

# LIBRARY RESOURCES & TECHNICAL SERVICES

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# A Cataloger's Guide to AACR Chapter 6, Separately Published Monographs, 1974

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*The anticipated revision of chapter 6, "Separately Published Monographs," of the Anglo-American Cataloging Rules, North American Text has now been completed and published. While reflecting changes including the prescribed punctuation put forth in the International Standard Bibliographic Description (Monographs), this work also represents a considerable effort in rewriting and reorganizing former rules for descriptive cataloging. The cataloger needs to examine these changes carefully in preparation for applying the new rules consistently, an undertaking which this guide to the revised chapter 6 attempts to facilitate.*

**T**HE REVISED CHAPTER 6 of the *Anglo-American Cataloging Rules, North American Text (AACR)*, concerning the bibliographic description of separately published monographs and incorporating the principles of the *International Standard Bibliographic Description (Monographs) (ISBD(M))*, finally made its appearance at the 1974 annual conference of the American Library Association in New York and became an instant best seller. The changes in bibliographic description, while considerable and significant, are not as radical as many persons feared and predicted. Indeed, in a large percentage of current United States imprints, except for the required author statement and the new prescribed punctuation, the revised rules will have minimal effects on the appearance of the catalog record. As in the old chapter 6, the majority of the rules are designed to assist the cataloger in the preparation of the bibliographic description of the less frequent but more complicated titles. Now, with its consistent application in cataloging on both the na-

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tional and the local level and in the preparation of national bibliographies, the mysteries of bibliographic description, especially the punctuation, can be explained to the inquisitive user. The background and the rationale for *ISBD(M)* and for this revision have already been ably described by Anderson, Spalding, Tate, and Sinkankas.<sup>1-4</sup> Now catalogers need to examine carefully these changes as they prepare to apply the revised chapter 6 in the daily practice of descriptive cataloging.

### *Appendixes*

It is suggested that the cataloger first examine the appendixes. Appendix I, the glossary, contains eight new and five revised terms. The first two additional terms are "area" and "element." An area is "a major section" of the formalized part of the catalog entry. There are seven areas, only one of which, the International Standard Book Number (ISBN) area, is new to the catalog record (130A). An element is a "subsection of an area." The place of publication, for example, is the first element in the imprint area. Three additional terms relate to elements in the title and statement of authorship area—"other title" (134C4a and 134C4b), "other title information" (134C4c), and "parallel title" (134C1). Another term new to the cataloger—"preliminaries"—is of major importance in determining the primary sources of description (132B). The preliminaries include the half title, the added title page, the verso of the title page, the front cover, and the spine. "Graph" is defined in this appendix because this term has been reinstated as a type of illustrative matter to be included in the catalog record (141D1a). Finally, the term "subseries" has been introduced in the series area to denote a series "whose title is indistinctive and is dependent on the title of another series" (142).

The first revised term is "added title page," the definition of which has been clarified by the addition of a third, final sentence, which indicates that, in a facsimile or reprint edition, the original title page is not considered to be an added title page. (The information derived from the original title page will be most frequently used in notes [143D4c and 143D4e2].) The term "facsimile edition" has been revised to emphasize that the chief purpose of a facsimile edition is to "simulate the physical appearance of the original work." Otherwise, the work is regarded as only a "reprint edition." The rewording of the definition of "monograph" points out that format has nothing to do with determining whether or not a work is a monograph. "Title" is redefined so that, in the narrow sense of the term, the name of a work is the "title proper" (134B). Finally, the term "plate" has undergone a complete change of meaning. Emphasis must be placed on the first words of the new definition: "a leaf containing illustrative matter. . . ." This statement removes "plates" as a type of illustrative matter (141D1a) and places it as part of the pagination (141B1d). Thus, "plates" can be used only in connection with "leaves of plates." The remainder of the definition helps to identify a "leaf of plates," but always in terms of pagination. These

terms, both new and revised, are essential to understanding some of the basic changes in chapter 6.

Appendix III deals with abbreviations. Several entries have been deleted. "Diss." for Dissertation and "Inaug.-Diss." for Inaugural Dissertation are no longer to be used as these are now simply treated as "theses" (146); "frontispiece" is now a leaf of plates (141B1d); and "no date (of publication)" is omitted because the use of "n.d." is no longer permitted (139F). The abbreviation for "leaf, leaves" is canceled because the term is now spelled out in full (141B). The abbreviation for illustration and illustrator has been changed from "illus." to "ill." (141D 1a). The entry, "no place (of publication)," has been replaced by "*sine loco*," which is abbreviated to "s.l." (137A). New entries include "no publisher" and "*sine nomine*," both of which are abbreviated to "s.n." (138A). Footnote 2, page 358 has been revised to allow the use of the ampersand in the statement of accompanying materials (141A3b and 141F).

Appendix V, which deals with punctuation and diacritics is discussed below, under rule 131.

### *General Rules*

The major change in the "introductory notes" is the addition of a footnote to explain cataloging policy of the Library of Congress relating to the cataloging of issues. Whenever it has seemed useful to amplify the cataloging practices of the Library of Congress in relation to specific rules in revised chapter 6, such a footnote has been introduced.

Rule 130, "Organization of the description," presents the outline of the elements which comprise the seven basic areas of the catalog entry (130A). These are: (1) the title and statement of authorship area, (2) the edition area, (3) the imprint area, (4) the collation area, (5) the series area, (6) the notes area, and (7) the ISBN area. Two additional elements, the "illustration statement" and the "statement of the number of volumes," may occasionally be inserted into the formalized part of the entry (130B). This basic part of the bibliographic description is no longer officially referred to as the "body of the entry." Footnote 3 describes the practices of the Library of Congress in organizing these data, including the use of hanging indentions, uniform titles, and romanized titles.

One of the major changes from present practice will occur in the matter of punctuation. Rule 131 specifies that (1) each area of the description is to be separated by a period-space-dash-space (. - ) unless the following area begins a new paragraph; (2) individual elements of an area are identified by prescribed punctuation symbols, such as the colon, equal sign, slash, comma, and semicolon (later rules give specific details on usage in the different areas); and (3) all prescribed punctuation separating elements of the description, except for the comma and the period, is preceded and followed by a space. Deployment of space plays a critical role in the new prescribed punctuation. Colons, equal

signs, or slashes may be used in a position other than that which is prescribed, but only if they appear without a space on either side. If it is not possible to use a space on either side, the cataloger must substitute different punctuation. The prescribed punctuation must be used wherever designated even if double punctuation results. Finally, the dash may be represented by two hyphens in typescript.

Appendix V, which deals with punctuation and diacritics, refers to chapter 6 for details of prescribed punctuation and gives details on general questions of punctuation. Prescribed punctuation takes precedence over conventional uses of punctuation in the formalized part of the entry. The specific practices described in this appendix are therefore limited to those required in the other chapters of *AACR*. Deleted are references to the use of brackets in the body of the entry and in the series statement. Indeed, brackets are no longer automatically employed to enclose the insertion of data that does not appear on the title page or its substitute. This function of the bracket depends entirely upon the primary sources of description of each area (132B). Brackets may still be used for insertions in the series statement, but this situation is now described in rule 142A1. One main use will now be in headings, to enclose authors' names which do not appear in the publication and to enclose titles of nobility, rank, honor, or office. The role of the comma is limited to its placement in headings and its use in the formalized part of the entry is found in rules 131 and 136B2a. The term "ellipses" has been dropped. The mark of omission (. . .) is now handled in rule 134B2 when an omission occurs in the transcription of the title and in rule 134D7 when an omission occurs in the transcription of the statement of authorship. The function of the semicolon, now part of the prescribed punctuation (134C6, 134D5, 136B1b, 136B2b, 141A1b, 141A2, and 142A2), is no longer covered in the appendix. The "interrogation point" has been replaced by the "question mark," but its role remains unchanged. The situations requiring the use of parentheses and period marks also remain unchanged. The last sentence of the first paragraph describing the role of diacritics has been canceled, thus making the use of diacritics on initials or other capital letters conform with general usage of the language.

The passage treating source of description, presented in rule 132, has been greatly expanded. Rule 132B has been added to identify the primary source of information for each of five areas of the catalog entry (collation and notes areas being omitted). The title page or its substitute is now the primary source of information only for the title and statement of authorship area. Brackets are still used when information is supplied from outside the primary source. One pair of brackets may be used for adjacent elements within the same area. However, when the adjacent elements are parts of different areas, a separate pair of brackets is required for each element, resulting in double punctuation. There is one exception described in rule 133B2. When, with a work lacking a title page, it is necessary to supply information entirely from an outside

source or to compose that information from the content of the work itself, then the data from title proper through imprint is enclosed in a single pair of brackets. The cataloger should also note that rule 132B specifies a "preferred order" for the primary sources of information. Thus, for example, if the place of publication appears in two or more different forms, the order of primary sources for the imprint area should determine the form of the name to be recorded.

Rule 133, "Relationship of the title page to the description of a work," has been improved by the addition of several new examples. Facing pages as well as successive pages or leaves which contain the various elements usually found on a title page may be treated as a single title page if none of the elements is repeated. The abbreviation "et al." is to be used in all languages and scripts (133A1). This replaces the phrase "and others" used with English titles, as well as the corresponding phrases used in Hebrew, Yiddish, Russian, and the Oriental languages. This rule also provides directions for recording information from a title page in several languages or scripts (133A4). Although the number of parallel titles or subtitles to be recorded is indicated, other elements of the catalog entry are recorded only in the language of the title proper. Finally, it is specifically stated that, in facsimile and reprint editions, the new title page is preferred over a reproduction of the original title page (133C2d).

#### *Title and Authorship Area*

Rule 134, "Title and statement of authorship area," begins with the detailed outline of the new prescribed punctuation. The rules for the transcription of the title have been rearranged, so that those rules concerned with the title proper are grouped preceding those concerned with parallel titles, other titles, or other title information. In recording the title proper, the cataloger may now disregard typographical peculiarities in works printed after 1500. The cataloger may also transcribe line endings of a title of a work printed in verse as well as sometimes distinguish between two issues of a rare book by means of two slashes without spaces (134B1). The mark of omission, three dots, remains unchanged, but must always be preceded and followed by a space. (The parentheses shown in the text are not to be considered part of the mark of omission.) A rule covering "Author's name in title" (134B3) has been added to allow the statement of authorship or the name of the publisher, when linguistically linked to the title proper, to be recorded as part of the title proper. Rule 134B4b, "Additions," has been modified to emphasize accepted usage in supplying words for numerals. The transcription of parallel titles has been considerably expanded (134C1). The cataloger must now record, if the title page presents no more than two parallel titles, both parallel titles, unless one is in Chinese, Japanese, or Korean characters when the "language of the text takes precedence over the order of titles." This is in addition to the title proper. If the title page should list more than two parallel titles, then the first is always recorded,

unless, as above, one of the titles is in Chinese, Japanese, or Korean characters. In addition, the cataloger would transcribe as a second parallel title, a title in English if available but not yet recorded, or, another title in a selected order of roman alphabet languages if the first parallel title was in a nonroman script (134C1b). A footnote indicates that, as a national cataloging agency, the Library of Congress will record all parallel titles on United States imprints. The cataloger will find, as a new practice, the transcription of the original title appearing on the title page of an edition with a different title as a parallel title (134C2). The rule dealing with "other titles," which includes alternative titles (134C4a) and subtitles (134C4b), has been reworded, with the addition of a statement that the subtitle may not always appear on the title page. However, the concept of other title information (134C4c) is new to the *AACR*, and the cataloger will discover that information relating to "the character or general content of the work or of the motive for, or the occasion of, its publication" should be recorded following parallel and other titles rather than in a quoted note if such information appears on the title page. Rule 134C5, "Works with both a collective title and titles of the individual works mentioned on the title page," provides for the recording of the collective title as the title proper and the listing of the titles of the individual works in a contents note. Also new is rule 134C6 which treats the punctuation for a work lacking a collective title.

Rule 134D, "Statement of authorship," is now introduced by a preliminary note, which indicates that individuals or corporate bodies acting as editors, translators, writers of prefaces, and illustrators are to be considered subsidiary authors and are to be included in the statement of authorship. Formal statements of authorship are transcribed in the terms in which they are presented, but must be enclosed in brackets if taken from a source in the book other than the title page (see Examples 2 and 4). The cataloger must record these statements of subsidiary authorship in the statement of authorship, even if the person or body responsible is unnamed in that statement, when it appears on the title page, in the preliminaries, or in the colophon (134D1). The mandatory recording of the formal statement of authorship makes possible a bibliographic description which is completely independent of the entry selected for the work. This will be of great importance in the development of national bibliographies. However, rule 134D1 is footnoted to provide an alternative practice allowing the omission of authorship statements which merely repeat the form of name appearing in the heading.

For works with a title page in more than one language, only the statement of authorship in the language of the title proper need be recorded following the last recorded title (134D2). In transposing a statement of authorship which bears no grammatical relation to the title elements, the cataloger will no longer add connective prepositions, such as <sub>1by</sub>, <sub>1par</sub>, or <sub>1por</sub>. This change also allows the cataloger to ignore case endings with inflected languages and to record the author statement directly af-

ter the space-slash-space rather than using the former device of an "At head of title" note (134D4). Rules 134D5 and 134D6 describe the manner of recording the names of persons performing different functions and of recording statements found on the title page, relating to the authorship of supplementary material. Rule 134D7 handles the recording of more than three authors, or more than three subsidiary authors performing the same function through the use of the mark of omission and the phrase "et al.," enclosed in brackets, for all languages and scripts.

An additional exception to omitting "titles of address, honor, and distinction" from the author statement is noted so that the author's surname will not stand alone (134D8a2). The rule, "Additions to the author statement," (134D9) has been greatly reworked. First, it is emphasized that the cataloger will no longer add a preposition to connect the author's name to the title and will no longer add a conjunction between names (134D9a). Next, with regard to personal authors, rule 134D9b prescribes the addition, in brackets, of "i.e." and the form of name used as main entry when that form varies from that within the author statement, and thereby clarifies the relationship between the two names. This will occur in pseudonymous situations, but only when the main entry is involved.

#### *Edition Area*

The paragraph introducing the edition area (135A) has been modified to emphasize that a "corrected or otherwise revised" printing is to be considered a new edition. This point receives further emphasis with the new examples added to rule 135C. The detailed outline of the pattern of prescribed punctuation in the edition area is given in rule 135B. In addition to the new examples in rule 135C, instructions are given for the use of the language of the title proper if the edition statement is in more than one language, and for the recording of each separate edition statement following the title to which it applies, using conventional punctuation, if the title page contains the titles of two or more works. If any authors or subsidiary authors, acting as revisers, illustrators, and writers of the preface, are clearly related only to the edition in hand, they are recorded in the edition area (135D). However, if in doubt, the cataloger should consider these authors as part of the statement of authorship for the work and refer to rule 134D. Rule 135F indicates that an illustration statement is to be used only if no artist is mentioned in the statement and if the situation cannot be described adequately in the collation. Rule 135G, "Statement of the number of volumes," has been altered only to show its placement in the catalog entry as the last element of the edition area, or if there is no edition area, of the title and statement of authorship area.

#### *Imprint Area*

The preliminary note to the imprint area has been rewritten, elimi-

nating those traditional justifications for recording the imprint (i.e., local viewpoint, publisher bias, quality of subject matter or timeliness). Rule 136A, "Order and source of elements," has been expanded to restate the primary sources of imprint information which govern the use of brackets when data is taken from a source other than the title page, the preliminaries or the colophon. In addition, the original imprint, if legible, is recorded in the imprint area even when covered by a label, while the data on the label is brought out in a note. On the other hand, if the original imprint is illegible, the information on the label is recorded in the imprint area and its source is indicated by a note. Finally, the cataloger is instructed to consider "the importance of the work" and "the nature of the data to be sought" in determining the extent of searching outside sources when imprint information is not available in the work. Rule 136B presents the detailed outline of the pattern of prescribed punctuation in the imprint area. The change in the wording of rule 136C relating to works with more than one place and publisher illustrates the growing international aspects of the AACR. Whereas in the past, the rule instructed the cataloger to add only an American city and/or publisher to a foreign imprint, the revised rule has the cataloger adding the city and/or publisher of the country of the cataloging agency. If a reprint or facsimile edition contains only the original title page, the cataloger will record only the reprint publisher's imprint in the imprint area and the original imprint in a note (136D). Rule 136E, "Fictitious imprints," reflects a similar change as the cataloger will record the actual imprint, if known, in the imprint area or use "s.l." and "s.n.," if unknown, and indicate the fictitious imprint in a note (136E).

Rule 137, concerned with place of publication, has undergone one major change. If the actual place of publication is uncertain, the cataloger should supply a probable place, with brackets and question mark wherever necessary. If there is no probable place, the cataloger will use the abbreviation "s.l." (*sine loco*) enclosed in brackets (see Example 3). The abbreviation "n.p." may no longer be used (137A). The rule dealing with "various places" has been omitted, but the abbreviation, "v.p." has *not* been deleted from Appendix III. Abbreviated place names may be recorded in full without brackets if the fuller name appears in the preliminaries or in the colophon. If not, the fuller form of the name is supplied with brackets (137C).

The general rule for publisher has been altered with an emphasis on intelligibility of the publisher statement "at the international level" and on the use of the abbreviation "s.n." (*sine nomine*) enclosed in brackets if the name of the publisher is unknown (138A) (see Example 3). The rule, "Essential parts of the publisher statement," has been reworded to emphasize the inclusion of the names of both bodies when one is responsible for editorial supervision and the other for publishing, or when one is publisher and the other is distributor (138B2). Statements which indicate that the work has been produced only by a government printer or has been privately printed have been removed from this rule.

If the publisher's name appears in more than one language, it is recorded in the language of the title proper (138B4). Only the order has been changed in the rule, "Unnecessary parts of the publisher statement" (138C). Although the cataloger *may not* omit the publisher, it is possible to substitute an abbreviation, an initialism, or a generic word preceded by the definite article for it, if the publisher is the author of the work and the full name appears in the title and statement of authorship area (138D) (see Example 4). However, if the name of the corporate publisher does not appear in the title and statement of authorship area, then the name must be recorded in the form in which it appears on the primary source of information.

The major change in revised chapter 6 concerning the date of publication appears in the first sentence of rule 139A: "the date is the year of publication of the first impression of the edition." This rule then indicates the primary sources from which the date may be taken and recorded without brackets (i.e., the title page, preliminaries, or colophon). Therefore, the cover date may be added without brackets, and a corrected date no longer always requires the use of brackets. The date on the title page is assumed to be the date of the edition, unless there is evidence to the contrary. In any case, the date on the title page will always be recorded. All situations where the date of the first impression of the edition may be followed by the date of a later impression are listed. The use of the word "printing" is allowed only if it is important to identify a later impression, usually because that impression "contains textual variations." The date of the later impression may even be the date on the title page and is therefore so indicated. If the date of the first impression is unknown, then "the copyright date, preceded by a 'c,' or the date of the impression in hand, in that order of preference, or both, are given." The cataloger will note, however, that there is no longer a provision for date unknown, and the abbreviation "n.d." can no longer be used. The cataloger must at least approximate a guess of a "century uncertain."

With multivolume works, the cataloger must now give all four digits of the latest date but no longer needs to specify irregularities in the publication dates (139B). Rules governing loose-leaf volumes, dates not of the Christian era, chronograms, dates uncertain, copyright dates added to publishing date, and other qualified dates remain basically unchanged although the use of brackets is now specified with the recording of dates in chronograms (139E).

Rule 140 relating to printer's imprint specifies that the place of printing and the name of the printer, used as substitutes for publisher information, are preceded by "s.l.," "s.n." and the date (see Example 3).

#### *Collation Area*

The preliminary note in rule 141 describing the collation area adds accompanying materials to the items to be included in the cataloger's description of a work. The detailed outline of the prescribed punctuation

for the collation area appears in rule 141A. The general rules for describing a one-volume work begin with two minor changes. The reproduction of a book printed before 1700 with leaves printed on both sides but numbered on one side is described in terms of leaves (141B1a). When describing a work with lettered pages or leaves, the cataloger will now place the abbreviation "p." or the term "leaves" before the inclusive letters (141B1b). Rule 141B1d introduces the phrase "leaves of plates" as the final part of pagination (see Examples 1 and 2). No longer is the term "plates" part of the illustration statement. Even the frontispiece is considered to be a leaf of plates. The examples for rule 141B1e show that corrections in pagination are placed in brackets rather than in parentheses and that inclusive paging is preceded, rather than followed, by the abbreviation "p." or the term "leaves."

