved.

Classification and the Direct Shelf Approach.—European librarians, unlike American (and British public) librarians, tended to depreciate subject classification, either for shelf or catalog.²¹ Most large European libraries had closed stacks and preferred indirect bibliographical access.

Although American librarians have been accused of indifference to classification theory, there is an extensive literature on problems of American library classification, particularly in regard to close classification, relocation occasioned by new editions of schemes, and reclassification attendant on conversion from one scheme to another.

In no other area of the literature was ambivalence or inconsistency greater than in the writings on classification. Influential classificationists combined declared practical goals with apparently metaphysical means. Equivalence of *practical* library classification and the "true order of nature" was rejected in theory but a striving for it in practice generated inconsistencies and contradictions.²²

Similar ambivalences were expressed toward close classification, linearity, subject cataloging, and notation. Though authorities warned against overly complex subdivision, most schemes employed elaborate subarrangements and number building. Close classification seemed ex-

pected to perform disparate feats: To describe the book's subject comprehensively, to define it at its deepest level of specificity, and to indicate its precise relation to the sequence of knowledge represented by the classification scheme.²³

The inescapable limitation of linearity in classification was readily admitted, but this did not deter the classificationist from seeking the ideal assignment within the linear sequence.²⁴

All theorists acknowledged the subordinate and auxiliary role of notation, but evidence was abundant that it played a prominent role in the construction of their schemes, especially as it was traditionally expected to be "expressive."²⁵ The popularity of Dewey's scheme, indeed, was attributed largely to its deceptively simple notation.²⁶

Many authorities advocated the use of subject cataloging, that is, the application of subject headings, to help compensate for the limitations of classification, but this did not prevent classificationists and librarians from pursuing ever greater accuracy and precision in creating and applying their schemes.²⁷

Distinguished librarians attested to classification as the hallmark of their profession and claimed that it enhanced the status of the librarian in the eyes of the patron.²⁸ Tacit faith in the power of shelf classification raised the danger of expecting the classification system to offset or restore collection inadequacies.

Questionnaire Analysis

Selection and Characteristics of Respondents.—As indicated, the questionnaire sought reactions from the American and Canadian library profession to hypotheses based on the documentary analysis. Respondents, though not selected as a stratified random sample to afford a parametric statistical estimation, were chosen to represent possibly significant characteristics which might be correlated with opinion patterns: Practitioners of the technical and reader services in American and Canadian libraries of various types and sizes; teachers of the technical and reader services in the accredited American and Canadian library schools; and administrators of the aforementioned libraries and schools.

Over 62 percent of 244 questionnaires were returned, resulting in 152 analyzable responses. Some characteristics of the 152 individual respondents from 124 libraries and schools were as follows.

Library schools contributed less than a third of all responses. Academic and special libraries contributed more than two-and-one-half times as many responses as public libraries and system centers. Most libraries collected in most major subject areas. Median size for all libraries was one million volumes.

Library of Congress Classification (LC) was the most common scheme except in public libraries where Dewey Decimal Classification (DC) was still the almost exclusive choice. Most libraries used "close" classification with relative location, and almost all libraries were com-

pletely or partially open-shelf. Only three libraries employed a classed catalog.

About a third of all libraries reported reclassification, chiefly because of academic and special libraries changing to LC from DC, but reclassification was almost always partial or selective. At least three-fourths of reclassifying libraries did not feel their readers were being handicapped by the process.

The modal institutional respondent was a large academic library with a comprehensive general collection on open shelves closely classified by LC and arranged by relative location. The modal individual respondent was a technical services practitioner in a large academic library. These modal respondent characteristics were appropriate to a working hypothesis of the study that the problems of open-shelf organization would be most severe in large academic libraries.

The forty-four questionnaire hypotheses were grouped under three major headings: (1) The role of classification in the direct shelf approach; (2) the suitability of the direct shelf approach in various libraries; and (3) the role of "browsing" and related activities in the direct shelf approach. Respondents were to check "Agree," "Undecided," or "Do not agree." Additional comments were encouraged.

Besides visual inspection and frequency analysis of response tallies (as well as a careful transcription of all written comments), non-parametric tests of correlation, i.e., chi-square and coefficient of contingency, were applied to determine possible significant statistical relations between respondent characteristics and patterns of opinion. Statistical evidence, however, was minimal to show that opinions were related to the professional function of respondents (practitioner, teacher, administrator) or, in the case of practitioners, with the type or (probably) size of library represented.

The following analyses of questionnaire responses represent a selective summary. A limited but, it is hoped, representative number of statements have been chosen for comment, with special attention given major hypotheses whose testing determined this study's conclusions. (The number of statements in parentheses is the original total appearing in that section of the questionnaire.)

Analysis of Responses on "Direct Shelf Approach (Open-Shelf Access): The Role of Classification" (eleven statements).—Respondents were ambivalent toward the role of classification in the direct shelf approach. This mirrored attitudes in the literature.

There was general rejection of hypotheses that effective library classification reflected the "true" order of science and nature; that evidence of classification enhanced librarians' professional status among patrons; that close shelf classification had a pedagogical rationale. (Percentages of total responses not agreeing with these three hypotheses were, respectively, 66.2, 67.1, and 88.5.)

The majority felt that shelf classification was more important as a locational device than as a means of systematic subject approach; that

subject headings in the catalog were more useful to the patron than shelf classification; and that the average patron could not "follow" close classification notation on the shelves. (Percentages of agreement on the first two hypotheses were, respectively, 58.8 and 58.0. On the last, only 42.7 percent agreed that the average patron could successfully "follow.")

Nevertheless, 55.3 percent did accept close shelf classification as necessary for effective subject search in open-shelf libraries, though 56.5 percent also had more or less serious reservations on the dependability of shelf classification as a primary approach to subject materials. Significantly, only 31.0 percent held both these opinions.

Analysis of Responses on "Direct Shelf Approach (Open-Shelf Access): Its Suitability in Various Libraries" (nineteen statements).—Respondents expressed broad allegiance to the principle of direct access, though the rationale was not especially clear or precise.

Almost two-thirds accepted in a general sense the idea that open-shelf policy constituted an "educational" responsibility, but there was considerable opposition or miscomprehension when hypotheses tried to define pedagogically how this responsibility was fulfilled. Much resistance—71.3 percent did not check "Agree"—met the concept that the direct shelf approach was primarily valuable as a means to create for the reader or student a "structured learning situation." This evidently reflected general disapproval of subjecting the patron to pedagogical "conditioning."

Commonly described advantages of direct access in various types of libraries were such practical ones as being able to choose immediately among titles, determine availability of works, or examine indexes at the backs of volumes. Almost no reference was made to the subject-revelatory role theoretically played by shelf classification.

Apparently inconsistent reactions were elicited by logically connected statements. Respondents made little connection between related issues, e.g., broad and close classification, homogeneous and heterogeneous collections.

Comments, though detailing few intellectual benefits of direct access, expressed strong loyalty to the *idea* of the assumed intellectual benefits of uninhibited access to materials. This loyalty extended to "browsing" understood in its most general, nonpejorative sense.

Analysis of Responses on "Direct Shelf Approach (Open-Shelf Access): The Role of 'Browsing' and Related Activities" (fourteen statements).—Again, respondents did not clarify the particular benefits to be derived from direct access and how they were made possible. However, early allegiance to the *general* idea of open-shelf access and browsing was reaffirmed.

Overall approval met hypotheses that all readers should be encouraged to browse; that browsing provided a valuable learning experience; that shelf classification was necessary for browsing. (Percentages of agreement on these three hypotheses were, respectively, 77.7,

81.2, and 78.4.) Only 28.2 percent, however, agreed that *close* shelf classification was necessary for "nonrecreational browsing"—in contrast with the 55.3 percent who had earlier accepted close shelf classification as necessary for "effective subject search" in open-shelf libraries. Respondents evidently either distinguished "browsing" from "subject search" or did not consider them related in any way.

Nearly unanimous agreement (89.9 percent) was given a hypothesis that "serendipity" was a major value to be expected from browsing. ("Serendipity" was defined in the questionnaire as "making desirable but unsought for discoveries.") Almost three-fourths agreed also that "serendipity" was made more likely by shelf classification.

As in the previous section, when hypotheses attempted to specify how the benefits of the direct shelf approach and browsing were to be effected, particularly through acquisition and classification policy, noticeably divided opinion and conflicting comments ensued. Numerous respondents seemed to deny any connection of open-shelf access, browsing, and research. Many would not overtly accept "browsing" in a nonrecreational sense, and less than a majority (45.6 percent) considered it essential for advanced research. However, only 28.3 percent rejected "browsing" as a term not precise enough to characterize serious research and thus appropriate *only* for "browsing room" activities.

There was decisive rejection (89.2 percent) of exclusively bibliographical, that is, indirect access to the collection.

Conclusions

General Analysis and Interpretations.—Uneasiness with the function of classification was suggested by respondents, notably those who declined in writing to complete the questionnaire because they were not "specialists." Many respondents felt their local problems made it difficult to accept generalizations on the direct shelf approach. This attitude would conflict with the growing need for national bibliographic organization.

There was evidence that library administrators left classification policy to the technical services department, although such policy decisions would seriously affect many areas of library administration and budgeting. The modal practitioner respondent would thus be *the* influential agent in resolving basic classification problems.

The lack of statistical correlation between respondent characteristics and patterns of opinion suggested that most respondents had not formed opinions on direct access which were distinctive to their professional specialization. This conjecture was strengthened by questionnaire tallies and comments on the role of classification in the direct shelf approach. A consensus on that role did not emerge. Ambivalent attitudes were suggested. A dichotomy between the technical and reader services in respondent libraries was strongly implied and sometimes explicitly stated.

In implementing an open-shelf policy through shelf classification,

librarians tended to underestimate or to be unaware of the effect of their selection activity on direct access and browsing. Thus, the interdependence of the collection and its organization was ignored. Implied was that shelf classification justified itself, though its function was not convincingly explained.

Although most respondents felt that browsing provided a valuable learning experience, agreement decreased when hypotheses introduced elements of conscious pedagogical conditioning by librarians. It was implied that patrons must have uninhibited freedom of choice at the shelves. Concepts of political and social freedom seemed projected onto problems of bibliothecal organization.

In the light of convention, "browsing" probably would not be generally acceptable to designate an activity involving a significant organizational or pedagogical responsibility of the librarian. Hypotheses on "browsing" were important for this study because respondents were in effect asked to redefine the terms vis-à-vis the "direct shelf approach." Evidently, some librarians had been using the term "browsing" to encompass subject-oriented aspects of the direct shelf approach but without acknowledging or defining those aspects or relating them to the building, organizing, and servicing of their collections.

The validity of the concept of the direct shelf approach was not given a persuasive theoretical justification. Its validity, on the evidence, must be accounted a postulate. American librarian and patron preference for the direct shelf approach is unmistakable, though how to implement it remains problematical.

Some Implications for Practice.—The questionnaire evidence would imply that most libraries should accept their present classification scheme with an absolute minimum of adaptation, prompted either by assumed local needs or by relocations in new editions of the scheme. Respondents presented no convincing theoretical arguments for such adaptations and, furthermore, reported that thorough reclassification, attendant on conversion from DC to LC, was almost never attempted or contemplated.

The prevalence of DC in public libraries was confirmed and defended. It is suggested that DC thus consider itself not a rival of LC for all libraries, but as a complementary scheme for popular or smaller libraries requiring a less comprehensive and specific classification for less complex or scholarly works. Its relation with LC would be roughly analogous to that of the *Sears List of Subject Headings* with the LC list.²⁹ (The need for an abridged DC might be reconsidered.) The philosophy underlying the 15th edition of DC might be revived—and adequately realized—to provide a broader shelf classification.³⁰ This could result in less frequent and less extensively revised editions. A chief aim would be to reduce relocations drastically. This broader DC for *bibliothecal* organization would not forestall intensive development of UDC, the offshoot of DC, for documentation.

Librarians need to acknowledge unequivocally a responsibility to

instruct the patron in the use of the classification scheme. Surveys continued to reveal that patrons generally did not "understand" the scheme and that they, nevertheless, received little or no instruction.³¹

Encouraging the use by staff and readers of classified and alphabetical subject guides to library materials would be most desirable. There seems much justice to charges that American librarians in practice are generally content to regard classification symbols as locational devices only—an obvious waste of rich potential.

Ambiguity and ambivalence of respondents in regard to bibliographic and bibliothecal organization would indicate a need for greatly revised training in library schools—and for continuing education of practitioners. Such training ideally would integrate bibliographic and bibliothecal aspects into almost every curriculum offering.

Another implication for library school curricula is much increased emphasis on acquisition policy as a vital element in the educational responsibility of the library. Respondents seemed averse to acknowledging the effects of acquisition policy on patrons' library experience.

Such restructured curricula would imply a much closer relationship between the reader services and technical services functions. Compartmentalization of the two in library school curricula must have some influence on their well-known separation in practice. As proposed by Lundy, librarians should be expected to serve in both areas—which would not militate against a major responsibility in one.³²

Although subject knowledge, particularly of a broad "survey" nature, is essential for effective reader service, librarians should study more intently the systematizing function of librarianship: how the collection is organized for use and how this organization can, or cannot, be employed to help the patron.³³

Major practical implications for libraries of all types would appear to be (1) increasing reliance on standardized collections classified in centralized processing units by generally available schemes; and (2) continuing de-emphasis of close shelf classification as a subject revelatory device. Such developments are not necessarily advocated by this study, but are listed as probable. They need not be inconsistent with current demands that the librarian reassert his educational and social role.

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Application of the Micrographic Catalog Retrieval System in the Iowa State University Library

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This article presents a university library's experience with the Micrographic Catalog Retrieval System (MCRS). After a brief description of the MCRS and its use in card production, searching procedures are outlined along with statistical data. The experience has demonstrated that the use of MCRS can mean a saving of staff time and more rapid retrieval of LC cataloging copy for current books, thus resulting in quicker processing of materials through the technical services.

Introduction

THE LAST DECADE has seen a great increase in college and university library book budgets. The aggregate amount in 1959/60 spent for books and other library materials in the United States was \$40,760,000. By 1968/69 this figure had risen to \$172,000,000. Consequently, libraries have been able to increase acquisitions rates substantially. The number of volumes added increased from 8,415,000 to 23,000,000. Personnel budgets during the same period grew from \$72,495,000 to \$207,000,000.¹ Thus, the blessings of growth have been of a mixed nature because personnel increases have not kept pace with book budget increases. For many university libraries there has been an ever increasing cataloging backlog of books due to the lack of sufficient personnel with which to process the increasing numbers of books by using the traditional bibliographic searching, ordering, and cataloging techniques.

This was the problem faced by the Iowa State University Library in 1969. The book budget had grown radically while there was no corresponding increase of funds for personnel in the technical services. The fiscal year 1969/70 budget for library materials was \$584,311; during this period, the library added 61,509 volumes (excluding microforms). Since new books were arriving at an increased rate, backlogs were growing correspondingly. In an effort to find Library of Congress cataloging copy for newly published books, the library maintained a Title II depository card file. The hours per week consumed in filing depository cards ranged from eighty to 120. In spite of this effort, filing arrearages

were growing. Furthermore, thirty-five to forty hours per week were being devoted to checking currently published books against the depository card file in an effort to find Library of Congress cataloging copy. The results of the search were often fruitless, and the number of currently published books held for Library of Congress cataloging was growing rapidly. Since it was not possible to cope with continually increasing acquisitions and cataloging loads by using traditional methods, it was decided to introduce new techniques, and in May 1969 the library acquired the Micrographic Catalog Retrieval System (hereafter referred to as MCRS).

A cursory search through the literature has not revealed many descriptive articles on the application of the MCRS or similar services for bibliographic searching and cataloging even though the MCRS has been available since the summer of 1968. The "year's work" articles in *LRTS* for 1968 and 1969 did not deal with this new technique with the single exception of a very brief paragraph in an article discussing reproduction of library materials.² There was also a survey and evaluation of three microfiche systems published by Joseph M. Dagnese in the September issue of *Special Libraries*.³ Another article by William Ready gave a brief evaluation of the MCRS in a Canadian university library and a discussion of the various reader-printers which may be used with the MCRS.⁴ This article confirms Ready's findings and adds new statistical information concerning the application of the system in an American academic library.

The Micrographic Catalog Retrieval System

The MCRS, offered by the Information Dynamics Corporation of Reading, Massachusetts, consists of actual Library of Congress card entries from the *National Union Catalogs* reproduced on 5"x8" size microfiche, with over 1,100 entries per fiche. The system is available beginning with entries for 1953, but this library began only with the *National Union Catalog* cumulation for 1963-1967. (Cataloging copy for pre-1963 imprints is obtained by this library from Library of Congress book catalogs and the *National Union Catalog* by means of a Polaroid CU-5 Land Camera.) In addition, Title II depository cards are filmed as received from the Library of Congress by the Information Dynamics Corporation and supplied on microfiche to users of the system on a weekly basis with an alphabetical index arranged by main entry. The numerical indexes to the system are in the form of hard copy computer printouts, arranged by Library of Congress card number, and indicate the fiche number, column, and row. The numerical and alphabetical indexes are cumulated weekly, monthly, and yearly.⁵

The fiche are searched and reproduced on a 3M 400 Reader-Printer. In order to assure the best results, the operator of this machine must be sure that the fiche is in proper focus and that the resulting copy is neither too light nor too dark. The fiche as well as the lens must be kept clean at all times. The reader-printer must be readjusted from time to

time to conform to the actual voltage in the library's wiring which may vary from 105 to 115 volts. This modification is necessary in order to obtain a sharper contrast in the printout. Some of the problems arising in reproduction are caused by scratches on the fiche. Faulty and damaged fiche are replaced by the firm free of charge. The prints are cut on an ordinary paper cutter to a 3"x5" size and placed in reusable plastic jackets which are available from most library supply firms.

Card Production by Xerography

After making the necessary changes and typing call numbers on the prints, they are placed four-up on a 914 Xerox Copier for card reproduction. In order to achieve the desired quality, several adjustments and modifications of the copier had to be made. The lens aperture was opened to its widest position to burn out the grey background of the microfiche printout so as to provide a better black-on-white product. The three corotrons* in the 914 Xerox machine were modified as follows.

(1) The drum charging corotron was wrapped with tape from each end three inches toward the center to reduce the image area used by the drum as the image area should match the width of card stock being used. (2) The electrical charges of corotrons were set at +14 charge, +14 transfer, -2 preclean. These changes provided a better contrasting image and a cleaner machine. Since the voltage varies in the wiring, it is necessary to measure the voltage periodically and modify the machine's settings accordingly. It must be kept in mind that the settings will fluctuate from machine to machine. To achieve the best results it is recommended that a copier be restricted to card production only and not used for any other copying.

Occurrence of Library of Congress Card Numbers

About 58 percent of the books published since 1963 currently received by the Iowa State University Library carry Library of Congress card numbers. While the number of LC card numbers appearing on books published in the United States is increasing, still very few books published in Great Britain and other foreign countries carry LC card numbers. Hopefully, this situation will improve. Currently, one of the larger book dealers in England is investigating the problem, as he is aware of the needs of American libraries for Library of Congress card numbers.

Use of the MCRS in Searching

The MCRS is located in the Bibliographic Search Department which was established in the summer of 1969 by the library to perform all pre-order searching and to find and provide a master of all Library of Congress cataloging copy. The total responsibility for searching for catalog-

*A corotron controls the transfer of the image on the drum to the image reproduced on paper.

ing copy of monographs rests with this department. If Library of Congress cataloging copy is not found, all searching is clearly and accurately recorded for the catalog department. The catalog department does not duplicate the searching effort.

All books received, for which no cataloging copy was found at the time of ordering, are divided into two categories: Books carrying LC card numbers covered by the MCRS; and books without LC card numbers or books carrying LC card numbers not covered by the MCRS. (Books with LC card numbers dating 1962 or earlier are not checked through the MCRS since the library's system only includes Library of Congress cataloging from 1963 to date.) All books with card numbers covered by the MCRS are checked through the system numerically. When the LC card number is located in the numerical index, the fiche, column, and row numbers are recorded. The copy is then printed out, cut to 3"x5" dimensions, inserted in the book, and forwarded to the Mass Cataloging Section of the catalog department. (Books with LC catalog copy are processed by nonprofessional personnel in the catalog department.) Books which cannot be searched numerically are searched alphabetically. Generally, the MCRS is not used to search alphabetically. This type of searching is more easily performed by using the *National Union Catalogs*. Even with the MCRS cumulative alphabetical main entry index, which began in 1970, the book form of *National Union Catalog* is still preferred since it supplies cross-references which the MCRS cumulative alphabetical main entry index does not. Only the depository cards on microfiche, which supplement the last hard copy of the *National Union Catalog*, are searched alphabetically. This usually is the last three months of cataloging done by the Library of Congress. When cataloging copy is found by searching alphabetically, an MCRS print-out is then made for the book.⁶ If cataloging copy is found in a *National Union Catalog* volume dating before 1963, a Polaroid photograph is taken.

If cataloging copy is not found, and if the book was published during the last year, it is shelved in the holding area by the date of receipt. The holding area was established to house new books pending receipt of LC cataloging copy. The order cards for the books are arranged by main entry in two separate files. One file is for books with LC card numbers and the other for books without LC card numbers. A duplicate of each order card for books with LC card numbers is made and filed into a third file which is arranged numerically to simplify further searching. A supervisor screens the books before they are placed in the holding area. Books with obviously incorrect numbers are detected and searched alphabetically. The latter are a negligible number. Books which were not published during the last year and for which there is still no LC cataloging copy are forwarded for original cataloging. (The Bibliographic Search Department found LC cataloging copy for 84 percent of the books received during the fiscal year 1969/70; only 16 percent were forwarded for original cataloging.)

Speed of Searching When Using the MCRS

A student assistant can be trained to use the MCRS effectively in about ten minutes. After six or seven hours of experience he can work with finesse and considerable speed. In contrast to this, in order to perform an effective, alphabetical search, a subprofessional needs at least six months of training and experience in the Library of Congress cataloging and filing rules. Even with this training, an alphabetical searcher will not be as accurate as a student assistant searching numerically after ten minutes of training. Furthermore, numerical searching can be done much more rapidly. The comparisons shown in Table 1 are offered for illustration.

TABLE 1
Searching Time Study

Type of Searching	Searcher	Pay Scale per Hour	Number of Books Searched per Hour
Numerical	Student Assistant	\$1.60	180-200
Alphabetical	Subprofessional	\$2.42	40-45

Re-searching of Books in the Holding Area

As explained above, currently published books for which there was no Library of Congress cataloging copy available at the time of receipt are placed in the holding area. Because of the simplicity and speed of searching numerically, books with LC card numbers in the holding area are searched for copy two to three times per month by student assistants, while books without numbers are searched less frequently by a subprofessional. Detailed statistics have been kept on the length of time that books remain in the holding area before cataloging copy is found. All books are removed from the holding area at the end of twelve months. Statistics are kept separately for books with LC card numbers and for books without LC card numbers. The statistical findings, based on a four-month survey, are shown in Table 2.

TABLE 2
Number of Books Removed from Holding
with LC Cataloging Copy

Type of Searching	Months Held Before Copy Found												Total	
	0	1	2	3	4	5	6	7	8	9	10	11		12
Numerical	73	359	222	126	98	69	70	36	34	18	21	18	21	1,165
Alphabetical	3	5	20	27	26	22	32	34	42	39	38	22	7	317

It is quite obvious that books with LC card numbers are removed from the holding area much more rapidly than those without. This is partially due to the simplicity of numerical searching which allows frequent repetition of searching at minimal costs. It also may be due in

part to the nature of the books with LC card numbers: Books without LC card numbers are generally more ephemeral in nature, of foreign origin, or issued by nontrade publishers; the Library of Congress is less likely to acquire these publications, and, if received, probably catalogs them on a lower priority basis. Our statistics also show that after twelve months there are fewer books left in the holding area with LC card numbers than those without. Again, this is attributed to the simplicity of numerical searching and to the nature of the books with LC card numbers.