With the regular pagination handled in the general rule, the remainder of rule 141 is devoted to the more unusual pagination problems of one-volume works. Unpaged works must now be counted if under 100 pages or leaves, and may be either counted or approximated to the nearest multiple of 50 (preceded by the abbreviation "ca.") if more than 100 pages or leaves (141B2). The footnote indicates that the count should include both intermediate blank pages and leaves. The rule, "Complicated or irregular paging," emphasizes that the cataloger should record no more than three separately numbered main sections of pagination, although the remaining minor numbered or unnumbered sections may be added together and recorded in brackets (141B3a). If there are more than three numbered main sections, then only the total pagination is given, unbracketed, and followed by the phrase "in various pagings" or "in various foliations" (141B3b). This replaces the description "lv. (various pagings)." Also eliminated is "l v. (loose-leaf)," as the note "Loose-leaf for updating." is now used to emphasize that a loose-leaf publication is generally intended to receive additional or substitute pages (141B3c). The rules concerning folded leaves (141B4), double leaves (141B5), duplicate paging (141B6), two numberings (141B7), two-way paging (141B8), columns (141B9), music in collation (141B10), and incomplete copies (141B12) remain unchanged, but have benefited from improved examples. The treatment of advertisements as inclusive pagination, within parentheses, in the collation area now constitutes part of the rules for the description of single-volume works (141B11).

Rule 141C, dealing with works in more than one volume, has undergone minor changes. The term "loose-leaf" has been deleted from rule 141C3 for reasons explained in rule 141B3c. It must be emphasized that the five terms listed in rule 141C5—parts, pamphlets, pieces, cases, and portfolios—are the only terms that can be used in addition to volumes to describe works of more than one volume or part in the collation area (see Example 2). However, provisions have been made to describe works in "unusual formats" by any appropriate term (141C6).

The general rule describing illustrative matter (141D1) introduces the change in the abbreviation "illus." to "ill." for illustrations. The

terms "charts" and "plates" have been deleted from the list of types of illustrations to be specifically designated while the terms "diagrams" and "graphs" have been added (141D1a). The policy governing the Library of Congress use of these specific terms is described in footnote 13 to rule 141D1a. It is explained, in this footnote, that the term "ill." will be used if the types of illustrations can be expected in that category of works, but the specific term will be used if the work contains only one type of illustrative matter. The term "frontispiece" has also been deleted from rule 141D1b as a term used in the illustration statement; like "plates," "frontispiece" is now counted as a "leaf" and included in the pagination statement (141B1d). The term "tables" will not appear in the collation area unless it is "necessary to specify material in pockets, portfolios, etc." In addition, a note may be used to describe a work consisting entirely or chiefly of tables (141D1b). The cataloger should notice that the phrase "part col." has been replaced by "some col." in the example of rule 141D2. Again, the policy of the Library of Congress to indicate colored illustrative matter only when color is "of particular importance" is explained in footnote 14 to rule 141D2. The rule, "Number of illustrations recorded," has been rewritten to remove the references to the numbering of "plates." The basic pattern of recording the number of illustrations, in Arabic numerals and without brackets, if the illustrations are already numbered or can be easily counted remains unchanged (141D4) (see Example 2). The rules handling "illustrative matter on folded leaves" (141D3), "illustrative matter in pockets" (141D5) and "illustrative matter on lining papers" (141D6) also remain unchanged. However, in describing "illustrations with little or no text," the cataloger can no longer combine the illustrative matter with the paging but must now separate these two elements in the collation area (141D7). The new examples show works which are "all ill." or "chiefly ill.," phrases used by the cataloger unless the numbering of the leaves of plates and the numbering of the illustrations indicate little or no text.

There is little change in rule 141E, "Size." When describing sets varying two or more centimeters in size, the cataloger no longer needs to identify the volume number(s) in which the variation occurs (141E4). The measurement of works in unusual formats, in two or three dimensions, is now provided for in rule 141E6.

Rule 141F, "Accompanying materials," has undergone considerable expansion as the fourth element in the collation area. The new preliminary note states that answer books and teacher's manuals if bibliographically unimportant, atlases or portfolios of plates not numbered consecutively with the main work, and audiovisual materials which normally appear in pockets are within the scope of this rule. If the accompanying material requires only a brief description, only an appropriate word or phrase characterizing the material need be added (141F1). However, it must be noted that this phrase *always* follows the *complete* collation of the basic work, and the ampersand is used instead of "and." A more detailed description, when considered necessary, is given with the pre-

scribed punctuation within parentheses following the characterizing term. The statement describing accompanying material no longer precedes the size even if the size is the same as that of the basic work. Instead, the size is included in the description within the parentheses if the size differs from that of the basic work, and the size is omitted if it is the same as that of the basic work (141F2). The pattern for the description of accompanying audiovisual materials parallels that for atlases and portfolios containing plates. Should this material be placed in a pocket, the phrase "in pocket" is placed immediately following the closing parenthesis (141F2). If the accompanying material has any particular bibliographical problems (e.g., the title differs or there is a special compiler), it is necessary to describe it within a dash entry (155).

### *Series Area*

The general rule for the series area has been expanded with the addition of more specific instructions (142A). If the entire series statement is supplied, it must now be enclosed in brackets within parentheses rather than in brackets instead of parentheses. If a reprint mentions the series in which the work was originally published, that series is recorded in a note. A series mentioned only on the dust jacket is usually ignored. Unchanged is the omission from the series statement of editors and subtitles unless necessary for identification. However, if the subtitle is included, it is separated from the title by a comma, since both the semicolon and colon are part of the prescribed punctuation in the series area. The provision for transcription of the series title in the language or script of the title proper or that of the first series title only, eliminates the need to record a number of parallel series titles required in the past. A footnote indicates that the national cataloging agency will record all parallel series titles for publications of that country. If the term describing the numbering of the series is too long and cannot be abbreviated, the term is dropped from the series statement. Finally, there is the provision for including the International Standard Serial Number (ISSN), if any, in the series area. This practice will be followed by the Library of Congress whenever possible, and hyphens will be inserted between the proper segments of the number.

Rule 142A2 presents the detailed outline of the pattern of prescribed punctuation in the series area (see Example 2). The rules concerned with "works in several volumes" (142B), "series titles in two forms" (142C) and "series title combined with the monograph title" (142D) remain essentially unchanged.

Rule 142E, "Author in series statement," is one rule which could undergo some change in the second edition of the *AACR*. This rule requires the cataloger to determine first whether the title of the series represents the title of a multivolume monograph (i.e., a book-set with a planned end) or is the title of a serial (i.e., a publication intended to be continued indefinitely). If the title of the series is the title of a multivolume monograph *and* the author of the series is the same as the

author of the individual volume, then the appropriate possessive pronoun (e.g., His, Her, Their, Its) is used preceding the title of the series, unless the name of the author is already part of the title of the series (142E1). The cataloger must remember that the title of the series, since it is the title of a multivolume monograph, is transcribed fully according to rule 134B3. If the title of the series is the title of a serial and the name of the author of the series is an integral part of the series title, the name of the author is recorded in the title of the series (142E2). The cataloger must remember that the title of the series, since it is the title of a serial, is transcribed fully according to rule 162—at least until chapter 7 is revised. Finally, if the title of the series is the title of a serial but consists solely of a generic term, then the title of the series is made up of that generic term, followed by a space-hyphen-space and the author statement. The author statement is transcribed as it appears on the publication, unless it is possible to omit intermediate parts of a corporate hierarchy unnecessary for identification (142E3). This omission in the corporate hierarchy is not possible in the title and statement of authorship area which must be recorded “in the terms in which they are presented on the title page or elsewhere in the publication” (134D1). Abridgment is possible in the publisher statement as long as there is no loss of intelligibility (138A).

The rule, “Works in more than one series,” follows an earlier revision. Each series statement is enclosed in its own set of parentheses. Whenever possible, the more specialized and less extensive series is placed first (142F1).

### *Notes Area*

Rule 143A, “Definition and purpose,” of the “Notes area—general rules” reflects the deletion of the term “body of the entry” and no longer includes the example explaining a section of advertisements in the collation which has been moved to rule 141B11 where it logically belongs. Rule 143B, devoted to “Categories of notes,” continues the division of all notes into two categories, “indispensable notes” (143B1) and “important but not indispensable notes” (143B2). A rule covering “Names of persons to whom the work has been attributed” has been added as an indispensable note (143B1b). As an important note, indexes have been given equal status with bibliographies as a type of partial contents note (143B2a). The language note, given whenever the language of the text is not obvious (143B2d), has been separated from the note given to show the nature and scope or literary form of a work (143B1c). Rule 143C on “Style” reverses the order of preference for the form of notes: “quotations from the work” is now listed before “statements composed in English by the cataloger.” Guidelines for informal notes are also presented, with indications that, although the forms of notes considered in rules 144–148 are fixed, the examples for the forms of notes in 143D are only suggestions for the cataloger. The use of prescribed punctuation is optional in notes except when the note includes

an imprint, in which case the punctuation prescribed for the imprint area must be followed. In notes composed by the cataloger or in notes recording bibliographical relationships (143D2 and 143D4) a name or title in a nonroman alphabet is given only in romanized form.

The order of notes has undergone some adjustment although the introductory statement (143D) is basically the same. The analytical note, if there is one, is always first (143D1 and 157). Some of the notes related to the bibliographic history of a work (143D2) now precede the notes related to the elements of the formalized description of the work (143D3). Thus the "original title note" appears as the first note if there is no analytical note. The order within the original title note has also been changed, providing for the original title of a translation first (143D2a), then the original or earliest title of a work reissued under another title (143D2b), the title of a work published simultaneously under another title in the same language (143D2c), the title of a later edition (143D2d), and finally the title of a work published simultaneously in different languages (143D2e). The alternative rule for those libraries not using uniform titles has been retained in footnote 20 to rules 143D2c-e.

The rules governing notes referring to the elements of the formalized description have undergone less change (143D3). Although not indicated following rule 143D3a, the "At head of title" note would follow notes related to the source of the title proper (144). Rule 143D3b has been expanded to include all other titles and title information, including a language note if the language of the text is not obvious from the title page. Rule 143D3e has added the note "Privately printed," since such a statement has been excluded from the imprint area (138 and 140).

Notes related to the recording of bibliographical relationships other than changes of title are handled in rule 143D4. The rule for noting the author or editor of an earlier or later edition is unchanged (143D4a). However, the rule governing the note on continuing works has been modified (143D4b). "Sequel" or "sequel to" is to be used only in notes for "works of the imagination" while "continues" or "continued by" is to be used in notes for "other works." Rule 143D4c, dealing with notes which relate information about an original publication that is issued as a reprint edition, is new. The rule describing notes concerning reprints from a part of another publication, such as reprinted articles, remains unchanged (143D4d). The rule on notes concerning the recording of information relating to facsimile or other reprint editions has been expanded to reemphasize the difference between a "facsimile edition" and a "photoreprint edition," to allow for the recording of all or part of the original title page if necessary to record data which would otherwise be lost, and to provide for the recording of the location of the original copy or manuscript (143D4e).

Rules 144-148 provide fixed forms for certain types of notes: "At head of title," "Bound with," "Theses," "Habilitationsschriften," and

"Contents." The rule for the "At head of title" note has undergone minor adjustments (144). It is no longer necessary to use this form of note to handle the case in which an author's name, in an inflected language such as Russian, appears at the head of the title in the nominative case. Likewise, the name of a corporate author including a subdivision not used in the heading appearing at the head of the title need not be noted. Both of these situations are now handled by recording the author's name as it appears on the title page in the statement of authorship area. The "at head of title" note is specified as the first note unless an analytical note, an "original title" note, or a note indicating the source of title information is necessary.

Rule 145, "Notes of works bound together," has been rewritten for greater clarity. A volume containing two or more works, each with its own title page and paging, issued together by the publisher in one cover but lacking a covering title page is treated as an "issued with." A volume containing two or more works, each with its own title page and paging, but published separately and subsequently bound together is treated as a "bound with" (145A). The form of the "issued with" note has been changed to parallel the form of the "bound with" note (145B, 145C, and 145D). The rule concerning the form of citation for the work mentioned in the note has been altered to allow the forename(s), even if only one, to be represented by initial(s), the use of a brief or uniform title, and the recording of a nonroman alphabet citation in romanization only (145E). If there are more than two works in a volume, all the works are cited in the note for the first work in the volume, but only the first work is cited in the notes for the remaining works. The cataloger will note that the prescribed punctuation is *not* used in the examples for this rule.

The term "thesis" has replaced "dissertation," so rule 146 is now the "Thesis note." The date of the degree is recorded if it varies from the imprint date (146A). (Previous practice was to record the date of the degree only if it were two or more years earlier than the imprint date.) The English word "thesis" is used for both United States and foreign theses, although other qualifying terms, such as "thèse complémentaire," will appear in languages other than English (146B1). The rule describing the formal note for abstracts, abridgments, and summaries of a thesis is new (146B2). Other changes include placing the specific reference works for verifying the degree in a note (146C); omitting from the name of the corporate body the name of a larger geographical unit which might have been added as part of the form of entry for the corporate body (146D); and a slight clarification in the rules concerning edited works (146E) and praeses and respondent (146G).

Rule 147, "Habilitationsschriften, . . . etc.," has undergone little change. The cataloger will notice that the analytic example in rule 147C does not use the prescribed punctuation.

Rule 148, "Contents," has been considerably reorganized and expand-

ed. The preliminary note now states that the upper limit of twenty-five items set for the listing of contents of *Festschriften* applies to the listing of contents of all single-volume works. Several new types of items to be included as informal contents notes have been added to rule 148A1—discographies, filmographies, indexes, and errata slips (see Examples 1 and 3). Summaries in languages other than that of the text, supplements, other appended matter, and errata slips not printed as part of the work are always included in notes. Bibliographies, discographies, filmographies, and indexes are noted unless they are "obviously of little value." However, bibliographical references need be mentioned only if they "seem to be particularly important" or take the place of a bibliography; and appendixes, only if they "contain important matter." Notes are to be listed in the order in which the items described appear in the work and the informal contents note is a last note, unless there is a formal contents note (148A2). The form of the informal contents notes using either specific terms such as "bibliography," "discography," or "filmography" or quoted titles of the items is now presented as part of this rule on informal contents notes (148A3).

The rule for formal contents notes then follows as a separate rule (148B). In listing the works of different authors, the author's name, given in inverted form if possible and with initials used for one or more forenames, will precede the title (148B4). When more than three authors are listed, brackets do not have to be used to show that "et al." has been supplied. If the cataloger is faced with a choice of entry problem, then the principal author, without designation of his function, is recorded. The cataloger is not concerned with the selection of the proper entry according to *AACR* at this point, but is merely trying to identify the item being recorded in the contents note briefly but accurately. In listing contents of works in more than one volume, if the term designating volume is long and cannot be abbreviated, it is omitted just as in the series area (142A1). Also, if the cataloger supplies the volume numbering, brackets are to be used (148B6). Paging for a bibliography is no longer included in the contents paragraph since it would now be listed in an informal contents note. Thus paging is now recorded in the contents paragraph only to show that one item occupies "a disproportionately large portion of the work" (148B9). The remaining parts of rule 148 are basically unchanged. The cataloger will notice that standard punctuation is generally followed in the examples in the notes area.

Rule 149 introduces the International Standard Book Number (ISBN) as "the last item in the notes area," even though it is cited as the seventh area of the bibliographic description in rule 130A. The form of the ISBN is given, and the practice of the Library of Congress to hyphenate the segments of the number, when necessary, parallel to the practice in recording the ISSN, is footnoted (149A) (see Example 1). When a multivolume work is involved, the ISBN for each volume must

be recorded, either on the same line following each other separated by periods, or on separate lines, without the periods (149B).

### *Special Rules*

The rule dealing with the "title romanized" note (150) is unchanged, and again the practice of the Library of Congress is footnoted. However, this footnote should refer the reader back to footnote 3, page 3 rather than to footnote 2, page 2.

Rule 151, "Tracing," has been reworded. The preliminary note now refers the cataloger, when determining appropriate added entries, to rule 33. The order of items in the tracing is clearly presented for the cataloger (151A). First, subject headings are listed. Then added entry headings for persons (including author-title added entries) are recorded in the order in which they appear in the catalog entry, followed by added entry headings for corporate bodies (including author-title added entries) in the order in which they appear in the catalog entry. Finally, come the added entry headings for title proper, other titles, and series. The series tracing now is identified by a roman numeral. Rule 151B provides for indicating the title proper by the word "Title," whereas all other titles will be recorded in full, following the word "Title." The cataloger should note that the ISSN included in the series statement (142A1) does not need to be repeated in the series added entry (151D). The need to record a series in full to show a correct number is indicated in a footnote. The prescribed punctuation, space-semicolon-space, is also used in the tracing to separate the title of the series from its numbering. The rules concerned with the recording of a second series in full (151E) and with the use of "[etc.]" in the tracing when series numbering is not consecutive (151F) are unchanged.

The rule, "Issues and photoreproductions treated as such," has been modified to show that if issues are treated as copies, all variations will be specified, with the Library of Congress exceptions of imprint date and form of name of the publisher footnoted (152A). The dash is no longer specifically measured as two ems for repetition of author heading and three ems for repetition of title. The examples indicate the "long dash" as four hyphens for repetition of author heading and six hyphens for repetition of title. The prescribed punctuation must be used whenever possible in these dash entries (152B). The handling of a photoreproduction which is neither a facsimile edition nor a reprint edition in the same manner as another issue is described in rule 152C, with a varying LC practice footnoted.

Aside from the inclusion of examples showing the use of prescribed punctuation, rule 153, "Offprints," and rule 154, "Detached copies of parts of works," remain unchanged. The scope note for rule 155, "Supplements, indexes, etc.," has been rewritten to refer the cataloger to rule 19A, "Related works," and to emphasize that this rule applies only to "supplements, indexes, etc.," with "dependent titles," which, logically,

Magruder, Jeb Stuart.

An American life : one man's road to Watergate / Jeb Stuart Magruder. -- 1st ed. -- New York : Atheneum, 1974.

xii, 338 p., [8] leaves of plates : ill. ; 25 cm.

Includes index.

ISBN 0-689-10603-3

1. Magruder, Jeb Stuart. 2. Watergate  
Affair, 1972- 3. United States - Politics and  
government - 1969- I. Title.



Example 1

Subtitle. Rule 134C4b

Edition statement. Rule 135C

Number of leaves of plates. Rule 141B1d

Index note. Rule 148A3

International Standard Book Number (ISBN). Rule 149A

Lindsay, Walton.

New towns : a comparative atlas / Walton Lindsay, with Robert Cheesman and Martha de Porzecanski. -- Cambridge, Eng. : University of Cambridge Department of Architecture, 1972.

1 portfolio (24 p., [73] leaves of plates : 78 ill.) ; 31 cm. -- (Land use and built form studies : Working paper ; no. 62)

1. Cities and towns - Great Britain. I. Cheesman, Robert. II. De Porzecanski, Martha. III. Title. IV. Series.



Example 2

Subtitle. Rule 134C4b

Formal statement of authorship. Rule 131D1

Number of leaves of plates. Rule 141B1d

Portfolios. Rule 141C5

Number of illustrations recorded. Rule 141D4

Title of the series. Rule 142A2

Cancio, Francisco, 1903-  
Lisboa : tempos idos / Francisco Cancio -- [s.l. :  
s.n.], 1957-1958 (Lisboa : Barreiro)  
2 v. : ill. ; 27 cm.  
Includes bibliographical references and index of  
engravings.

1. Lisbon - History. 2. Portugal - History - John  
V, 1706-1750. I. Title.



Example 3

Place unknown. Rule 137A  
Publisher unknown. Rule 138A  
Printer's imprint. Rule 140  
Informal contents note. Rule 148A3

Dutchess Co., N.Y. Dept. of Planning.  
Springside : a partnership with the environ-  
ment / [prepared by the Dutchess County Depart-  
ment of Planning]. -- [Poughkeepsie, N.Y.] : The  
Department, 1968.

61 p. : ill., plans ; 28 cm.

Bibliography: p.61.

1. Poughkeepsie, N.Y. - Historic houses, etc.  
2. Architecture - Conservation and restoration.  
3. Downing, Andrew Jackson, 1815-1852. I. Title.



Example 4

Subtitle. Rule 134C4b  
Formal statement of authorship. Rule 134D1  
Publisher as author. Rule 138D

are to be cataloged with the works to which they are related. The rule, "Supplements described in detail," has been divided and treats the situation of the main work entered under author in rule 155A1 while dealing with the main work entered under title in rule 155A2. Again, the long dash replaces the two or three em dash and prescribed punctuation is required. Should the title of the main work not be separable from the title of the supplement, a single long dash is used, and the title of the supplement is to be recorded in full, repeating that part of the title of the main work (155A3). The rule for supplements to be noted briefly is basically the same (155B).

Rule 156, "Photoreproductions to be described as such," replaces chapter 9 of *AACR*. The preliminary note has been rewritten and the rules relating to the description of facsimile editions have been deleted, since they are now included in rules 133C2d, 136D, 143D4c, and 143D4e. Part or all of the collation may be omitted if it cannot be determined (156A). Again, prescribed punctuation is required (156B). Pagination or foliation, in parentheses, is recorded after the statement of the number of physical units of the microform in the collation area if the item is an original edition in microform (156C).

The definition and scope of rule 157, "Analytical entries," is basically unchanged. The analytical note is no longer given in the series position and is no longer enclosed in parentheses, but is always the first note, beginning with the word "In" printed in boldface or underlined rather than in italics (157A1). The name of the author of the larger work is inverted and initials only are used for one or more forenames. Prescribed punctuation is not required in the analytic note. If the paging of the part is not separate from the larger work, the collation is omitted in the description of the part and is included instead in the analytical note (157B). The remaining parts of this rule are unchanged.

On the basis of this review, it should be clear that revised chapter 6 does not represent merely an attempt to bring the old rules for the descriptive cataloging of monographs into conformity with the requirements of *ISBD(M)*. The opportunity has been taken for a careful examination of the code with the aim of providing both major change in certain rules as well as greater clarity in the wording of the text. It is to be hoped that a more logical set of rules has been the result.

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# A Plan for Undergraduate Participation in Book Selection

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*Although the undergraduate library is seen as central to the college program, emphasis in collection building usually reflects faculty rather than student needs. But there is ample justification for undergraduate participation in book selection. An effective method to revise traditional priorities involves allocating monies to students for their own purchases. Methods of administering such a plan as well as the benefits accruing to both students and the library are discussed.*

THE LIBRARY OF THE UNDERGRADUATE COLLEGE is, traditionally, its "heart," the "center of intellectual activity," in modern terms a "resource" or "information transfer" center. Specifically, the library's chief function is seen as providing support both for the instructional program and for the research needs of the faculty. Not incidental to these responsibilities is the charge that college libraries should "stimulate and encourage the student to develop the lifelong habit of good reading."<sup>1</sup>

Mindful, however, of the promotional values of faculty research in bringing funds to the college and highly dependent upon the college administration for continued budgeting increases, librarians do little more than pay lip service to the interests and requirements of students. Undergraduates may have the use of smoking rooms and stack carrels, but the assignment of library study offices, the provision for long-term borrowing, and the use of interlibrary loan on an unlimited basis are privileges granted only to the teaching staff.

Traditionally, it has been only the faculty who assist in formulating policy as members of library committees. And in too many libraries books are purchased only on departmental recommendation.

The implications are clear: students are credited with neither the

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ability nor the right to participate as equal partners in the process of building and maintaining undergraduate collections.

And what of the results? The librarian has not gained personally—the faculty has not been eager to grant him faculty status—nor professionally—it would be difficult to prove that faculty usurpation of collection development responsibilities has resulted in excellent undergraduate collections.

The present situation, then, is advantageous only to the faculty—the group with the most vested interests. It is time now that the main concern in undergraduate libraries center directly upon the student and not the faculty member.

Such a change in emphasis is justified on a number of grounds. Many follow logically from the nature of undergraduate education itself. It cannot be disputed that the primary function of a college should be to teach students. Opportunity for faculty research, then, becomes incidental and important only as a lesser goal.

Students constitute a substantial majority of the college community. Therefore, a significant proportion of library resources should be theirs to determine.

Yet another factor justifying student emphasis is the source of library funding. It is, in part, derived from student tuition fees. If students now have a great influence in structuring the curriculum because of financial interest, it is also necessary that they play a significant role in building the resource collections to support these programs.

Other justifications, perhaps more important, stem from possible benefits to students. For example, such a program will involve them deliberately in library matters. Their acquaintance with library operations will increase their understanding of all libraries in which they will be patrons in the future. The program, too, will encourage their use of the resources they have helped to select and make them conscious of books as more than texts.

The proposal, then, is this: the establishment of either a student fund—equal in importance and similar in structure to existing departmental allocations—or the yearly apportionment of a carefully determined sum to each student. All monies would be spent only for library purchases. Such a program, however structured, will further undergraduate goals as well as encourage the development of vital, purposeful library collections.

Immediate objections to such a plan take two forms. The first is concern for overwhelming administrative difficulties which seem to be involved. The second stems from a certainty that students do not have the necessary expertise to select books and that such duties ought to be delegated only to faculty and librarians. Because discussion of simplified administrative control is useless if student competency is in question, let us consider the second problem first.

It is true that students normally do not have familiarity in depth with one field. However, many develop a critical acquaintance with cur-

rent music, literature, films, politics, and, sometimes, art. Traditionally, contemporary materials in these fields have been judged to be low-priority areas for the college. This is reflected in the contents of "modern literature" courses which stop with Hemingway and Faulkner and ignore such figures as Richard Brautigan and Ray Bradbury. The implications for the library are evident. And even if such materials are purchased, they are often merely paperbound editions which are relegated to "browsing collection" use.

In contrast to questions of student expertise in book selection there is the erroneous belief that faculty are competent to build collections simply because of completion of advanced graduate work. The failure of most teachers to adopt a comprehensive view of resource needs has been repeatedly discussed, and it is not necessary to present the arguments again.<sup>2</sup> Faculty predilection for books which specifically interest them or aid them in research is just one example.

The essential question that each librarian must answer is, What constitutes a minimum basis for successful book selection? Whatever the response, there is no justification for the exclusion of students.

It should be emphasized that the proposed plan in no way detracts from the function of well-educated acquisitions librarians. Student authority and financial ability to purchase library materials will increase the challenge to build well-rounded collections. But the librarian must retain the freedom to reject inappropriate materials. It is certain also that weeding duties will require more careful judgment and necessitate an extensive familiarity in additional fields.

The two bases of justification for student involvement in collection building—as a natural outgrowth of college structure and as a positive factor in enhancing student interest in all aspects of library operation—are compelling. And the question of student expertise has been shown to be a difficulty only if a collection weighted to secondary source materials is required. A less obvious but perhaps more considerable objection to the plan remains to be discussed. That is the view of undergraduate education it supposes.

The usual conception of the bachelor's degree program as including an in-depth preparation in any one subject field is not acceptable either as a present or future goal. It is simply not realistic today to expect undergraduate libraries to do more than casually support the curriculum. The ever expanding fields of knowledge, the new depths to which many subject areas are being explored, and the tendencies of even traditional colleges to change their curricula constantly in response to these events make it obvious that the library cannot build in depth in all areas—perhaps, even, in none.

Because master's level graduate studies increasingly serve either as professional programs or as in-depth subject studies short of the concentration pursued at the doctoral level, it is no longer necessary or feasible for anyone to acquire a highly specialized knowledge of any subject for graduation.

Two important reasons for this development are the refusal of many professional organizations to accept a terminal bachelor's degree and the expectation and desire of many employers to train their own workers. As a result, college can be seen less as a preparation for a career—except perhaps in the case of teacher education—than as an enrichment program.

Even should this not be so, students at the undergraduate level should rely on their own intellectual judgments rather than upon the opinions of others. Comprehensive studies of criticism and commentary have no place in the library collection. Again, it is clear that the subject expertise of the faculty becomes less relevant in terms of collection development.

This philosophy of undergraduate education—but briefly sketched—is student centered. Certainly it need not be totally accepted to acknowledge a value in student participation in book selection and to recognize the implications such participation imposes on developing library collections.

Administration of such a plan need not be complex. While the program will necessitate more funds than are normally allocated to the library, it is assumed that faculty allocations must be substantially reduced.

Student funds can be structured either on an individual or a group basis. For example, monies from tuition can be specially apportioned in the same way as are student activity fees. Each student may have an equal amount to spend, or allocations can be ordered in consideration of student rank (e.g., freshman, sophomore) or level (e.g., honors work). Funds can be added directly to the library budget for accounting there, or the student can be issued scrip to cash in with his order.

While the first plan requires more clerical work on the part of the library, it has the positive effect of acquainting students with technical services, personnel, and functions. And a simple method of accounting—a check-off of each student's name in a catalog and/or his signature on a release—can be devised.

The use of the scrip plan, on the other hand, may relieve the library of many administrative duties since the scrip can be returned directly to the accounting offices for credit. The ease with which students may pool resources to purchase expensive art books or make subscriptions to periodicals possible for minimum two-year periods is one beneficial side effect of this method.

Administration of funds on a group basis is also possible. Representatives from each graduating class can be chosen—much as class officers—to direct the many clerical aspects of the work. Similar procedures are now followed with faculty funds. This accounting plan would encourage an even greater pooling of funds.

The duplication of requests for a single title may perhaps be seen as a major problem. However, in coordinating requests, class representatives can conveniently decide the extent of duplication necessary. It is

an important part of this plan that ample copies of materials are quickly available.<sup>3</sup>

It is essential to stress the right and duty of the librarian to reject unsuitable materials much as he does now. Certainly the conception of what is improper may be changed radically.<sup>4</sup> However, the librarian's judgments relating to the impracticality of cataloging and housing certain types of materials must still take precedence over a simple desire and financial ability to purchase them.

The long-term effects of student participation in book selection, then, will not jeopardize the collection. Certainly it will alter its nature. The basic collection of materials deemed necessary to support the curriculum—in so far as that is at all possible—will still be purchased. Beyond that, however, the general cast of books will probably tend to reflect contemporary trends rather than the narrowly circumscribed fields which have heretofore been considered appropriate.

The employment of a carefully developed weeding policy is necessary to keep the collection from being overrun with materials subsequently shown to have no value. But continuous rigorous weeding ought now to be a corollary to collection building.

The arguments for student participation in library book selection at the undergraduate level are both substantial and feasible. They require a serious review of current policy by librarians, faculty, and administration. While the specific method of administering the plan will have to be decided and implemented locally, the difficulties that may arise here are insignificant in comparison to the compelling benefits of such a plan.

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1. American Library Association, "ALA Standards for College Libraries," *College & Research Libraries* 20:274 (July 1959).
2. Examples of studies include the following three: Harry Bach, "Why allocate?" *Library Resources & Technical Services* 8:161-65 (Spring 1964); J. Periam Danton, *Book Selection and Collections* (New York: Columbia Univ. Pr., 1966); and Virgil R. Massman and David R. Olson, "Book Selection: A National Plan for Academic Libraries," *College & Research Libraries* 32:271-79 (July 1971).
3. Librarians have traditionally chosen to purchase a single copy of many rather than many copies of one. But justification for this thinking is not possible here. When weeded, duplicates could easily be sold to students at low prices to encourage the development of private collections.
4. I do mean that writers such as Victoria Holt, Mary Stuart, and A. J. Cronin could not be rejected out of hand. In fact, what kind of studies have ever been done on the importance of these writers? How could studies be done without primary source materials? I will recognize the difficulties of stocking mysteries and westerns. Perhaps a suitable arrangement can be made with the local public library to supply this material. The objection is not with subject matter but that these books are too ephemeral. As such they would overly tax the budget.

## Responses to "A Plan for Undergraduate Participation in Book Selection"

*Editor's note. In view of the provocative thesis of Nancy Buckeye's article, comments were invited from three prominent librarians with experience in undergraduate libraries and/or acquisitions work. Readers' responses directed to other facets of the problem are invited.*

One is always reluctant to critique too assiduously any well-motivated new proposals with even the germ of a constructive idea, simply because of the dearth of them. However, whatever value might exist in the current proposal lies principally in the slender thread of ultimate potential for motivating some additional students toward books and libraries, rather than in the specific program outlined. I personally am inclined to doubt the claim that a more educationally useful collection would result.

One tends to build on his own experience and observations, and, since mine have focused in and on large university libraries, I find it difficult to accept or apply to this group of libraries the author's contention that "librarians do little more than pay lip service to the interests and requirements of students." Quite to the contrary, I have found librarians working with undergraduates to be, in very large measure, concerned and dedicated to the service of students. Indeed the librarians in the "undergraduate libraries" of large universities have tended to appear almost obsessed in their efforts and desires to provide services to and collections for the student.

The author quite correctly identifies some failures and abuses in collection building where faculty have sole responsibility and, in fact, even where they do not. Indeed, there are *some* faculty who have little regard for their students, and there are faculty who push hard for use of all available funds for their personal research materials. It is also regrettably true that in some institutions the curriculum in modern American literature "stops with Hemingway." But I suggest that these are not norms and that the author may be susceptible of overgeneralizing in this and several other areas.

Perhaps in recognition of the above, many university libraries have, for some years, been sharing the responsibility for collection building among faculty, students, and librarians. It is true that the student role has seldom been as formal or as extensive as that of faculty and librarians since the role of the latter two groups stems from a more primary motivation.

Student participation comes about through a variety of processes. Many college and university libraries either have a separate student library committee or have student representation on the faculty/senate version of the library committee. In addition, many libraries have considerable student participation in collection building through direct pur-

chase recommendations via purchase recommendation forms widely and freely available, such purchases being charged to the subject allocation, to the "undergraduate library" fund, or to a separately identified fund.

Similarly, most, if not all, large university libraries have long since departed from the condition whereby faculty exert sole control over resource selection, although an occasional subject area may, by default or through lack of librarian expertise, rely almost solely on faculty recommendations. By stating the above, I obviously reject the author's contention that subject expertise is not relevant to undergraduate or any collection building. The holder of appropriate expertise should be called upon to assist regardless of his status.

From the above it should also be obvious that I do not accept the author's claim that "students are credited with neither the ability nor the right to participate. . . ." But then, neither do I assign to students as a group exclusive wisdom, knowledge, and abilities not available to faculty or librarians (which, by the way, are often in the same category). That we often fail to get enough copies of a heavily used book is true. But in many universities, that omission is quickly rectified by a deluge of recommendations from students to get more copies.

One of the problems in critiquing this article stems from a lack of a definition of the term "undergraduate library." To those of us in large universities, the term usually refers to a separate facility and collection geared to meet student curricular, cultural, and recreational reading/media needs. Ms. Buckeye seems, however, to be referring to the general library of a college or small university, with that library serving both undergraduate and research needs. Only this could explain, but not necessarily justify, the claim that "it is time now that the main concern in undergraduate libraries center directly on the student and not the faculty member." She further contends that because the "undergraduate college" serves a teaching function, and because students constitute a substantial majority of the academic community, and because student fees contribute to library support, and because students have considerable influence in structuring the curriculum, they should also "play a significant role in building resource collections to support these programs." It strikes me that several of these arguments are specious, although none so much as her complaint regarding the lack of faculty support of status for librarians. I cannot think of a poorer argument than that because we librarians have allowed faculty to "usurp" collection building responsibilities, they should have been more supportive of our quest for faculty status. Were the claim accurate, it would still be a questionable argument.

In spite of all the foregoing objections to the language of the article, it should be made clear that I share the author's rejection of any imbalance between research versus teaching needs or of any usurpation of *sole* responsibility for selection. The key is balance in the collections and shared responsibility, a condition which already exists in many institutions.

Thus my objections, which obviously have been many, are not as much to the idea of the proposal as to the author's basic assumptions and to the extent and mechanics of the remedy proposed. A special student fund or student participation in departmental selection would be useful programs. I doubt, however, the need for a student fund "equal in importance" (read "amount"?). It simply is not true that departmental allocations, whether spent by librarians or by faculty, go entirely for research materials. Most faculty are concerned with their teaching and recommend many curriculum related purchases. Funds for such purchases must be available to the one who is to teach the course. In view of currently depressed materials budgets, it is doubtful that sufficient additional funds could be obtained to equal the allocations now available, while a substantial reduction of funds presently available to faculty could seriously hamper the teaching program. Thus, where the conditions which Ms. Buckeye outlines do in fact exist, the answer is to bring students, librarians, and the faculty into the fullest possible participation—not in a sense of competing, but as partners sharing responsibility for a common goal, that of obtaining the best and most useful resources for that institution and its constituents.

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Presenting her philosophy of student-centered undergraduate education and applying it to a plan for student participation with teaching faculty and librarians in collection development, Nancy Buckeye so overstates the case for student involvement that any academic library following her program will suffer irreparable long-term damage.

Ms. Buckeye does present a novel view of book selection for the college library in emphasizing the need for student participation. She states that students have been credited with neither the right nor the ability to work in library collection development. But several of the reasons she advances to justify such involvement are questionable. If we employ factors of population (students as "a substantial majority of the college community") or financial interest (based on "student tuition fees") as bases for student participation, we may as well abandon our positions of academic leadership.

Ms. Buckeye has neglected the responsibility of the librarian for the overall development of the library's collections, a responsibility that has all too recently been achieved in many institutions. She would erode this responsibility through the insertion of other formal groups in the process of book selection. She maintains that her program would not detract

from the role of the librarian in collection development and would present challenges to the establishment of well-rounded collections. Challenge is an understatement—obstacle is a far better term. Through her program librarians would cope with diverse series of groups with conflicting interests; and one can imagine the difficulties librarians might have on guidelines to follow in rejecting “inappropriate materials” or in weeding the collection.

Recent contributions to the literature have shown how the librarian can rightfully assume a position of leadership in collection development.<sup>1</sup> Certainly such a role is to be supported in each academic library, particularly in these days of decreased and uncertain funding when every dollar must be wisely employed.

In asserting the student's right and ability to participate, Ms. Buckeye would also probably support the student's responsibility in this endeavor. But one may question whether students are willing to assume this important responsibility on a regular and continuing basis, given all their other tasks and obligations while in college. Librarians who have worked with members of the teaching faculty in book selection are aware that even here participation is uneven and that the librarian must be ready to finish the job.

Ms. Buckeye argues that the library collection would not be jeopardized if her plan is instituted—basic materials would still be acquired although more contemporary interests would be reflected in the rest of the collection. Many of such volumes would be of ephemeral interest and subject to the weeding process she discussed. With that in mind, it might prove better to issue the scrip to students for the purchase of books for their personal libraries and so get a good start on their individual programs of lifelong learning. (This writer believes, however, that a student presented with a choice between scrip for book purchases and reduction in his tuition will probably choose the latter.)

Throughout her presentation Ms. Buckeye speaks of undergraduate education and undergraduate book collections as though they are isolated or separate from other parts of higher education. They are not. The academic library—be it in a college or a university—fills a variety of educational needs, both in teaching and research. Those of us who have participated in the selection and organization of undergraduate library collections are very much aware of the impossibility of determining which books are “undergraduate,” which are “graduate,” which are “professional.”

Ms. Buckeye's program can possibly be applied to the book collection in the student residence—a small number of basic reference works and general volumes plus a changing collection of student-selected volumes that mirror contemporary interests; but to apply such a plan to the entire college library can present disaster.

Student participation in the library program, whether it be book selection or policies on the use of the library, must be encouraged; and

standard works on academic library administration make this clear.<sup>2</sup> Librarians must not, however, shirk their role of leadership and their responsibility in the educational enterprise.

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1. See, for example: Jasper G. Schad and Ruth L. Adams, "Book Selection in Academic Libraries: A New Approach," *College & Research Libraries* 30:437-42 (Sept. 1969); Selby U. Gratton and Arthur P. Young, "Reference Bibliographers in the College Library," *College & Research Libraries* 35:28-34 (Jan. 1974); and Robert Haro, "The Bibliographer in the Academic Library," *Library Resources & Technical Services* 13:163-69 (Spring 1969).
2. Louis Round Wilson and Maurice F. Tauber, *The University Library: The Organization, Administration, and Functions of Academic Libraries* (2d ed.; New York: Columbia Univ. Pr., 1956), p.355; Guy R. Lyle, *The Administration of the College Library* (3d ed.; New York: Wilson, 1961), p.246-47; Helen Sheehan, *The Small College Library* (Westminster, Md.: Newman Press, 1963), p.41-42; and Rutherford D. Rogers and David C. Weber, *University Library Administration* (New York: Wilson, 1971), p.124-25.