After books have been held for twelve months and LC copy has not been found, a final alphabetical search is made before forwarding them for original cataloging. At this point even books with LC card numbers are searched alphabetically. The number of books with LC card numbers, for which no copy was found by numerical search but was found by alphabetical search, is negligible. At the end of twelve months, approximately .08 percent of the books with LC card numbers are still in the holding area with no copy found. Copy is found by searching alphabetically for about 3 percent of these books.

Because of the availability of the MCRS, books with LC card numbers are removed from the holding area almost as soon as the Library of Congress makes the copy available. At the same time, the number of books which need to be searched alphabetically has been cut nearly in half. The searching of the books in the holding area has been kept current, and consequently, the holding area is not growing. The number of volumes held remains fixed at around 3,800.

The Effect of MCRS on Staffing

The instituting of the MCRS meant an immediate elimination of time-consuming filing of depository cards since they are supplied on microfiche weekly with an alphabetical index. The simplicity and accuracy of the MCRS's numerical approach permitted the employment of less costly student help to use the system. At the same time, the numerical approach to searching reduced the number of books which, heretofore, had to be searched alphabetically by highly trained subprofessionals, thus lessening the total cost of searching. About twenty-six hours of student help (at \$1.60 per hour) and twelve hours of nonprofessional time (at \$1.65 per hour) are used per week to numerically search books upon receipt, to alphabetically search currently published books, to print out the copy found, to cut the printout, and to re-search the books numerically in the holding area.

Effect on Ordering

The MCRS system has made it possible for the library to dispense with the search for LC cataloging copy prior to the ordering of most books published in the United States during the current or previous year.

Most of the current United States publications carry an LC card number. Alphabetical searching for these books is very expensive. The

TABLE 3
Time Spent in Searching and Copy Production

Procedure	Hours per Week
Checking numerical indexes	15 hours
Searching alphabetically	3½
Making printouts	9½
Cutting printouts	9

current *National Union Catalogs* are not continuously cumulative which may necessitate searching during a given year through up to six alphabetical sequences. For this reason alphabetical searching in itself consumes a considerable amount of time. If there are several entries to be searched, which is usually the case, and if this is coupled with the lag in cataloging at the Library of Congress, the cost becomes disproportionate to the value gained from the search because one is searching through numerous indexes for cataloging copy which probably does not as yet exist. Since it is highly likely that the book will possess an LC card number, the searching can be done numerically when the book arrives. Then there will be only one number to check through two numerical indexes, and it is probable that the Library of Congress has cataloged the book since more time will have elapsed. For these reasons, this library does not usually search before ordering for cataloging copy for books published in the United States during the current or previous year. This has not created a problem of duplication since the on-order file is arranged by title, and the title of the book is also checked in the public card catalog before ordering.

The institution of the MCRS at Iowa State University Library has meant a saving of staff time and a more rapid retrieval of cataloging copy for new books. The staff used in the MCRS operation requires only a minimum amount of training. As the responsibility for seeking available catalog copy has been removed from the catalog department, professional catalogers have been freed to perform only original cataloging, thus increasing their productivity. Perhaps the most important effect of the MCRS is that books are processed more rapidly and, therefore, are available to patrons much sooner.

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The Main Entry and the Book Catalog

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The functions of the main entry in catalog structure are considered with reference to book catalogs. Some situations in which the main entry is of continuing necessity in the catalog are observed, as well as those areas where authorship responsibility must be assigned for other library functions. Excerpts from the book catalog of the J. Henry Meyer Memorial Library, Stanford University, are used to illustrate the conditions which result when the main entry is not used as the basis for the organization of the catalog. The idea that the main entry necessitates the unit entry and vice versa is questioned.

MOST OF THE RECENT STUDIES and articles on conversion of card catalogs to computer-produced book catalogs deal at great length with costs, typography, programming, hardware, and the like, but seem less concerned with the logical structure of the catalog itself. In many cases it seems to be assumed that multiple entry under every conceivable access point is the cheapest and best method, though no data are offered to prove this point. It is the intention here to consider the traditional mode of access to a library's collection through a catalog organized around the main entry; that is, a structured catalog, and to contrast this with an unstructured catalog in which the main entry has not been used. Admittedly, at the same time that the cost of conventional card catalogs has become intolerable, we have increased the demands upon the catalog, and to carry it forward by present methods assures further cost increases and diminishing effectiveness. Computer-produced book catalogs give strong evidence of being the solution to our problems, but librarians must be concerned with the form and structure of these catalogs to assure that they do not sponsor the creation of useless tools. The structure must, of course, be determined by feasibility and economy, but neither cost factors nor technological requirements should be allowed to displace the consideration of user needs. We have been assured of this as the following quotation indicates, but when the structure of the catalog is given little attention, can we feel confidence in such assurances?

No trustworthy price tag can be put upon increasing, improving, or accelerating access to information by means of an improved bibliographic listing. Insofar as

book catalogs are concerned, the motive behind their production appears to be only rarely that of saving money or even doing a job more economically; the motive is that of giving better library service.¹

Hopefully, the following discussion will show one area in which considerations of the effects of changes in the catalog can be debated with the main thought to "giving better library service."

In the introduction to the *Anglo-American Cataloging Rules* (hereafter, *AACR*) the statement is made that "Although the rules are oriented to multiple-entry catalogs, it has still been regarded as necessary to distinguish main entries from added entries."² Justifications for the main entry given in the *AACR* are that "... it sometimes happens that a work, other than the work being cataloged, must be identified by a single entry—e.g. a work about which the work in hand has been written or a work on which the work in hand has been based," and that there is a "... manifest general need, permeating all library, bibliographical and book-trade activities, for a standard way of identifying bibliographical entities."³ In fact, the burden of the first half of the *AACR* and portions of the second half is to determine what the main entry should be and how it should be stated. Thus we might say that a very large proportion of our cataloging labors and costs results directly from the problems involved in determining main entries. To what extent is this work necessary? Is this the best structure for our catalogs, or is there some preferable alternative? As one author notes, we cannot avoid answering these questions.

Indeed the limitations imposed by financial considerations involved with computers make it very necessary for all librarians to decide what sort of catalogues they want in the future, what is their ideal and what are their basic necessities. Unless they decide this sort of question now and stand by their decisions in the future, the machine and its attendant accountants and auditors will decide for them.⁴

The merits of the main entry as the device around which a library catalog may be organized have been widely debated in the past, but in view of present and impending challenges further consideration of the topic seems appropriate. Certainly the brief statements on the main entry in the introduction to the *AACR* do not seem very convincing, even though the very existence of the rules is predicated on this concept.

Seymour Lubetzky, who has been the principal elucidator of the problems of descriptive cataloging during the mid-twentieth century, has always tied his considerations of catalog function and structure to the objectives which he feels the catalog should accomplish. These objectives are:

- First, to facilitate the location of a particular publication, i.e., of a particular edition of a work, which is in the library.
- Second, to relate and display together the editions which a library has of a given work and the works which it has of a given author.⁵

The first objective presents the most rudimentary cataloging problem, but one which is fairly easily solved by multiple entries under the most obvious access points and the required cross-references. Lubetzky suggests solution of the more difficult second objective by deciding on one form of an author's name and one uniform title for every work which has been issued under variant titles. A catalog which does not recognize main entries can achieve this objective only in a haphazard and accidental way. Lubetzky has argued his points most convincingly from his early statements in *Cataloging Rules and Principles* to his recent summation in *Principles of Cataloging*, but he has not succeeded in bringing all catalogers around to this thinking.^{6, 7} In the latter publication he observes that ". . . the critics of the main entry were apparently oblivious of the objectives which the main entry was originally intended to serve."⁸ In fact, Lubetzky's objectives are not mentioned in the *AACR* and the rules for uniform titles have not been implemented by the Library of Congress, except in a few areas where the practice is of long standing.

In *Cataloging Rules and Principles* Lubetzky pointed out that the main entry was originally considered the most important entry, and that while "the liberal use of the unit card" has diminished the primacy of the main entry, the need for it still persists in single entry catalogs and union catalogs. To this he added ". . . the choice of the main entry will affect the character of the catalog, for in our use of the unit card the main entry appears under all the added headings. . . . In other words, the main entry provides that the works of an author and the editions of a work will stand together in the catalog not only under the name of the author but also under the added entries—editor, translator, subject, title, and series."⁹ This statement does not take into consideration the fact that many librarians ignore the main entry in filing added entries, except in the case of subject entries and series entries, the latter usually being filed numerically if numbered. The impact of the statement is strongest in regard to arrangement under subjects, which will be discussed at length below. Some of Lubetzky's arguments still apply, but changing filing rules have modified others.

In his recent publication, *Cataloging U.S.A.*, Paul Dunkin discusses the background for the use of the main entry. He points to the diminishing significance of citation by author in this ". . . age of increasing multiple authorship and corporate sponsorship," and he considers the possibility of title as main entry.¹⁰ This idea is convincingly eliminated, but he does not consider the possibility of multiple entries with no main entry at all, the unstructured form which is being used in some computer produced book catalogs and which is basic to the on-line computer retrieval of bibliographic information.

Another way of thinking about the function of the main entry in a structured catalog is to consider some alternative to it, and, if possible, study the alternative in use. The computer-produced book catalog of the J. Henry Meyer Memorial Library at Stanford University (JHM) provides a good test case.¹¹ An article about it plainly states that "A central

idea in the depiction of entries in the catalog is the abandonment of the main entry concept."¹² Unfortunately, the article does not give any rationalization of its policy, but only states that ". . . it was learned that more space could be saved in the catalog through abandonment of the unit card and the main entry concept. Articles by Ralph H. Parker and Wesley Simonton were instrumental in developing this aspect of the system."¹³ Some clarification may result from going back to Parker and Simonton.

In his article on book catalogs, Ralph Parker asks "Why is *main entry* so important? In a multiple entry catalog, there is no real significance to the main entry concept except in terms of the unit card to which we have become accustomed."¹⁴ No explanations are offered for this statement and the balance of the article deals with the cost advantages of computer-produced book catalogs. If any consideration has been given to producing catalogs with the usefulness to the library patron in mind, it is not mentioned. Simonton asks a similar question. "First is it necessary, assuming multiple entry points for a work, to establish a single entry as the 'main entry'; may we not, instead, think in terms simply of 'entries' for a work?" He states that "This question relates to our conception of the basic function of the catalog," but does not specifically answer his questions.¹⁵ The inference is that our ideas of catalog structure should be scrutinized and that some alternatives to the main entry concept may prove acceptable. No one would challenge that, but a look at the structure of the JHM catalog might test the validity of Simonton's and Parker's ideas. Three main questions will be considered here with particular reference to the JHM catalog. First, if the main entry is abandoned for catalog arrangement, are there persisting reasons for assigning authorship responsibility? Second, is the alphabetical subarrangement of items under subject headings by title a helpful arrangement for library users? Third, is the unit entry a necessary concomitant to the main entry?

Persisting Needs to Designate Authorship Responsibility

Whether or not the main entry is used to organize the catalog, the need for the designation of authorship responsibility persists in other areas. For this reason the abandonment of the main entry may result in economies in the catalog which will be lost elsewhere. Some of the library functions, in the catalog and otherwise, which require designation of authorship responsibility are as follows.

1. Single-entry bibliographies and union catalogs.

Since union catalogs are essentially single-entry catalogs, reports of holdings to them and requests of locations from them must be based on a single entry—the most important entry or the main entry. There would certainly be no economy for the union catalog which transacts business on the basis of random entry unless all possible entries are made accessible through a computer. This method may be found in use today, but

it is not employed as yet in the largest union catalogs. As pointed out in the following quotation from C. Sumner Spalding, editor of the *AACR*, union catalogs are not the only single-entry listings to be considered.

In any discussion of principles of choice of main entry it is useful to have clearly in mind that the need for any entry to be chosen as *main entry* depends on the fact that there are many situations in which that entry will be the *only* approach to the work in question. We are so used to multiple entry catalogs that we tend to forget the bibliographical situations in which there is only single access; for example, most union catalogs, many bibliographies, order lists, accession lists, and catalog entries that cite a book as subject or as a related work. In all bibliographical activities there is a general need for a standard mode of identifying a work. Were it not for these considerations, we could construct satisfactory multiple entry catalogs without having to concern ourselves at all with the problem of having to designate any particular entry as the main entry.¹⁶

2. Book numbers.

If works are to be systematically arranged on the shelves within each classification number, some recognition of authorship responsibility or the lack of it is necessary. If there is more than one work in any classification number, some further designation is necessary for easy shelving and retrieval. This could be an accession number, but if browsing is to be facilitated, all the works of an author on a particular subject should be grouped together. Small libraries which use Library of Congress descriptive copy can also copy LC call numbers, which include book numbers based on the main entry, but as soon as any original cataloging is done a book number will have to be devised. If no main entry is used, how will the book number be derived? In the JHM catalog the call numbers appear to be those assigned by the Library of Congress, including the book number based on the main entry. Large libraries, which have larger proportions of original cataloging, will have to resort in many cases to the designation of main entries from which book numbers can be derived, even if they have abandoned the main entry for catalog organization. The arrangement of the shelflist in some sort of order from which specific items can be retrieved is also dependent upon the use of book numbers (based on main entries).

3. Interlibrary loans.

In requesting works from another library "Materials requested must be described completely and accurately following accepted bibliographic practice."¹⁷ No definitions for terms are given in the draft of the Interlibrary Loan Code from which this is quoted, but it would seem reasonable to assume that they are referring to citation by main entry.

4. Identification of a particular work.

The author-title subject entry in Figure 1 illustrates the need to designate authorship. For example, if all criticisms of *A Connecticut Yankee in King Arthur's Court* are identified as CLEMENS, SAMUEL LANGHORNE. A CONNECTICUT YANKEE IN KING ARTHUR'S

COURT, they will be located together in the subject catalog and the library's holdings on this topic can be immediately ascertained. However, if one criticism is identified as above and another is identified as TWAIN, MARK. A CONNECTICUT YANKEE, the person finding one will not be aware of the other. The need for such consistent entries is even more obvious in a dictionary catalog where the subject entry can be filed following the original work and the relationship made obvious. In the JHM catalog the above work is cited under the first form given above. If the main entry concept is not followed as they say, how did they arrive at this form? The application of the author-title added entry is not limited to subject entries, but is also used to relate editions of changed authorship or title, and sources or other related works.

CLEMENS, SAMUEL LANGHORNE. A CONNECTICUT
 YANKEE IN KING ARTHUR'S COURT
 Mark Twain's fable of progress: political &
 economic ideas in a Connecticut Yankee. By
 Henry Nash Smith. Rutgers Univ. Press,
 1964. 116 p. PS1308.S5

Figure 1

5. Uniform title.

Some libraries such as the J. Henry Meyer Memorial Library recognize the need to assemble certain works under a uniform title, but a uniform title is meaningless unless associated with a particular entry. In Figure 2, *Works*. or *Selections*. has meaning only when used with Chaucer. Here again, a main entry has been designated in a catalog which does not use main entries. The example in Figure 1 illustrates this same point.

6. Related works.

The main entry provides a post upon which related works such as supplements and indexes may be hung. Figure 3 shows the title entry for *American Heritage* at the top of the page and the entry for the index to it at the bottom of the page under *Ten Year Cumulative Index*. A person looking at the entry at the top of the page could find out about the index only by accident. There is also an entry for *American Heritage* under American Association for State and Local History, but there is no indication that the work is indexed or that the library has a copy of the index.

Subarrangement of Items Under Subject Headings

The subject function of the catalog in most libraries is not simply to list all of the holdings on a certain subject, but also to assist the library user in making a preliminary selection of works about a subject before he goes to the shelves or calls for selected items. In traditional catalogs the catalog user can be aided in making this preliminary subject selection at the catalog by two structural devices. One is the arrangement

- Chaucer, Geoffrey
 [Works. 1938.]
 The complete poetical works of Geoffrey Chaucer, now first put into modern English. By John S.P. Tatlock and Percy MacKaye. Illus. by Warwick Goble. Macmillan, 1938. 607 p. PR1855.T3
- [Works. 1958.]
 Chaucer's poetry; an anthology for the modern reader. Selected and edited by E.T. Donaldson. Ronald Press, 1958. 1001 p. PR1852.D6
- [Works. 1961.]
 The works of Geoffrey Chaucer. Edited by F.N. Robinson. 2d ed. Houghton Mifflin, 1961. 1002 p. PR1851.R6
- [Works. 1963.]
 The complete works. Edited from numerous manuscripts by the Rev. Walter W. Skeat. 2d ed. Clarendon Press, 1963. 7 v. PR1851.S5
- [Works. 1964.]
 The portable Chaucer. Selected, translated, and edited by Theodore Morrison. Viking Press, 1964. 600 p. PR1855.M6
- [Selections. 1961.]
 Selections from Chaucer, edited by Marjorie M. Barber. Macmillan; St. Martin's Press, 1961. 175 p. PR1852.B3
- The book of Troilus and Criseyde. Edited by Robert Kilburn Root. Princeton Univ. Press, 1954. 572 p. PR1895.R6
- The Canterbury tales. Translated into modern English prose by R.M. Lumiansky. Holt, Rinehart and Winston, 1964. 482 p. PR1870.A1L8
- Canterbury tales. With an introd., notes and a glossary by John Matthews Manly. H. Holt, 1946. 721 p. PR1870.A1L8 1946
- Major poetry. Edited by Albert C. Baugh. Appleton-Century-Crofts, 1963. 615 p. PR1851.B3

Figure 2

of entries within a given subject by date of publication with further subarrangement within each year by some other characteristic such as author or title. This method is most commonly employed in catalogs for libraries in which currency of material is of primary concern. The other arrangement is alphabetical by main entry, with subarrangement within each main entry alphabetical by title. This method gathers together the works of authors on particular subjects, underlines the relationship of

American heritage.

v. 6- ; Dec. 1954-

Sponsored by the American Association for
State and Local History and the Society of
American Historians. E171.A43

American Heritage

The American heritage book of the
Revolution, by the editors of American
heritage. Editor in charge: Richard M.
Ketchum. Narrative by Bruce Lancaster, with
a chapter by J.H. Plumb. Introd. by Bruce
Catton. American Heritage Pub. Co., 1958.
384 p. E208.A52

American Heritage Civil War chronology.
With notes on the leading participants.
American Heritage, 1960. 1 v. (unpaged)
E468.7.A6 1960 SUPPL.

The American heritage history of World War
I. By the editors of American Heritage.
Narrative by S.L.A. Marshall. Editor in
charge: Alvin M. Josephy, Jr. American
Heritage Pub. Co., 1964. 384 p. D521.M412

The American heritage history of flight, by
the editors of American Heritage. Narrative
by Arthur Gordon. American Heritage, 1962.
416 p., illus. TL515.A624

The American heritage picture history of
World War II, by C.L. Sulzberger and the
Editors of American heritage. Editor in
charge: David G. McCullough. Pictorial
commentary: Ralph K. Andrist. American
Heritage, 1966. 640 p., illus. D743.2.S8

The American Heritage picture history of
the Civil War. By the editors of American
Heritage. Editor in charge, Richard M.
Ketchum. Narrative by Bruce Catton.
American Heritage, 1960. 630 p. E468.7.A6

The American Heritage picture history of
the Civil War. By the editors of American
Heritage. Editor in charge, Richard M.
Ketchum. Narrative by Bruce Catton.
American Heritage, 1960. 2 v.
E468.7.A6 1960

The American Heritage Pictorial atlas of
United States history, by the editors of
American Heritage. American Heritage,
1966. 424 p., illus.
Also Shelved in Reference Alcove 340.
G1201.S1A4

Book of Indians, by the editors of American
Heritage. Editor in charge, Alvin M.
Josephy, Jr. Narrative by William Brandon.

Figure 3

Introd. by John F. Kennedy. American
Heritage, 1961. 424 p. E58.A53

History of the great West, by the editors
of American Heritage. American Heritage
Pub. Co., 1965. 416 p. F591.A45

Men of science and invention, by the
editors of American Heritage. Narrative by
Michael Blow, in consultation with Robert
P. Multhauf. American Heritage Pub. Co.,
1960. 153 p. T212.A35

Ten year cumulative index, American
heritage. Volume VI, Number 1–Volume XV,
Number 6. December, 1954–October, 1964.
American Heritage, 1965. 187 p.
E171.A43 INDEX

Figure 3 (cont'd)

authors to the works they produce, and capitalizes on the fact that many catalog users select a particular work on a particular subject because of the author's reputation. If a catalog is very small, with only a few entries under each subject, the catalog user can afford to read through all the entries under a particular subject in order to make his choice, and structure is of minor importance. However, in a large catalog, if no aid is given, as in the case of alphabetical arrangement by title, one can only assume that the user will make his selection on the basis of a random encounter. Admittedly, this will also be the case in the structured catalog if the user has no care of currency of treatment of the subject and/or has no knowledge of authors, notable or otherwise, who have dealt with the subject. When the catalog does not structure subject files by highlighting significant characteristics, then the user is obliged to structure the data himself, the degree of success being determined by the size of the file and the user's processes of observation and deduction. In any case, it would seem to be a wise idea to explore the ways in which catalog users make subject selections before we depart from main-entry organized catalogs.

In the JHM catalog works are subarranged under each subject alphabetically by title. The following quotation about the JHM catalog shows the usual lack of concern for the results of such arrangement.

Subarrangement by title is most unusual, but such an arrangement would not appear to do any violence to the theoretical functions of the subject catalog. Assuming that the subject catalog is used almost entirely for searches in which no specific title is sought, it would appear to be as satisfactory an arrangement as any other.¹⁸

Figure 4 shows the entries from the JHM catalog which are alphabetical-ly arranged by title under the subject CLEMENS, SAMUEL LANGHORNE. The entries have been copied from the catalog rather than using a reproduced page so that a better comparison may be made with the main-entry arrangement shown in Figure 5. In other words, both ex-

- CLEMENS, SAMUEL LANGHORNE
- The adventures of Mark Twain, by Jerry Allen. Little, Brown, 1954. 359p. PS1331.A7
- The autobiography of Mark Twain, including chapters now published for the first time. As arr. and edited, with an introd. and notes, by Charles Neider. Harper, 1959. 388p. PS1331.A2 1959
- A casebook on Mark Twain's wound, edited by Lewis Leary. T. Y. Crowell, 1962. 351p. PS1331.L42
- Gold rush days with Mark Twain, by William R. Gillis. With an introd. by Cyril Clemens. Illustrated with woodcuts by H. Glintenkamp. A. & C. Boni, 1930. 264p. F865.G48
- Mark Twain & Huck Finn, by Walter Blair. Univ. of California Press, 1960. 436p. PS1305.B5
- Mark Twain: an introduction and interpretation. By Frank Baldanza. Barnes & Noble, 1963. 150p. PS1331.B3
- Mark Twain, by Lewis Leary. Univ. of Minnesota Press, 1962. 48p. PS1331.L43
- Mark Twain, by Stephen Leacock. P. Davies, 1932. 167p. PS1331.L4
- Mark Twain: man and legend. By DeLancey Ferguson. Charter Books, 1963. 352p. PS1331.F4
- Mark Twain: social critic. By Philip S. Foner. International Pub., 1958. 335p. PS1331.F6
- Mark Twain, son of Missouri. By Minnie M. Brashear. Russell & Russell, 1964. 294p. PS1331.B6
- Mark Twain and Elisha Bliss, by Hamlin Hill. Univ. of Missouri Press, 1964. 214p. PS1334.H5
- Mark Twain as a literary artist, by Gladys Carmen Bellamy. Univ. of Oklahoma Press, 1950, 396p. PS1338.B4
- Mark Twain at work, by Bernard De Voto. Harvard Univ. Press, 1942. 144p. PS1336.D4
- Mark Twain handbook. By E. Hudson Long. Hendricks House, 1957. 454p. PS1331.L6
- Mark Twain in Virginia City, by Paul Fatout. Indiana Univ. Press, 1964. 240p. PS1332.F3
- Mark Twain's America, by Bernard De Voto. Houghton Mifflin, 1960. 351p. PS1331.D4
- Mark Twain's autobiography. With an introd. by Albert Bigelow Paine. Harper, 1924. 2v. PS1331.A2
- Mark Twain's humor; the image of a world. By Pascal Covici, Jr. Southern Methodist Univ. Press, 1962. 266p. PS1338.C65
- Mr. Clemens and Mark Twain; a biography. By Justin Kaplan. Simon and Schuster, 1966. 424p. PS1331.K33
- My father Mark Twain, by Clara Clemens. Illustrated from family photos. With hitherto unpublished letters of Mark Twain. Harper, 1931. 292p. PS1331.C4

Figure 4. Subject Entries Excerpt from JHM Catalog
Subarranged Alphabetically by Title

amples include the same works, but in a different format. Comparison of these two arrangements suggests the following conclusions.