If the perception which Ms. Buckeye has of undergraduate libraries and the treatment which students receive in them are in reality those which emerge in the paper which she presents, then I truly sympathize with the concerns she has that change must take place and can understand her efforts in devising the ingenious solution she is proposing.

My own experience, however, has been otherwise. I would question whether, in the majority of the libraries of liberal arts undergraduate colleges, the situation is as stark or as bleak as she pictures. No one would deny her assertion that the undergraduate library should reflect the needs of students, both in supporting the curriculum and in providing them with general interest reading materials. I would, though, question her assumption that librarians do little more than pay lip service to the interests and requirements of undergraduates.

A study of the post-World War II literature on the undergraduate library, starting with B. Lamar Johnson's 1948 publication *The Librarian and the Teacher in General Education* (reflecting his experience at Stephens College) and continuing through the gradations of Patricia Knapp's 1959 study *College Teaching and the College Library* at Knox College, supplemented by the *Monteith College Library Experiment* in 1966, to the recent library/college concept so passionately advocated by Dean Louis Shores and his disciples, shows that librarians have always been concerned with the needs of undergraduates.

No one would deny either her contention that students can be of great assistance in the building of library collections. Her proposal, though, that each student on the campus be given an opportunity to select books and that an amount of the library budget proportional to the number of students and comparable to that made available to faculty or departments be set aside for students' purchase is untenable. To take this to its logical conclusion, one could project, at \$20 per student for a student population of 2,000, that it would require setting aside a budget of \$40,000 for this purpose. With today's tight budgets this would be virtually impossible and at any time would, I feel, be fiscally irresponsible for, whether students or faculty have library monies allocated to them for book selection, the ultimate responsibility and accountability for the collection rest with the librarian.

I also challenge Ms. Buckeye's concept of an undergraduate education. She is correct in her perception that undergraduate education can no longer—if it ever was—be considered a preparation for a "career"; but neither is it, as Ms. Buckeye maintains, merely "an enrichment program." Again she is correct in her implicit recognition of the rapidly changing and expanding fields of knowledge and the fact that the future careers of today's students cannot even be conceived of at this time. For this very reason, the purpose of undergraduate programs should be to continue the intensive training and the characteristic disciplines of the liberal arts in their broadest sense and thus enable students to develop that ability to rely on their own intellectual judgments which Ms. Buckeye so wisely advocates.

Further, as recognized by Ms. Buckeye and reinforced by Michael Zuckerman in the 7 October 1974 issue of the *Chronicle of Higher Education*, collections must also provide for students, as he puts it, an "environment in which they may learn for themselves." The library by its very nature can provide the resources for this duality in the learning experience, and this, I feel, is essentially the responsibility of the librarian. It is the specific skill of the librarian that keeps in balance the narrow interests of faculty research needs and the basic materials to support the curriculum, that anticipates new and future areas of study, and is aware of contemporary topics which are of intense and immediate interest to undergraduates. The librarian with this perspective, who is in touch with all elements of the academic community, also gives continuity to developing a collection which will serve not only the needs of the present generation of students but also those who will be students decades in the future.

It is my experience that the opportunity for students to involve themselves in book selection is much more possible than the writer of the paper contends and, consequently, does not require the mechanisms which she is proposing. Since the late 1960s, student involvement in committees and student contributions to academic developments make it possible for those who want to, and those who are capable, to have a signifi-

cant role in college governance, curriculum development, and the growth of library collections. To assume that every student has developed the critical faculties needed in the development of library collections, or is even interested, is naive. Even for our young instructors it takes several years before they develop an understanding of the individual college curriculum and the nature of the library's collections and can be effective contributors in the book selection process.

But there are exceptional students who are interested, who become known to the staff and the faculty and feel an identification with the library. These can be of great help and make a significant contribution. In recent years we have had some outstanding experiences. A student doing work in biological anthropology was very interested in the work done on blood groups; she followed the literature, read reviews, and recommended books for purchase. A history major with a good knowledge of French worked with a faculty member and the library staff during her senior year checking bibliographies of seventeenth-century French history; as a result, the library is developing, with the faculty member concerned, an allocation of funds for a five-year acquisitions program in this area. A student teaching a winter term course made us aware of our deficiencies in Jewish literature, both text and commentaries, as well as our lack of materials on the Holocaust; we accepted her recommendations. We also find that students doing independent work and honors work and those taking courses on other campuses are more than willing to bring to our attention gaps in our own collections.

As for current literature, music, films, etc., which Ms. Buckeye feels will be missed without student participation, we find that it is the library staff and the faculty who are more alert than the students. Our faculty and staff are continuously and deliberately reading in these fields and the students are not. We do have Brautigan and Ray Bradbury, as well as Doris Lessing and Carlos Castaneda; I venture to say we found them before the students did.

The cumbersome administrative techniques required for the proposal put forward by Ms. Buckeye defy comprehension. They cannot be commented on in the space available here. Another administrative matter which the writer ignores is the high processing costs for adding books and then weeding out later a high percentage of what she acknowledges would be ephemera.

In closing, I again commend Ms. Buckeye for her concern about the breadth of an undergraduate collection and her genuine interest that students be involved. I feel, however, that her comprehension of library functions is inadequate, that her vision is restricted, and that she is seeking a narrow and impractical solution to what is a challenging and exciting prospect: engaging students in the book selection process.

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# Purchasing Books from Publishers and Wholesalers

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*Book purchase requests for thirty-two titles were sent simultaneously to four different wholesalers and the publishers of the titles. The length of time required for each supplier to provide each of the thirty-two titles was recorded, as well as the charges to the library for each title. The efficiency of each supplier was evaluated from these data in terms of the number of days required to supply books and the percentage of the actual charge against the list price.*

**I**N ORDER TO PERFORM one of the basic functions of a library—making materials available to its users when needed—librarians should purchase materials in the most prompt and economical way possible. Since different book suppliers provide different services, the selection of the most efficient suppliers has long been a major concern to acquisitions librarians. Some libraries choose to place most of their orders with one or more wholesalers, while others send the orders directly to publishers. Still others order from both wholesalers and publishers. According to a survey of forty-two academic libraries and twenty-five public libraries made by Bennett almost twenty years ago, 64 percent of the libraries ordered more than 65 percent of their books from wholesalers; 9 percent of the libraries purchased more than 65 percent from publishers; and 6 percent of the libraries sent their orders to local bookstores. The remaining 21 percent of the libraries used both publishers and wholesalers, dividing 35 to 65 percent to each.<sup>1</sup>

Library literature of the last two decades includes several books and more than a dozen articles which discuss methods for selecting and evaluating book suppliers. However, most of these are the descriptions of the authors' opinions of experiences; only a few analyze the problem with objective and supportive data. One such study is that of Pickett, the order librarian of the San Francisco State College library on the ef-

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iciency of purchasing books from local bookstores. After making regular weekly visits to five selected bookstores for fifteen weeks, he concluded that it was possible to procure 38 percent of the library's books directly from the local stores and receive books faster than by mailing out orders.<sup>2</sup> In another study Veenstra and Mai of the Purdue University libraries, having compared the average discount rates and delivery times of publishers and wholesalers for a period of one year, report that ordering books from publishers was more favorable, both in discount rate and delivery time, for their libraries which procured books mainly on science and technology.<sup>3</sup>

The findings of Pickett and of Veenstra and Mai are both valuable to librarians although, as the authors note, the former is useful primarily to college libraries located in metropolitan areas, and the latter to libraries which buy heavily in technical literature. In this study the investigator, considering college and university libraries in general, attempts to evaluate and discuss the efficiencies of different suppliers for general trade publishers' books which are not highly specialized or technical. Purchases of this kind probably comprise the major portion of many university and most college libraries.

### *Procedure*

The study was designed and conducted at the Indiana State University libraries during the spring semester and summer of 1973. From the purchase requests received from academic and library departments, requests calling for five copies of a title were sorted and collected. Because Indiana State University has grown from a teachers college still offering a strong curriculum and heavy enrollment in the field of education, most titles collected were from the School of Education. From these were eliminated publications of nontrade publishers, such as the Association for Supervision and Curriculum Development, foreign publications, and out-of-print titles not listed in the current issues of *Books in Print*, *Forthcoming Books*, or in the latest publishers' catalogs.

The remaining thirty-two titles selected as the sample for the study were in-print titles, mostly in the field of education, of twenty different U.S. publishers. Table 1 shows the titles represented in the sample. Five copies of each of the thirty-two titles, comprising 160 orders, were prepared on the Indiana State University libraries purchase order forms, and, on Friday, 18 May 1973, all orders were mailed simultaneously to four different wholesalers and to the publishers of the titles.<sup>4</sup> Each wholesaler received one order for each of the thirty-two titles, and twenty different publishers received orders for one copy each of one or more of their own publications.

All four wholesalers included in the investigation had been supplying books to the library for more than two years, and their performance had been considered generally satisfactory. Two of them, Richard Abel and Company and the Baker & Taylor Company, are nationally well-known wholesalers, both having several branch offices throughout the

TABLE I  
TITLES REPRESENTED IN SAMPLE

No.	Author	Title	Publisher	Date
1	Blank, Marion	<i>Teaching-Learning in the Preschool</i>	C. E. Merrill	1973
2	Borton, Terry	<i>Reach, Touch, and Teach</i>	McGraw-Hill	1970
3	Brubaker, Dale	<i>The Teacher as a Decision Maker</i>	W. C. Brown	1970
4	Clark, Leonard	<i>Strategies and Tactics in Secondary School Teaching</i>	Macmillan	1968
5	Cleaver, Eldridge	<i>Soul on Ice</i>	McGraw-Hill	1968
6	Dawson, Helaine	<i>On the Outskirts of Hope</i>	McGraw-Hill	1968
7	Dempsey, Richard	<i>Differentiated Staffing</i>	Prentice	1972
8	ESTP	<i>Toward Humanistic Education</i>	Praeger	1970
9	Friedenberg, Edgar	<i>The Vanishing Adolescent</i>	Beacon	1964
10	Glasser, William	<i>Schools without Failure</i>	Harper	1969
11	Goldman, Leo	<i>Using Tests in Counseling, 2d edition</i>	Appleton	1971
12	Greenberg, Herbert	<i>Teaching with Feeling</i>	Pegasus	1969
13	Griffith, LeRoy	<i>Secondary Education Today</i>	McKay	1967
14	Heidmann, Mary	<i>The Slow Learner in the Primary Grades</i>	C. E. Merrill	1973
15	Hill, George	<i>Management and Improvement of Guidance</i>	Appleton	1965
16	Holt, John	<i>How Children Fail</i>	Pitman	1964
17	Holt, John	<i>How Children Learn</i>	Dell	1972
18	Hoover, Kenneth	<i>Readings on Learning and Teaching in the Secondary School</i>	Allyn	1971
19	Keene, Melvin	<i>Beginning Secondary School Teacher's Guide</i>	Harper	1969
20	Kohl, Herbert	<i>The Open Classroom</i>	Random	1970
21	Kozol, Jonathan	<i>Death at an Early Age</i>	Houghton	1967
22	Little, Malcolm	<i>Autobiography of Malcolm X</i>	Grove	1965
23	Lutz, Frank	<i>Toward Improved Urban Education</i>	Charles Jones	1970
24	Meacham, Merle	<i>Changing Classroom Behavior</i>	Intext	1969
25	Ornstein, Allan	<i>Urban Education</i>	C. E. Merrill	1972
26	Rothney, John	<i>Adaptive Counseling in Schools</i>	Prentice	1972
27	Sarason, Seymour	<i>The Culture of the School and the Problem of Change</i>	Allyn	1971
28	Silberman, Melvin	<i>The Experience of Schooling</i>	Holt	1971
29	Smith, Frederick	<i>Secondary Schools Today, 2d edition</i>	Houghton	1969
30	Strom, Robert	<i>The Inner-City Classroom</i>	C. E. Merrill	1966
31	Wick, John	<i>Evaluation for Decision Making in the Schools</i>	Houghton	1971
32	Woock, Roger	<i>Education and the Urban Crisis</i>	Intext	1970

country and maintaining inventories of more than 100,000 titles in their warehouses.<sup>5</sup> John Coutts Library Services and Midwest Library Service are much smaller in size and are each operated from one location, keeping stocks of 10,000 titles or less as their inventories.

When the ordered books were received by the library, the date received, quoted list price, quoted discount rate, service charge and postage if any, and cost price (total charge to the library) were recorded. The number of days each title had been outstanding by each supplier and the percentage of cost price against list price were calculated from these data. Recording of the data continued for thirteen weeks. At the end of this time more than 96 percent of all the ordered titles had been received, and on the first day of the fourteenth week, the collection of data was terminated, assuming unreceived items represented problems.

### *Results*

Books began to arrive during the middle of the second week after placement of orders. The earliest receipts were from publishers; 87.5 percent of the books ordered from publishers were received in the second and third week. Shipments from the wholesalers began to arrive during the third week and continued steadily for seven weeks; 88.3 percent of the orders were received by the end of the ninth week, and declined appreciably from the tenth week. Table 2 shows the results of orders placed with publishers. Data included for each title are: (1) date the material was received, (2) number of days the order had been outstanding, (3) quoted list price, (4) quoted discount rate, (5) additional charges such as postage, handling charge, or service charge, (6) cost price, or total charge to the library (calculated by subtracting the amount of quoted discount from the list price and adding any additional charges), and (7) the percentage of cost price against its list price. Table 3 through Table 6 record similar information formulated for Abel, Baker & Taylor, John Coutts Library Services, and Midwest Library Service, respectively.

When the sum of postage or handling charge was given for a shipment of more than one book, the amount of the charge was divided by the number of items in the shipment in order to determine the amount of charge for each title. Publishers achieved 100 percent delivery of titles before the end of the study period; wholesalers achieved virtually complete coverage, with two (Abel and Coutts) providing all but one title and two (Baker & Taylor and Midwest) providing all but two titles.

### *Discussion*

*Length of Delivery Time.* The average delivery time for publishers was much shorter than for wholesalers. No wholesaler's service was comparable to the publishers' in terms of promptness in supplying books. The average delivery time for publishers, 18.2 days, was less than half the average for all wholesalers, 39.6 days. Even the best wholesaler in terms of delivery time required an average of 31.5 days. When books are

TABLE 2  
RESULTS OF ORDERS PLACED WITH PUBLISHERS

Author/ Title*	Date Received	Number of Days	List Price	Quoted Discount Rate	Addi- tional Charge	Cost Price	Percentage (Cost to List Price)
1	5-29-73	11	4.95	10	.10	4.55	91.9
2	5-31-73	13	6.40	20	.14	5.26	82.2
3	6-4-73	17	3.50	0	.50	4.00	114.3
4	6-4-73	17	5.25	10	.21	4.94	94.1
5	5-31-73	13	6.50	20	.14	5.34	82.2
6	5-31-73	13	8.50	20	.14	6.94	81.7
7	6-4-73	17	8.95	10	.14	8.20	91.6
8	7-2-73	45	7.00	0	.36	7.36	105.1
9	6-6-73	19	3.95	20	.14	3.30	83.5
10	6-4-73	17	4.95	30	0	3.46	70.0
11	6-4-73	17	10.50	10	0	9.45	90.0
12	5-30-73	12	2.25	10	.14	2.16	96.0
13	6-4-73	17	4.50	20	.22	3.82	84.9
14	5-29-73	11	3.50	10	.10	3.25	92.9
15	6-4-73	17	10.50	10	0	9.45	90.0
16	6-4-73	17	4.95	10	.30	4.76	96.2
17	6-4-73	17	.95	40	0	.57	60.0
18	6-4-73	17	6.95	10	.50	6.75	97.1
19	6-4-73	17	5.95	30	0	4.16	70.0
20	6-4-73	17	4.95	0	.69	5.64	113.9
21	6-6-73	19	5.95	33.3	.21	4.18	70.3
22	6-6-73	19	7.50	0	.83	8.33	111.1
23	6-12-73	25	7.95	10	.56	7.71	97.0
24	6-25-73	38	3.50	0	.25	3.75	107.1
25	5-29-73	11	3.50	10	.10	3.25	92.9
26	6-4-73	17	6.95	10	.14	6.40	92.1
27	6-4-73	17	8.95	10	.50	8.55	95.5
28	6-7-73	20	5.00	10	.21	4.71	94.2
29	5-31-73	13	5.95	20	.24	5.00	84.0
30	5-29-73	11	5.75	10	.10	5.27	91.7
31	5-31-73	13	5.25	20	.24	4.44	84.6
32	6-25-73	38	3.95	0	.25	4.20	106.3
Total			185.15			169.15	
Average		18.2					91.4

\* Refer to Table 1 for full author/title information. Numbers in this column correspond to "Number" column in Table 1.

TABLE 3  
RESULTS OF ORDERS PLACED WITH RICHARD ABEL AND CO.

Author/ Title*	Date Received	Number of Days	List Price	Quoted Discount Rate	Addi- tional Charge	Cost Price	Percentage (Cost to List Price)
1	7-5-73	48	4.95	14	1.65	5.91	119.4
2	7-5-73	48	6.95	40	1.65	5.82	83.7
3	7-5-73	48	3.50	14	1.65	4.66	133.1
4	7-5-73	48	5.25	14	1.65	6.16	117.3
5	7-5-73	48	6.50	40	1.65	5.55	85.4
6	8-10-73	84	8.50	40	1.65	6.75	79.4
7	8-10-73	84	8.95	22	1.65	8.63	96.4
8	6-22-73	35	7.00	27	1.65	6.76	96.6
9	7-20-73	63	3.95	44	1.65	3.86	97.7
10	7-20-73	63	4.95	41	1.65	4.57	92.3
11	6-22-73	35	10.50	27	2.15	9.81	93.4
12	7-5-73	48	2.25	14	1.65	3.58	159.1
13	7-5-73	48	3.50	37	1.65	3.85	110.0
14	7-5-73	48	5.95	14	1.65	6.77	113.8
15	7-5-73	48	10.50	14	2.15	11.18	106.5
16	7-20-73	63	4.95	27	1.65	5.26	106.3
17	7-5-73	48	.95	34	1.65	2.28	240.0
18	6-22-73	35	6.95	14	1.65	7.63	109.8
19	7-20-73	63	4.25	14	1.65	5.30	124.7
20	7-5-73	48	4.95	40	1.65	4.62	93.3
21	7-5-73	48	5.95	40	1.65	5.22	87.7
22	6-22-73	35	7.50	40	1.65	6.15	82.0
23	7-20-73	63	8.95	14	1.65	9.35	104.5
24	8-10-73	84	3.50	14	1.65	4.66	133.1
25							
26	6-22-73	35	6.95	24	1.65	6.93	99.7
27	6-22-73	35	8.95	14	1.65	9.35	104.5
28	7-20-73	63	5.00	14	1.65	5.95	119.0
29	7-5-73	48	5.95	14	1.65	6.77	113.8
30	7-5-73	48	5.75	14	1.65	6.59	114.6
31	7-5-73	48	5.25	14	1.65	6.16	117.3
32	8-10-73	84	3.95	14	1.65	5.05	127.8
Total			182.95			191.13	
Average		53.0					104.5

\* Refer to Table 1 for full author/title information. Numbers in this column correspond to "Number" column in Table 1.