1. Many titles are the same or very similar, so a straight alphabetical title arrangement requires reading far into the entry before a differentiation can be made. Sometimes the alphabetical arrangement is determined by the wording of the author statement rather than the title. Thus *Mark Twain*, by Lewis Leary, comes before *Mark Twain*, by Stephen Leacock. In the JHM catalog there are twenty entries beginning with the words Mark Twain. In several cases it is necessary to go beyond

- CLEMENS, SAMUEL LANGHORNE
 Allen, Jerry
 The adventures of Mark Twain.
 Little, Brown, 1954. 359p. PS1331.A7
- Baldanza, Frank
 Mark Twain: an introduction and
 interpretation. Barnes & Noble, 1963.
 150p. PS1331.B3
- Bellamy, Gladys Carmen
 Mark Twain as a literary artist.
 Univ. of Oklahoma Press, 1960. 300p.
 PS1338.B4
- Blair, Walter
 Mark Twain & Huck Finn. Univ.
 of California Press, 1960. 436p.
 PS1305.B5
- Brashear, Minnie M.
 Mark Twain, son of Missouri, Rus-
 sell & Russell, 1964. 294p. PS1331.B6
- Clemens, Clara
 My father Mark Twain. Illustrated
 from family photos. With hitherto un-
 published letters of Mark Twain. Har-
 per, 1931. 292p. PS1331.C4
- Clemens, Samuel Langhorne
 The autobiography of Mark
 Twain, including chapters now pub-
 lished for the first time. As arr. and
 edited, with an introd. and notes, by
 Charles Neider. Harper, 1959. 388p.
 PS1331.A2 1959
- Clemens, Samuel Langhorne
 Mark Twain's autobiography. With
 an introd. by Albert Bigelow Paine.
 Harper, 1924. 2v. PS1331.A2
- Covici, Pascal
 Mark Twain's humor; the image of
 a world. Southern Methodist Univ.
 Press, 1962. 266p. PS1338.C65
- DeVoto, Bernard
 Mark Twain at work. Harvard
 Univ. Press, 1942. 144p. PS1336.D4
- DeVoto, Bernard
 Mark Twain's America. Houghton
 Mifflin, 1960. 351p. PS1331.D4
- Fatout, Paul
 Mark Twain in Virginia City. In-
 diana Univ. Press, 1964. 240p.
 PS1332.F3
- Ferguson, DeLancey
 Mark Twain: man and legend.
 Charter Books, 1963. 352p. PS1331.F4
- Foner, Philip S.
 Mark Twain; social critic. Interna-
 tional Pub., 1958. 335p. PS1331.F6
- Gillis, William R.
 Gold rush days with Mark Twain.
 With an introd. by Cyril Clemens. Il-
 lustrated with woodcuts by H. Glinten-
 kamp. A. & C. Boni, 1930. 264p.
 F865.G48
- Hill, Hamlin
 Mark Twain and Elisha Bliss. Univ.
 of Missouri Press, 1964. 214p.
 PS1334.H5
- Kaplan, Justin
 Mr. Clemens and Mark Twain; a
 biography. Simon and Schuster, 1966.
 424p. PS1331.K33
- Leacock, Stephen
 Mark Twain. P. Davies, 1932. 167p.
 PS1331.L4
- Leary, Lewis
 A casebook on Mark Twain's
 wound, edited by Lewis Leary. T. Y.
 Crowell, 1962. 351p. PS1331.L4
- Leary, Lewis
 Mark Twain. Univ. of Minnesota
 Press, 1962. 48p. PS1331.L43
- Long, E. Hudson
 Mark Twain handbook. Hendricks
 House, 1957. 454p. PS1331.L6

Figure 5. Subject Entries Subarranged Alphabetically by Main Entry

the title to determine alphabetical arrangement.

2. Some rules for filing order under title have been deemed necessary, so the filing procedure under title is not plain and simple and cheap. Evidence of this is that *Mark Twain & Huck Finn* comes before *Mark Twain, A Biography*; while *Mark Twain: the Man and His Work*

comes before *Mark Twain and Elisha Bliss*. Also, *Mark Twain: an Introduction and Interpretation* comes before *Mark Twain*, by Lewis Leary. (Letter-by-letter machine filing, ignoring punctuation.)

3. Filing of entries under subject is simpler when the main entry form of subarrangement is used. The apparent complications of filing listed above and shown in Figure 4 should illustrate this point. The filing of authors' names can usually be based on differentiation made in the first few letters of the name.

4. A person seeking a work about Samuel Clemens by a distinguished writer such as Bernard DeVoto is obliged to read the whole page in his search. Furthermore, he must read far into the entry to find the author.

5. A person who finds one work by DeVoto and wonders if this author has written anything else on the subject must either go to the author catalog, where he is confronted with the whole list of DeVoto's works to read through, or he must read through the whole subject section on CLEMENS.

6. A person finding *The Autobiography of Mark Twain* near the beginning of the title listing under CLEMENS may assume that it is the only edition of the *Autobiography* in the library, when there is another listed several eye motions away under *Mark Twain's Autobiography*. In an open shelf collection he might discover this fact when he gets to the shelves, but in a closed shelf collection he would not.

7. As libraries increase in size, the bulk of the entries under each subject heading necessitates some further suborganization to facilitate subject searches. In the JHM catalog, which represented a collection of under 50,000 volumes in June 1967, there are thirty-eight titles listed under CLEMENS as subject. Consider the entries to be found in a collection of 1,000,000 volumes. The problems cited above would seem to be compounded by such an increase in size.

8. Some serial titles such as *Bulletin*, *Newsletter*, *Report*, *Proceedings*, etc., are nondescript and must be used in association with an author (usually corporate) when enumerated under a subject heading. JHM Library seems to have been lucky in avoiding such situations thus far as no examples can be found. Here again, if there are many works with the title *Report* under a certain subject heading, the filing will not be based on the title, but on the title and the author statement; the title alone not being sufficient to distinguish the entry.

The Main Entry and the Unit Entry

Some writers on the subject of the main entry seem to assume that it is eternally tied to the unit entry, but the fact that this is not true is illustrated by numerous book catalogs which use the main entry, but not the unit entry. If the full information is included under the main entry and is repeated under every other entry, then the library user is most likely to learn what he needs to know in the first place he looks in the catalog and he may also learn things he doesn't need to know. However, ways can be found to abbreviate the information given under added en-

tries, and can be employed if inconvenience to the catalog user is kept at a minimum. This has been carried so far in some cases in the JHM catalog that the entries are shortened to the point that they do not convey the full bibliographic picture. A good example of this is shown in Figure 6 where the fact that *Inflation and Growth in Latin America* is a conference report is not shown in all the entries.

Conference on Inflation and Economic Growth
In Latin America, Rio de Janeiro, 1963.
Inflation and growth in Latin America,
edited by Werner Baer and Isaac
Kerstenetzky. R.D. Irwin, 1964. 542 p.
A publication the the Economic Growth
Center, Yale University. HG805.C6

Baer, Werner
Inflation and growth in Latin America,
edited by Werner Baer and Isaac
Kerstenetzky. R.D. Irwin, 1964. 542 p.
A publication the the Economic Growth
Center, Yale University. HG805.C6

Figure 6

In other cases further abbreviation would not have impaired the usefulness of the entry. Why not Calif. Univ. Pr., rather than California Univ. Press?

Conclusions

Book catalog producers must obviously consider possible abbreviations and condensations of catalog entries which will keep costs within reasonable limits. The JHM catalog has eliminated series added entries, place of publication, most notes, and tracings, as well as the main entry. Some of these things may never be missed and we might also consider the elimination of the publisher statement as well, but these things should be done only after careful consideration and with the realization that the catalog produced is the possible catalog, not the ideal. We must continue to consider the objectives of the catalog and not produce catalogs of economy and expediency rather than utility. We must continue to encourage and sponsor meaningful catalog use studies. In any case, catalog structure is the most important determinant of catalog effectiveness, and as such it should be granted due consideration.

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Copyright and the Question of Authorship

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The basic concepts of copyright law have come to be applied to "literary or artistic works." The author of a "literary or artistic work" creates both the ideas and the particular combination of characters which represents those ideas on paper. The component parts of the author's work consist of a distinct creation; namely, the ideas themselves and the compilation of these ideas in their blended condition—the combination of characters—upon the written or printed page. The object of copyright law is protection of an author's work, which constitutes a legal relationship consisting of a set of facts. Ideas, however original, are not protected under the copyright law. The problem arises: What works are to be protected? In this paper works protected are enumerated and explained.

Introduction

“AUTHOR PRINCIPLE” found its full realization in the revision of the *Anglo-American Cataloging Rules*.¹ It is established for the choice of main entry for works produced by author or joint author, anonymous, pseudonymous or posthumous works, collective works, compilations, adaptations, abridgments, translations, etc.² The cataloger, when applying the stipulated rules, should be guided by “the nature of the work and by importance of individuals’ contributions or responsibility for the production of the work.”³

As a key to understanding the direction and tendency of “the nature of the work” and “individuals’ contributions or responsibility for the production of the work,” a notion of the elementary copyright ideas—“author’s right” and “protected works”—can be of some practical value to the cataloger.

Author

The generally accepted rule is: *Auctor est quem opus demonstrat*—the author is the one the work says it is. The one who performed the intellectual labor of producing the work is the author of literary or artistic work. A literary production is primarily the property of the author who has created it, and until he has parted with it, he alone is entitled to the privilege given by the copyright.⁴

The author of a “literary or artistic work” creates both the ideas and the particular combination of characters which represents those ideas on paper. In other words, the component parts of an author’s work consist of a distinct creation; namely, the ideas themselves and the compilation of these ideas in their blended condition—combina-

tion of characters—upon the written or printed page. An intellectual creation without a material form may exist in the mind of the author, but only when it is embodied in a written form can it possess the attributes of copyright. Therefore, there cannot be any protection of intellectual production unless it is expressed in a written definite order of words.⁵

No difficulty arises when the same person conceives the design of a work and executes the entire work himself. However, there are cases where more than one person is involved with the ultimate result, such as works of joint authorship, anonymous or pseudonymous works, posthumous works, collective works, works in the course of employment, compilations, adaptations, abridgments, cinematographic works, translations, oral works, works of juristic persons, and free works—public domain.

Joint Authorship

When two persons undertake jointly to write a book—agreeing on the general outline and design and sharing the labor—with each contributing to the whole production, they may be said to be joint authors. Copyright will be vested in two or more authors, who will thereby become owners in common of the undivided property. Upon the death of one coauthor his interest does not pass to his collaborators, but to his personal representatives as part of his estate. A person who has made merely suggestions or certain alterations in a work without the cooperation of the author is not held to be a joint author.⁶

Anonymous or Pseudonymous Works

The terms anonymous or pseudonymous apply to any work where no name is given sufficiently for a person to identify the author. If a pseudonymous work is published under initials and it is a matter of common knowledge that these initials or words represent a particular author, this person enjoys copyright protection.⁷

Anonymous or pseudonymous works are the property of their authors. The publisher whose name is indicated on the work, in the absence of proof to the contrary, shall be entitled to act as the representative of the author, and in this capacity shall be entitled to protect and enforce the author's rights. As long as the author keeps in the shadows his interests are managed by the representative, who may also be the original publisher of his work. If the author or artist throws away his anonymous or pseudonymous mask and reveals his identity, then the publisher shall cease to be the representative of the author or artist. The legislation of countries provides a shorter duration term of authors' rights for anonymous or pseudonymous works than for a known author. For example, the Universal Copyright Convention (1952), of which the United States is a member, in article 4, paragraph 2, provides for known original author. "The terms of protection for works protected under this Convention shall not be less than the life of the

author and 25 years after his death." However, in article 4, paragraph 4, which deals with anonymous and pseudonymous works, ". . . the term of protection shall not be less than twenty-five years from the date of the first publication." The intention of this provision is to encourage the writer or artist to get out from the anonymous or pseudonymous mask, and to enjoy the longer duration of his rights.⁸

Posthumous Works

A work published after the author's death is a posthumous work. The conception of the posthumous work differs in various countries. In some countries a work is posthumous if it has not been "published" by the issuance of copies to the public during the author's lifetime. In other countries a work is not deemed posthumous if it has been well known to the public by any means whatsoever—for instance, presentation (in the case of a dramatic work), execution (if a musical work), or exhibition (if a work of art).⁹ The legislation of the countries is entirely free to provide a term of duration of authors' rights for any posthumous works. However, the Universal Copyright Convention provides for ". . . twenty-five years from the date of the first publication."¹⁰

Collective Works

Collective works are those in which the creative element is not originated by the various contributors, but by the person who selects and coordinates the work of the contributors, aiming at a determined purpose—literary, scientific, educational, religious, political, artistic, etc.¹¹

However, collective works are the result of two distinct creative activities: one concerning individual contributors, and the other concerning unitary works. The individual contributor is the author of his distinct contribution. The unitary creative activity is the labor of a person who edits the work or arranges the various contributions. There appear to be two distinct copyrights: (1) In the collective work, considered as a whole; (2) in the distinct works of the various contributors to the collective work.

The copyright of collective works may be invested in an individual (natural person) or a judicial person under whose name the work is published. Its rights are derivative. This means that the copyright on collective works does not belong originally to a representative, under whose name the work is published, but to the individual contributors.

The labor and skill in selecting and arranging "independent works by different authors" make it possible to give copyright protection to the resulting work, and the collector is the representative of the new work. The collective works may be published under the name of an individual person or a corporate body, with a collective title or without one.

A collective work is an encyclopedia, dictionary, yearbook, or similar work. The term may also be used in reference to a newspaper, re-

view, magazine, and in any work written in distinct parts by different authors, or in which works or parts of works of different authors are incorporated.¹²

Works in the Course of Employment

When an author or artist is employed by another person to write a book or draw a picture, in absence of express contractual reservation of copyright in a "literary or artistic work," *presumptio iuris et de iure* is that the copyright is enjoyed by the person at whose instance and expense the work is done. The employer's copyright is derivative. The original right "owes its origin" to the author or artist. However, a work created during the course of an author's employment by the proprietor of a newspaper, magazine, or similar periodical vests copyright in the proprietor of that newspaper, magazine, or similar periodical. The employer-proprietor of that publication is entitled to copyright of the work only insofar as the copyright is related to publication of the work in the newspaper, magazine, etc., and for the purpose of its being so published.¹³

Compilations

The labor and skill employed in selecting and arranging existing subject matter, such as in the case of an arrangement of broadcasting, a school textbook, a book of scientific questions and answers, a directory, a trade advertisement, a manual of classified information for the use of motor car insurers, etc., may make it possible to give copyright protection to the resulting work.¹⁴

Adaptations

The expression "adaptation" is used to define the construction of a dramatic version of a nondramatic work, or a nondramatic version of a dramatic version. It may also mean translating the work or producing a version in which the story action is conveyed wholly or mainly by means of pictures in a form suitable for reproduction in a book, or in a newspaper, magazine, or similar periodical.¹⁵

The construction of such material—rewriting a work in a different literary form—requires appreciable amounts of skill and labor, and the creator of such work enjoys the copyright protection.¹⁶

Abridgments

Copyright may likewise exist in an abridgment. It is said that such abridgments may, with great propriety, be called new books and therefore, they are original literary works.¹⁷

To constitute a true and equitable abridgment, the entire work must be preserved in its precise import and exact meaning. The act of abridgment is an exertion of the understanding employed in moulding and transfusing a large work into a small compass, rendering it less expensive and more convenient. Independent labor must be apparent and

clearly indicate that the work is no longer that of the original author. The reduction of the size of the work by copying some of its parts and omitting others confers no title to authorship since to shorten a work by leaving out the unimportant parts is not abridging in a legal sense. To abridge, in the legal sense of the word, is to preserve the substance—the essence of the work—in language suited to such purpose—language substantially different from that of the original. Labor, skill, and judgment are conditions for the acquisition of copyright.¹⁸

Cinematographic Works

The terms “cinematographic works” or “motion pictures” represent forms of reproduction of literary or artistic work. They are products of various intellectual creators. There are separate authors for a series of photographs, the sound track of a film, a dramatic work, the arrangement of acting forms or the combination of incidents represented, scenario or script, musical composition, etc. Authors of these parts are designers of ideas and give their expression to a separate work embodied in the film.¹⁹ All of them are coauthors of a cinematographic work. Each of them enjoys separate copyright protection. Nevertheless, none of them, even though they contributed separately to the cinematographic work, can separately transfer their rights to another cinematographic industry because that would be contrary to their mutual rights and obligations upon which the protection of the cinematographic work is based.²⁰

Translations

An author of a literary or scientific work can make his work known and understood, in any other language than his own, through the means of translation.²¹ A translation is the reproduction of a literary or scientific composition in a language foreign to that of the original. The translator reproduces the substance, in whole or in part, of a composition in another language. This translation or reproduction of the original work into another language requires labor, skill, and learning. The translator laboriously selects words and phrases and delivers to the public, in a new form, the creativity and efforts of another author's work. In other words, the translation and deliverance of a book to the public is the product of the translator's labor, as the original work is the product of the labor of the original author. If the author gives evidence of his skill and choice of expression or labor in a literary and artistic composition, he is entitled to enjoy all the prerogatives of the copyright law.²² However, it would be noted that two separate rights may exist in respect to the translation of a work: (1) The rights of the author of the original work, and (2) the rights of the author of the individual translation.²³

The jurists agreed that there should be a certain period during which the right of translation should belong exclusively to the original author and that, as long as the author's exclusive translation right en-

dured, no other person could, without the permission of the original author, make a lawful translation. The chief question to be determined was the length of the original author's rights, and there were, of course, many differences of opinion in this regard.²⁴

Some countries felt that the author should hold the exclusive translation authorization for the entire copyright term that existed for his work. Other countries believed that the author's exclusive translation rights should be limited to a relatively brief period. The countries that desired limitations of the author's translation rights considered limitations to be vital for the growth of their national language and for the cultural, educational, and scientific advancement of that language.²⁵ For example, the Universal Copyright Convention in article 4, paragraph 2, provides the terms of translation protection: "the life of the author and twenty-five years after his death."²⁵ Restrictive, however, is paragraph 2 of article 5, which establishes that:

. . . any contracting state may, by its domestic legislation, restrict the right of translation of writings.²⁶

This subjects it to the conventional clause, in the same paragraph, that states: "after the expiration of a period of seven years from the date of the first publication," any person may obtain license to translate a work, even against the will of the author. It made no division between scientific and other works, but gave an exclusive right of seven years for all works.²⁷ In other words, seven years is the period of absolute protection of an author's right to make, to publish, or to authorize the making and the publication of any translation.

Oral Works

Oral works are those works originally destined to be spoken and not written—political speeches, religious sermons, funeral orations, judicial pleadings, etc. The protection of oral works found its various solutions in national laws, inspired by social necessity for their wider and liberal diffusion.²⁸

It was held that works, in order to enjoy the protection of copyright law, must be expressed in some form of written notation. Thus, a speech or lecture would not be entitled to copyright law since they lack *corpus mechanicum*—as a means for tangible protection of immaterial goods—ideas. Oral works cannot be the object of protection until they are taken in possession by either reduction in writing or recording on a dictaphone, sound film, or other recording device. The representative of the copyright in this case is the person who, as a participant in a discussion, conversation, or interview, essentially combines and considerably extends the oral proceedings in a written report.²⁹

Works of Juristic Persons

The word person (*persona*) has two accepted meanings in the language of the law: natural person and artificial or legal person. Natural

persons as well as legal persons can be the bearers of rights and obligations.³⁰

Widely differing definitions of legal persons have been developed in the legal systems of various countries. Only one idea is found in all laws: That the legal person is an abstract concept of an aggregate group of persons endowed with legal personality. Jurists accept a legal person—invisible, intangible, and existing—only in contemplation of law as a juridical person, called corporation. They classify the corporation, in view of the object and purpose of its creation and the powers conferred upon it, as a political, public, and private entity.³¹

Political corporations—states and subdivisions of states (cities, towns, parishes, counties, school districts, etc.)—exercise authority over a defined division or subdivision of a territory. Public corporations are invested with performing public duties in order to provide and supply a public need. Private corporations are those whose purpose is to undertake the advancement of private enterprise and which possess privileges not available to individuals.³²

The designated powers of corporations are entrusted in the hands of officers. The powers of officers are always derivative and partake of the nature of an agency, trust, or employment. The personality which appears in the exercise of official powers exists apart from the individual and continues in perpetual succession. The implied official powers might be constructed in the context of the instrument from which officers receive their powers.³³

The chiefs of state, heads of government, etc., represent a case *sui generis*. In the eye of the law they are not viewed in their natural capacity but have advantages—particularly that of perpetuity—which they could not have in their natural capacity. These privileges for the benefit of the state and public are vested by the constitutions of the state. In order to avoid numerous and great inconveniences it is absolutely necessary that there should be no *interregnum*, but only perpetual reign. The concept of perpetuity rests on the maxim of common law that the “king never dies.” It is based upon the assumption that the state, which protects and cares for all, never ceases to exist, but is always alive and active in the performance of its duties to the citizens.³⁴

There are great differences in respect to the conditions under which a group acquires personality. French law, for example, grants legal personality to any civil or commercial partnership. English, German, Swiss, and Anglo-American laws refuse to treat mere partnership as a legal entity. In Anglo-American law, besides the corporation aggregate, a type of legal person unknown elsewhere has developed in the forms of associations and societies.³⁵

The general rule accepted in almost all legal systems is that corporations, associations, societies, etc., cannot be deemed authors of literary or artistic work. Works owned originally or edited and published by juristic persons are created by natural persons. However, the law of most countries explicitly grants the copyright to the juristic person

under the assumption that the nature of the work is an "expression of the corporate body." The expression of corporate thought or activity is represented in literary or artistic work in a written form of official records and reports, statements, studies, and other communication dealing with the policies, operations, management, etc. The copyright for intellectual creations of officers, who come and go and contribute to the nature of an agency, trust, or employment, is transferred, *ex lege*, to legal persons. The works—literary, scientific, educational, religious, political, or artistic—originated in and published by a corporation, association, or society are the property of the corporate body, and it alone is entitled to the privilege of the copyright.³⁶

Free Works—Public Domain

To lock up an author's works in the hands of his heirs and legal representatives by the perpetual protection of the author's rights would represent a serious obstacle for the progressive march of culture in a civilized society. Perpetual protection of the author's rights would create a monopoly and impose a tax upon cultural and public life. A community could not survive without freely expressed ideals, hopes, expectations, standards, and opinions from those members of the community who are passing out of the group life to those who are coming into it. Social need led to the minimum copyright protection, and the right of perpetuity of property as the result of intellectual production was denounced as odious and selfish. Therefore, a vast accumulation of ideas, the products of centuries, has become common property through the medium of books and is known as "public domain." Ideas in the public domain are free, and anyone may use them at will. An author, by turning the old ideas over in his mind, reproduces a new original form and acquires copyright protection as creator of a new work on the grounds of his labor.³⁷

The writer's works are the basis for the inspiration and creation of new works, whether literary, artistic, or scientific, which serve as the rallying point for the intellectual creation of future generations. As Sir Isaac Newton, acknowledging his indebtedness to Copernicus, Kepler, Galileo, and other predecessors, said:

If I have seen further than other men it is by standing on the shoulders of giants.³⁸

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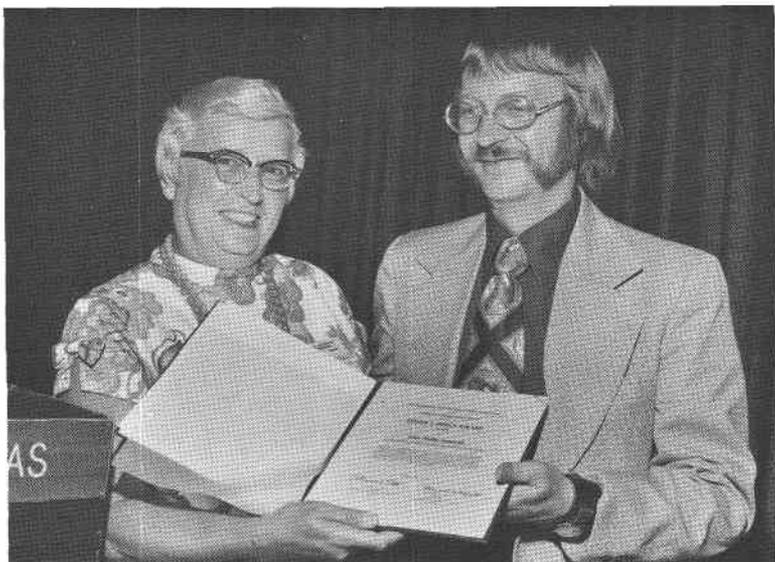
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John Phillip Immroth

JAY E. DAILY

*Professor of Library and Information Science
University of Pittsburgh
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The Resources and Technical Services Division of the American Library Association presents the Esther J. Piercy Award for 1971 to John Phillip Immroth in recognition of his contributions to technical services. Within six years he has made an impact on librarianship through his research, writings and teaching. In each of these he has demonstrated an emerging potential for leadership and scholarship. His search for improvement of traditional teaching methods identifies him as an innovator and a humanist. His involvement in the profession reflects the deep concern for excellence which characterized the career of the librarian in whose name this Award has been created.