TABLE 4  
RESULTS OF ORDERS PLACED WITH BAKER & TAYLOR

Author/ Title*	Date Received	Number of Days	List Price	Quoted Discount Rate	Addi- tional Charge	Cost Price	Percentage (Cost to List Price)
1	6-29-73	42	4.95	10	.15	4.61	93.1
2	6-8-73	21	5.95	30	.10	4.27	71.8
3	6-8-73	21	3.50	0	.10	3.60	102.9
4							
5	6-8-73	21	6.50	30	.10	4.65	71.5
6	6-8-73	21	8.50	30	.10	6.05	71.2
7	6-8-73	21	8.95	10	.10	8.16	91.2
8	6-20-73	33	7.00	10	.12	6.42	91.7
9	7-12-73	55	3.95	30	.12	2.89	73.2
10	6-8-73	21	4.95	30	.10	3.57	72.1
11	6-8-73	21	9.95	10	.10	9.06	91.1
12	6-8-73	21	2.25	10	.10	2.13	94.7
13							
14	7-23-73	66	3.50	10	.14	3.29	94.0
15	7-9-73	52	10.50	10	.15	9.60	91.4
16	6-8-73	21	4.95	30	.10	3.57	72.1
17	6-8-73	21	.95	10	.10	.96	101.1
18	7-23-73	66	6.95	10	.14	6.39	91.9
19	7-12-73	55	4.25	10	.12	3.95	92.9
20	6-8-73	21	4.95	30	.10	3.57	72.1
21	6-8-73	21	5.95	30	.10	4.27	71.8
22	6-8-73	21	7.50	30	.10	5.35	71.3
23	6-8-73	21	7.95	0	.10	8.05	101.3
24	6-8-73	21	3.50	10	.10	3.25	92.9
25	6-8-73	21	3.50	10	.10	3.25	92.9
26	6-8-73	21	6.95	10	.10	6.36	91.5
27	6-8-73	21	8.95	10	.10	8.16	91.2
28	6-8-73	21	5.00	10	.10	4.60	92.0
29	7-27-73	70	5.95	10	.16	5.52	92.8
30	6-8-73	21	5.75	10	.10	5.28	91.8
31	6-8-73	21	5.25	10	.10	4.83	92.0
32	7-23-73	66	3.95	10	.14	3.70	93.7
Total			172.70			149.36	
Average		31.5					86.5

\* Refer to Table I for full author/title information. Numbers in this column correspond to "Number" column in Table I.

TABLE 5  
RESULTS OF ORDERS PLACED WITH JOHN COUTTS LIBRARY SERVICES

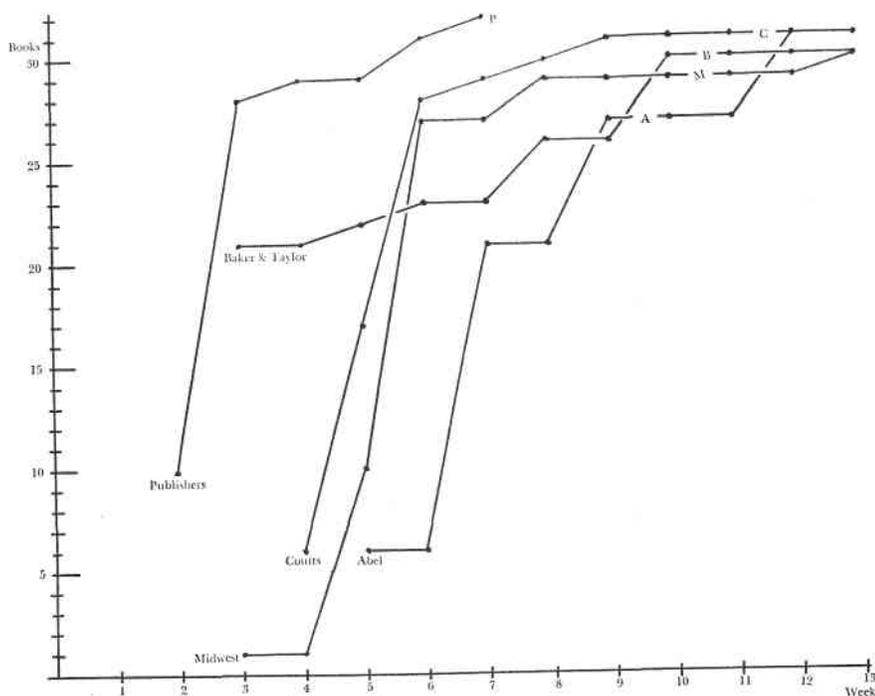
Author/ Title*	Date Received	Number of Days	List Price	Quoted Discount Rate	Addi- tional Charge	Cost Price	Percentage (Cost to List Price)
1	6-26-73	39	4.95	10	0	4.45	90.0
2	6-12-73	25	6.95	10	0	6.25	90.0
3	6-19-73	32	3.50	10	0	3.15	90.0
4	6-19-73	32	5.25	10	0	4.72	90.0
5	6-12-73	25	6.50	10	0	5.85	90.0
6	6-12-73	25	8.50	10	0	7.65	90.0
7							
8	7-19-73	62	7.25	10	0	6.52	90.0
9	6-26-73	39	3.95	10	0	3.55	90.0
10	6-19-73	32	4.95	10	0	4.45	90.0
11	6-12-73	25	10.50	10	0	9.45	90.0
12	7-13-73	56	2.50	0	0	2.50	100.0
13	6-26-73	39	4.50	10	0	4.05	90.0
14	6-26-73	39	5.95	10	0	5.35	90.0
15	6-12-73	25	10.50	10	0	9.45	90.0
16	6-12-73	25	4.95	10	0	4.45	90.0
17	6-26-73	39	1.00	0	0	1.00	100.0
18	6-26-73	39	6.95	10	0	6.25	90.0
19	6-19-73	32	5.95	10	0	5.35	90.0
20	6-19-73	32	4.95	10	0	4.45	90.0
21	6-19-73	32	5.95	10	0	5.35	90.0
22	6-19-73	32	1.50	10	0	1.35	90.0
23	7-2-73	45	8.95	10	0	8.05	90.0
24	6-26-73	39	3.50	10	0	3.15	90.0
25	6-26-73	39	3.50	10	0	3.15	90.0
26	6-19-73	32	6.95	10	0	6.25	90.0
27	6-26-73	39	8.95	10	0	8.05	90.0
28	6-18-73	31	5.00	10	0	4.50	90.0
29	6-19-73	32	5.95	10	0	5.35	90.0
30	6-26-73	39	5.75	10	0	5.17	90.0
31	6-19-73	32	5.25	10	0	4.72	90.0
32	6-26-73	39	3.95	10	0	3.55	90.0
Total			174.75			157.53	
Average		35.3					90.1

\* Refer to Table 1 for full author/title information. Numbers in this column correspond to "Number" column in Table 1.

TABLE 6  
RESULTS OF ORDERS PLACED WITH MIDWEST LIBRARY SERVICE

Author/ Title*	Date Received	Number of Days	List Price	Quoted Discount Rate	Addi- tional Charge	Cost Price	Percentage (Cost to List Price)
1	6-18-73	31	4.95	5	0	4.70	95.0
2	6-25-73	38	4.25	10	0	3.82	90.0
3	6-25-73	38	3.50	5	0	3.32	95.0
4	6-29-73	42	5.25	10	0	4.72	90.0
5	6-25-73	38	5.95	30	0	4.16	70.0
6	6-25-73	38	8.50	10	0	7.65	90.0
7	7-12-73	55	8.95	10	0	8.05	90.0
8							
9	6-29-73	42	3.95	30	0	2.76	70.0
10	6-18-73	31	4.95	30	0	3.46	70.0
11	6-25-73	38	10.50	5	0	9.97	95.0
12	6-25-73	38	2.25	10	0	2.02	90.0
13							
14	6-18-73	31	3.50	5	0	3.32	95.0
15	6-25-73	38	9.95	5	0	9.45	95.0
16	6-25-73	38	4.95	10	0	4.45	90.0
17	6-25-73	38	.95	10	0	.85	90.0
18	6-25-73	38	6.95	10	0	6.25	90.0
19	6-18-73	31	5.95	10	0	5.35	90.0
20	6-25-73	38	4.95	10	0	4.45	90.0
21	6-6-73	19	5.95	10	0	5.35	90.0
22	6-25-73	38	7.50	30	0	5.25	70.0
23	6-25-73	38	8.95	10	0	8.05	90.0
24	6-25-73	38	3.50	5	0	3.32	95.0
25	6-18-73	31	3.50	5	0	3.32	95.0
26	7-12-73	55	6.95	10	0	6.25	90.0
27	8-17-73	91	8.95	10	0	8.05	90.0
28	6-18-73	31	5.00	10	0	4.50	90.0
29	6-18-73	31	5.95	10	0	5.35	90.0
30	6-18-73	31	2.95	5	0	2.80	95.0
31	6-18-73	31	5.25	10	0	4.72	90.0
32	6-25-73	38	3.95	5	0	3.75	95.0
Total			168.60			149.46	
Average		38.4					88.6

\* Refer to Table 1 for full author/title information. Numbers in this column correspond to "Number" column in Table 1.



**Figure 1**  
Cumulative Number of Books Received, by Week

needed as soon as possible, therefore, it is usually better to place orders directly with publishers, from whom librarians can expect materials within two or three weeks, unless they are out of stock or require a special ordering procedure.

The length of delivery time varied considerably among wholesalers. The longest (Abel, 53.0 days) was 1.7 times as long as the shortest (Baker & Taylor, 31.5 days). Baker & Taylor, which carried a large inventory of titles, made the quickest delivery among the four. Yet the delivery time cannot be predicted simply by the size of the wholesaler. The delivery times of Coutts, 35.3 days, and of Midwest, 38.4 days, were longer than that of Baker & Taylor by less than a week. Abel, another relatively large wholesaler, lagged behind Baker & Taylor by more than three weeks.

A careful comparison of delivery times of the four wholesalers reveals further interesting information. Figure 1 shows the total number of books each supplier had supplied at the end of each week. Baker & Taylor, a large wholesaler, was able to supply twenty-one titles (approximately 66 percent) immediately from its warehouse. However, the titles

not in stock were quite slow in arriving, and more than seven weeks were required to fill 75 percent of the orders. The length of this process was probably due to a certain extent to the wholesaler's practice of cumulating orders. On the other hand, the smaller wholesalers, Coutts and Midwest, evidently were able to make only negligible shipments from their stocks (three percent in the case of Midwest and zero percent in the case of Coutts being supplied immediately). Yet, apparently, they placed their orders to the publishers without delay and shipped books to the library as they were received from the publishers. This prompt response made the total number of filled orders exceed that of large Baker & Taylor after the fifth week. By the end of the sixth week, they had supplied more than 84 percent of the orders. This practice of the two small wholesalers is obvious when their supply curves are compared with the publishers' curve. The curves are similar in shape; the difference is that the small wholesalers' peaks occur two to three weeks after the publishers.

The reaction of Abel, a relatively large wholesaler, was rather slow. The first shipment of six books (19 percent of the orders) arrived in the fifth week, probably from the stock of the branch office. After another two weeks, fifteen more titles were received (possibly from the stock of the main warehouse), making the total shipment by the end of the eighth week only 66 percent. Abel then began to supply the non-stock titles but approached other suppliers' accomplishments only in the twelfth week.

These findings suggest the necessity of reviewing traditional beliefs regarding choice of a wholesaler. In speaking of wholesaler service, Ford states: "Clearly, without a stock he cannot give adequate service," and suggests use of a wholesaler who has "a stock of new books appropriate to the needs of the library."<sup>6</sup> Certainly, if most titles ordered are in high demand, it is probable that these will be titles usually stocked by a large wholesaler, and a library can expect prompt shipments from a large wholesaler. In view of the varying needs of college and university libraries, however, it is obvious that no wholesaler can keep most of the titles required by academic libraries. In the case of normally nonstocked titles, the use of carefully selected small wholesalers, who work with tortoiselike diligence, may prove effective.

*Cost to the Library.* The total cost of the thirty-two titles as ordered from publishers was \$169.15. At a total list price of \$181.15, this represents an actual discount of 8.6 percent.<sup>7</sup> However, the diversity in the pricing policies of publishers should be noted. Several publishers provided discounts to the library similar to those of the wholesalers, with or without the small cost of postage. One publisher supplied a book at 40 percent discount with no additional charge. On the other hand, other publishers gave lower discounts or no discount at all for their books and added some additional charges. For example, one publisher allowed no discount for one of its publications (with a list price of \$7.50) and added a \$.50 handling charge plus \$.33 postage. The total cost to the li-

brary, \$8.33, was 111 percent of the list price. The same title was received at a 30 percent actual discount from Midwest and at a 28.7 percent actual discount from Baker & Taylor.

Contrary to expectations, the actual discount rates of the wholesalers included in the study were higher than the average of the publishers, with one exception. The cost price of Baker & Taylor averaged 86.5 percent of the list price, showing an average actual discount of 13.5 percent, 4.9 percent more than that offered by publishers. The discount rates of Midwest and Coutts were also higher than the publishers by 2.8 percent and 1.3 percent, respectively. The average price of Abel was the exception to this general trend. The total cost price, \$191.13, was 104.5 percent of the total list price of \$182.95. The library received no actual discount; rather it paid a 4.5 percent surcharge over the list price. The high cost of Abel is due to its unique pricing policy which was introduced in 1973. This system extends to libraries the substantial discount which they have received from the publishers, but adds \$1.65 service charge for titles up to \$10 and \$2.15 for books over \$10. Under this pricing scheme, the libraries receive no actual discount, but rather pay a surcharge for low priced and short discount titles. A favorable discount can be expected for high priced and long discount items.<sup>8</sup>

When the efficiency of a book supplier is considered in terms of the price charged to the libraries, it can be said that dealing with a well-selected wholesaler, or wholesalers, is generally more favorable than dealing with publishers. Some publishers solicit direct orders from libraries and provide the same discounts to libraries as they do to wholesalers. But more publishers usually give lower discount to libraries ordering only one or two copies of a title.<sup>9</sup> The result here is somewhat different from that found earlier by Veenstra and Mai. These findings, however, are not necessarily contradictory, because the present study concentrates on books by major publishers in the social sciences, whereas the Veenstra and Mai study included mainly scientific and technical books. But since there are big differences in pricing policies among wholesalers, the advantage of dealing with wholesalers is possible only when the librarian carefully selects the wholesalers after a comparison of objective data. Also, as the policies of wholesalers and publishers change occasionally, their performances have to be reviewed periodically.

*Efficiency of a Supplier.* In order to evaluate the efficiency of a supplier, it is necessary to measure his performance by securing objective data, to be compared with those for other suppliers. A method such as the one used in this study can provide such data. When there are not enough multiple copy orders, a randomly selected large number of titles divided into several groups can be used as substitute. However, as has been discussed, usually no one supplier is best in every respect. If the primary objective is early receipt of books, orders should be placed with publishers; if the primary objective is high discounts, orders should be placed with a well-selected wholesaler.

The problem is to consider both the discount rate and the delivery time in connection with the relative importance of these factors to a particular library in a particular situation. The findings of this study indicate that a librarian ordering books in June for the fall semester, will receive most books in time, regardless of the supplier used. Here the time factor is less important than the discount rate. A librarian placing orders for the general collection would like to receive a substantial discount; but if he can receive the shipment several weeks early, then he may ignore a negligible discount. In another situation, a librarian who is ordering books which are urgently needed for reserve at a request of an instructor must consider the promptness factor to be more important than the discount rate. The following formula can be used to compare the two factors simultaneously in different situations and consider the total efficiency of a supplier:

$$REV = \left( AAD \times BI \right) + \left( \frac{1}{ADT} \times UI \times 100 \right)$$

where: *REV* is relative efficiency value; *AAD* is average actual discount; *BI* is budget index, or importance of discount index; *ADT* is average delivery time, or average number of days the orders had been outstanding; and *UI* is urgency index.<sup>10</sup>

The relative efficiency value in this formula represents the sum of two variables: (1) the efficiency factor of the discount rate, which increases proportionally as the rate of discount increases; and (2) the efficiency factor of the length of delivery time which is inversely proportional to the length of time required for delivery. In order to reflect the importance of delivery time and discount rate, the discount rate is multiplied by budget index (*BI*) and delivery time by urgency index (*UI*).

The numerical value of the urgency index increases as the importance of promptness of the material by the library increases. It is determined comparatively and set as follows: *UI* = 0, for orders for which the receiving date is not important, and the books will not be needed within two months; *UI* = 1, for routine book orders for the general collection; *UI* = 2, for orders where time is important; and *UI* = 3, for urgently needed rush orders for which delivery time is more important than the discount. Similarly, the value of the budget index increases as the discount rate becomes more important for the library. *BI* = 1 can be used in the normal budget situation; but *BI* = 2 should be used when the library budget is limited and discount rate is more important than the delivery time. *BI* = 0 is to be used when discount rate is not a consideration in comparison to other factors.

For example, if the data in the present study are applied to this formula, assuming the orders were general regular orders in a routine budget situation, the following *REV* for each supplier can be obtained:

$$REV_{(Publishers)} = \left( 8.6 \times 1 \right) + \left( \frac{1}{18.2} \times 1 \times 100 \right) = 14.1$$

$$REV_{(\text{Abel})} = \left( -4.5 \times 1 \right) + \left( \frac{1}{53.0} \times 1 \times 100 \right) = -2.6$$

$$REV_{(\text{Baker and Taylor})} = \left( 13.5 \times 1 \right) + \left( \frac{1}{31.5} \times 1 \times 100 \right) = 16.7$$

$$REV_{(\text{Coutts})} = \left( 9.9 \times 1 \right) + \left( \frac{1}{35.3} \times 1 \times 100 \right) = 12.7$$

$$REV_{(\text{Midwest})} = \left( 11.4 \times 1 \right) + \left( \frac{1}{38.4} \times 1 \times 100 \right) = 14.0$$

These *REV* values indicate that in considering the discount and delivery time simultaneously, the service of Baker & Taylor is the most favorable. Direct orders with publishers come next, followed, in order, by the services of Midwest, Coutts, and Abel.

Supposing the orders are "rush," where delivery time is more important, the *REV* for each supplier changes and indicates that sending orders to publishers is preferable. The next preference would go on in sequence to Baker & Taylor, Midwest, Coutts, and Abel. The computations are:

$$REV_{(\text{Publishers})} = \left( 8.6 \times 1 \right) + \left( \frac{1}{18.2} \times 3 \times 100 \right) = 25.1$$

$$REV_{(\text{Abel})} = \left( -4.5 \times 1 \right) + \left( \frac{1}{53.0} \times 3 \times 100 \right) = 1.2$$

$$REV_{(\text{Baker and Taylor})} = \left( 13.5 \times 1 \right) + \left( \frac{1}{31.5} \times 3 \times 100 \right) = 23.1$$

$$REV_{(\text{Coutts})} = \left( 9.9 \times 1 \right) + \left( \frac{1}{35.3} \times 3 \times 100 \right) = 18.3$$

$$REV_{(\text{Midwest})} = \left( 11.4 \times 1 \right) + \left( \frac{1}{38.4} \times 3 \times 100 \right) = 19.2$$

*Other Factors to Be Considered.* In addition to the two major factors of delivery time and discount, other factors which should be considered in determining an accurate efficiency measure of a supplier include the following: staff time required to prepare orders, payment procedure of the library, promptness and accuracy of supplier's reports for unfilled orders, and scope or limitation of supplier's service. An evaluation of these factors requires another carefully designed investigation, beyond the scope of the present study. In contrast to the two major factors dealt with here, the situation and the importance of these other factors vary widely among libraries.

### *Conclusion*

In purchasing general trade publishers' books which are not highly specialized and technical, libraries can generally receive materials more

quickly by ordering directly from publishers than from wholesalers. The length of delivery time varies widely when ordering from wholesalers, and careful thought is required in choosing the wholesaler. When titles are in large demand and are held by a large wholesaler in his inventory, it is efficient to use his service. Yet the efficiency of reliable small wholesalers should not be underestimated. In order to secure quickly books not stocked by a large wholesaler, it is efficient to place orders with a small wholesaler who reacts promptly to library orders.

The average discount rates of many wholesalers are larger than the average rates secured in ordering from publishers, who have diverse pricing policies for libraries: some provide similar discounts to libraries and to wholesalers; others discourage one or two-copy library orders by giving a smaller discount or no discount, and adding postage and handling charges. Librarians should know the policies of individual publishers and use direct orders selectively.

In practice, the two main factors of efficiency—promptness and amount of discount—should be considered simultaneously in selecting suppliers, and a formula such as that suggested here should prove helpful to acquisitions librarians.