The Esther J. Piercy Award is presented to John Phillip Immroth by Margaret W. Ayrault, chairman of the Piercy Award Jury, RTSD.

WHEN A FOND PARENT modestly, but insistently, recites the virtues and achievements of his offspring, his listeners stifle a yawn and respond with little murmurs of approbation heavily laced with boredom. The adviser in a doctoral program tends to acquire a fondness that is very nearly parental for his advisee and includes a deep appreciation of the student's talents as well as an awareness of the flaws and defections that make us, in Nietzsche's words "human, all too human." For praise to come from an adviser is rather less impressive than the encomium another more impartial observer might readily deliver. Despite the fact that we are still colleagues and have coauthored a book derived

from coplanning a course, my academic offspring is now out on his own, organizing his own section of the University of Pittsburgh's library and information science program. He was mature long ago, and a wise policy puts all the burden a man can carry on him as soon as he shows any willingness to accept it. This is as it should, and must inevitably, be. My bias therefore, has somewhat lessened, though I am still a great distance from impartiality.

A student who made a survey of the faculty discovered that all but one of us called ourselves "librarians." The one who said he was an educator has now been honored with the well-earned recognition of his contributions to the practice of an art perfected by Esther Piercy in whose name the award is given. Having seen his abilities early, and clearly, my first impulse is to wonder why there was such a wait. But it comes at a time and has a meaning for the profession that should be observed by all who are interested in the Esther Piercy Memorial. Most significantly, the award is given to a man whose chosen profession is "educator." He is at one remove, at least, from the sweat and trouble of a technical services department. His talents and his experience lie elsewhere and are of such magnitude that only a significant prize and a cherished memory can give them the lustre they deserve.

In the classic phrase of the White House Conference on Youth, "We are in the midst of a social, political and cultural revolution," and not a minute too soon. Part of this revolution is, I hope, a change of attitude toward professional schools and professional educators in them. Professor Immroth is not so much an innovator as an unbiased investigator with a passionate belief in the meticulous work of the scientific method applied vigorously to any problem at hand. If he finds and can prove with the clarity and elegance of a mathematical formula that an assumption is fallacious, he announces this discovery not because he wishes to embarrass or annoy, but because it is true. He is cautious and a severe critic of his own work, and he will delay a decision until the last member of an equation is tied down and locked into place. Once this proof is determined, he is ready to carry it to fullest utilization. What do his achievements to date mean? How will they affect us in the future?

Caruso was once asked what he liked to sing. He answered simply, but with profound meaning, "Words." What Professor Immroth would answer to the question of what he likes to teach would be just as simple and profound, "Librarians." Perhaps implying that they are as much born as made, and prior education and experience would not hinder him. Professor Immroth is an educator who uses the process of teaching in order to educate. He does not impart information so much as he inspires students to relish education rather than schooling. The latter is brief, the former lifelong. As an educator he is helping to produce a new breed of librarians, rather like himself. They are not the harmless drudges of modern times, making lexicons of book titles primly arranged under main entry. They are vitally interested in their work,

ambitious, energetic, motivated by intense curiosity, and cautious about drawing conclusions too soon or too loosely. Possibly they have a temper, slow to arouse, never really lost, soon replaced by a kind of patient dignity. They are fearless. They seize upon opportunities for improvement and create them if they do not exist. They are self-contained at their work and inspire an attitude of cooperation on all sides. In this view a library is more than a place to work; it provides an opportunity to be truly alive, truly keeping pace with the world. It is like the classroom where Professor Immroth was so much at home, and so much alive. He shows them that a library is a place where the horizons expand.

Having given Professor Immroth enough pats on the back for his achievements to date to make him duck when he sees me, I am personally grateful that my fellow librarians have taken over the job. No one has worked more diligently than he, and what can be more gratifying than to find my fellow professionals agreeing that no one deserves the encouragement that the award means more than Professor Immroth does at this time? For if the award is to be meaningful, it is a signpost toward the state of intellectual exchange that makes all librarians a community of scholars serving the whole community of man. After my fifth, but I hope not last, trip around the world, going so far west that I would have come back to Horace Greeley without turning around if he had sent me, it is a kind of solemn joy to find American librarianship still on the move, still a youthful profession regardless of the age of its practitioners, still independent, and still honoring the men who help us most.

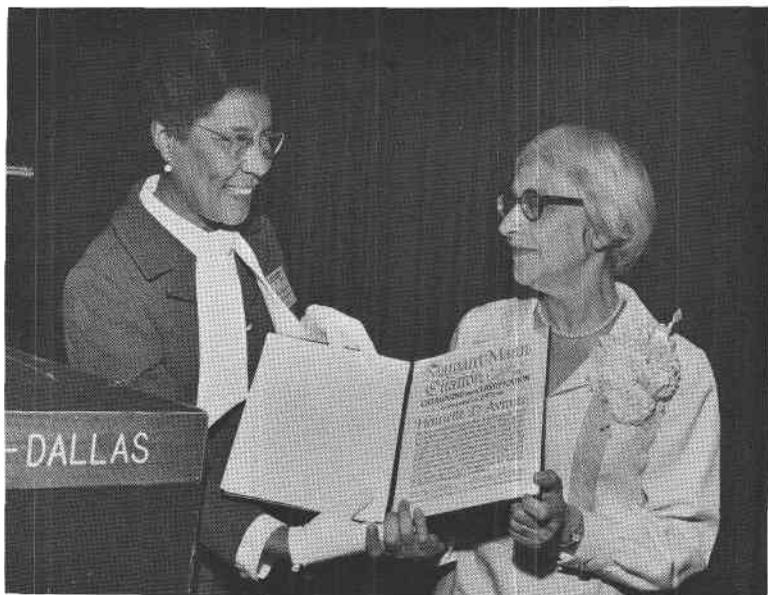
For Professor Immroth's adviser is a librarian engaged in education because that's where he seems happiest. He benefited at close range from the power and fearlessness of Professor Immroth's mind. It means much when an adviser can say that his own horizons have expanded, his knowledge has increased, let us hope, and though he thought he could not cherish his work more, Professor Immroth demonstrated how. In a rather slow-growing treatise on library education, I explain that the doctoral candidate must go to the brink of present knowledge and face the blackness of ignorance all alone. There he feels a kind of fearfulness and despair that is hard to describe. The adviser stands back, safely secure in his well-trod rut of tested conclusions and, if he is wise, simply makes it impossible for his advisee to turn back and take shelter in the rut. A splendid student will take the adviser out of the rut and bring him to the fearful brink of "whatever is, is unknown."

This tribute could have been subtitled, *Family Man*, or *Concerned Citizen*, or even despite his preference, *Librarian*, but primarily it is as educator that John Phillip Immroth has made an enduring mark on our profession. He is helping us to lead ourselves out of our stagnation to the point where we can think, as Ouspensky advises, "in new categories." We may find that he has gone on ahead, but then he shares "lovely light."

Henriette D. Avram

JOSEPHINE S. PULSIFER
Becker & Hayes, Inc.
Bethesda, Maryland

The Margaret Mann Citation in Cataloging and Classification is awarded in 1971 to Henriette D. Avram for her contributions to the development and promotion of a standard format for bibliographic records in machine-readable form. She has played a major role in translating the patterns and techniques of the cataloging process, coordinating MARC and RECON format and services, introducing and explaining the systems, and working toward national and international standards for data elements. Innovator, enthusiastic teacher, and lucid writer, she has led the way into the future of effective bibliographic control.



Henriette D. Avram, right, accepts the Margaret Mann Citation from Mrs. Annette L. Phinazee, member of the Margaret Mann Committee.

THIS IS THE FIRST YEAR in which the Margaret Mann Citation has been awarded to a person whose profession is not primarily that of librarian. "There's nothing worse than a convert" was the rejoinder of William J. Welsh, Chief of the Library of Congress (LC)

Processing Department, to a now forgotten comment on some bibliographic nicety by Mrs. Avram before the RECON Advisory Committee in 1969. The library profession can be proud of its librarian by conversion and proud of its own ability to look beyond the confines of traditional librarianship to honor one of the most enthusiastic librarians of us all.

Mrs. Avram came to LC in 1965. Her previous experience as systems analyst with the National Security Agency, American Research Bureau, and Datatrol Corporation included: (1) the design and implementation of a real-time multicomputer system using a network of small-scale general purpose computers geographically separated and interconnected by several data transmission lines; (2) the design and programming of a model of the ASTIA information retrieval system, now known as the Defense Documentation Center; (3) the programming of the first alphanumeric sort-merge program for a digital computer (IBM 701); (4) the design of a system to perform statistical analyses on data signals from electronic devices hooked to television sets for the purpose of marketing analysis. Given the responsibility for Datatrol's corporate library, she was taught the elements of cataloging by another nonlibrarian. Mrs. Avram approached the task with characteristic thoroughness by buying and studying Tauber's *Technical Services in Libraries*.

Mrs. Avram's response to her appointment to the LC Office of the Information Systems Specialist (later Information Systems Office) was total immersion in the problem. She studied cataloging, read, asked questions, and worked over every problem with key members of a superb staff that consists of librarians and systems analysts in an approximate one-to-one ratio.

Mrs. Avram's achievements and her personality are so inseparable that it is unthinkable to recount the one without describing the other. But, like an immobile photograph of a mobile face, much will be missed in any attempt to capture in words the essence of her personality.

To the many thousands here and abroad who have heard her lecture or speak, or who have worked with her in committee, her petite, smartly dressed figure, close-coiffed gray hair, and ultra New York accent are already familiar.

She pursues her work and play with equal vigor and disregard for the normal limits of time and energy. While customarily working late into the evening, she nevertheless finds time to indulge her love of dancing, music, and the theater. She loves to travel, and manages to see and do everything wherever she goes. Atlantic City ALA saw her discotheque dancing. Hawaii saw her swimming on Waikiki Beach at midnight. After a day's work at LC and an overnight flight to Europe, she spends the whole day sightseeing—a seventy-two-hour marathon. Everywhere she collects people. Parties just come naturally.

She tackles projects with the philosophy, "If it can't be done, we'll do it anyhow" and "We are going forward," but insists on approaching all problems from the bottom up, recognizing that the details must be resolved before broad concepts can be made to work. Characteristically, she says yes to all demands on her time, energy, and concern. She inspires drive, creativity, and dedication in her fellow workers. Whatever the demands upon her heavily committed staff, each individual takes solace in the knowledge that the boss is working right along with him all the way. She delegates responsibility broadly and gives full credit to her associates. While confident in many instances that her way is the right way, she is never afraid to say "I don't know" and to ask for and listen to the opinions of others. Nor is the easy way out her way, whenever an extra effort will better serve the interests of the user.

A tough fighter for what she believes is right, she has little tolerance for decisions based on political grounds. Working herself at top speed, she is sometimes impatient at the slowness with which people and libraries often move.

Likewise characteristic of her work and private life is a warm, sensitive caring for and dependence upon other people. This facet of her character is mirrored by the devotion of her staff, friends, and family. Her husband Herbert, and her three children—Lloyd, Marcie, and Jay—all deserve special mention for the strong support they have given to her demanding career.

Mrs. Avram's first assignment at LC was an in-depth analysis of cataloging data from the point of view of requirements for manipulation by computer. The result of the study was a report, *A Proposed Format for a Standardized Machine-Readable Catalog Record* (1965), enumerating the problems and proposing a machine format structure flexible enough to serve a number of purposes.

The report and subsequent deliberations led to the MARC Pilot Project, designed to test the feasibility and utility of converting cataloging data to machine-readable form at a central source for distribution to the library community. The pilot project resulted in a revised MARC format and character set, and the MARC Distribution Service. Mrs. Avram directed both the Pilot Project and the Distribution Service first as Assistant Coordinator of Information Systems and, since 1970, as Chief of the MARC Development Office of the Processing Department.

The impetus given to standardization is doubtless the most important result of the MARC project. The MARC format is at once a structure for the communication of all types of bibliographic records on magnetic tape and a system of content designation to permit machine identification of the elements of specific types of bibliographic records. The MARC format structure has become the USA standard format for bibliographic information interchange on magnetic tape. Mrs. Avram has played a major role in the adoption of the USA standard format through chairmanship of the American National Standards In-

stitute (ANSI) Z39 Subcommittee SC/2 on Machine Input Records. The International Standards Organisation (ISO) Technical Committee TC/46 Working Group 4 (Automation in Documentation), of which Mrs. Avram is a member, is now considering the same format for an international standard.

The MARC staff continues its efforts to develop the content designation for the various forms of bibliographic materials and to distribute these various formats and related materials to the library community as a whole. MARC formats for books, serials, films, and maps are already published. Formats for manuscripts and sound recordings are in preparation. Subject to availability of funding, expansion of the distribution service to include records for motion pictures and filmstrips and subsequently, records for items in other languages, is expected.

Recognizing the interest of many libraries, including LC, in retrospective conversion, Mrs. Avram proposed a study of the problems of centralized conversion of retrospective catalog records and their distribution to the library community from a central source. Responsibility for the study was given to the RECON Working Task Force with Mrs. Avram as chairman. Its report, *Conversion of Retrospective Catalog Records in Machine-Readable Form; a Study of the Feasibility of a National Bibliographic Service* was published in 1969. The study was followed by a two-year (1969/1971) RECON Pilot Project, with Mrs. Avram as project director and continuing chairman of the Working Task Force.

Mrs. Avram conceived the idea of the MARC Institutes and was largely responsible for their content. Jointly sponsored by LC and the Information Science and Automation Division (ISAD) of the American Library Association (ALA), fifteen institutes in twelve cities from Honolulu to Boston reached 1,560 persons between July 1967 and April 1971. In addition, Mrs. Avram has devoted many days of travel and teaching to privately sponsored institutes, lectures, and conferences in an effort to promote understanding of the MARC and RECON efforts in particular and of library automation in general. Her enjoyment of teaching is reflected in the enthusiastic response she elicits from students. Mrs. Avram, as well as her staff, has also spent vast amounts of time and effort explaining MARC to visitors and in answering correspondence from all over the world.

The published documentation of the MARC, RECON, and other LC automation activities has been remarkable for its quantity and its forthrightness. Her bibliography of twenty-eight reports or articles (as of June 1971) does not include internal LC reports. She writes with both lucidity and candor. In addition to her own publications, she has inspired many publications by others.

Mrs. Avram serves in an advisory capacity to NELINET, Ohio College Library Center, and Stanford University Libraries' BALLOTS

Project. She is a member of the Board of Editors for the *Journal of Library Automation*.

In addition to her work on behalf of international acceptance of the standard format, she is a member of the Working Party on Standard Bibliographic Description of the IFLA International Meeting of Cataloging Experts.

She is a member of ISAD, Resources and Technical Services Division of ALA, American Society for Information Science, and Association for Computing Machinery.

She is the recipient of a Special Citation from ISAD and of the Library of Congress Superior Service Award; she is also a nominee for the Federal Woman's Award.

The growing acceptance of the MARC format structure, and, to a lesser degree, of the MARC content designation scheme in the U.S. and in foreign countries is tribute not only to the format design itself but also to Mrs. Avram's extensive and intensive efforts toward its acceptance as a national and international standard. While much remains to be accomplished, the all-important groundwork for a national network and for strengthening worldwide bibliographic interchange has been laid by Mrs. Avram and the MARC program she developed.

Her present position as Chief of the MARC Development Office of the Processing Department carries with it the responsibility for the automation of the entire technical processing continuum at LC. This is an awesome responsibility. LC, as well as the entire library community, may count itself fortunate to have so much of its future entrusted to a person who has demonstrated administrative, technical, and bibliographic competence to research, design, and implement the required systems and the talent to share the results through teaching and publication. It is almost too good to be true that, in addition, libraries and librarians have found in Henriette Avram both a true friend and a captivating personality.

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Resources and Technical Services

Division: Annual Reports, 1970/1971

President's Report

C. DONALD COOK, *President*

The Resources and Technical Services Division, again in 1970/71, was the largest type-of-activity division in the American Library Association. With a membership of 8,331 on May 31, this represented an increase of 161 members over the preceding year. Sheer size alone, however, is obviously no criterion for the usefulness of a division, and the activities described in the following paragraphs illustrate the current interests and concerns of this unit of the Association.

The journal *Library Resources & Technical Services* remains one of the major efforts to present to membership the best thinking and the most useful projects in this area of librarianship. On June 30, Paul S. Dunkin resigned as second editor of the journal, following an impressive professional career and a highly valued term during which he continuously enhanced the quality of the periodical. Membership and the profession are greatly in his debt. Professor Dunkin is being succeeded by Robert Wedgeworth, Jr., who has been assistant to the editor, and under whom the journal may be expected to maintain the standards which have come to be expected. *LRTS* has, thus far, succeeded in continuing successfully despite the budgetary restraints felt by ALA generally, but RTSD was unable to launch a membership newsletter, as had been hoped.

At the ALA Dallas conference, the division presented a major program on library networks outside the United States, with J. Guy Sylvestre describing the developments in Canada and Maurice B. Line discussing those in England. The program was cosponsored by the Information Science and Automation Division and the International Relations Round Table.

The division's annual Esther J. Piercy Award, given to "a younger librarian of outstanding promise," was presented this year to J. Phillip Immroth of the Graduate School of Library and Information Sciences, University of Pittsburgh.

The major activities of the division's committees are as follows.

The Book Catalogs Committee prepared a listing of book form catalogs which was published in the Summer 1970 issue of *LRTS*, and has been working on a statement of the considerations applicable to the formulation, production, and issuance of book catalogs. An exhibit of representative book catalogs was

presented at the ALA conference in Dallas.

The Bylaws Committee prepared amendments to the bylaws of two sections (Acquisitions Section and Reproduction of Library Materials Section) to provide for discussion groups in these specialties. The committee also prepared draft bylaws for the use of the Organization Committee and the RTSD Board in their consideration of the possibility of establishing a division office of second vice-president.

The Centralized Processing Committee prepared a directory of centralized processing centers which was published in the Summer 1970 issue of *LRTS*. At the ALA Dallas conference, the committee was cosponsor with ISAD of a program on the use of MARC. Currently, the committee is considering its charge for further activity, with the thought that emphasis should be placed on processing in relation to library networks.

An ad hoc Commercial Processing Committee was established during the past year to assist the division and the membership in meeting problems arising from the rapidly increasing use of this form of technical services.

The International Relations Committee (a subcommittee of the ALA International Relations Committee) was represented at the 1970 IFLA Conference in Moscow, and has emphasized the need to coordinate all efforts in the field of international standardization of bibliographical description and cataloging rules. The committee has continued its consideration of the need for translation of English technical services texts into other languages, and an article on this topic is anticipated in a forthcoming issue of the *UNESCO Bulletin for Libraries*.

The Organization Committee prepared recommendations, all of which were approved by the RTSD Board, on the following matters: (1) Dissolution of the Directory of On-Going Book Catalogs Subcommittee of the Book Catalogs Committee, the Newsletter Committee, the RTSD/ISAD Interdivisional Committee on a Universal Numbering System for Library Materials, and the Subcommittee to Draft a Study Proposal on State and Federal Documents of the RSD/RTSD Interdivisional Committee on Public Documents; (2) change of name of the RTSD Program Evaluation and Budget Committee to RTSD Committee on Program Evaluation and Support; (3) revised function statements for the AAP/RTSD Joint Committee and for four committees of the Acquisitions Section, and new function statements for the ISAD/RSD/RTSD Interdivisional Committee on Bibliographic Information in Machine-Readable Form and for the RSD/RTSD Interdivisional Committee on Public Documents, Census Bureau Advisory Committee. The committee considered establishment of an office of second vice-president, in order to distribute responsibilities of officers more equitably, but after Board discussion, the proposal was dropped.

The Preservation of Library Materials Committee devoted its effort to the consideration of various alternatives for the preparation of a library binding manual.

The Resources Committee's Subcommittee on Micropublishing Projects has been active in several aspects of the technical evaluation and bibliographical control of micropublications, and is cooperating in the consideration of the Government Printing Office proposal to issue government publications in microform.

The Technical Services Costs Committee has been working with the Library Technology Program in the development of a study on standard times for technical processing tasks, and is considering ways in which a clearinghouse might be

established for documentation on standard times and costs and in-house library cost studies.

The division's four discussion groups of technical services administrators from various sizes and types of libraries have continued to meet informally at ALA conferences for discussion of problems of immediate concern.

RTSD is cooperating with RSD and ISAD in establishing a group to review and recommend action on standards for the representation in machine-readable form of bibliographical information, with a view to encouraging the development of standards which would make possible the effective exchange of machine-readable bibliographic data. The division is continuing its joint efforts with RSD in the field of public documents through consideration of a research study in government publications, problems of depository libraries, issuance of government publications in microform, and cooperation with the Census Bureau.

Outside the ALA, RTSD has maintained its important representation on Committee Z39 of the American National Standards Institute in matters relating to the technical services; these may be found reported in the publication *News About Z39*. Work with the Association of American Publishers has centered around the plans for cataloging-in-publication, standard book numbers, and planning for an acquisitions preconference institute for the 1972 Chicago conference. Liaison has been continued with the Technical Services Section of the Canadian Library Association. Through its representative, the division has also been working closely with the United States Book Exchange.

Much of the work of the division is, of course, carried out by its four sections and the Council of Regional Groups, reports from each of which are submitted separately.