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4. Indiana State University library assigns a separate order number for each title and considers it one order.
5. *Literary Market Place: The Directory of American Book Publishing*, (1973-1974 ed.; New York: Bowker, 1973), p.351-57.
6. Stephen Ford, *The Acquisition of Library Materials* (Chicago: American Library Assn., 1973), p.60.
7. Some suppliers provide a certain percent of discount (named "quoted discount" in this study) before adding postage, handling charge, or a service charge. These additional charges actually decrease the quoted discount. "Actual discount" indicates the percentage of actual cost price to the library against its list price.
8. David C. Andresen, "Book Discounts and Cost-Plus Pricing," *Library Resources & Technical Services* 18:248-52 (Summer 1974).
9. By placing orders with publishers selectively, it is possible to purchase some publishers' books more economically. This can be done by maintaining a file of cards for each major publisher and noting the publisher's discount schedule and other special policies.
10. Average Actual Discount can be determined by the formula:

$$\text{Average Actual Discount} = 100 - \frac{\text{Total Cost Price}}{\text{Total List Price}} \times 100$$

# The ALA Duplicates Exchange Union— A Study and Evaluation

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*The American Library Association's Duplicates Exchange Union (DEU) has served American libraries for over three decades. A brief history of the DEU is presented, followed by the results of a questionnaire sent by the author to all DEU members. The questionnaire dealt with all aspects of DEU operation, and the analysis of responses highlights problems in the structure and operation of the union. Discussion of the problem is followed by recommendations for change.*

THE DUPLICATES EXCHANGE UNION (DEU) has been serving American libraries for over three decades, with only slight change in the methods used and continued growth of the membership over the years. Aside from one rather limited cost analysis performed by a single library in 1956, no published analysis of the union has appeared.<sup>1</sup> The present study was undertaken to examine some apparent weaknesses of the system as observed at Keene State College Library, where the author was formerly employed.

## *History of the Duplicates Exchange Union*

The Duplicates Exchange Union was formed in 1940 under the name Periodicals Exchange Union by Neil Van Deusen, then librarian of Fisk University. Following an initial year under his leadership, management of the union was assumed by the Association of College and Reference Libraries (ACRL, now Association of College and Research Libraries) in 1942 with the appointment of a three man committee. When DEU was first formed, a rather complicated routing scheme was devised whereby libraries with the largest periodical budgets received priority in requesting desired items, presumably on the assumption that they would be contributing more titles to the union than smaller libraries. It was not long before complaints arose that some libraries were holding routing sheets too long, causing the system to operate inefficiently. A revised

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system was introduced following the 1942 Annual Conference of the American Library Association, permitting simultaneous requests, but this proved no more successful because of the simultaneous arrival of many lists, the uncertainty of availability of materials, and the extra record keeping.

As a result of responses to a questionnaire sent to all members of the union, the following important changes were made in May 1944: (1) the name was changed to Duplicates Exchange Union, in order to encourage libraries to include all types of materials, not simply periodicals; (2) exchange lists were to be sent to all members simultaneously and request filled in order of receipt; (3) the routing sheet was replaced by a membership list; (4) each library was permitted to issue "want lists"; (5) each member was urged to send out two duplicate lists a year.<sup>2, 3</sup> The major change, of course, involved the change to a membership list and the filling of requests in order of receipt. Virtually no change has occurred in the rules since that time except that libraries are no longer permitted to circulate individual "want lists." Thus the union has changed from a structured system based on wealth to a free-for-all scramble.

### *Procedures of the Survey*

Keene State College of New Hampshire (KSC) joined the union in November 1972. It soon became apparent that the library was receiving a small percentage of items requested from DEU lists, in spite of returning requests on the same day that a list was received. To test the hypotheses that the library was among the last to receive the lists because of the use of third class mailing rates and that member libraries tended to give preference to other institutions in the same region, a questionnaire (see Appendix) was distributed along with our exchange list in April 1973 to all DEU members. Of 399 questionnaires sent, 229 usable responses were received (58 percent). Table 1 presents figures on the geographic distribution of union members and of respondents to the questionnaire. It will be noted that almost half of the union's members (and of the respondents) are located in the central portion of the country (defined as the area composed of the four regions which include the word "central" in their name), another third located on the east coast, and the remainder on the west coast or in Canada. The analysis of the responses is made in terms of the following variables: (1) size of periodicals subscription list, (2) type of library, (3) geographic region, (4) percentage of material received through DEU. Because of the small number of public (eight) and special (fifteen) libraries included in the study, few generalizations relating to their operations or opinions are attempted.

### *Findings*

Of the 228 respondents who identified the type of library, 205 (89.5 percent) are college libraries, 15 (6.6 percent) are special libraries, including hospital libraries, art museum libraries and company libraries,

TABLE I  
GEOGRAPHIC DISTRIBUTION OF DEU MEMBERSHIP (N = 399) AND  
QUESTIONNAIRE RESPONDENTS (N = 229)

Region	DEU Membership		Questionnaire Respondents	
	Number	Percent	Number	Percent
United States*				
Northeast	18	4.5	8	3.5
Middle Atlantic	55	13.8	34	14.8
South Atlantic	56	14.0	35	15.3
East South Central	32	8.0	17	7.4
East North Central	64	16.1	40	17.5
West North Central	59	14.8	33	14.4
West South Central	32	8.0	21	9.2
Mountain	18	4.5	11	4.8
Pacific	45	11.3	20	8.7
Canada	20	5.0	10	4.4
Total	399	100	229	100

\* States of the United States are defined in regions as follows:

*Northeast:* Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont.

*Middle Atlantic:* Pennsylvania, New Jersey, and New York.

*South Atlantic:* Delaware, Florida, Georgia, Maryland, North Carolina, South Carolina, Virginia, and West Virginia.

*East South Central:* Alabama, Kentucky, Mississippi, and Tennessee.

*East North Central:* Illinois, Indiana, Michigan, Ohio, and Wisconsin.

*West North Central:* Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota, and South Dakota.

*West South Central:* Arkansas, Louisiana, Oklahoma, and Texas.

*Mountain:* Arizona, Colorado, Idaho, Montana, Nevada, New Mexico, Utah, and Wyoming.

*Pacific:* Alaska, California, Hawaii, Oregon, and Washington.

and 8 (3.5 percent) are public libraries. One would expect academic libraries to form the majority membership of the DEU, because academic libraries retain and bind periodicals to a much greater extent than public libraries. It would seem, however, that many more medium to large size public libraries, those that do retain several hundred periodical titles, would benefit from membership in DEU. The recruitment of medium to large public libraries to DEU membership might be further explored by the Duplicates Exchange Union Committee of the American Library Association.

*Profile of DEU Membership.* As indicated in Table 2, 120 (52.4 percent) of the respondents have fewer than 600 current subscriptions and 172 (75.1 percent) have fewer than 1,000. Another 45 (19.6 percent) have more than 1,000 current subscriptions. It appears that members of

TABLE 2

APPROXIMATE NUMBER OF SUBSCRIPTIONS PER LIBRARY\* (N = 229)

Approximate Number of Subscriptions	Library	
	Number	Percent
1-300	42	18.3
301-600	78	34.1
601-1,000	52	22.7
Over 1,000	45	19.6
No response	12	5.3
Total	229	100

\* Responses to question 1 (cf. Appendix).

the DEU are for the most part small libraries, with only a few very large institutions. This is not surprising, as it is well known that the larger institutions tend to favor membership in the United States Book Exchange (USBE) rather than the DEU, as more direct and more comprehensive service is offered by the former. The \$25.00 membership fee for the USBE can also be more easily accepted by the large institutions.

Of the 223 respondents who answered a question concerning membership in USBE, 65 (29.1 percent) are members, and 158 (71.9 percent) are not members. This low percentage is probably not unusual when it is remembered that three-quarters of the respondents maintain less than 1,000 current subscriptions. The USBE is generally more valuable to larger libraries, because of their greater stock of esoteric titles, titles published abroad, foreign language titles, and other specialized services. Further, membership in the USBE brings explicit costs to members: a \$25.00 annual fee and a charge per item of at least \$.75. Dual membership in DEU and USBE presents some interesting patterns. Of the 65 libraries holding dual membership, 61 are college libraries (29.8 percent of the responding college libraries), 4 are special libraries (28.6 percent), and none are public libraries. Holding membership is directly related to the number of subscriptions maintained, with the percentage of libraries with dual membership climbing steadily from 14.3 percent (the smallest group) to 100 percent (the largest group). Geographic location does not appear to be a factor in this dual membership group except for the East South Central group, where dual membership is at the lowest. Percentage of requested material received through the DEU also is not a factor in dual membership.

Only six (2.6 percent) of the respondents reported dual membership in the DEU and the Medical Library Association (MLA) exchange. The MLA exchange, which deals almost exclusively with medical and scientific materials, also charges a \$25.00 annual membership fee, although there are no charges for items received, except postage. The fee and the

TABLE 3  
LIBRARY ESTIMATION OF USEFULNESS OF EXCHANGE  
LISTS FOR ITEMS WANTED\* (N = 229)

Percentage of Lists Found Useful	Library	
	Number	Percent
10 percent	29	12.7
20 percent	12	5.2
30 percent	24	10.5
40 percent	23	10.0
50 percent	19	8.3
60 percent	9	3.9
70 percent	30	13.1
80 percent	27	11.8
90 percent	47	20.5
100 percent	4	1.7
No response	5	2.3
Total	229	100

\* Responses to question 5 (cf Appendix).

type of material handled are probably the prime reasons for low dual membership.

*Evaluation of DEU Services.* Libraries were requested to estimate what percentage of lists received included needed items (cf. Table 3). Size of periodicals holdings did not appear to influence the responses received. The five geographic regions finding needed items on the most lists are, in decreasing order, West South Central, East North Central, East South Central, West North Central, and Pacific. Thus, the central portion of the United States, in which the majority of present DEU members is located, finds needed items on more lists than other areas. In terms of percentage of requested material received, those DEU members who receive over 50 percent of requested items are the same group that finds needed items on more lists; conversely, those that receive less than 40 percent of requested items are those who also find needed items on fewer lists than others.

Table 4 presents the librarians' estimates of the number of items requested on average from a list: 22.7 percent request four or less, 48.5 percent request eight or less, and 70.8 percent request twelve or less. By geographic region, the following five areas, in decreasing order, requested more items per list than the others: East South Central, West South Central, East North Central, South Atlantic, and Pacific. In addition, those with larger collections (i.e., a larger number of periodical subscriptions) requested more items per list than those with smaller collections—a not surprising result. Further, there appears to be a relationship between asking for more items and receiving a higher percentage of

TABLE 4  
LIBRARY ESTIMATION OF NUMBER OF ITEMS  
REQUESTED PER LIST\* (N = 229)

Number of Requests	Library	
	Number	Percent
1	6	2.6
2-4	46	20.1
5-8	59	25.8
9-12	51	22.3
13-18	17	7.4
19-25	11	4.8
26-35	4	1.7
36-45	1	.4
46+	11	4.8
No response	23	10.1
Total	229	100

\* Responses to question 6 (cf Appendix).

items requested. Those who receive 50 percent or more of material requested are also likely to ask for more items per list than those who receive less than 50 percent. This relationship may be suspect, however, because the members in the central portion of the United States (East South Central, East North Central, West North Central, and West South Central) ask for many items per list and receive a high percentage of them, perhaps as a result of geographic proximity.

When requested to estimate the percentage of requested items that were received, 61.6 percent of the respondents estimated that they receive less than 30 percent of requested items, and 87.4 percent estimated less than 50 percent (Table 5). The smaller the number of current subscriptions, the greater the percentage of requested material received, even though smaller libraries tend to request fewer items. The questionnaire findings show that the libraries in the central portion of the United States are on the average smaller than the libraries in other sections of the country, more numerous in DEU membership, and request the most items per list. It appears, thus, that there is a group of small libraries, located in a specific geographic region, that requests many items and receives a high percentage of their requests. Once again, the same five geographic regions—East North Central, Pacific, West North Central, West South Central, and East South Central—appear in descending order. The differences between these five regions and the other five are so striking that one must conclude that geographic location affects the results which a library can expect from DEU.

In reply to a question concerning the value of DEU, twenty-four (10.5 percent of all respondents) stated that the use of DEU resulted in a financial loss. Although a fairly small number, the group presents

TABLE 5  
LIBRARY ESTIMATION OF PERCENTAGE OF REQUESTED  
ITEMS THAT ARE RECEIVED\* (N = 229)

Percentage of Requested Items Received	Library	
	Number	Percent
10	53	23.1
20	40	17.5
30	48	21.0
40	37	16.2
50	22	9.6
60	9	3.9
70	5	2.2
80	6	2.6
90	—	—
100	1	.4
No Response	8	3.5
Total	229	100

\* Responses to question 7 (cf. Appendix).

some interesting and significant characteristics. The feeling that the use of DEU entails a financial loss is directly related to two factors: geographic location and percentage of requested material that is received. The farther from the central portion of the country, the section in which over 48 percent of the respondents is located, the greater the feeling that use of DEU results in financial loss. Further, as would be expected, those libraries that receive less than 40 percent of material requested express a negative opinion much more often than those who receive over 50 percent of requested material. Number of current subscriptions received and type of library do not appear to be factors in producing negative responses.

Table 6 summarizes the responses to a question requesting evaluation of the usefulness of DEU on a four point scale. In this discussion those who responded with either "very useful" or "useful" were considered to be making a positive response, and those who replied "of some use" or "useless" were considered to be making a negative response. It will be noted that the negative response of 16.6 percent represents a higher percentage than in the case of those who felt that the DEU caused a financial loss to their libraries. Again, although not as sharply as in the question dealing with financial loss, there appears to be a connection between negative responses to the DEU and geographic location and percentage of requested material received. In general, those located outside the central portion of the country and those who receive less than 40 percent of requested items show a much higher negative response to the DEU. Breakdown by type of library reveals that 20 percent of special libraries

TABLE 6  
LIBRARY EVALUATION OF USEFULNESS OF DEU\* (N = 229)

Evaluation	Library	
	Number	Percent
Very useful	98	42.8
Useful	93	40.6
Of some use	35	15.3
Useless	3	1.3
Total	229	100

\* Responses to question 9 (cf. Appendix).

express dissatisfaction, along with 17.1 percent of college libraries, but no public libraries express dissatisfaction. Since special libraries receive the highest percentage return of requested items, one could speculate that their unhappiness is based on the content of the lists. Number of current subscriptions does not appear to be a factor in producing dissatisfaction. Taken in conjunction with the answers concerning financial loss, these figures suggest a pattern of dissatisfied libraries that are geographically remote from the main body of membership and receive less from the DEU than others (excepting the special libraries).

*Provision of Services by Members.* To test the hypothesis that DEU members geographically removed from the central portion of the country receive a lower percentage return because of the widespread use of third class mail for the distribution of duplicates lists and the provisions that exchange lists are to be sent simultaneously to all members, with requests to be filled in order of receipt, a question relating to practice in filling requests in order of receipt was asked. A total of sixteen libraries (7 percent of all respondents) stated some variation from the practice of filling requests in order of receipt. Because of the small number of libraries admitting to some variation in this matter, generalizations are probably not appropriate, but it may be noted that 20 percent of Canadian libraries, 14.3 percent of South Atlantic libraries, and 11.8 percent of East South Central Libraries, representing a total of nine of the sixteen libraries, admit to this practice.

Respondents were asked if they ever give preference to a library in the same region as the offering library, regardless of relative order of request. Of 226 responding to the question, forty-one (18.1 percent) replied in the affirmative. (There is no immediately apparent explanation of the discrepancy between this figure and the figure reported above of sixteen libraries which report some variation in the order of filling receipts.) Neither number of periodical subscriptions nor percentage of requested material received correlate with the answers to this question. Again, the most important factor is geographic location, with half of the Canadian libraries and approximately one quarter of those in the

Middle Atlantic region (26.5 percent), the South Atlantic region (25.7 percent), and the East South Central region (23.5 percent) indicating such preference. Analysis by type of library shows a figure of 18.5 percent for college, 13.3 percent for special, and 12.5 percent for public libraries.

To test an impression that fewer titles were received from those libraries from which a large number of items were requested, a question was included concerning the possibility that not all items requested were sent to a single library because a request was considered too large. Only fifteen libraries (6.6 percent) stated that they had sent less than the requested number of items. Thirteen of these were college libraries and two were special; they all had subscription lists of less than 1,500 titles, and no relation with the variable of percentage of material received is apparent. In general, the answer to this problem is not a simple one, with variables of type of material, length of serial runs, size of library to which requests are made, and others to be taken into account.

Ten percent of the respondents claimed to mail lists by first class mail, 44 percent by library rate, and 44 percent by third class rate, but experience at KSC makes the responses to this question suspect. Our experience has been that the great majority of libraries use third class, with a few using library rate and a few using first class. The problem here may be caused by the lack of knowledge of the difference between library rate and third class rate.

*Suggestions for Improvement.* Three questions were included relating to possible improvements in the present system. The first concerned the desirability of continuing to include books and documents in the program. Of 221 respondents, 160 (69.9 percent of all respondents) favored and 61 (26.6 percent) opposed continuation. It must be noted, however, that quite a few replies were received favoring the continuation of only one of these types of publication. Two factors—type of library and percentage of requested items received—seem to affect responses to this question. By type of library, sentiment to drop books and documents from the lists was highest among college libraries (27.3 percent), followed by special libraries (20 percent), and public libraries (12.5 percent). By percentage of requested material received through the DEU, sentiment for dropping books and documents from the lists was highest among those libraries which receive the most material. The only likely explanation is the supposition that perhaps those who receive the least through the DEU feel that if books and documents are deleted they will receive even less than at present. Geographic location and number of current subscriptions do not appear to be factors which affect this choice. Many members suggested that books and documents be distributed on separate lists, as they are checked in a different manner than periodicals.

In anticipation of possible dissatisfaction with the organization of the union, a question was included providing an opportunity to show a preference for division by type, size, or special subject of library. Only

twenty-three (10.7 percent) of the respondents to this question indicated a desire for divisions within DEU, with seven requesting type, one requesting size, six requesting subject, and nine indicating "other" or not specifying kind. Of the five geographic regions that expressed the greatest interest proportionately in division, three—Northeast (25 percent), Pacific (15 percent), and Canada (10 percent)—are likely to be affected by delays in mail delivery. Another, South Atlantic (14.3 percent), receives less through DEU than others. No reason for the relatively high (15.2 percent) interest in West North Central can be suggested. Special libraries (33.3 percent) were most inclined to favor division, followed by public libraries (12.5 percent) and college libraries (8.3 percent). The dissatisfaction of the special libraries group, noted earlier, again is strongly evident. Surprisingly, those libraries which receive more than 50 percent of requested material wanted divisions much more than those libraries which receive less than 40 percent of requested items. This breakdown is slightly suspect, when it is remembered that the special libraries tend to receive a high percentage of requested items. Size did not appear to be a factor in the responses to this question.

In response to an invitation to suggest improvements in DEU operations, the most prevalent answer was that lists of books and documents be separated from those of serials. Other frequent answers suggested (1) that libraries be required to give full citations for serials as stated in the formal requirements and (2) that full capitals be used for titles on book lists, to increase their visibility on the page. Perhaps most important of all, many members in geographically remote areas claimed that lists often arrived after the stated expiration date.

#### *Keene State College Experience*

A report of the experience of Keene State College, which joined DEU in November 1972, may be of interest. In the first ten months of membership, 228 lists of available items were received from 169 different libraries, with a number of libraries providing more than one list and 225 members not providing a single list. Of the lists received, 218 were from college libraries, 6 from public libraries, and 4 from special libraries. Of the 228 lists, there were 162 from which one or more items were requested and 66 which included no items of interest to KSC. Of the 162 lists, 89 yielded one or more items received, 44 yielded none, and in the case of 29 results are uncertain because of recency of request. A total of 2,458 items was requested (an average of 10.8 per list of the 228 lists and 15 per list of the 162 lists) and 870 items (35 percent of items requested) were received (an average of 4.4 per list on the basis of 199 lists and 5.4 per list on the basis of 162 lists). The average period between date of request and receipt of items was twenty days. Postage cost to the library was \$11.45, or \$.013 per piece. Table 7 presents figures on the responses from the several regions.

In April 1973, KSC mailed its duplicates list of 275 titles, including 62 bound volumes and 3,870 unbound pieces. The resulting requests

TABLE 7

SUMMARY OF KEENE STATE COLLEGE ACTIVITY ON 228 EXCHANGE LISTS RECEIVED NOVEMBER 1972-AUGUST 1973

Region	Lists Received			Items Requested			Items Received		
	Number	Percent	Average Number per List	Number	Percent of Requests	Average Number per List	Number	Percent of Requests	Average Number per List
United States									
Northeast	12	5.3	8.8	105	30.5	32	2.7		
Middle Atlantic	32	14.0	11.4	363	43.1	137	4.3		
South Atlantic	32	14.0	6.6	219	44.7	98	3.0		
East South Central	19	8.3	4.3	82	43.9	86	1.8		
East North Central	40	17.5	13.3	530	24.0	127	3.2		
West South Central	20	8.8	11.1	221	20.9	46	2.3		
West North Central	39	17.1	15.3	597	37.8	222	5.7		
Mountain	10	4.4	11.5	115	34.8	40	4.0		
Pacific	17	7.5	12.8	217	58.6	127	7.5		
Canada	7	3.1	1.3	9	55.5	5	0.7		
Total	228	100		2,458		870			

from 184 libraries totaled 6,390 items, ranging from one to 282 items and in most instances being lower than 40, with an average of 34.9 per library. If eleven requests, each for 100 or more items, are eliminated, the average is reduced to 25.1 items per requesting library.

### *Discussion and Recommendations*

Based on the analysis of the responses to the questionnaire and KSC's experience, the following problem areas may be noted: inactive members, regional preference, form of entry, hoarders, special libraries, and geographic spread.

*Inactive Members.* It would appear that a substantial number of member libraries are ignoring the requirement of distributing a duplicates list "at least once a year" in order to maintain membership. Obviously, some libraries are receiving materials from others at no expense to themselves. Exceptions may have to be made, but it is clear that the rule should be enforced, perhaps after a reminder requesting action within three months.

*Regional Preference.* The present study has identified four regions in which approximately one quarter of the libraries give preference to requests received from members in the same region. While recognizing and in no way seeking to discourage the ties of regional identity which exist, one must also recognize the unfairness implicit in permitting many libraries to request items which there is little chance of receiving. A possible solution may be to encourage those libraries which adhere to this practice to circularize those libraries of the region who are *not* members of the DEU before a DEU list is compiled. The present granting of regional preference gives these requesting institutions a double advantage of regional and mailing proximity. Continuing to grant regional preference and the growth of this system within a system could cause the DEU to collapse into five or six regional systems, reducing both the quality and quantity of material now available to all members.

*Form of Entry.* Numerous complaints were received concerning form of entry for books and periodicals. The DEU information folder gives specific instructions for periodical listing form; this form is not followed by a small percentage of the members, which makes checking the lists much more difficult. Perhaps a subcommittee of the DEU or an individual could be appointed as "watch-dog" to inform members when they are not meeting the requirements of membership and, in effect, hurting the other members of the union. It would also be helpful if the form for listing books were standardized and announced through the information folder. It would appear from the suggestions received that book lists should have the title in capital letters and be on separate sheets from periodical lists. If these suggestions were followed and if a symbol were used to identify those libraries *not* wishing these lists, substantial savings could be effected.

*Hoarders.* An analysis of the responses to the KSC list of duplicates available is interesting. The majority of the requests were for specific

items, obviously to replace a missing issue or close a small gap in holdings. However, a substantial minority of the requests were quite obviously from empire builders, who circled huge portions of our list, noting that they wanted "all." The DEU committee may be encouraging this practice in stating that "the DEU does not cover the same field as the U.S. Book Exchange, being geared primarily to the small college or public library which is trying to build up its collection of books and periodicals." With the majority of DEU duplicates lists being mailed third class rate, libraries in the central portion of the country have a significant advantage. For any given list, members in the same region as the offering institution have an advantage. The temptation is great to acquire great numbers of unrelated titles, rather than to select with regard to filling in gaps in an existing collection. As indicated above, only 6.6 percent of the respondents indicate that they are fighting this practice by refusing to honor requests that ask for excessive amounts of material. Such denials are probably even more widespread than indicated here, but no doubt a majority of the members follow the DEU rule which asks that requests be filled in order of receipt. This is a difficult problem, and if the group that practices this method of library expansion grows, the DEU will become worthless to the others.

*Special Libraries.* As noted throughout this report, a small percentage of the members of the DEU are special libraries (hospital libraries, museum libraries, etc.). They have expressed dissatisfaction with the DEU throughout the questionnaire, even though they receive a rather high percentage of requested material. It appears that their main problem is the small percentage of offered material which is useful to them. If they were to drop their membership in DEU, the union would be hurt by the loss of specialized titles which are seldom available from other members. As with the Canadian members, or the large library members, these institutions offer material on their DEU lists that is often quite different from that available from the majority of members. For those libraries which subscribe to a little known or expensive title not widely held, these institutions may be the only hope of receiving issues, other than through pay-out sources such as the USBE or a back issue dealer. If membership of institutions of this type in DEU could be increased, the majority would be helped by the new diversity of material offered, and the subgroup itself would have more members from which to secure needed specialized materials. It is recommended that the DEU committee consider soliciting memberships from candidates in these groups. A growth in this direction would also help discourage pleas for divisions within the DEU, which will weaken the union and certainly reduce the amount of material available for exchange.

*Geographic Spread.* As noted throughout this report, there is quite a bit of dissatisfaction among members of the DEU who are remote geographically from the central portion of the country, where the majority of DEU members are located. This dissatisfaction appears to be caused by the fact that these libraries receive a lower percentage of re-

quested material than those located in the central section, probably for two reasons: (1) the prevalence of regional preference, already discussed, and (2) the use of third class mail by the majority of the members in distributing duplicates lists. Third class mail is handled in each post office on an "as time permits" basis, so that as a list arrives at different post offices along the way to its destination, it often is subject to delay. Thus, if DEU duplicates lists are mailed "simultaneously" as required by DEU regulations, the closer the receiving library to the sender, the sooner it will receive the list. Other factors, such as proximity to a major city, also affect delivery schedule. If the offering library also follows DEU regulations concerning the filling of requests in order of receipt, all things being equal, those libraries who are closest, having received the list first, are the first to request items. In some cases the difference can be great—a west coast library may have already received a list, requested items from it, and received the items before an east coast library has even received the list, if the offering library is also on the west coast. The situation is further muddied by the empire builders noted previously. With the majority of DEU members located in the central portion of the country, others on the fringe areas receive much less from the DEU. In effect, the DEU becomes several regional exchange unions, with the scraps going to outsiders, defeating what would probably be the main advantages of a nationwide union—diversity of material and a large number of members. Third class mail is used by the majority of the members because it is the cheapest. The only post office requirement of any substance is that pieces must be sorted by zip code and be in lots of at least 200. Several changes should be considered:

1. The DEU membership is presently 399; if several more libraries can be persuaded to join the union and membership can be kept over 400, third class mail could be used more evenly. Each library preparing to send out a list could sort the addresses into two groups based on geographical distance. If each group consisted of at least 200 libraries, third class mail could be used, and if the first mailing, to libraries at some distance preceded the second mailing by ten days to two weeks, many of the present inequities might be removed.
2. Members could be instructed to use library rate in mailing out duplicates lists. At today's membership level, this would mean an increase in postage from third class level of \$6.80 ( $$.017 \times 400$ ) to \$24 ( $$.06 \times 400$ ). Material mailed library rate is also subject to delay, but not so great as that of third class mail. The main advantage would be that pieces could be mailed in any quantity. The KSC mailing was based on sorting the lists into about ten groups, based on distance, and the mailing was effected over a ten day period. Although the mailing was more expensive, the schedule proved accurate, and requests were received from all parts of the country on the same day. Thus it was possible to judge the speed

of response in the different libraries. More equitable action was achieved with very little investment of time and effort.

3. Members could be asked to mail lists at first class rate, at a cost of either \$40 or \$80, depending on the weight. The expense of first class mail probably is too much to expect from most of the present DEU members, many of which are quite small institutions. Even with first class mail, some sorting by geographic region would be desirable.

The following recommendations are also submitted:

1. Conduct a membership drive among larger public libraries and medium-sized academic libraries, along with the specialized institutions already mentioned. These two groups usually collect and bind periodicals. Increased membership will bring new diversity and strength to the DEU and help quash calls for divisions.
2. Work to abolish the return postage system. If all libraries give and receive items on a fairly even basis, only small amounts of postage are either gained or lost. In the case of some libraries, DEU packages are mailed by a central mailing room anyway, at no cost to the library budget. As it stands now, some libraries request all postage be refunded, some request postage over a specified amount (usually 10¢), and some request none at all, causing paperwork headaches far more costly than the postage.

The Duplicates Exchange Union has served American libraries well over the years of its existence. This report has attempted to pinpoint weaknesses in the structure and operation of the union so that they may be corrected, with a view toward even better service from DEU to its members in the coming years.

#### REFERENCES

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#### APPENDIX

KEENE STATE COLLEGE  
KEENE, N.H. 03431

April 25, 1973

Dear DEU Member,

Would you please be kind enough to fill out the short questionnaire below? I am attempting to make an evaluation of the DEU and this information would be helpful. I can assure you that the information you give will be kept in confidence. In July of this year I will become a member of the DEU committee, so this information will not be wasted. A self-addressed envelope is provided. Thank you.

Sincerely,  
Richard Eggleton  
Serials Librarian

1. Approximate number of active subscriptions .....
2. Type of library: College Public Company Other (circle one)
3. Is your library also a member of the United States Book Exchange (USBE)?  
YES NO
4. Is your library also a member of the Medical Library Assn. (MLA) exchange?  
YES NO
5. On what *percentage* of the lists rec'd do you find items your library needs? (guess)  
10% 20% 30% 40% 50% 60% 70% 80% 90% 100%
6. What would be the *average* number of items requested *per list*? .....
7. What *percentage* of the items that you request do you actually receive? (guess)  
10% 20% 30% 40% 50% 60% 70% 80% 90% 100%
8. Do you feel the DEU causes your library a financial loss? YES NO
9. How do you feel about the usefulness (as a whole) of the DEU?  
Very Useful Useful Of some use Useless (circle one)
10. Do you feel the inclusion of books and documents should be continued? YES NO
11. Do you believe there should be divisions within the DEU, such as by type, size, or special subject? NO YES (if "YES", which: TYPE SIZE SUBJECT OTHER .....
12. Do you always fill requests in order of receipt? YES NO
13. Do you ever give preference to a regional library even though they were not the first to request an item? YES NO
14. If a library requests many items from your list do you ever not send them all the items because you feel they have asked for too many? YES NO
15. I mail my duplicates list to other DEU members by: 1st class mail (8¢)  
Library rate 3rd class mail (1.7¢) (circle one)
16. Do you have any suggestions on the improvement of DEU operation?

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### THIRD WORLD BOOKDEALERS

"Third World Bookdealers: A Selected List of Bookdealers in Africa, Asia and Latin America" has been issued by the Resources Section, RTSD, of the American Library Association. In response to requests for information on sources for library materials in the less developed areas of the world, the Resources Section collected the names and addresses of bookdealers used by libraries who are major collectors of materials in these areas. The data was collected and compiled by Jennifer V. Magnus, assistant chief, Order Division, Library of Congress, and contains data on approximately 275 dealers collected from twenty-seven surveys and reports from librarians. It may be obtained by sending a request accompanied by a check or money order for \$1.00 to the RTSD Office, American Library Assn., 50 E. Huron St., Chicago, IL 60611. Checks should be made payable to the American Library Association.

# The Impact of International Standardization on the Rules of Entry for Serials\*

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JUDITH PROCTOR CANNAN  
*Associate Librarian  
Serials Department  
Cornell University Libraries  
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*The major provisions of the International Serials Data Systems and the International Standard Bibliographic Description for Serials are presented and related to present rules of entry for serials as detailed in the Anglo-American Cataloging Rules.*

AT LONG LAST SERIAL LIBRARIANS are striving to reach international standardization. The results of their endeavors to date are the *Guidelines for ISDS* (International Serials Data System) published in May 1973, and the *ISBD (S): International Standard Bibliographic Description for Serials*, published in mid-1974.<sup>1</sup> Neither the ISDS nor the *ISBD(S)* is concerned with "main entry" as the term is used in the *Anglo-American Cataloging Rules (AACR)* and they do not discuss authorship in this context, but both prescribe a description for serials in which title as it appears on the serial is the first element. In order to secure conformity with these international standards, it will be necessary to make major changes in *AACR* relating to the choice of entry for serials, as well as the transcription of the title page. These modifications will have far-reaching implications for serial librarians who use *AACR* to choose an entry for a serial.

The principal objective of the ISDS is to develop and maintain an international registry of serials. To each of the titles in the registry it

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\* Based on a paper delivered at the American Library Association Annual Conference in New York City, 9 July 1974.

assigns an identification code called the International Standard Serial Number (ISSN); thus, a unique entry for each serial is essential. A new concept called the "key title" was created by ISDS to ensure this. The goals of the *ISBD(S)*, however, are quite different. It is concerned with defining the elements needed to describe and identify a serial. In addition to this, it is concerned with the order and punctuation of the required elements and with placing these elements in a prescribed order, separated by clearly identifiable punctuation. Not being concerned with rules for entry or with the assigning of an identification code, it adopted the "distinctive title" as its initial element. The distinctive title differs from the key title in that it need not be unique. As Livingston has said, "It would have been better . . . if the distinctive title had been in all cases identical to the key title. I believe that we can live with the five percent or so of cases where a note will be required to make the key title and the distinctive title coincide."<sup>2</sup>

Two important changes have already been effected in *AACR* rules for serials to make them more compatible with international standards—the deletion of rule 162B and the addition of a statement of authorship to a title consisting solely of a generic term. Another revision—the rewording of rule 6 to require that all serials be entered under title with added entries for issuing bodies when necessary—is presently under discussion. Now that catalogers can transcribe the title page as it appears on the piece in hand and must qualify titles consisting solely of a generic term with the name of an issuing body, the need for entry under corporate author to identify a title has been removed. This means that most of rule 6, with all its requirements and exceptions for entry under either title or author/title, is now superfluous. This paper assumes that rule 6 will be revised to require entry for all serials under title.

It is hoped that these changes will facilitate the automation of serial cataloging and processing in addition to reconciling present differences with international standards. The recognition by serial catalogers of the urgent need for conformity, which resulted in the above mentioned changes, was partially due to the efforts of a group known as the Ad Hoc Discussion Group on Serial Data Bases, which initiated the CONSER (CONversion of SERIAL data bases) project. It is obvious that to achieve readily exchangeable or mergeable records, compatible data elements and tagging keys should be used by the three new automation projects for serials: the MARC Serials Distribution Service, the Ohio College Library Center Serials Control system, and the CONSER project, which are at varying stages of progress. This is why it is imperative that a revision of *AACR* 6 be agreed upon and the resulting changes adopted as expeditiously as possible.

Entry under title should result in more uniform entries, since catalogers will no longer be faced with a choice of title or author/title for entry. In libraries in which cataloging is centralized, this is not a serious problem, but in those in which two or more libraries are contributing to a union catalog the choice is crucial. To cite an example, recently Olin

Library, the research library at Cornell, cataloged *Marihuana and health*, an annual report, establishing a title main entry. Some months later it was cataloged by the law library on campus, which, using available LC copy, established the corporate author U.S. Dept. of Health, Education, and Welfare as the main entry. The conflict which resulted from different interpretations of AACR 6B1 and 6B2 had to be resolved, and corporate entry prevailed even though the title was distinctive.

Of course the greatest advantage of title main entry is that the corporate author will appear as an added entry, with the result that recataloging occasioned by changes of corporate author should be reduced. Even though it is not always possible to assess accurately what constitutes the full title, it is far simpler than establishing the hierarchy or correct form of a corporate name. With title as main entry, when an error is made in the establishment of the issuing body or when the name changes, the alteration of all catalog cards is not necessary, only the tracing and one added entry are affected by the need for revision or addition. It is interesting to note that the MARC serials format now provides an indicator to identify the current issuing body. Who will be responsible for updating this information? Certainly those checking serials in upon receipt in the library cannot be expected to catch changes in issuing bodies when entry is under title. Nor can such changes be caught by perusing the "Changes in Serials" portion of *New Serial Titles*, since everything will be under title. Further, how important is it to keep abreast of changes in corporate authorship when entry is under title, unless of course the corporate body forms part of the title? Is this information essential to either the catalogers or the public? With a cross-reference or history card from an earlier form of the issuing body to a later form and vice versa, plus an entry under title, there should be sufficient access points in the catalog for the user. Our aim should be to reduce rather than to create work.

Entry under title, using the principle of successive title entries, does not appear to reduce, as might have been anticipated, the number of necessary changes if Pulsifer's list is a representative sample; thus another reason is provided for ignoring additional added entries for issuing body changes.<sup>3</sup> With entry under title, what directions will there be for handling title changes? The National Serials Data Program (NSDP), the United States national center for ISDS, uses the ISDS key title as the identifying entry. As explained earlier, except in the case of identical titles, this is the same as the *ISBD(S)* distinctive title. The reason why ISDS requires the addition of place and starting date to identical titles is that each title must be unique in order to assign to it an International Standard Serial Number (ISSN). Will serial catalogers be forced to use the ISDS guidelines for title changes, if the ISSN becomes one of the access points for serial data bases?

Because a change in the key title requires a change in the ISSN, the *ISDS Guidelines* tries to distinguish between title changes that require

new key titles and those that do not, in an attempt to minimize the number of record changes. However, these guidelines are not explicit. Minor alterations are considered to include the changing, adding, or deleting of articles, prepositions, and conjunctions; minor changes in the names of the issuing body which is part of the key title; and changes in spelling, other than in first letters that do not affect the meaning of the words, to mention but a few.<sup>4</sup> If serial catalogers are to use the ISDS requirements for successive title changes, the NSDP, which has the sole responsibility for assigning the ISSN and therefore for determining major and minor changes in title, should publish weekly a simple list of its major and minor changes in title with a from/to statement along with the ISSNs.<sup>5</sup>

Frequently a title consists of a generic word or term and is therefore not distinctive. How should it be entered? When a generic word or term preceding the name of an issuing body is linguistically linked to it, the title page can be transcribed as it appears on the piece in hand; for example, *Cahiers de l'Institut Maurice Thorez*. In English, when the name of an issuing body precedes a generic term, the title page can also be transcribed as it appears, since the issuing body becomes an adjectival phrase qualifying the generic term and a linguistic unit is formed, as in *University of California at Los Angeles Review*. However, this coalescing of two separate nouns is not an acceptable grammatical construction in languages such as French and German, where it is essential to invert the order so that the generic word precedes the statement of authorship. *ISBD(S)* attempts to cover this situation for all languages in rule 1.1.1.3: "when there is no linguistic link and the statement of authorship is found on the title page or that part of the issue or volume of the serial which takes its place, the generic term is given first, followed by the statement of authorship . . ." But no definition is given for the term "linguistically linked" or in ISDS for its counterpart "grammatically linked."

The possibility must be considered that varying typography and layout in successive issues may result in varying titles, and *ISBD(S)* may be read as allowing both of these entries: *University of California at Los Angeles Review* and *Review—California, University at Los Angeles*. This dilemma could be solved by disregarding typography and layout, at least for English language nongovernmental bodies without subdivision, so that the generic word or term following them can be considered grammatically or linguistically linked no matter where it appears on the title page.

The further question arises: What is a generic word or term in a serial title? ISDS defines it as "one which indicates the kind and/or periodicity of a publication."<sup>6</sup> *ISBD(S)* (rule 1.1.1.3) defines the term only by giving examples ("bulletin, journal, review, acts, reports, technical reports, etc."). However no provision is made for titles that appear on more than one publication but do not fall into the category of generic words

or terms. An example of such a title, sometimes called a "common title," is *Estimates of expenditure and income*. Certainly, title entries for such works cannot qualify as distinctive without the addition of an author statement.

The term common title is also used in *ISBD(S)* (rule 1.1.1.5) to refer to a title common to sections, subsections, or editions of a serial. The difficulty that arises in distinguishing between a common title in this sense, a "generic" word or term and a distinctive title is illustrated by the varying treatment of *Bulletin signalétique*, a serial published by the Centre National de la Recherche Scientifique of France and subdivided into many numbered sections devoted to specific subjects or disciplines. *ISBD(S)* examines each element of the title in turn, with the result that *Bulletin signalétique* is considered to fit into two categories: first, into rule 1.1.1.3, which states that a generic term must be qualified with the name of an issuing body to make it distinctive, and second, into rule 1.1.1.5, which states that when a distinctive title consists of a specific title, which is dependent on a common title for comprehension, the specific title follows the common title, separated by a full stop. Hence, the suggested entry for the "Histoire des sciences et des techniques" section is "Bulletin signalétique—Centre national de la recherche scientifique. 522, Histoire des sciences et des techniques." The *ISDS Guidelines* does not deal with this situation specifically. The only guidance it gives must be inferred from an example given under rule 4.2.3.3, which is concerned only with numbering. If this example is followed, the key title would be "Bulletin signalétique. Section 522. Histoire des sciences et des techniques." The latter treatment seems preferable for a serial when each section of it has a distinctive title.