Neither the presiding officer of RTSD, nor ALA divisional officers can complete a term of office with satisfaction that all has been accomplished that was needed or intended. RTSD's activities have been impressive, but there are two areas in which I would like to recommend attention during the coming year. First, although RTSD is the largest type-of-activity division, it is seventh (among nine) in the budgetary allocations for division special requests; RTSD is fourth (among fourteen) of all ALA divisions, and is twelfth in budgetary allocations for these same special requests. While the size of a division's membership may not always correspond exactly to its need for financial support, it is obvious that RTSD cannot carry out effectively the programs its membership desires and needs unless a more reasonable proportion of the total budget available can be allocated to it. Resources and technical services may be less spectacular than some of the issues currently before the Association, but unless a library can operate efficiently "behind-the-scenes," the important social responsibilities which fall to its charge cannot be adequately undertaken.

Second, the division, in many instances, tends to react, rather than act. There is a need, in all units of RTSD, for more initiative and imagination and professional statesmanship. All Association activity competes with one's own job at home, but one's own job can often be facilitated when a division or one of its units can undertake successfully a project with genuine substance.

I should like to thank all of the members of the division for the privilege and genuine pleasure of serving as president, and my particular appreciation to all of the officers and committee members who contributed directly to the year's work. In turn, all of us are in continuing debt to Miss Carol Raney, executive secretary, and to her secretary, Mrs. Janice Adams, for the impressive assistance and guidance they so cheerfully provide.

Executive Secretary's Report

CAROL RANEY, *Executive Secretary*

During another year of organizational uncertainty, RTSD has continued its important work. C. Donald Cook carried out his duties well in spite of having become division president without the usual vice-presidential apprenticeship. Mark Gormley resigned in the fall of 1970 and Robert Sullivan stepped in as chairman of the Reproduction of Library Materials Section, carried on the existing programs, and was innovative in inaugurating new activities of the section. Mrs. Roma Gregory, who became Acquisition Section chairman without serving as vice-chairman, guided the section through another active year. Cataloging and Classification Section chairman, Thomas Sullivan, helped that section carry on its important work. Serials Section chairman, Doralyn Hickey, directed the section Executive Committee in a re-examination of the goals and place of the section in RTSD.

Mrs. Adams and I have continued to develop new forms and work at streamlining the organizational mechanics of division activities. We have responded to the constant flow of letters requesting information and assistance about activities in the division's area of concern. In the process, brief bibliographies are being developed which can be used to supplement individual letters.

During the year I made four trips on behalf of the division. From September 27 to October 2, 1970, I attended the Conference on Interlibrary Communications and Information Networks at Airlie House in Virginia. The interaction of librarians, computer specialists, and communications experts was important. The potential for library use of cable television and various types of cassettes was obvious. RTSD needs to consider *now* what impact these new media will have on the acquisition and organization of library materials in general.

In Portsmouth, N.H. on October 7, 1970, I attended an Acquisitions Seminar sponsored by the Association of American Publishers and held before the New England Library Association meeting. The small discussion groups pinpointed some of the topics which should be covered in the 1972 ALA Preconference on Acquisitions.

In Kent, Ohio on October 30, 1970, I enjoyed the hospitality of and addressed the Northern Ohio Technical Services Librarians on the subject of serials. I especially value these opportunities to discuss technical services problems with librarians who have day-to-day contact with them.

The Government Printing Office is considering issuing documents in microform as well as hard copy. On April 28, 1971, in Washington, D.C. I had the opportunity to attend the second of several meetings called to discuss the implications of such a proposal on libraries and on the commercial firms which are now packaging documents in microform.

We are all asking about RTSD's role in the ALA of the future. The study of ALA was authorized at the Dallas conference; time will tell what this will mean for RTSD. *Acquiring and organizing materials* are basic to any library and should continue to be included as priority activities in ALA. At the moment RTSD concerns are not explicit in the ACONDA priorities. RTSD officers and members need constantly to remind other ALA members that RTSD activities are basic to other library concerns. Splintering of RTSD activities into type of library grouping could seriously hinder the progress which is being made, particularly in the area of standardization.

Acquisitions Section Report

ROMA GREGORY, *Chairman*

The past year has been one of fence-mending and continued solid contributions by the section committees.

In recognition of the ever-present need to improve communications within libraries, the section joined the Serials Section in presenting a program at Dallas meant to examine areas of misunderstanding between public and technical services. Some grievances were aired and solutions suggested by both speakers and the audience, all of whom indicated that at base we are all service-minded.

The Bookdealer-Library Relations Committee continued its series of meetings both at Midwinter and again in a program in Dallas aimed at codifying library order procedures and dealer response in the interests of better service and reasonable cost. The committee has in final stages a set of guidelines on the acquisition of current monographs. It is expected to be ready for publication shortly. Also in preparation is a similar paper on serials acquisition.

The Library Materials Price Index Committee continues its indispensable work which results in the various published price indices. This group of devoted and especially hard-working librarians is owed a very special thanks. Gone are the days when we nodded wisely as we gave the indices a cursory glance. Now, caught in the most painful kind of economic bind, we turn gratefully to these compilations for fundamental information as we try desperately to stretch our budgets paper thin!

The Reprinting Committee meets oftener than any other group in the section. Their meetings are based in New York City in order to be at the heart of the publishing industry. The committee puts particular effort into keeping up with the intricacies of reprint publishing. They receive and investigate complaints about abusive or allegedly unethical reprinting practices. They also inform librarians and publishers about mutual problems and soothe many a ruffled brow.

Seldom heard from outside the confines of executive meetings is the section's Policy and Research Committee. In the course of examining a suggestion produced by the Acquisitions Section P & R group, it was discovered that it had a very vague mandate. The Executive Committee asked them to examine their *raison d'être* and produce a dynamic function statement which would stimulate fruitful and valuable section work. The result was especially commendable and is expected to be adopted by other groups.

In Detroit, the section's Executive Committee approved a one-year experiment with junior committee appointments. Two beginning librarians were chosen for each of the standing committees except Nominating. In Dallas, this experiment was examined. Though the program was notably successful, it carried with it unanticipated problems and expenses. The Executive Committee decided not to formalize the practice, but to request and encourage section committee chairmen to issue specific and general invitations to beginning librarians to attend committee meetings as contributing observers.

After reviewing again the recommendations of the late Joint Acquisitions Section/Serials Section Committee to Revise the List of International Subscription Agents, the two sections turned over to ALA Publishing the responsibility of producing the next edition of *International Subscription Agents*. An editor has been appointed, and it is hoped and expected that some of the agonizing de-

lays inherent to committee work can be avoided and therefore result in quicker, more reliable publication.

In Dallas, in a short business meeting preceding the program, the membership approved a bylaw allowing for the creation of discussion groups within the section.

The chairman and the Executive Committee give heartfelt thanks to its hard-working committees. It is they who do the work; it is little enough but thank them we do, again and again.

Cataloging and Classification Section Report

THOMAS E. SULLIVAN, *Chairman*

For the past few years many matters of vital concern to the Cataloging and Classification Section have been gathering force, but, for one reason or another, their arrival has been postponed. During the year 1970/71 some of these have emerged as full-blown issues and have occupied the attention of various committees of the section. Among these issues have been nonprint media, Cataloging-in-Publication (CIP), and the internationalizing of cataloging rules.

In an organization that has been traditionally oriented toward the book, it has taken, some would say, an unconscionably long time to provide cataloging rules for nonprint materials. In truth, many of the emerging issues have been under committee discussion for some time, in some instances up to several years. For example, in January 1968 the Audiovisual Media in Libraries Committee (ad hoc) was established to prepare a proposal for a manual for organizing media in libraries. With the appearance of the Canadian Library Association's *Non-Book Materials* in 1970, the committee endorsed this endeavor. The 1970 work, which was characterized as a "preliminary edition," is now being revised, and the section's Executive Committee has appointed two representatives (David G. Remington and Virginia Taylor) on behalf of ALA to the Joint Advisory Committee on Non-Book Materials. The CLA enterprise has also been strongly endorsed by the Cataloging of Children's Materials Committee (ad hoc) (Priscilla L. Moulton, chairman).

Media has also been one of the many concerns of the Descriptive Cataloging Committee (Elizabeth L. Tate, chairman). The DCC is examining the premises on which rules for audiovisual materials are based, and the Subcommittee on Rules for Cataloging Machine Readable Data Files (ad hoc) (John D. Byrum, Jr., chairman) has been discussing principles and entry for such materials. Nonprint has also been on the mind of the Subject Analysis and Organization of Library Materials Committee (Marguerite C. Soroka, chairman). At the Midwinter Meeting in Los Angeles the committee devoted an evening to a discussion, with invited guests, of the organization and control of media. Coordinating the section's diverse interests in media is the Audiovisual Media in Libraries Committee (ad hoc) (David G. Remington, chairman) which keeps in touch with interested groups both within and outside ALA. Although it has been admittedly slow in coming, an interest in media in all its aspects has permeated ALA during the past year. A measure of the extent to which this interest has spread is provided by the theme of next year's conference—Media: Man, Materials, Machine.

Cataloging-in-Publication (CIP) has also moved closer to reality this year, and several CCS committees have included it among their concerns. In general, the interest has been expressed by way of publicizing and endorsing the program. The section has also kept in touch with the SRRT Task Force on CIP. Mr. William J. Welsh, director of the Processing Department at the Library of Congress, has given generously of his time to keep several committees of the section up-to-date on CIP. (The announcement was made at Dallas that LC has received financial support to begin the program.)

The effort to prepare ALA to play its part in internationalizing cataloging rules has been a major task of the Descriptive Cataloging Committee. Several proposals to change the committee's structure have been sent to RTSD's Organization Committee, and ties have been strengthened with the Library Association and the Canadian Library Association. Two special meetings were held by the committee in March, one of which was attended by Joel Downing of the Library Association. Under discussion at the two-day March meeting was the advisability of proposing the formation of an international group concerned with catalog code revision. Since rules for entry in the *Anglo-American Cataloging Rules* have not yet been universally accepted, not too much could probably be expected. Some members of the DCC felt the rules for description held the most promise of agreement now. (It is noteworthy that the Council on Library Resources has just announced a grant of \$54,000 to the International Federation of Library Associations (IFLA) for the establishment and support of a permanent secretariat for the IFLA Committee on Cataloguing during a three-year period.) Many changes effected within the DCC during the past year, along with proposals still to be considered, will facilitate its participation at the international level.

The DCC, of course, has as its primary responsibility developing and maintaining the *AACR*. The amplification of rules for nonbook materials, while significant, did not occupy all of the committee's time. The committee has additions and changes of *AACR* under discussion at almost every meeting. Revisions, apart from proposals to change rule wording, are published in *Cataloging Service* (Library of Congress). Proposals to change the wording of a rule which are regarded as editorial will be noted for careful consideration when a new edition of *AACR* is being prepared.

The processes of cataloging and classification must be kept in perspective; they are only means by which materials are prepared for the ultimate user: the reader. The section must keep in touch with those units, within and outside of ALA, that have direct communication with readers. The Reference Services Division's Catalog Use Study Committee maintains such contact, and CCS has a representative (Jessica L. Harris) on this committee. During the past year the RSD group has proceeded with plans to study catalog use in a county library and in a junior college library. The section also is kept apprised of the activities of the Decimal Classification Editorial Policy Committee. The section's new representative (Clare E. Ryan), encouraged by the DCEPC, has endeavored to strengthen the relationship, tenuous heretofore, between the two groups. To increase communication, the representative will in the future report to the section's Subject Analysis and Organization of Library Materials Committee.

The Dewey Classification was also discussed at meetings of the Cataloging of Children's Materials Committee (ad hoc). The classification of "E" books, fairy tales, and possible relocating of the 372's were prominent topics. A procedure is

to be determined by which questions relating to children's materials and the Dewey Classification can be discussed by the Library of Congress and the committee. Views on LC's classification of materials for young readers were also exchanged by the Cataloging of Children's Materials Committee. A list of about 70 "E" titles was circularized among committee members and consultants with instructions to mark those titles that might be better classified as nonfiction.

Mention was made earlier of efforts by Mr. Welsh to keep the section informed on CIP. This is only one of many aspects of exchange between LC and CCS. Liaison representatives from LC have been serving on several committees in the section, and during the past year one has been added in the person of Charles Bead (chief, Subject Cataloging Division) to the Subject Analysis and Organization of Library Materials Committee. This relationship between LC and the committees of CCS has proved to be beneficial. It is hoped that such a relationship will also be mutually conducive to keeping the whole field of processing focused on reader needs.

The ability of the Nominating Committee to persuade good candidates to accept nominations is critical to its success. The slate of candidates chosen by the Nominating Committee (Laura C. Colvin, chairman) is evidence that the committee was successful in recruiting nominees of a high caliber. (The new chairman-elect is a Canadian, Ronald Hagler.) Similarly, the Margaret Mann Citation Committee (Dorothy P. Ladd, chairman) in presenting the award to Henriette D. Avram recognized superior accomplishment.

Achievements of lasting value are not accomplished in a year. There are no sharp lines of demarcation enabling one to say, for example, that cataloging-in-publication, or rules for handling nonprint, not to mention the universal acceptance of cataloging rules, took place in a given year. All of these have had their origins in a near or remote past and will come to fruition in a near or more distant future; but during 1970/71, with forces interacting both within and outside ALA, progress, however imperceptible, has been made. For their part in this progress, the chairman expresses his thanks to members of the Executive Committee, committee chairmen and members, sectional representatives, and, in particular, to Carol Raney.

Reproduction of Library Materials Section Report

Robert C. Sullivan, Chairman

RLMS had a busy year with significant accomplishments. Perhaps the most important milestone was the establishment of a RLMS Discussion Group. The purpose of this group is to provide an informal forum for the discussion of problems, trends, and developments and to allow an exchange of information and views about library microforms. No longer should any RTSD, RLMS member attend an ALA conference without being able to discuss matters of particular interest with fellow members and secure valuable information and guidance. The establishment of this group is the result of a recommendation by the RLMS Policy and Research Committee.

Another recommendation of the RLMS P & R Committee was implemented by the establishment of ANSI Committee Z-39, Subcommittee 33, to develop standards for bibliographic entries for microfiche readers and roll microfilm

containers. Joseph Howard of the Library of Congress has been named chairman of this committee. Also, Josh Smith, associate director of ERIC/CLIS met with the RLMS P & R Committee at Midwinter to discuss how ASIS could assist RLMS by promoting and publishing bibliographies and research reports on library microforms.

The RLMS ad hoc Committee to revise the ALA Photoduplication Order Form has submitted a draft which subsequently was approved at the Dallas conference. Two RLMS ad hoc Committees have been converted to subcommittees of the LTP Advisory Committee. These subcommittees are to design publications on the organization and administration of a library photoduplication laboratory and a microtext reading room, respectively. William R. Hawken has already been commissioned by LTP to draft the manual on the organization and administration of a library photoduplication laboratory. The second subcommittee has developed an outline and is seeking an author. These two publications give promise to be of substantial reference value. The activity and accomplishment of these two committees alone augurs well for the vitality of the section.

Correspondence also has been conducted with LTP, various commercial concerns, and a consultant regarding the sponsorship of a library microform seminar to educate librarians in this area. An outline of a program has been designed, potential speakers identified, and a proposal is being circulated for approval by other units of ALA.

The RLMS Telefacsimile Committee sponsored the program meeting in Dallas and it is planned that the papers presented at this meeting will be published in *LRTS*.

The chairman of RLMS represented ALA at the two Micropublishing Conferences held at the Government Printing Office in February and April 1971 and has filed a preliminary position paper on behalf of ALA. Additional comments by all ALA units interested, to be forwarded to the Public Printer, are being solicited.

Correspondence has been exchanged with the chairman of the Standards Board of the National Microfilm Association regarding NMA's desire to co-sponsor with ALA the ANSI Committee PH5 on documentary reproduction. RLMS has declined this offer thus far and is soliciting its membership for suggestions for additional microform standards needed.

Ladd Sajor of the NYPL accepted the appointment as the RLMS representative to, and secretary of, ANSI Committee PH5. Robert Krupp, also of NYPL, has agreed to serve as the alternate ALA representative to this standards group.

Authorization to form an ad hoc Computer Output Microfilm Committee is being sought.

The RLMS chairman has corresponded with the editor of *Information and Records Management* magazine and with the director of the Catholic University Department of Library Science to promote a survey of what is being taught in library schools and in colleges and universities in this country relating to library microforms.

The *LRTS* assistant editor for RLMS has secured another author for the annual review article for 1971; has a promise of an article evaluating the subject

content of the EB and NCR UMF projects; has secured an article on the telefacsimile network at Penn State University Libraries which was published in the Spring 1971 (15:2) issue; has secured two pertinent book reviews that will be published shortly; and has promised of drafts of two articles on different versions of "bibliographer's cameras."

The interest, cooperation, and hard work of the RLMS membership is most impressive and encouraging.

Serials Section Report

DORALYN J. HICKEY, *Chairman*

In the (hopefully) *true* spirit of the ACONDA and ANACONDA discussions of the American Library Association, the officers of the Serials Section of RTSD attempted this year to discern the *raison d'être* of the section and to analyze the problems which officers, committee chairmen, and committee members encounter in trying to plan and carry out a program which is meaningful to the section's membership. This report will summarize some of the results of that effort.

At the outset, it must be recognized that the members of the Serials Section are, on the whole, never seen by the officers of the section. Their names appear in a computer-printed directory, but relatively few of them actually attend the Midwinter Meeting or Annual Conference. Even fewer are appointed to serve on the section's committees or elected as officers. An exception to this pattern, however, may be found in the section's two Discussion Groups (for Large Research Libraries and Medium-sized Research Libraries) which function as loosely structured forums for the examination of problems confronting serials librarians. These groups meet once a year (at the Annual Conference) and elect their own officers (chairman, vice-chairman, and secretary).

From time to time, someone raises a question about the validity of the Discussion Groups, usually for one of two reasons: (1) they operate in almost complete independence of the section's officers and committees, and (2) their definition of membership qualifications is somewhat imprecise. Viewed in context, however, the Discussion Groups are probably strong for exactly these reasons; thus, they are able to design and implement their own programs without consulting the section officers, and they can adjust their conditions of membership to fit the times in which they operate.

Aside from the Discussion Groups, the Serials Section is visible at the time of its annual program and membership meeting. At the 1971 conference, the Serials Section once again joined with another RTSD section in sponsoring a program. For at least the last three years, such a pattern has been discernible. Membership meetings have been brief, providing only an introduction of the new officers and obtaining membership consent for occasional bylaws revisions.

The "business" of the section is carried out by means of various committees: Executive (eight members, including the RTSD Executive Secretary, ex officio); Conference Program (three members: chairman, vice-chairman, and executive secretary); Policy and Research (six members); Duplicates Exchange Union (increased this year from three to five members); and Nominating (three members). In addition, the section designates a representative to the Joint Committee on the Union List of Serials—a committee which has been inactive for the past two years and expects to be dissolved in the near future. Of these committees, the Executive and the Policy and Research units define the policy and the

program of the section. A majority of the Executive Committee is elected by the section members; Policy and Research Committee members are appointed, with the approval of the Executive Committee.

In general, committees meet only during the Midwinter Meeting and Annual Conference. If members are unable to attend these conferences—as is increasingly the case with reduced travel budgets in effect—the work must be carried on without them. New committee members are normally appointed by the vice-chairman (chairman-elect) during the spring or early summer before he assumes the chairmanship of the section. In so doing, he labors under several handicaps: securing an up-to-date membership list is particularly difficult when membership renewals are still coming in, as they are in the spring; finding out details about the people whose names are handed to him as “good prospects” may be almost impossible; people who ask to be appointed to a committee are sometimes, startlingly, not members of the section (or even the division); and a truly good prospect is likely to have been recommended for membership on a division committee or another section’s committees. A review of the 1969/70 Serials Section membership list revealed that well over 50 percent of the members belonged to all four RTSD sections. It is not surprising, therefore, that some people are tapped for several committees while others go unnoticed. Even more frustrating is the attempt to locate “junior members” for appointments to committees; by the time they are identified, their interest determined, and their appointment confirmed, the year of service may be almost half gone.

The routines of hearing committee reports and attempting to act in significant and realistic ways upon the recommendations presented by the various committee chairmen fill the conference time of the Executive Committee. Between conferences, members are busy with their separate job responsibilities and find that written communication becomes tedious. Complicated questions relating to division or section policy must often be deferred until midwinter or summer; less difficult problems may be settled by a telephone call.

The element of creativity and thought in the section is usually supplied by the Policy and Research Committee. The committee does not, however, implement policy or conduct research. Its deliberations are compiled faithfully into a list of recommendations which are duly transmitted to the Executive Committee for action. The Executive Committee may ignore the recommendations, alter them, or return them to PRC for further consideration; or it may accept the recommendations and implement them. During 1970/71, the section’s Executive Committee approved the creation of two ad hoc committees, as recommended by PRC. One of these committees had been in the “creation” stage for two years; but when it was forwarded to the RTSD Board of Directors for acceptance, the committee was temporarily disapproved, pending the developments from similar work being undertaken by another ALA division. The second committee, one to “Study Manually-Maintained Serials Records,” was approved by the RTSD Board; three members are being appointed by the new Serials Section chairman, Edmund Hamann.

At the 1971 Midwinter Meeting, and again at the 1971 Annual Conference, the Executive Committee, augmented by the section’s committee chairmen, talked informally about whether the work of the Serials Section might better be expressed in a new context. Possibilities discussed were the disbanding of the section (with the Discussion Groups and the Duplicates Exchange Union continuing, but under the aegis of RTSD rather than the Serials Section), merging with another section (probably Acquisitions), or restructuring in some way that would involve more of the membership in the work of the section. Understand-

ably, no consensus emerged from these discussions. It became clear, however, that the "business" of the section is being conducted at a far distance, physically and intellectually, from the majority of the members. Further, the concerns of serials librarians are recognized to be increasingly bound up with those of acquisitions librarians and catalog librarians, to such a degree that separation of these concerns into "sections" seems to be more artificial than real.

Because the problems facing the Serials Section are believed by the members of its Executive Committee to be representative of those facing RTSD as a whole, the following request (voted unanimously by the Executive Committee and committee chairmen present at the meeting on June 22, 1971) was presented to the RTSD Board and passed by that body: "That the RTSD Board ascertain, by means of a poll of the RTSD membership, the opinion of the members concerning the desired future organizational structure of the Division. Particular attention might be given to such alternatives as continuing the Division in its present form, subdividing and affiliating with one or more type-of-library groups in ALA, or organizing itself as a separate body, possibly in federation with ALA."

Regional Groups Report

MAURICE E. LAPIERRE, *Chairman*

Last fall the chairman of the Council of Regional Groups with the assistance of Miss Carol Raney, RTSD executive secretary, and her assistant, Mrs. Janice Adams, wrote to the Council's twenty-seven regional groups. This communication included that portion of the *RTSD Manual of Procedures* which pertains to the Council and its relationship with the groups. Throughout the year, word has been received from nineteen regional groups; eleven of these simply reported on changes in their officers, while eight groups provided information on the meetings and programs held throughout the year.

Southern California Technical Processes Group, under the chairmanship of Judson Voyles, had the usual very active year. The group held its fall meeting at the University of Redlands where a demonstration was given on how a micrographic system could be used in cataloging. Lloyd Burger, Applications Analyst at California Computer Products, then discussed "What To Do Till the Computer Arrives." At a second meeting, Ernest Toy, College Librarian, California State College at Fullerton, spoke on "The Rotation of Department Heads Via the Democratic Process." In the spring a two-day meeting was held at the University of California Residential Conference Center at Lake Arrowhead. Edward J. Kazlauskas, Assistant Professor, University of Southern California Library School, addressed the group and gave an overview on "Trends in Professional Education for Technical Processing," while Mrs. Mary Denure, Consultant in Public Service Occupations, California Community Colleges, presented a paper on "Education and Use of Library Technicians in Technical Processing." On the second day Tom Risner, Director, National Information Center for Educational Materials, University of Southern California; Caroline Sahab-Ettada of Bro-Dart ANSCR Service; and Wesley Doak, Audiovisual Department, Los Angeles Public Library, engaged in a panel discussion on "Processing Multi-Media."

At its fall meeting, the Technical Services Section of the New Jersey Library Association held a panel discussion chaired by Miss Patricia Duane, vice-president of the Technical Services Section, on "Cooperation Among Library Service

Departments." The panel consisted of Jack Fishman, Assistant Director, Woodbridge Public Library; Mrs. Mary Hellman, Coordinator of Reference Services and Assistant Professor of Library Science, Montclair State College; Mrs. Flora Ingalls, Director, Middlesex Public Library; and David Lance, Assistant Director, Linden Public Library.

The New York Library Association, Resources and Technical Services Section, with a membership of over 300, Miss Jane Stevens, president, continues to be one of the most dynamic and most cooperative technical services groups in the country. The section's major activity of the year was its one-day conference on the "Preservation of Library Materials" at the occasion of the Association's Annual Conference. Robert G. Krupp, Chief, Science and Technology Division, New York Public Library, chaired the morning session while Verner W. Clapp, Consultant, Council on Library Resources, gave the keynote address entitled "My Personal Experiences With the Preservation of the Declaration of Independence Manuscript." Matt T. Roberts, Binding Officer, Library of Congress, discussed "Binding Practices"; Ladd Z. Sajor, Assistant Chief, Photographic Service, New York Public Library, spoke on "Preservation Filming"; Alfred H. Lane, Head, Gifts and Exchange, Columbia University Library, spoke on "Reprints"; and Frazer G. Poole, Assistant Director for Preservation, Library of Congress, spoke on "The Library of Congress Preservation Program." Part of the afternoon session was devoted to discussing the various topics considered by the morning speakers. This was followed by the following programs: Carolyn Horton, Bookbinder and Library Conservator, presented a program on the "Care and Repair of Books"; Mrs. Antoinette King, Conservator of Paintings on Paper of the Museum of Modern Art, discussed "Prints and Drawings"; David Hall, Head, Rodgers and Hammerstein Archives of Recorded Sound of the New York Public Library, addressed the topic of "Phonodiscs, Tapes, Etc."; Louis A. Rachow, Librarian of the Walter Hampden Memorial Library at the Players, discussed "Theater and Other Special Materials"; Donald Wiest from Eastman Kodak, talked on "Film"; and Mrs. Marie T. Capps, Maps and Manuscript Librarian of the United States Military Academy, addressed the topic of "Maps." The final speaker of the day was Jesse H. Shera, Visiting Professor, Graduate School of Library Science, University of Texas, whose talk was entitled "A Memory That Works Both Ways."

At its fall dinner meeting, the New York Technical Services Librarians, Carlyle J. Frarey, president, heard Joseph Eisner, Director, ANALYTS, discuss "The Implications of Library Network Organization for the Technical Services." At the spring dinner meeting, Felix Reichmann, responsible for the ARL Microform Project, discussed bibliographical "Access to Microforms."

At its annual meeting, the Ohio Library Association, Technical Services Roundtable, Mrs. Edith K. Clinton, chairman, sponsored a program entitled "The Order To's Talk With the Order From's." The panel, moderated by Mrs. Frances A. Krieger, Clerk-Treasurer, Akron Public Library, consisted of James Thompson, Vice-President, Baker and Taylor Company; Earl W. Cornwall, Sales Representative, The Macmillan Company; Mrs. Hetty Smith, Head, Ordering Division, Cuyahoga County Public Library; and L. Ronald Frommeyer, Assistant Director, University of Cincinnati Libraries.

At the annual meeting of the Potomac Technical Processing Librarians under the chairmanship of Mrs. Alice F. Toomey, C. Sumner Spalding, Assistant Director, Processing Department, Library of Congress, discussed "Cataloging in Publication—A Progress Report." During the afternoon program Robert T. Jordan, Director of Media Services, Federal City College, Washington, D.C.,

spoke on "Library Media Distribution—Without Cataloging." Richard L. Darling, Dean, School of Library Service, Columbia University, the second speaker of the afternoon, discussed "Library Media Distribution—With Cataloging."

The Southeastern Regional Group of Resources and Technical Services Librarians, John David Marshall, chairman, held its biennial meeting in Atlanta. David Stinson, Vice-President, Westminster College, Fulton, Missouri, spoke on "The Winston Churchill Memorial and Library in the United States."

Under the chairmanship of Elisabeth Williams, the Tennessee Technical Services Librarians with a membership of sixty-nine held its spring meeting in joint session with the Tennessee Chapter, Reference Services Division of ALA in Gatlinburg, Tennessee. Mrs. Marion D. Sandifer introduced the members of the panel who addressed the topic, "Union Catalog—Yes? No?" The panel consisted of A. F. Kuhlman, Director Emeritus, Joint University Libraries, Nashville; Mrs. Margareta Martin, formerly Research Associate, Peabody School of Library Science, Nashville; Don Jett, Science Librarian, University of Tennessee, Knoxville; and Wilmon H. Droze, State Librarian and Archivist, Tennessee State Library and Archives, Nashville.

The Texas Regional Group of Catalogers and Classifiers, Mrs. Shirley Sheets, chairman, held its annual meeting in Corpus Christi. A panel discussion, moderated by Mrs. Ann Landtroop, Houston Public Library, was held on "The Catalogers' Round Table—Why?" The panel consisted of Jerry E. Hunt, Denison Public Library; John J. Minter, Professor, Texas Woman's University Library School; and Mary E. Pound, University of Texas at Austin.

Decimal Classification Editorial Policy Committee Report

CLARE E. RYAN, *CCS Representative*

The Decimal Classification Editorial Policy Committee met twice during 1970/71. Minutes of both meetings have been distributed to all parties concerned.

Meeting No. 64 was held Oct. 8-9, 1970, at the Lake Placid Club, Lake Placid, New York. New members of the committee were welcomed. These are Margaret Cockshutt, Betty Croft, Joel Downing, and Clare Ryan. Continuing members are Frances Hinton, Doralyn Hickey, John Humphry, Mary Louise Mann, Marietta D. Shepard, and William Welsh. The committee was particularly pleased to welcome Mr. Downing as a member because his contributions will broaden the scope of the work of the committee by bringing to it the point of view of the British users of Dewey. Miss Cockshutt made some interesting and useful comments that were representative of Canadian users as well. All felt that Dewey was becoming more international as a classification scheme and were gratified to have this representation on the committee. It is the plan of Forest Press to have foreign representation from several parts of the world on the committee over the years to come.

The move of the office of Forest Press from Lake Placid to Albany was felt to be a noteworthy step inasmuch as it makes the press more accessible to members of the profession and provides research facilities for the executive director and his newly appointed assistant. A highlight of the meeting was a dinner with Dr. Godfrey Dewey as special guest. Dr. Dewey gave a short talk citing some of the more notable accomplishments of his father. These personal mem-

ories of Melvil Dewey made the evening particularly delightful. The committee recommended the acceptance of the schedule for the 340 Law. There was some discussion concerning material for the front matter for Edition 18. It was hoped that it could be printed for separate sale. A recommendation was made that such front matter as might be of value in teaching situations be issued for separate sale. In the discussion of Abridged 10, it was pointed out that the chief differences from Abridged 9 are shortened numbers and fewer relocations. The committee was unanimous in its desire to see an issue of *DC&* published in the near future. Since this publication is the link between Dewey and the user, its primary function is to keep the Dewey "public" informed. There was a brief discussion about what schedules should be chosen for phoenixing in Edition 19. Those thought to be likely are 329, 560, 580, 590, and 780.

Meeting No. 65 was held at the Library of Congress, Washington, D.C. on March 3-4, 1971. The directors of Forest Press had agreed that Edition 18 should be published in three volumes. Discussion followed on how the volumes should be split. Announcement was made of the engagement of a consultant, Mr. Edwin Colburn, for final review of Abridged 10. The Press had given considerable attention to the possibility of use of computers in the production of Edition 18. However, it was felt that more lead time was needed to do this successfully. Since they did not wish to delay publication any further it was decided to postpone a computerization until Edition 19. It was reported that an issue of *DC&* is ready to be published. It was felt that it would take at least a year after publication before any worthwhile reactions to Edition 18 could be secured and measured. These would affect the time period between Edition 18 and Edition 19. Since the committee is between editions it felt the time was right to have a manual of codified decisions to guide the preparation of editions. Mr. Custer will prepare this manual for review by the committee. Another item of concern to be investigated is the relationship of the ALA delegate to that body. There does not appear to have ever been any formal framework within which the delegate can work. The delegate was instructed to make inquiry concerning this problem.

LRTS EDITORIAL CHANGES

At the 1971 Annual Conference of the American Library Association the Board of Directors of RTSD appointed Robert Wedgeworth, Assistant Professor, Rutgers—The State University of New Jersey, to succeed Dr. Paul S. Dunkin as editor of *LRTS*.

As of the fall issue, 1971, the duties of the assistant to the editor, formerly handled by the new editor, will be assumed by John D. Byrum, Jr., Head of the Catalogue Division, Princeton University.

Also beginning with the fall issue, the editorial adviser for Regional Groups will be Carol F. Ishimoto, cataloger reviser, Harvard College Library. She replaces Maurice E. Lapierre.

IN THE MAIL: THE DICTIONARY CATALOG

Donald Smith, Assistant Librarian, Technical Services, at the University of Toronto Library writes me that, although I mentioned in my article, "In Defense of the Dictionary Catalog" (*LRTS*, Winter 1971) that his library had once switched from a divided to a dictionary catalog, it is again using the divided catalog. It was not the purpose of my article to describe current practices in this or that library, and Toronto was mentioned only because at one time it apparently had an unhappy experience with a divided catalog, a situation which is not the case today since Mr. Smith assures me that they "have been satisfied with the divided catalogue and have no plans to change back to the dictionary catalogue."

Apparently I have inadvertently misled some librarians into thinking that the historical experiences of the libraries I mentioned necessarily still obtain today. I am sorry I left this impression, and hope that this letter will clarify the matter.—James Wilson McGregor, *Northeastern Illinois State College, Chicago.*

IN THE MAIL: SUPERINTENDENT OF DOCUMENTS CLASSIFICATION

Robert Simmons, in his article "Handling Changes in the Superintendent of Documents Classification," published in the Spring 1971 issue of *LRTS* offers neither a logical argument nor a practical solution in suggesting that old "FS" numbers on documents published before 1970 be reclassified to conform to the new "HE" numbers. As a documents librarian at the University of Wyoming for two years, I, too, faced the alternatives suggested by Simmons. He states precisely the arguments against following his suggestion when he argues against retaining the old "FS" numbers on documents the Superintendent of Documents is currently classifying with "HE" numbers.

Simmons further weakens his argument when he admits that, "the intention of Superintendent of Documents classification is to conform to the structure of the federal government." Reclassifying old documents would be inconsistent to what logic does exist in the Superintendent of Documents classification scheme, besides rendering many bibliographic tools useless.

Carried to its logical end, Simmons's suggestion that old "FS" numbered documents be reclassified would compel the documents librarian to establish an across-the-board policy to reclassify every time there is a change in Superintendent of Documents classification. Should President Nixon's recommendations concerning the reorganization of the executive branch be carried out, the burden of such a policy on the resources of the library would be horrendous.

My experience with Simmons's second alternative, that of consistently following the Superintendent of Documents notations, has been practical and successful. Careful cross-referencing of the shelflist accompanied by placement of "dummies" in appropriate places on the shelves which gave the user the classification numbers of all the documents in a series allowed the user fairly easy, uncomplicated access to the documents he desired.

Simmons's arguments, shot full of contradictions, are not convincing. Lack of any time-cost analyses or estimates renders the article useless for any librarian who still has to make the decision as to how to treat changes in classification by the Superintendent of Documents.—Irene Schubert, *Assistant Reference Librarian, University of Toledo Libraries, Toledo, Ohio.*

IN THE MAIL: MORE ON THE MICROGRAPHIC CATALOG RETRIEVAL SYSTEM

I recently read the Summer 1970 issue of *LRTS* and thought you might be interested in knowing of my strong disagreement with many points made in the article by William Ready (*LRTS* 14:439-44) on catalog retrieval. Even with my strong feelings, I would not have bothered to write, except I feel there is also a violation of ethics involved. When a professional journal publishes such a one-sided article endorsing a commercial venture, they are doing a disservice to the profession. Perhaps this is even graver when the commercial service so lauded is considered by others to be somewhat less than satisfactory and, as you must know, has been tried and rejected by a number of libraries.

I feel you have an obligation to your readers to present another side of the picture, so rather than comment point by point on disagreeing views, or on unsubstantiated references to such factors as "cut down on searching time" and "savings in cost and time," I would like to note briefly some of the reasons for rejection of the Information Dynamics System. It should be noted that I am drawing mostly on my memory of the trial of the IDC system at the University of Florida. I was in charge of Technical Services at that time and was directly responsible for the careful evaluation of the system.

Because I was directly involved with the trial evaluation and subsequent rejection of the system at the University of Florida, and later as an innocent bystander during the same sequence of events at Columbia University, I was interested in the fact that Ready merely noted that the system had been installed in some twenty-five institutions in the U.S. prior to the demonstration at his university. He did not indicate that many institutions had tried and rejected the system, nor even if the twenty-five are continuing with the service. The Information Dynamics salesman in Florida was also decidedly vague about the number and location of the users of the system and, of course, would never indicate the number of rejections.

The principal reason for the rejection at the University of Florida was the poor legibility of the catalog cards produced via this system. The quality of the registration on the catalog card depends mainly on the quality control of three principal steps: (1) reduction of image to produce the fiche; (2) producing copy through the reader-printer; and (3) reproducing copies on the Xerox machine. In order to produce the original fiche, IDC reduces the image three times. This means that the copy which will serve for catalog use is at least a fifth-generation copy.

Unless all equipment is operating at A+ level, the quality of the final copy will be questionable. When any machine cops out, or even becomes a bit fuzzy, you're out of business until the repairman comes. The quality of the fiche, the printout on the reader-printer, and the copy produced on the Xerox all influence the final copy. During one trial period, in order to give optimum registration, the representative from Information Dynamics was at Florida along with the serviceman for the reader-printer (3M), and the serviceman from the Xerox Corporation. Even then, quality of the final card was only passable.

To accurately compute the cost, the pricing should be made very clear. The rental cost of the service is \$5,300 per year. You do not buy the fiche, you only rent them. The retrospective fiche for the previous four or five years (1958-1962) which were indicated as being "soon available" have been on a "soon

available" status for several years, and my understanding was that they would rent at an annual charge of \$500. Furthermore, since the reader-printer has to have a special lens and be in prime condition, it is advisable to buy a new reader-printer at approximately \$1,800, and this should be considered along with the price of the system. This reader-printer cannot easily be converted for other uses during the period it is being used for the IDC experiment.

The library aides assigned to searching through the fiche for the desired card complained a great deal about the discomfort of sitting in front of the reader-printer trying to adjust the fiche according to the coordinates and printing out the copy. The eye strain made it nearly impossible for anyone to do this for periods of more than two hours. The time and the messiness in trimming the reader-printer copy to the required 3"x5" size before Xeroxing needs also to be noted. Even though the reader-printer was adjusted to print half sheets, trimming was still a messy, time-consuming task.

Incidentally, you then face the options of having the cataloger add the call number to copy made by the reader-printer, which some catalogers found disagreeable, or Xerox the reader-printer copy, add the call number, and then Xerox the previously Xeroxed copy for the number of catalog cards needed. Of course, Xeroxing from a previously Xeroxed card adds another step and gives even poorer registration.

Microfiche made from LC depository proof sheets and Title II cards was generally superior to fiche from cards made by cooperating libraries for the NUC. The variety of density of the cards from the cooperating libraries for the NUC requires added care in producing good copy.

Comparative tests were held on look-up time in IDC, NUC, and the depository (Title II) catalog with IDC coming out a poor third. Although Ready's article did not indicate what system had been used previously at McMaster University so some comparisons could be made, at Florida the Title II cards had been used, and the decision was made to continue Xeroxing from these as copy was decidedly better and more easily achieved in this manner. It was found that the cost of the IDC system was very comparable to the cost of maintaining the depository file. There was also no problem in having the catalogers type call numbers on the depository cards and Xeroxing from these.

In a very good survey by Joseph M. Dagnese, "Catalog Retrieval Systems on Microfiche," (*Special Libraries*, Sept. 1970, p.357-61), Dagnese compared several similar systems with IDC. He noted that the legibility quality of the fiche from IDC was "fair." He also noted that the size of the 5"x8" fiche does not meet present standards as specified in the latest ANSI, COSATI, Military, or NMA standards. His article should be studied well before deciding on any microfiche system.

In my discussions with IDC representatives I commented several times that in this marvelous automated world it seemed archaic to sit down and manually play with coordinates trying to line up an entry for a fiche—first in the index, unless the bound volume covered the period desired; and second, to find the card desired. One company, Library Micrographic Services, which probably entered the market too late to be covered by Dagnese's survey, apparently agreed with me. They are now offering a service similar to IDC with both the index and the cards on roll-film and cassettes to be used with a powered reader. This film is indexed by the "blip" sequence and, besides being easier and faster to use, will avoid problems with smudged film and cut fingers from handling the fiche.—*John G. Veenstra, Doctoral Candidate, Columbia University, New York.*

GRANT ENABLING IFLA TO ESTABLISH A PERMANENT SECRETARIAT FOR CATALOGING ACTIVITIES

A grant of \$54,000 to the International Federation of Library Associations (IFLA) for the establishment and support of a permanent secretariat for the IFLA Committee on Cataloguing during a three-year period has been reported by the Council on Library Resources. The secretariat will initially be located in quarters made available by the British Museum.

The activities of the IFLA Committee on Cataloguing in the past decade have resulted in valuable contributions toward the international standardization of cataloging and bibliographical description. A "Statement of Principles" drawn up at the 1961 International Conference on Cataloguing Principles in Paris has influenced cataloging codes and practices throughout the world. The proposals for a standard bibliographic description first made at the 1969 International Meeting of Cataloguing Experts in Copenhagen have had equally significant effect.

The new permanent secretariat will serve as the center for the international coordination and standardization of cataloging rules and practices. It will assist in the establishment of an international system for the exchange of bibliographical information by providing needed liaison between sections and committees which deal with the same problems from differing points of view. The secretariat is also expected to be influential in the reduction of overlapping projects with their consequent waste of effort.

In addition to providing liaison and coordination among cataloging and bibliographical organizations, the secretariat will:

- collect and disseminate pertinent information;
- provide services to working groups and individuals engaged in particular cataloging projects;
- promote projects relating to the international standardization of cataloging and bibliographical practices;
- undertake editorial and publishing activities; and
- produce a regular information bulletin.

General policy for the secretariat will be under the direction of a steering committee appointed by the IFLA Executive Board, chaired by A. H. Chaplin, chairman of the IFLA Committee on Cataloguing. Executive responsibility will be in the hands of the secretary of the same IFLA Committee, Mrs. Dorothy Anderson.

It is expected that at the end of the Council's three-year grant the secretariat's activities will have developed to the point that income from the sale of publications and other sources will provide for its continuing existence.

Z39.9-1971, NEW SERIAL PUBLICATIONS STANDARD, AVAILABLE FROM ANSI

Libraries, subscriptions agencies, and other organizations concerned with information handling will benefit from the new American National Standard Identification Number for Serial Publications, Z39.9-1971.

The new standard, just published by ANSI, sets up a concise, unique, and unambiguous code for identifying serials—periodicals, newspapers, reports, yearbooks, journals, proceedings, transactions, etc.

The standard specifies that one, eight-digit code number be assigned permanently to each serial. It also recognizes that the assignment of code numbers should be administered by a central authority. The Library of Congress has agreed to undertake this responsibility, subject to the availability of the necessary funds.

American National Standard Z39.9-1971 defines a serial, specifies the code's format and characteristics, and stipulates how it should be applied. It is available from ANSI at \$2.25 per copy.

Preparation of the new standard was the responsibility of Subcommittee 20 of American National Standards Committee Z39, Standardization in the Field of Library Work, Documentation, and Related Publishing Practices.

"THE ENTRY-WORD IN INDONESIAN NAMES AND TITLES"

I inadvertently wrote the following in my article (Summer 1971, p.396): "The *Berita Nasional Indonesia* is the national bibliography for Indonesia."

This should correctly read: "The *Bibliografi Nasional Indonesia* is the national bibliography for Indonesia."

I hope by this statement the error will stand corrected.—Zubaidah Isa, Doctoral Candidate, Graduate Library School, Indiana University, Bloomington.

MANN AND PIERCY AWARD NOMINATIONS SOUGHT

Nominations for the 1972 Margaret Mann Citation and the Esther J. Piercy Award are invited from all readers of *LRTS*. Please do not hesitate to repeat nominations of names formerly submitted. Nominations should be sent by December 15, 1971, to the chairman of the appropriate award committee.

Margaret Mann Citation: Miss Emilie V. Wiggins, National Library of Medicine, 8600 Rockville Pike, Bethesda, MD 20014.

Esther J. Piercy Award: Mrs. Roma Gregory, University of Rochester Library, River Campus Station, Rochester, NY 14627.

REVIEWS

U.K. MARC Project: Proceedings of the Seminar on the U.K. MARC Project. Organized by the Cataloguing and Indexing Group of the Library Association at the University of Southampton, 28-30 March 1969. Edited by A. E. Jeffreys and T. D. Wilson. Newcastle-upon-Tyne, Oriel Press for the Cataloguing and Indexing Group of the Library Association, 1970. ISBN 0-85362-086-5 (Hardcover), 0-85362-105-5 (Flexicover). viii, 116p. 25s.

It is always interesting to look at a program through someone else's eyes. In this case, the program is the Library of Congress' MARC I and MARC II—machine-readable cataloging—as seen through British eyes and as modified in the British National Bibliography's U.K. MARC. The BNB has the obligation of providing a *national* bibliography and of acting as a central cataloging agency for British books. There is no comparable American *national* bibliography; the Library of Congress acts as cataloging agent but on a scale that is international in scope and which the Shared Cataloging program ensures will remain so. These different coverages necessarily affect the content of the machine-readable record.

The seminar was called to explain U.K. MARC to potential users and as such it appears to have done a fair job. There was some complaint about the MARC record's content format, apparently because LC cards are not used widely in Britain. Also British public libraries, as P. R. Lewis notes, have become accustomed to the subject-oriented approach of the BNB, though their academic libraries, like ours, could not care less in this respect. In the seminar, undue emphasis was placed on the dif-

ference between MARC I and MARC II, and MARC I was even written off as a failure by some speakers! Actually, the body of information (the content of the card) has been the same in both programs, but the means of getting at it have been greatly improved in MARC II. It is interesting that the means involved in obtaining accessibility to the record should have obscured the likeness of its content to such a degree.

The BNB spokesmen found it necessary to emphasize that U.K. MARC, like MARC II, is a communications format, a machine-readable *bibliographic* record. At first, it seems, all that people could see in it was a means of providing cataloging copy. C. D. Batty's presentation indicated what other things have been done with MARC I. At that time the uses of MARC I developed at the Syracuse University Library School were not available. With MARC II there are more possibilities, but it is remarkable how difficult it is for many librarians to see the advantages of having a catalog record that is not locked into a full bibliographic unit, either on a card or on a page. The unit card is such a familiar format that it has obscured the variety of information available for manipulation.

Aside from the differences between MARC II and U.K. MARC, the commentary runs pretty much like that in American conferences. It is amusing to see that the "computer types" in Britain also lecture librarians on the necessity of deciding "what you want, and standardizing it," just as if computing centers were so standardized that one could take a uniform library program and run it anywhere. The pot calls the kettle black. The librarian's problem is not that he does not know what he wants—he knows all right,

and with considerable international agreement—but that librarians are encouraged to think and invent. This they do freely, with the result that libraries develop all kinds of special methods which are supposed to be more effective in reaching their patrons than any agreed-upon standard. In fact, the setting up of a standard is like waving a red flag before a bull. Almost at once “better” methods begin to appear, bending, breaking, and crushing all standard rules, codes, and agreements in the process. Yet, who would dare ruthlessly demand uniform standards just to make mechanization easier when we may be cutting off truly brilliant efforts to render our extremely complex bibliographic system more usable for our patrons?

The unrecognized dichotomy between two main types of users of cataloging, the librarian-user and the patron-user, is also a factor in potential utilization of MARC (any type). This user distinction exists with our present card and book catalogs, but to the detriment of the patron-user who cannot, as a rule, make sense of all the information crowded on the unit card type of entry and finds it confusing. MARC, as the seminar spokesmen pointed out over and over again, can give as much or as little as any user needs. There is no reason for being forced into taking the whole record as is now the case with the unit card.

The BNB's contribution, via U.K. MARC, is on the subject analysis side and is very impressive. The introduction of the concept-string as part of the total catalog entry and of the rotated index, machine-made and based on the string, offers new paths for greater service to both main types of users. Whether the string can be added to input for MARC II or not remains to be seen, partly because the addition of anything so intellectually complex as the concept-

string is a major cataloging decision and partly because the methodology for arriving at a meaningful string has not yet been described clearly enough to be widely copied. The results, in the form of the rotated index, look good so far, and if the BNB experience during the next year or two is favorable, this item may prove so valuable that it will have to be added to MARC II.—Phyllis A. Richmond, School of Library Science, Case Western Reserve University, Cleveland, Ohio.

Austin, Derek, and Butcher, Peter. *PRECIS, a Rotated Subject Index System*. London: The Council of the British National Bibliography, Ltd., 1969. 87p. Supplement. 18p. ISBN 900220-12-0. 50s.

In order to begin to understand this work, four publications should be read first:

- (1) Austin, Derek. “Prospects for a New General Classification,” *Journal of Librarianship* 1: 149-69 (July 1969).
- (2) Austin, Derek. “Development of a New General Classification: A Progress Report,” *Information Scientist* 3:95-115 (Nov. 1969).
- (3) Classification Research Group. *Classification and Information Control*. London: Library Association, 1969. Library Association Pamphlet no.1.
- (4) Austin, Derek. “An Information Retrieval Language for MARC,” *ASLIB Proceedings* 22:481-91 (Oct. 1970).

The PRECIS system has been developed to replace the depth indexing previously done by chain indexing in the British National Bibliography's version of the Dewey Decimal Classification. The Bibliography's staff, and presumably readers, have been used to a logical, thorough, and

extensive index obtained through manipulation of the parts of the decimal notation whose positional features represented various levels of the classification system. This could be done with the present, standard Dewey Classification, but it would take so many changes that it was preferred to develop another type of index based on analysis of titles. Assuming that the title is descriptive of the work, or making necessary additions where it is not, each title is analyzed according to certain rules which are more or less explained in this book and its supplement. The result is a very nice index, complete with *see, see also, and related terms*, combining in many respects the best from both standard subject heading practice and thesaurus making.

In order to illustrate the process, one example will be shown in detail. There are many different rules for different kinds of material, so the one chosen will be as close to the basic standard form as possible. The example is taken from the *Supplement* which supersedes the main text in some respects.

First the work is analyzed exactly as to subject, with implicit parts made explicit.

"Subject: Gas fired domestic heating systems compared with oil fired domestic heating systems."

The concepts in the subject are then turned into shortened form, arranged in a preferred order and tagged (tags in parentheses).

"Concept analysis: (4) [key system]₁ houses (3) [action]₁ heating (2) [active system]₁ gas fired systems (w) [coordinate correlated concept]₁ compared with (2) [active system]₁ oil fired systems."

This is converted into a readable form for a computer, using further tags.

"Manipulation string: \$z101\$a houses \$z101\$a heating \$z101\$a gas fired systems \$z205\$t compared with \$z101\$a Oil fired systems."

The results, by a chain procedure, are then listed via computer. Cross-references are added by the program when these are applicable.

"Entries:

HOUSES

Heating. Gas fired systems compared with Oil fired systems

HEATING. Houses

Gas fired systems compared with Oil fired systems

GAS FIRED SYSTEMS. Heating.

Houses compared with Oil fired systems

OIL FIRED SYSTEMS. Heating.

Houses compared with Gas fired systems

"References:

DOMESTIC HEATING *see* HEATING. Houses

HOMES *see also* HOUSES

BUILDINGS *see also* HOUSES

ENVIRONMENTAL CONTROL *see also* HEATING

FUELS *see also*

GAS

OIL

RESIDENCES *see also* HOUSES"

Identification of elements and choosing the preferred order are the significant procedures in the whole process, and this part, unfortunately, is not always clear. The process of making the concept analysis is the vital point, the manipulation string being merely its codification. Choosing the "key system," for example, follows the rule developed in Austin's discussion of a new general classification system cited at the beginning of this review: class at the passive system (dog bites man—"man" is the passive system). The relationships are relatively circular in most of the examples given in the book and supplement. It is not clear how

to achieve the same kind of circularity that Austin and Butcher got. The result makes a very fine index. The method of obtaining such results needs further clarification.—*Phyllis A. Richmond, School of Library Science, Case Western Reserve University, Cleveland, Ohio.*

Wellisch, Hans. *The Universal Decimal Classification; A Programmed Instruction Course*. College Park, Md.; School of Library and Information Services, University of Maryland; available from Student Union Bookstore, 1970. 195p. \$3.50.

The aim of this book is to teach the practical application of the Universal Decimal Classification System (UDC). In contrast to Europe and many other countries, in the U.S. the UDC is little used, and consequently, it is relatively unknown. Ignorance of the system leads many librarians to dismiss the UDC as too complicated and impractical for use. Recently, however, interest in the UDC has been growing, particularly in scientific and technical libraries. This interest stems from the increased complexity of many subject areas, and as a result existing classification systems such as the Dewey Decimal Classification and the Library of Congress Classification System have become inadequate. Furthermore, of all the common existing classification systems which can be considered for use in computer-based retrieval systems, the UDC offers the greatest potential. Therefore, Hans Wellisch's book, by contributing to the better understanding of this classification system, should spur its more extensive application.

Hans Wellisch is a member of the Central Classification Committee of the Fédération Internationale de Documentation (FID). (This body administers the UDC, keeps it up to date, and investigates proposals for amending and altering the classifica-

tion schedules.) He is a leading expert on the subject of the UDC, and it is fortunate that this authoritative manual of programmed instruction by him is now available to American librarians, teachers, and students.

Classification tables for the UDC are published in many languages and they exist as full editions, medium editions, and abridged editions. Hans Wellisch's book has been designed for use together with the English abridged edition, published by the British Standards Institution in 1961 and consequently this must be available to the potential user. The author is aware of the fact that this edition is already ten years old and will eventually become obsolete as an English medium edition is made available. He intends to write a revised edition of the book geared to the new medium edition. However, for learning purposes, there is no really serious disadvantage in employing the abridged edition and even its age is no hindrance, since the principles involved in using both the simpler and the more detailed classification tables are basically the same. The book deals with all class numbers, except those assigned to language and literature. These two classes which previously had different class numbers will be combined into one class in the future, but the English abridged edition does not include this change.

The method of the book ought to be explained. The book is divided into numbered "frames." Each page contains a frame, and each frame includes a lesson and an exercise. The pages are not meant to be read consecutively. But each exercise involves a choice of several answers and, depending on the answer selected, the reader is directed to continue with a particular frame. If the given answer was correct, this fact is confirmed in the new frame, and then instructions for the next

exercise are given. If the answer was wrong, the mistake is explained, and a further exercise to practice and to verify the reader's full understanding of the lesson is set. Whatever path is taken through the book, the frames start with basic principles of general classification, and these are followed by the UDC itself. Eventually all the concepts and technicalities underlying the system are discussed and practiced. The lessons are clear, the explanations lucid, and the instructions unambiguous. One of the problems involved in using the UDC is its great flexibility. The beginning user is often under the impression that almost any combination of numbers is valid in classifying documents and their various parts. One of the noteworthy features of this book is that it gives excellent guidance and explains convincingly why, in most instances, only one combination is possible and if there are alternative answers, why a certain possibility is preferable to another. Wellisch teaches the logic of the method and that, even with flexibility, the method is governed by many rules which must be adhered to for good reasons.

The book is aimed chiefly at students in library schools, to be used while taking a course in the UDC. In addition, the manual can be readily used by anyone wanting to study the UDC independently rather than in a structured course. In using the book, the purpose for which it was written should be kept in mind; it is a manual for programmed instruction and not a systematic textbook. The rules of the UDC are scattered throughout the book and can only be learned by carefully working through all the frames in the proper way; it is not a reference manual. The volume has an index, but not a very analytical one. Because of the fact that this book is the first one of its kind to be published

in the U.S. and because its object is to acquaint library circles in the U.S. with the UDC, Wellisch has included some general, up-to-date information on the UDC not to be found elsewhere. In order to meet this latter function more efficiently, it would be helpful if any new edition would include an appendix with a set of rules, at the end of the programmed instruction. This appendix should systematically, but briefly, present the rules discussed in the program itself. Additionally, the index might be more analytical. These improvements would make the book both an instruction guide and a practical reference manual. As such it would become generally more useful and would serve an even larger audience. Wellisch's book is highly recommended for every library school library as a definitively very important, useful, and virtually unique guide to the UDC. With most books so expensive, it is a rare pleasure to report that the price is \$3.50 and presents no serious obstacle to purchase. —Dina Goldschmidt, Ramath Chen, Israel.

Tauber, Maurice F., and Feinberg, Hilda, eds. *Book Catalogs*. Metuchen, N.J., Scarecrow Press, 1971. 572p. \$15.00. ISBN 0-8108-0372-0.

The title page which reads simply, "Book Catalogs, by Maurice F. Tauber and Hilda Feinberg," is an inadequate description of a book, that is, in the main, an anthology of previously published writings. As such it might be regarded as a sequel to an earlier collection issued under the same title by R. E. Kingery and Tauber in 1963; indeed, only papers published from 1964 to early 1970 are included in the present volume. Supplementing nineteen previously published papers are five evidently commissioned for this volume; an introduction by the editors; a section on

descriptions of some thirty-two sample book catalogs, with specimen pages, prepared by the junior editor; a chapter on "Retrospects and Recommendations" by T. C. Hines and J. L. Harris; a reprinting of the 1970 *LRTS* listing of book form catalogs active in 1968; a chronological bibliography on modern book catalogs; and a computer-produced index.

Essentially therefore, *Book Catalogs* is, as Hines and Harris point out in their terminal essay, a kind of state-of-the-art publication when viewed in toto. The individual articles vary widely in general importance, timeliness, and usefulness, covering as they do a time span of six years and a very wide range of book catalog projects. It is, as always, difficult to be critical about the editors' choice of papers to reprint, although a few appear to have no obvious claim to inclusion through originality, success, or general applicability. A fair and balanced view is given, however, of the present picture of book catalog production; the reviewer would question only the small amount of attention given to "register" catalogs.

The features additional to the papers themselves are generally helpful. The bibliography appears to be reasonably complete for the period 1964-1969, although sketchy for 1970, and the index appears to be adequate and easy to use. The two evaluative chapters, however, are disappointing. The introduction is somewhat superficial and pedestrian; the concluding chapter on retrospects and recommendations by Hines and Harris only slightly more searching. Even here very substantial questions of book catalog purpose, suitability, and economic justification are barely touched. The literature on book catalogs is, by and large, a literature of advocacy. Book catalogs and card catalogs have been viewed simplistically as competitors,

and the substitution of book catalogs for card catalogs has been accounted an almost self-evident step forward. This attitude permeates the two evaluative chapters and, indeed, the whole book.

Is it too early? Is the history of modern book catalogs too brief to permit any more by way of analysis, generalization, and syntheses than we find in *Book Catalogs*? Perhaps. But one conclusion appears clear, at least to the reviewer. Far from being competitors, book and card catalogs are complementary instruments, and emphasis upon their competition is misplaced. Modern book catalogs have proven successful in, and only in, those areas in which card catalogs have proven impractical: in the large-scale dissemination of bibliographical information (*National Union Catalog*, etc.) and in library situations characterized by small collections (in terms of titles) and multiple-access points, geographically separated (city, county, and regional libraries; some special libraries). On the other hand, successful introduction of book catalogs in lieu of card catalogs into library environments such as the academic or research library, characterized by large, rapidly growing collections, awaits "breakthroughs" still hidden in the future.—*George Piternick, School of Librarianship, University of British Columbia, Vancouver, Canada.*

Advances in Understanding Approval and Gathering Plans in Academic Libraries. Edited by Peter Spyers-Duran and Daniel Gore. Kalamazoo, Mich.: Western Michigan University, 1970. 220p.

The second International Seminar on Approval and Gathering Plans in Large and Medium Size Academic Libraries was held at Western Michigan University on October 30-31, 1969. This volume, the proceedings

of that seminar, belies its title and reveals that all too few advances have been made in understanding approval plans. Daniel Gore attempts to start things off on the right track when, in the opening "Critical Essay," he denies the equation of approval plans with automation or the abdication of selection responsibilities. His essay should perhaps have been the closing one, since his commonsensical approach sets a standard which the speakers and questioners at the meetings unfortunately fail to reach. Of the seven papers published here, three are about automation and two decry the "abdication of selection responsibility." A feminist might find significance in the fact that the two women who presented papers take a very practical "this-is-how-we-handle-it" approach while Richard Boss and Don Ferris are more visionary in their dreams of compatible computer programs for library and dealer or of augmented Standard Book Numbers to solve some of the problems of acquisitions in general and approval plans in particular. Libraries contemplating moving to an approval plan type of ordering might well find the lack of common ground among the librarians a source of confusion if they are hoping for guidance from this volume.

On the other hand, the dealers represented show a sound grasp of what they can realistically hope to do for libraries and present their various programs briefly and clearly. The question-and-answer session following this portion of the program would have benefited from further editing, as would all such sessions included. However, their statements, especially when read in conjunction with the seventy-eight pages of addenda describing the services of thirteen approval plan dealers, are an invaluable guide to the types of approval plans and refinements thereon which are presently available. It

is particularly pleasing to see two lesser-known plans, that of Alexander Broude for published music and that of Worldwide Books for foreign art books and exhibition catalogs, included.

The presentation both of vision and of controversy is a worthy pursuit, and Spyers-Duran is to be commended for his organization of this seminar and the subsequent publication of the proceedings. It is to be hoped, however, that the proceedings of the third International Seminar on this topic will reveal more true advances in the understanding of approval plans. One hopes for accounts of benefits gained, economies effected, and methods for handling material devised and evaluated. Rather than sharing prejudices, perhaps the next such volume will allow us to share insights.—Carol Schaaßsma, Head, Selection & Search, University of Hawaii, Honolulu.

Serial Publications in Large Libraries.

Edited by Walter C. Allen. Urbana, Ill.: University of Illinois, Graduate School of Library Science, 1970. 194p. \$4.50. (order from Illini Union Bookstore, 715 S. Wright St., Champaign, Ill.)

Serial Publications in Large Libraries comprises a number of papers delivered at the sixteenth Allerton Park Institute of the University of Illinois Graduate School of Library Science in November 1969. The work devotes itself to what its editor Walter C. Allen candidly terms a "perplexing area of librarianship."

While the presentations are in the main of a descriptive nature rather than argumentative or theoretical, the first two, devoted to a plea for more openmindedness in periodical selection, will seem rather provocative to many. The first of these, by Theodore Peterson (Dean of the University of Illinois' College of Com-

munications), discusses the value of the popular magazine to the student of social and intellectual history. Peterson points out that librarians often ignore periodicals of considerable value to the researcher because the publications may seem inconsequential or lurid.

William Katz's "Serials Selection" picks up where Peterson's article leaves off and stresses the need for broader periodical selection in order to keep the library in touch with its actual and potential public, especially among the young. While Katz occasionally seems to be speaking to discomfit his audience, his observation that libraries must broaden their appeal (even in the academic community) or face the possibility of becoming obsolete needs to receive adequate recognition and dispassionate consideration.

The following two papers on serials acquisition and cataloging by Peter Gellatly and Kathryn L. Henderson trace the principal pitfalls in securing and classifying serial publications in the large library. Mrs. Henderson's contribution is a scholarly and interesting presentation of the evolution of serial cataloging from the mid-nineteenth century to the present. The cataloger will find much merit in her exposition of the value of a uniformly recognized main entry and the problem posed by changes of title.

A pair of papers by James Orr and William T. Henderson examines the nature of serial binding from both the binder's and the librarian's points of view. In particular, attempts to develop serial binding codes and the continuing problem of physical deterioration are explored.

The interrelated areas of record maintenance, bibliographical control, and application of machine technology to serials are explored in a series of presentations by Samuel Lazerow, Donald P. Hammer, Thomas

D. Gillies, and Bill M. Woods. The first two of these (by Lazerow and Hammer) examine the acquisition and processing of serial materials in the large library and the possibility of applying machine technology to this area of librarianship. The latter two papers discuss the efforts made in indexing and abstracting serial publications, especially the ever-troublesome technical reports and governmental publications generally.

Warren B. Kuhn's "Service" concludes the volume by examining the various means of arranging collections of periodicals and other serials, together with various methods of providing access to them.

Although *Serial Publications in Large Libraries* is more of a review of the state of the art than an exposition of possibilities, it should prove of interest to the librarian working with serials in the large library. Because of the breadth of the survey it should, if nothing else, make each "serialist" more conscious of the problems unique to serials in the research and reference library.—*Robert N. Taylor, Serials Cataloger, University of Texas at Austin.*

LIST 1971: Library and Information Science Today. Paul Wasserman, managing editor. New York: Science Associates/International, 1971. 397p. \$25.00. ISBN 0-87837-000-5.

"The first international registry of research and innovation in library and information science . . . a landmark university-based project . . . offer[s] a total perspective of the complex fields of librarianship and information science by identifying the unusual and dramatic 'in-progress' departures . . . organized by an unusually exhaustive indexing system . . . identifies and describes the most innovative, experimental, and prototypal work underway in the field . . . a truly up-to-date picture of an exciting field in motion."

These coruscating phrases, excerpted from the promotional literature for *LIST 1971* provided by its publishers, give an idea of the objectives and scope of this volume, the first in a planned annual series. It will come as no surprise to those who consult this type of directory that the performance falls somewhat short.

LIST 1971, as explained in its somewhat disarming preface, and in a puff written by the managing editor and published in the November 15 *Library Journal* (p.3879-83), appears to have begun as a seminar course project at the University of Maryland library school (at least, that is how the reviewer interprets "students and faculty came together in a problem-solving mode : . ."). The course concentrated on the problems of designing and developing a system for gathering and publishing up-to-date information on notable research and development activities in the fields of library and information science. This work, carried on for several semesters under the academic direction of the managing editor, created the original "data base" for *LIST 1971*, subsequently augmented.

The listing for each project includes principal investigator or investigators, title of project, organization at which the project is operating, source of funding, date (usually date of commencement of work), and description of project (usually in the projector's words, sometimes edited—average length of about 100-150 words). The projects are arranged in broad groupings designed to facilitate browsing, and are indexed by principal investigators, home organization, geographic location, funding source, title of project, and subject/keyword. The indexes occupy 145 of the 397 text pages of *LIST 1971*.

A directory should not, of course, be judged by its readability. Its presumed primary use is that of "look-

up." Hence, its quality should be measured by its completeness, by the relevance of its coverage within its declared parameters, the amount, accuracy, and currency of useful information given, and by the ease with which information may be found by the searcher who frequently has only vague leads. It is only on the third of these criteria that *LIST 1971* can be given good marks.

It is difficult to say with any certainty whether *LIST 1971*'s 820 listed enterprises represent only a few, or most, or all of the important research or innovative programmes now operative throughout the world in librarianship and information science. Yet there are evidences that much is not included. The reader will notice omissions of innovative programs of which he has personal knowledge. *Current Research and Development in Scientific Documentation no. 15*, published in 1969 (at \$3.00), listed 783 projects active at that time, and its subject and geographic scope was significantly narrower than *LIST*'s. To the possible argument that the relatively small number of listings results from the fact that only the "unusual and dramatic" are included, one may point to many listings which lack both novelty and drama. That a library is comparing the efficacy of Kardex and Kalamazoo slips as serial check-in forms seems hardly innovative in these days. Many entries, especially those covering information centers, mention only conventional and routine services. That the National Translation Center at the John Crerar Library disseminates English translations and has been publishing the *Translations Register-Index* for some years seems hardly relevant to the stated aim and scope of *LIST*.

The actual project descriptions are generally very much briefer and less informative than those in *Cur-*

rent *Research and Development in Scientific Documentation*, *LIST*'s fore-runner, now alas, defunct. And they frequently fail to indicate just what is experimental or innovative in the projects. The entry for the Commonwealth Agricultural Bureaux, for instance, merely states their objectives as: "To provide scientific information to agricultural research workers, mainly through abstracts of world literature in agriculture. Bibliographies, review articles, photocopies, and microfilms are also provided. Currently, three institutes and eleven bureaux comprise the organization." CAB have been in existence and have been doing these things for decades; what are not mentioned are their experimental activities in the computerized preparation of abstracts.

It would be unfair to attribute all the shortcomings of *LIST* to its producers. *LIST* suffers, perhaps in aggravated form, from problems common to all directories, as they depend, in the last analysis, upon some action of the agencies subject to inclusion. The very factor that calls such publications as *LIST* into being, i.e., the inability or unwillingness of many people to publish notices or details of their research and development activities, also seems to work against their answering letters or filling out questionnaires, not to speak of their volunteering information for directory listing. Nor, unfortunately, can a high correlation be assumed between the importance of a study and the eagerness with which it is publicized by its principals. *LIST*, the reviewer feels, is not a very good buy at \$25.00. That there will soon be a better one in this field, however, is probably not to be expected.—George Piternick, *School of Librarianship, University of British Columbia, Vancouver, Canada.*

Hayes, Robert M., and Becker, Joseph. *Handbook of Data Processing for Libraries*. New York: Wiley, 1970. (Information Sciences Series) 885p. ISBN 0-471-36484-3. \$19.95.

According to the authors' intent and title, this work should be a guide to library data processing. The book is intended to appeal to the librarian, the student, and the systems designer. To hold the interest of and inform these three groups simultaneously is a difficult task, and the authors only accomplish it in the last half of the book. The book suffers from having too much data—some of it trivia and much of it irrelevant to the probable audience. For example, in chapter 8 we are told: "The required power supply is a function of the specific configuration of equipment. A typical load is 20 KVA at 175 amp. This can be either 208 or 230 and includes both three-phase and single-phase." Not only are power and air conditioning (similarly discussed) functions of the kind and quantity of computer hardware, but, more importantly, there is no good reason to discuss these topics at such length in this book.

The book is organized into five parts: Introduction to Library Data Processing; Management of Library Data Processing; Data Processing Technology; Library Clerical Processes; and Library Intellectual Processes. Although Part I is intended to give some sense of history and a state of the art picture of library automation, there are only a few footnotes of reference as recent as 1969. Because many of the significant projects were then not complete, the reader is only teased with accounts of projects that were started: "The University of Colorado libraries received a grant in March 1967—to initiate a study of the development of a cooperative book processing center to

serve all publicly supported Colorado college and university libraries." So, what happened? We aren't told in this work. Yet, at one point Hayes and Becker caution, "Almost universally, library mechanization projects have reported overly inflated claims of success, not for the purpose of deluding others, but simply because plans are described as though they were already realized. The readers of those reports should therefore be very careful in their evaluation of what may be merely hopes or speculation and what may be reality." By not adequately describing the experiences of the projects they mention, Hayes and Becker are committing the sin they caution against. One cannot help but conclude that there are better places to gain an appreciation of the developments in library automation (e.g., Ralph Parker's article in v.5 of the *Annual Review of Information Science and Technology*).

The next two parts continue to present too little for one group and too much for others. It is hard to imagine these parts of the book as a guide for a programmer or systems analyst and they should fairly well intimidate the librarian. As usual, the student has little choice.

However, whatever the faults of the first half of the book, the last half is well done, informative, and different. In chapters 15 through 20 the authors discuss library data processing and they discuss it well—circulation control, ordering, cataloging, and serials are each discussed as major subsystems. There are comments—and in some cases considerable detail—about the implementation of these subsystems at various libraries. There are examples and some description of cost. These chapters should appeal to librarians and systems people alike.

The book concludes with an in-

teresting chapter on information science in librarianship. What is information and what does its changing form and quantity imply for the library? What is the role of information science in library education? These are interesting questions and their discussion is a good note on which to conclude.

Data processing and computing science are beginning to mature; we now know how to process data with computers and make it more quickly available to its users; our technology for doing this is expanding impressively. This growth of the industry is marked by the number of introductory texts now being aimed at specific markets or disciplines. After scores of "Introduction to . . .," we now have "Introduction to . . . for . . .". But a handbook is not an introductory text and Hayes and Becker have written "A Handbook of Data Processing for Libraries"—not "An Introduction to Data Processing for Librarians." The authors, the reviewers, and the readers should note this distinction. Since a handbook is a guide, the obvious question is—"How well does this book serve as a guide for library data processing?"

The first three parts are tremendously uneven. Partly, they sound like a rephrased *Automatic Data Processing Systems* by Gregory and Van Horn, while other passages (e.g., I/O devices and media) are incredibly detailed. I am sure the authors would argue that this allows the material to serve as a reference tool to a diverse audience; yet this is only partially true, since many of the detailed passages deal with subject matter conditioned by individual situations. For example, the size of a computer installation, the flooring, the power supply, the air conditioning, etc., are all variables affected by the needs of a particular situation. To the extent that this is true, the

detailed technical material of the book serves more to inform than to guide.

In essence, the first half of the book is not truly a "how to" guide and it does not provide good introductory material. It vacillates between these two purposes and suffers because of it.

However, as I said earlier, the last half of the book, which deals more explicitly with librarians and library automation, is well done. It will serve as a guide both to librarians and systems people, and perhaps it can also help both these groups appreciate what is involved in library automation.—*T. M. Wendel, Staff Vice-President, Data Processing, Pan American World Airways, New York, New York.*

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ERIC/CLIS ABSTRACTS

Selected and edited by ELLEN ALTMAN

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Angell, Richard S. *Two Papers on Thesaurus Construction: The Language of Term Relation Designations in Subject Access Vocabularies; The Specific-to-General See Reference in Thesaurus Construction*. 1968. 32p. ED 047 761. MF \$0.65, HC \$3.29.

Institution: Danish Centre for Documentation, Copenhagen.

Sponsor: International Federation for Documentation, Committee on Classification Research. (FID Publ. Serie-No. 405).

The first paper, "The Language of Term Relation Designations in Subject Access Vocabularies," contains a set of tables comparing certain features of ten thesauri and subject authority lists. The purpose of this essay is to present a kind of analysis that may have value in clarifying the language and structure of subject access vocabularies with a view to achieving maximum compatibility among them. The second paper, "The Specific-to-General See Reference in Thesaurus Construction" advances the proposition that the employment of the specific-to-general see reference is a faulty element in the structure of subject access vocabularies. The reference acknowledges the existence of a specific subject but denies the searcher direct access to material on that subject through a specific subject heading or index term. As a consequence, review of an undeterminable amount of nonrelevant material is required in the retrieval process. The specific-to-general see reference should be abandoned as an element in the construction of subject access vocabularies. See references should be limited to synonyms, antonyms, and alternative forms.

Audio Visual Workshop, May 7th-8th 1970. 1971. 32p. ED 047 746. HC \$1.45 nonmembers, \$1.21 members (Aslib Audio-Visual Group, 3 Belgrave Square, London, S.W. 1, England).

Institution: Aslib, London. Audio-Visual Group.

The workshop was held to promote the use and encourage the exchange of information on the techniques of audiovisual librarianship for university libraries. Various aspects of the control, storage, and exploitation of media are discussed in the five papers which range from descriptions of libraries concerned with one medium to those concerned with several media or audiovisual aids.

Balliot, Robert L. *A Program for the Cooperative Acquisition and Use of Library Materials of Seven New England Liberal Arts Colleges (CONVAL)*

Based on an Analysis of Their Collections. June 1970. 82p. ED 047 711. MF \$0.65, HC \$3.29.

Institution: Western Carolina University, Cullowhee, North Carolina.
Sponsor: Office of Education, Washington, D. C. Bureau of Research.

The Connecticut Valley Libraries (CONVAL) is a consortium formed by the librarians of seven New England liberal arts colleges to make better use of library resources through cooperation. A survey indicated strengths of the collections and identified special interests or unique holdings. Although there was great homogeneity among the collections, there was also considerable diversity among special and unique holdings. Recommendations for effecting cooperation through CONVAL were: CONVAL librarians actively participate in all aspects of academic planning; CONVAL be incorporated; each CONVAL library contribute equally to its maintenance; each library write an acquisitions policy statement; interlibrary loan privileges be extended to all classes of borrowers within the consortium; the CONVAL director investigate the use of other storage facilities and make compacts with large libraries for access to their collections; teletype units be installed in all libraries and be fully exploited in interlibrary lending; all libraries adopt the Library of Congress classification system; and Dartmouth be designated as the CONVAL Research Center for Automation.

Berket-Smith, Kjeld. *Local Applicability of the Library of Congress Classification; A Survey with Special Reference to Non-Anglo-American Libraries.* 1970. 72p. ED 047 749. MF \$0.65, HC \$3.29.

Institution: Danish Centre for Documentation, Copenhagen.
Sponsor: International Federation for Documentation, Committee on Classification Research. (FID Publ. Serie-No. 405.)

The classification scheme of the Library of Congress (LC) must be considered as unsuited for use in Danish and, in all likelihood, other non-English language libraries as well. The book collection of the Library of Congress on which its bibliographical service rests, is possibly more special than would at first be imagined. As far as the classifying process is concerned, LC is unsuited for systematizing on various levels, including simplification for use in open shelving. Neither is it immediately amenable to other types of adaptation required for non-Anglo-American libraries for language reasons. LC does not have the receptiveness and flexibility to enable the user to use different paths of access to the same literature and at the same time afford purposeful browsing. It lacks firm structural principles which certainly can lead the classifier and user to the correct place.

Council on Library Resources 14th Annual Report, For the Period Ending June 30, 1970. 1970. 54p. ED 049 798. MF \$0.65, HC \$3.29.

Institution: Council on Library Resources, Inc., Washington, D.C.

The Council reports that a sum of \$1,722,375 was appropriated for the support of twenty-nine new projects and work was continued or completed on a good many more. It has become increasingly evident that the average library will never be able to "go it alone" in some aspects of the new technology—automation, for example. The level of investment required to reap the benefits of the emerging national machine-readable data bases exemplified by MARC is far beyond the individual budgeting capacity of any but the very largest libraries. Agreement is growing that the only possible solution to the dilemma—especially for the medium-sized and small libraries—is for them to band together in local, state, or regional consortia and thus pool their assets and efforts. This type of consortia is so expensive and complex as to preclude its development everywhere at once. The Council and other funding agencies should select the most promising of each of several types of development for a concentration of support.

Cylke, Frank Kurt. *Federal Library Programs for Acquisition of Foreign Materials*. 1971. 46p. ED 047 759. MF \$0.65, HC \$3.29.

Institution: Federal Library Committee, Washington, D.C.

Paper prepared for the Library Institute on Acquisition of Foreign Materials for U.S. Libraries, University of Wisconsin . . . April 13, 1971.

This paper was prepared for the Library Institute on Acquisition of Foreign Materials for U.S. Libraries sponsored by the University of Wisconsin. Sixteen libraries representing those agencies holding membership on the Federal Library Committee were surveyed to determine library foreign language or imprint holdings, acquisitions techniques, procedures, and/or problems. Specific questions, relating to holdings, staff, budget, and the acquisition, processing, reference, and translation services of foreign materials were asked. Ten of the sixteen libraries procured foreign language/imprint items in a desultory manner; the two law libraries do not have a requirement, the Office of Management and Budget Library sees only a limited need, and the remaining seven do not have an active acquisitions program. The six libraries active in the procurement of foreign language items do not have a uniform acquisition policy and no real attempt is made to acquire all materials in all specific subject areas. Translations are procured on the basis of need and no acquisitions people had language/subject abilities. In most agencies, the materials first go to pertinent foreign desks and then to the library which acquires the items after use for permanent storage. No real unified concern is shown for information which is available in non-English language/non-U.S. imprint sources, and no widespread awareness of the usefulness of the Library of Congress as a source for such data is shown.

Epstein, A. H., and others. *Bibliographic Automation of Large Library Operations Using a Time-Sharing System. Phase I. Final Report*. April 11, 1971. 303p. ED. 049 786 MF \$0.65, HC \$13.16.

Institution: Stanford University California Libraries.

Sponsor: Office of Education, Washington, D.C., Bureau of Libraries and Educational Technology.

An ongoing library automation project at Stanford University Projects—BALLOTS (Bibliographic Automation of Large Library Operations Using a Time-Sharing System)—seeks to automate the acquisition and cataloging functions of a large library using an on-line time-sharing computer. The main objectives are to control rising technical processing costs and at the same time to provide improved levels of service. Phase I produced a prototype system that operated in the library using typewriter terminals. Data preparation and data control units were established; regular library staff were trained in on-line input and searching. After a nine-month period of operation, the entire system was evaluated. The requirements of a productive library automation system were then defined. Findings were presented on shared facilities, economy and file integrity, the performance of on-line searching terminal performance, staff and resource commitments, transferability, and the human aspects of system development. Recommendations are presented with respect to feasibility, economic factors, management, staffing documentation, terminal equipment, and national planning.

Jones, Sparck K., and Jackson, D. M. *The Use of Automatically Obtained Keyword Classification for Information Retrieval*. February 1969. 44p. ED 047 737 (Cambridge Language Research Unit, 20 Millington Road, Cambridge, England).

Institution: Cambridge Language Research Unit. (England)

Sponsor: Office for Scientific and Technical Information, London.

Summarizes the work carried out on the automatic construction of keyword classifications and their use in information retrieval. It discusses the possible char-

acteristics of such classifications, and potential ways of using them and describes the various approaches to classification that were considered in terms of an overall frame of reference in which several types of classification are distinguished. The results of experiments using a collection of documents and test requests obtained from the Aslib Cranfield project are presented, from which it can be concluded that automatic classification which leads to noticeable improvements in retrieval performance over those obtainable with unclassified terms, can be set up.

Jordan, Casper LeRoy. *Black Academic Libraries: An Inventory*. November 1970. 31p. ED 047 731. MF \$0.65, HC \$3.29.

Institution: Atlanta University, Georgia. School of Library Services.

A report on several major features of black academic libraries: collections, operating expenditures, staff, and salaries. Eighty-five black, four-year, degree-conferring institutions were queried, and fifty-one questionnaires were returned. The results are categorized in terms of type of support of the institutions. In the fifty-one institutions reporting their 1968 fall figures, 92,911 students were enrolled on a full-time basis. These institutions reported a total of 4,290,915 volumes for the end of the year. No collection in a black college approaches one-million volumes. Eleven institutions (about one-fifth) exceed the 100,000 volume figure. During the year, 324,487 volumes were added. The total number of bound periodicals reported was 235,212. There were 46.1 volumes per full-time student on the average with 2.5 periodicals per capita. The highest per capita holdings were 142.7 volumes; 13.3 was the lowest. The highest figure reported for bound periodicals was 14.4 per capita with a low of 0.26.

Lane, David O. *Study of the Decision-Making Procedures for the Acquisition of Science Library Materials, and the Relation of These Procedures to the Requirements of College and University Library Patrons*. 1967. 121p. ED 047 712. MF \$0.65, HC \$6.58.

Institution: American Library Association, Chicago, Ill.

The need for formal study of the methods by which titles are selected for academic science libraries resulted in this investigation of selection processes. Specifically, the study concentrates on selection procedures in three sciences: biology, chemistry, and physics. Twenty institutions which are highly representative of the academic community in the U.S. were included.

This study has two major objectives: (1) to describe the selection processes as they actually exist and (2) to present practical guides to assist in the process of selection. Five levels of decision-making were identified as ultimately determining what materials are selected; (1) the library appropriation decision—the total amount of money received annually; (2) the acquisition budget decision—total amount of money designated for the purchase of materials; (3) the allotment decision—the ways in which the acquisition budget is distributed; (4) the collection decisions—the desired overall makeup of the collection; and (5) the selection decisions—actual purchase of a specific title or item. The decision-makers and guides used in the decision-making process are identified. Each specific decision-making process—its efficiency, strengths and weaknesses, and recommendations for improvement—is given.

Narrative Evaluation Report on an Institute for Training in Librarianship: "Multi-Media Resources" A Unified Approach; . . . August 3 through August 14, 1970. 1970. 88p. ED 047 723. MF \$0.65, HC \$3.29.

Institution: Dakota State College, Madison, South Dakota.

Sponsor: Office of Education, Washington, D.C.

The institute aimed to expand the school librarian's traditional concept of the library and to make the librarian capable of selecting, cataloging, and circulating

the major types of media. Emphasis was placed on a single multimedia catalog in one alphabet in order to provide access to the message, regardless of the medium. The report presents comments and recommendations about the strengths and weaknesses of several phases of the institute, and the arrangement of the narrative section parallels the development of the institute. Each section includes the goals or objectives, advantages, disadvantages, and recommendations where applicable.

Patrinostro, Frank, and others. *A Survey of Automated Activities in the Libraries of the U.S. and Canada*. 2d ed., 1971. 131p. ED 047 740. HC \$10.00 nonmembers, \$5.00 members (LARC Subscription and Sales Office, 365 Rauello Lane, Costa Mesa, CA 92627).

Institution: Library Automation Research & Consulting Association, Tempe, Arizona.

This second LARC (Library Automation Research Consulting Association) automation survey presents the current status of automation operations for the reporting libraries. The most significant change is in the provision of indexes so that the reports are accessible from a number of approaches. The survey is organized into three parts: Part I, Application of Automation in American Libraries; An Analysis of the LARC Survey Returns; Part II, Indexes to Survey; and Part III, The Survey Reports. Various aspects of the survey are dealt with in the following sections: (1) the analysis of the LARC survey returns, (2) the indexes, (3) uses of the indexes, (4) the survey reports, and (5) future editions.

Project Intrex, Semiannual Activity Report, 15 September 1970-15 March 1971. March 1971. 88p. ED 047 739. MF \$0.65, HC \$3.29.

Institution: Massachusetts Institute of Technology, Cambridge.

The research activities of Project Intrex are directed toward the extension of man's intellectual reach by a new kind of control over access to information. Ways are sought to improve the efficiency of catalog search by utilization of interactive computing techniques, and to provide rapid access to full-text displays by utilizing microfilm storage and facsimile transmission. User experiments, the central subject of the report, show a great deal of work needs to be done, but are mainly encouraging. The principal remedy for existing budgetary constraints, which have called for drastic retrenchment, will be found in the organizational domain. If purposes of special interest groups can be met at an acceptable cost, utilization of these techniques can spread through interlibrary cooperation and networking to gradually form a multidisciplinary library network.

Wilden-Hart, Marion. *Cooperative Resource Development in the Five Associated University Libraries; A Study with Recommendations*. September 1970. 83p. ED 049 768. MF \$0.65, HC \$3.29.

Institution: Five Associated University Libraries, Syracuse, New York.

The three objectives of this study of the Five Associated University Libraries (FAUL) are: (1) an evaluation of the FAUL Acquisition Committee; (2) feasibility study of cooperative resource development; and, (3) guidelines and recommendations to analyze the research collections. It is determined that for effective cooperative resource development FAUL must assign priority of fulfillment to its goals of (1) increased value, (2) attainment of optimum collection size, (3) improved resources and services, (4) consideration of user needs for a more relevant system, (5) adequate budget allocations for research resources, (6) controlled special collections, (7) improved acquisitions and dissemination procedures, (8) increased research and development, (9) fostering professional education of all library personnel, and (10) determination and strengthening of FAUL's image. FAUL's planning program for cooperative resource development must include a long-range, comprehensive plan

that enjoys the total commitment of the five university libraries.

Winget, Lerue, and others. *Cataloging and Inventorying Institute Materials in Utah Schools*. 4th ed. (Title II ESEA, et al.) 1970. 65p. ED 047 716. MF \$0.65, HC \$3.29.

Institution: Utah State Board of Education, Salt Lake City, Division of Instructional Media.

This handbook is designed to assist in the cataloging and inventorying of instructional materials purchased with Title II ESEA and other funds. With the emphasis being placed on the development of Instructional Media Centers in Utah Schools, the increased funds becoming available through federal and state legislation, and the necessity of properly inventorying all materials purchased with federal funds, the need for such a handbook has never been greater. While the procedures contained herein are not required, it is recommended that they be followed as closely as possible. The information indicated must be available in order to qualify for Title II funds whether or not this system is followed.

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(1) Topic words and phrases have been selected as index terms, on the basis of what appears to be the current common usage in the literature itself. If the topic word is identical with, or very closely related to, the first word in the title of an article or of a book being reviewed, the title has not been separately listed.

(2) Cross-references have been inserted sparingly; in most cases, multiple listings have been preferred to the use of syndetics.

(3) Personal names of all authors of articles, book reviews, and books reviewed have been included, along with a few names used as subjects. There has been no attempt to distinguish, typographically, the name used as author from the name used as subject.

(4) An "r" in parentheses following a page reference signifies that a book by that person, of that title, or on that topic has been *reviewed* on those pages.

(5) Corporate names have been indexed under the common form of the name as it normally appears in print (not in inverted form). Acronyms and initialisms are recorded as such, and they are filed as words, whether they are so pronounced or not.

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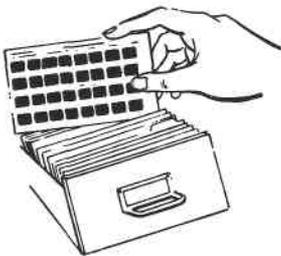
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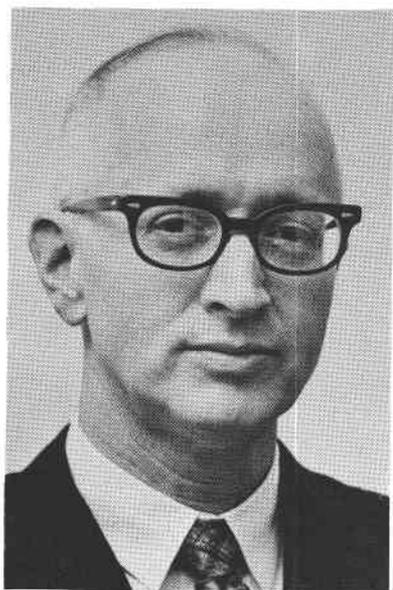
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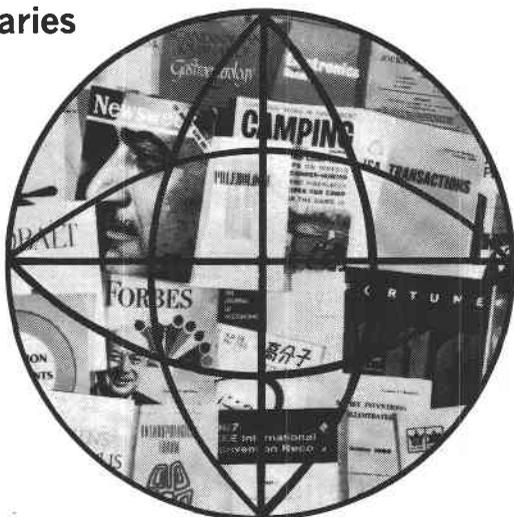
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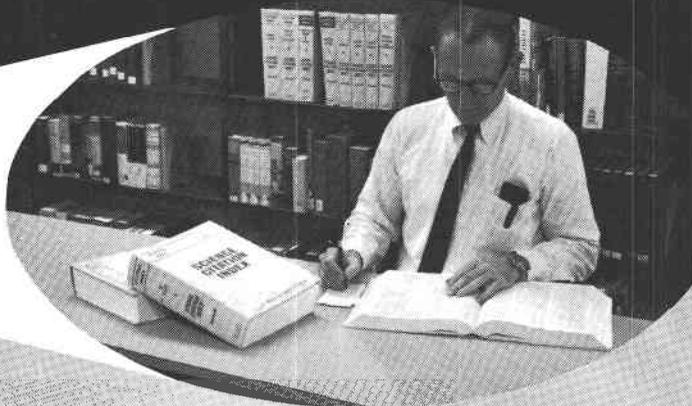
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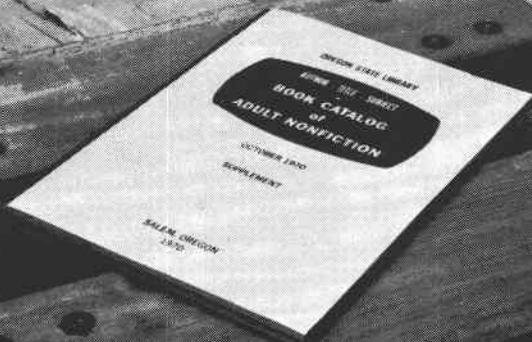
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 get back into circulation herself. So
 much so that she won the Librarian
 of the Year Award and said, in her
 acceptance speech, "I couldn't have
 done it without Custom Cataloging
 and Processing Services. Nothing,"
 declared Speedie Suzie, "could have
 done more to accelerate my career!"

If you want a heroic solution to
 your book processing needs, write:

Eastern Division: 1609 Memorial Ave., Wilhamsport, PA 17701
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BRO-DART
 the budget stretchers

LR-1



The continuing story of
Big Bill Gordon, Librarian,
Efficiency Expert,
and Hero

← ● ● ● ● ● ● ● ● ● ● →
Episode #78:
← ● ● ● ● ● ● ● ● ● ● →

How he got rid of the borrower's registration file, and why he said: "Everyone loves my new card tricks."

"Man, it's unfair," brooded Big Bill Gordon between noontime laps through the stacks. "The budget is recession-oriented. We can't hire any more people. And because circulation keeps going up, the librarians we *do* have spend most of their time checking books in and out. What a waste..."

"It sure is," panted the Man from Bro-Dart. "Why don't you get Sysdac?"

"Never heard of her," puffed Big Bill between his 156th and 157th push-up. "Besides, you know we can't hire another librarian."

"Sysdac," continued the Man from Bro-Dart, "is our Circulation Control System. It *eliminates* the borrower's registration file. It *eliminates* re-typing cards. It *eliminates* rubber stamping. It's the only thing you'll need between now and the computer.

"With Sysdac, you simply insert the borrower's library card. The machine prints up one tab with borrower's information, and two tabs with the due-date. The tabs are the easy-on, easy-off, self-adhering kind. You put the borrower information tab, and one of the due-date tabs on the book card and file it. You put the other due-date tab in the book. That's it.

"And when the book comes back, you just pull the tabs off the card and the book and start all over again. "And," added the Man from Bro-Dart, "did you know that once you put the borrower's card in the Sysdac machine, it takes just 3/4 of a second before the three tabs come out?"

"Not bad," allowed Big Bill. "Better time than I can do in the dash..."

So Big Bill got Sysdac. And all the librarians got more time to spend being warm and wonderful with children, and knowledgeable and candid with adults. And the public got what they were paying for: librarians who were really librarians, not people spending most of their time behind the check-out desk being clerks.

And the Man from Bro-Dart got a slight concussion from misjudging the speed of Big Bill's medicine ball.

If you want information on Sysdac, write:

Eastern Division:
1609 Memorial Ave., Williamsport, PA 17701
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