Further difficulties arise in transcribing the name of the corporate author following the generic term. The *ISDS Guidelines* state that "the name of the issuing body will be transcribed in the sequence and form given in the piece" (rule 4.2) whereas *ISBD(S)* states that "the generic term is given first, followed by the statement of authorship" (rule 1.1.1.3). However, if all the rules in *ISBD(S)* are considered interrelated, further guidance is provided in rule 1.3.2, which indicates that "the statement of authorship is transcribed as it appears on the title page." This same rule also prescribes that "when there are several statements of authorship, they should be transcribed in the order indicated by the sequence on, or the typography of, the title page." Even these statements are too brief to provide sufficient help in handling the problems of corporate hierarchies and government publications. The Library of Congress has announced that its policy will be to transcribe the author statement "as it appears on the publication, except that, if the statement includes a corporate hierarchy, those parts of the hierarchy which are not necessary for the identification of the author are omitted."<sup>7</sup>

This Library of Congress practice of omitting parts of the hierarchy in the author statement is evidently based on a desire to simplify the

bibliographic record, with resulting savings in time and money. However, it seems to be contrary to the intent of *ISBD(S)*. It means too that *AACR* rules relating to form of entry are governing the part of the record devoted to description of the item. *ISBD(S)* provides no guidance for the handling of commonly used corporate names, and unless some provision is made for qualifying such names by the addition of indication of jurisdiction, the result will be a multiplicity of identical entries under such titles as "Annual report—Department of Education." These entries could only be understood by reference to the imprint or to the tracing for the issuing body which provides the chosen corporate entry for the work in accordance with *AACR*.

Although these international standards conflict with portions of the *Anglo-American Cataloging Rules*, efforts are being made to incorporate them, probably in a modified form, into the revisions of rule 6 and chapter 7 of *AACR*. This emphasis on title as a means of describing a serial should simplify cataloging both nationally and internationally, resulting in greater uniformity and a greater degree of cooperation.

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# Midwinter Report of the RTSD Executive Secretary

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CAROL R. KELM  
*Executive Secretary*  
*Resources and Technical Services Division*

RTSD IS MOVING FORWARD to implement the many aspects of "Goals for Action" which the RTSD Board of Directors approved in January 1974 (published in *Library Resources and Technical Services* 18:186-88 Spring 1974). To do so a number of units of the division are conducting surveys to obtain information.

The Resources Section and the AAP/RTSD Joint Committee are co-sponsoring a program meeting on book marketing and library selection at the Annual Conference in San Francisco. In preparation for the meeting, questionnaires have been sent to selected groups of publishers, wholesalers, and librarians. The results of the survey will be made available at the program meeting on 1 July 1975. The Resources Section Reprinting Committee's Subcommittee on Review Media is preparing a questionnaire to be sent to reprint review media to discover how much review attention these media give to reprints.

The RTSD Keyboard Committee recognizes the need for a bibliography keyboard. The committee hopes to reconcile the needs of the ISBD "standard" with the "standard" library typewriter keyboard. The committee would also like to see published in one place all the existing "standard" and specialized library typewriter keyboards presently manufactured. The RTSD/LED Committee on Education for Resources and Technical Services will collect information about the content of selected graduate library school programs in technical services by means of questionnaires, interviews with technical services librarians, and a study of library school catalogs.

The RTSD Serials Section Committee to Study Manually-Maintained Serials Records has tested a questionnaire and will soon be sending it to a larger group of serials librarians. The RTSD Serials Section Union Lists Committee (ad hoc) was established in 1974 to investigate the compilation of a national list of union list projects. The committee says that union list projects continue to proliferate; high level cooperative efforts

such as CONSER have been initiated, but the nature of these activities is as yet incompletely understood by many people; the emphasis seems to be on cooperation, but there often does not appear to be enough information concerning union list activities to make worthwhile cooperation a reality. The committee has recommended a survey to ascertain the nature of existing union list activities through a multilevel approach via state libraries, cooperative organization, state and special library associations, and through publicity in the leading library journals. A special effort should be made to learn more about the characteristics of various data bases, including the availability of attendant programs and to secure answers to questions relating to the possibility of adding more locations, to the possibility of creating sublists, such as titles in particular subject areas, and to the willingness of directors to share information concerning their technology, etc. The committee suggests the establishment of a union list of serials information center or clearinghouse which would be widely publicized. The committee recommends that the Joint Committee on the Union List of Serials prepare a funding proposal to cover both the gathering and organization of the pertinent information and then act as a coordinating clearinghouse.

At its 1975 Midwinter Meeting, the newly formed discussion group for Heads of Preorder and Precatalog Searching in Research Libraries was informed of the results of a bibliographic searching questionnaire from Fred Lynden of Stanford University Libraries. The questionnaire was designed to elicit information on how libraries are approaching the problems of staffing, work assignment, procedures, and evaluation in the area of bibliographic searching. He reported that the size of the searching staff and the size of the library appear to have very little correlation. Only a small number of libraries surveyed had a single searching unit which performs bibliographic searching for both acquisitions and cataloging purposes. Searching is performed predominantly by library assistants with librarians contributing primarily as supervisors and revisers. Educational qualifications for searching are high; searchers with knowledge of one or two foreign languages are preferred by many libraries. Mr. Lynden also discussed sixteen other items from the survey.

Nine other discussion groups affiliated with, or related by subject interest to, RTSD met at the 1975 Midwinter Meeting to discuss mutual problems in acquisitions, serials, reproduction of library materials, and technical services in various sizes of libraries. Persons interested in participating in these discussion groups should consult the 1974/75 *ALA Handbook of Organization* to determine the appropriate group and find the meeting time in the *ALA Official Conference Program*.

A number of RTSD units are working on projects which may lead to publications. The Resources Section Bookdealer-Library Relations Committee is preparing guidelines for handling library orders for antiquarian materials and for microform materials for publication in the "Acquisitions Guidelines" series, published by ALA. The RTSD Com-

mercial Processing Services Committee is revising guidelines for use in considering commercial processing services for adult monographic publications. An expansion of these unpublished guidelines may become a short manual in accordance with a suggestion of the committee chairman, Dallas Shawkey. The RTSD Technical Services Costs Committee is compiling a bibliography of unpublished technical services costs studies. The method of issuing the bibliography has not yet been decided.

The Cataloging and Classification Section is urging publication by ALA of a compilation of approved romanization tables. Most of these tables have been printed in the Library of Congress *Cataloging Service* bulletins, but the section feels a pamphlet compilation would serve the profession well.

Several units of RTSD are working on continuing education projects. The RTSD Technical Services Costs Committee is developing plans for an all-day workshop on technical services costs for the 1976 ALA Conference in Chicago. The Serials Section Regional Serials Workshops Committee is planning to cooperate with regional technical services groups in the sponsorship of serials workshops. The RTSD Preservation of Library Materials Committee has suggested a 1976 program on administering a conservation program.

Bibliographic control is high on the list of RTSD priorities. The RTSD Catalog Code Revision Committee has developed a number of mechanisms to channel comments from the profession into the *Anglo-American Cataloging Rules* revision process. The RTSD Nonbook Committee has proposed that its name be changed to the RTSD Audiovisual Committee. It is participating in the current discussions on the selection of audiovisual terminology which will be used in catalog entries and defined in National Center for Education Statistics handbooks. The RTSD/ISAD/RASD Representation in Machine-Readable Form of Bibliographic Information Committee (MARBI) serving in its role as MARC Advisory Committee, approved twenty-seven proposals for changes in the MARC format presented to it by the Library of Congress MARC Development Office. These deal primarily with modifications requested by the National Serials Data Program, the National Library of Canada, and the CONSER Subcommittee on Working Communications to accommodate the CONSER project.

The Chief Collection Development Officers of Large Research Libraries Discussion Group discussed the 1975 count for the national shelflist measurement project. The CCS Subject Analysis Committee continues to study the problem of subject headings for minority groups and its Subcommittee on Subject Headings for Correctional Materials, under the chairmanship of Allen Cohen, has presented its final report. Based on a survey of a selected group of libraries which use correctional materials, the subcommittee reported that a large number of libraries find both the Library of Congress and the Sears lists inadequate in this

subject area. The subcommittee identified a number of special lists presently in use. On the basis of the findings, the subcommittee recommended that no more special lists be developed at this time but that a list of existing special lists be publicized for the benefit of interested libraries. The CCS Subject Analysis Committee is establishing a subcommittee on subject headings for audiovisual materials.

The RTSD Planning Committee has prepared an outline of the recently approved RTSD Goals for Action statement listing the relevant units of RTSD related to each of the goals. In this way, monitoring of division progress in the achievement of these goals can be facilitated. The committee recommends that each unit in RTSD, when preparing reports of activities, state how its work is implementing the Goals for Action. The committee also is exploring means for better communication between RTSD and other units of ALA. The RTSD Organization Study Committee is examining the present structure of RTSD and discussing whether other structures would serve the membership better.

## *IN THE MAIL*

### *The Other Half of Cataloging*

From some recent articles and news notes concerning the use of OCLC and from the remarks of librarians about to adopt OCLC, one would assume that there was no more to the cataloging process than merely generating catalog cards from entries already prepared by another library or cataloging service. The tone of these articles and remarks reduces the process of cataloging to a mere copying technique. How refreshing it was to read "The Other Half of Cataloging" by Frances Ohmes and J. F. Jones [Summer 1973] and to realize that someone still realizes the several facets necessary to the making of the local catalog.

The process of cataloging is more than the choice of main and added entries, the construction of headings in a uniform manner, the transcription of descriptive cataloging in a standardized fashion, and the assigning of subject entries and classification notations. It is more than the choosing and making of individual entries for individual books. The main concern of the local cataloging process should be for the making of a catalog for the user—a catalog that has integrity and some degree of uniformity and predictability for the local user. The catalog should be an instrument that collocates and gathers together. At times it must direct the user to places other than those he or she has chosen to enter the catalog. At other times, the catalog must make suggestions about materials or entries of which the user is unaware. No single bibliographical device, nor centralized cataloging service can do all these professional tasks for the local library. Only a professional librarian aware of the best bibliographical device for the situation, sensitive to the needs of local users, and in close proximity to the local catalog can provide these services which make the difference between a useful catalog and a mere list.

It seems urgent at this time to consider what OCLC does and what it does not provide and to reassess the changes in level of personnel most affected by these changes in acquiring bibliographical data. A careful reassessment would seem to indicate that it is at the paraprofessional level that positions should be eliminat-

ed and savings made. The decision making required of the professional cataloger to "tie it all together" is still necessary to overcome some of the present shortcomings of local catalogs and cataloging services in order to make the local catalog more responsive to the needs of local users.

In no way is it intended here to diminish the accomplishments of OCLC. This is said, rather, to alert librarians to the fact that we may be at a turning point in the making of local catalogs. Local catalogs *could* become truly responsive local tools if we are wise enough to see the rare opportunities before us to use the best mix of more quickly obtained bibliographical data with the judgment of local catalogers who are closer to the needs of local library users. Technology can be helpful, but human beings will have to make the decision which way any one local library will go. Librarians faced with such decisions would do well to study carefully the points made by Ohmes and Jones in light of each local situation.—*Kathryn Luther Henderson, Associate Professor, Graduate School of Library Science, University of Illinois at Urbana-Champaign.*

Ohmes' and Jones' "The Other Half of Cataloging," which appeared in your summer 1973 issue, was long overdue.

The OCLC-type service does not handle the second half of cataloging—the integration of a bibliographic record with the existing catalog. It must be admitted that many professors of cataloging do not equip library school graduates to do this either.

The *Anglo-American Cataloging Rules (AACR)*, the upcoming changes to *AACR*, superimposition at the Library of Congress (LC), the abandoning of superimposition at LC, and the proposed revisions to LC's subject headings, all call for the dynamic of change proposed by the authors.

The Toronto card production programs supposedly allow for authority file work as OCLC does not. But it will be a major undertaking to convert the authority file of a major collection retrospectively.

Perhaps more help in clearing backlogs and getting books on the shelf is to be found in applying systems analysis to the procedures of the second half. Among new procedures which might be adopted are:

1. Filing work files and proofslips or depository files by title to help unite copies of the same work showing up in cataloging under variant headings.
2. Using highlighting and guide cards for series and subjects, allowing cards to be guided to their proper place in the catalogs via cross-references rather than coming back to be changed.
3. Revising when needed by the "bump" method rather than going through the expensive process of pulling and changing. The revised set of cards, by this method, has a serial number in the lower right hand corner—1, 2, etc.—with the latest number shoving older cards for the same title out of the catalog. Where the new card will not file in the same place as the old, a xerox on paper of the old shelflist card will accomplish the same thing. A cost study showed that this procedure was much less expensive since it takes place as a part of regular filing rather than having a clerk run from A to Z in the catalog pulling cards according to tracing. It is also less expensive to change one card and reproduce than to change the whole set, not to mention the advantage of assuring uniformity by reproducing the card rather than mucking around with a score.

Another option for OCLC-type service users is to have their terminals equipped with printout devices so at least the main entry may be taken and veri-

fied against the authority file. Some have adopted the ridiculously expensive procedure of having staff copy terminal information by hand for verification before ordering cards.—*J. McRee Elrod, Head, Catalogue Division, The University of British Columbia Library, Vancouver.*

### **Canadian MARC**

Your reviewer, Richard J. Talbot (*Library Resources & Technical Services* 18:76-77) indicates that perhaps the recommendations of the Canadian Task Group should be subjected to an "empirical verification of their utility before final adoption." One of the areas he listed as "improvements," making for a more complex format, is the expansion of various codes, including intellectual level.

If the MARC format is to be useful for machine searching and printout for a wide range of users and for a wide range of media, then the significance of codes cannot be underestimated. Indeed, I question the utility of the existing intellectual level code applied by the Library of Congress and the *British National Bibliography* for anyone providing an SDI service to academics. In my view, codes of this nature are simple to input and particularly valuable to match users' real needs.

I agree with Mr. Talbot that we need an empirical verification of the utility to users of the bibliographic data elements we are expected to input in LC MARC format. More especially, those elements which we input twice to satisfy outdated concepts for library card layout or based on the misconception that we need a main entry in a computerized system.

As for PRECIS—a computer system which can create a natural language index—there is little doubt that it has significance for multi-, bi-, and uni-lingual subject approach. Perhaps an empirical study of LC subject headings incorporating a cost analysis of all committee meetings involved in reviewing terminology, the cost and frustration of applying and maintaining them in all libraries, and, above all, their value to the ultimate user for retrieving information, would help lighten the costs of producing and using MARC records.

Who knows, we may be left with only the new Canadian codes and elements! —*G. H. Wright, Director, College Bibliocentre, Ontario, Canada.*

F. BERNICE FIELD  
7 MARCH 1906-14 OCTOBER 1974

Library colleagues of Bernice Field were deeply saddened by her severe illness in the last months before her retirement from Yale in June and by her death on 14 October. The Board of Directors of the Resources and Technical Services Division of the American Library Association pauses during its 1975 Midwinter Meeting to give tribute to Bernice, one of its founding members, and to recall with appreciation some of the many contributions she made to RTSD, ALA, and the library profession.

Bernice Field was the second president of the Resources and Technical Services Division (1958/59). Familiar with its functional requirements through her experience on its Organizing Committee and her executive positions in the Serials Round Table and the Division of Cataloging and Classification, she ably led the new division in its second year to an accelerated maturity and pride in its identity.

In the American Library Association she has long been recognized as an ongoing force, by friends and attendees at meetings, by readers of *Library Resources & Technical Services*—and by nominating committees. Prior to her retirement year, Bernice had worked for ALA in a continuous series of committee assignments and elective offices for twenty-five years. Particularly notable because of length of term, responsibility, and substantive output were these assignments: ALA representative to the Joint Committee on Union List of Serials (1957-66) during the period of the publication of the third edition; Catalog Code Revision Committee (1955-66), chairmanship of the Descriptive Cataloging Committee (1960-66) during which time the Library of Congress *Rules for Descriptive Cataloging* were prepared for inclusion in the new code; and the chairmanships of the ALA Editorial Committee (1962-65) and its Subcommittee on ALA Glossary of Library Terms (1968-72).

Demands on her time from ALA functions and from a high caliber execution of her own administrative job at Yale did not preclude participation in library organizations and events near home, and in more distant areas. She was active in local associations and held office as president in the New York Regional Catalog Group and in the College and Research Library Section of the Connecticut Library Association. She addressed meetings of various RTSD regional technical services groups, lectured at the Simmons and McGill library schools and in 1967 was the workshop leader for the University of British Columbia School of Librarianship Workshop on the Anglo-American Cataloguing Code.

The Margaret Mann Citation was awarded to Bernice in 1966 for her "extraordinary contributions to librarianship." The full citation and the comments in the biographical article written on that occasion by Joseph Treyz (*Library Resources & Technical Services* 11:23-26 Winter 1967) are even more applicable today. In 1971 she was the recipient of the Distinguished Alumnus Award from the University of Michigan School of Library Science. In 1974 she received a citation from the New York Technical Services Librarians and following her retirement a special award from the Association of Yale Alumni.

Bernice Field's experiential strength was in serials, descriptive cataloging rules, and administration. Her personal fundamental strength was a vitality of interest in her profession and in fellow human beings, deep-rooted, sincere, and indefatigable. A hallmark was correspondence dispatched with efficiency, punc-

tuality, and graciousness, reports and working papers of solid content lucidly written.

Contemporaries can recall the zest of her participation in discussion meetings, her effective guidance as presiding officer, her clear presentations as speaker. Posterity will have many published writings. Of these, two can be singled out as especially significant: the classic on "Serial Entry," a working paper of the 1958 Institute on Cataloging Code Revision at Stanford, and the paper presented at the RTSD-CCS program meeting during the ALA Annual Conference at New York in 1966, "The New Catalog Code: The General Principles and the Major Changes." The latter as a reprint from *Library Resources & Technical Services* 10:421-36 Fall 1966 was available for distribution at the time of the publication of the *Anglo-American Cataloging Rules*. They will go on into the future as one portion of the legacy from Bernice Field.

The RTSD Board unites with friends and family in sympathy for their loss of Bernice in her postretirement years.

*Editor's note.* Contributions to a book fund established in Miss Field's memory at Yale University Library may be addressed to Rutherford D. Rogers, University Librarian, Yale University, New Haven, CT 06520.

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## MICROFORM PUBLISHING STATISTICS

American National Standards Committee Z39 is pleased to announce the recent organization of a new subcommittee to prepare an American National Standard for Microform Publishing Statistics. Subcommittee 37 on Microform Publishing Statistics was formed on the recommendation of the Z39 Subcommittee on Book Publishing Statistics and will be chaired by Robert Frase, consultant, and Robert Sullivan, chief, Order Division, Library of Congress. The organization of this work under the auspices of Z39 was endorsed by the National Microfilm Association and the Information Industry Association, the two principal associations in the microform publishing field.

Subcommittee members were selected to represent a wide variety of interests relating to this project; those who have agreed to serve as members are as follows:

James Adler, Congressional Information Service  
Hubbard Ballou, Columbia University Libraries  
Milton Mandel, Research Publications  
Alan M. Meckler, *Microform Review*  
Stevens Rice, University Microfilms  
Frank L. Schick, National Center for Educational Statistics  
Rita Tatis, National Microfilm Association

Further information on the activities and progress of this subcommittee can be obtained from the subcommittee chairmen; their addresses are: Robert Frase, 1414 22nd Street, NW, Washington, DC 20037; (202) 293-5960 and Robert Sullivan, Chief, Order Division, The Library of Congress, Washington, DC 20540; (202) 426-5361.

# Policy on Lending to Reprint and Microform Publishers

The following statement emanates from the Reprinting Committee of the Resources Section of RTSD. It is the last of many drafts prepared in the course of revising the guidelines that were issued in 1968 and has been officially approved by the committee, by ALA counsel, by the Executive Committee of the Resources Section, and by the RTSD Board of Directors.

For related material, consult the bibliography in Allen Veaner's *The Evaluation of Micropublications* (Chicago: American Library Assn., 1971), especially pages 52 to 53 on standards, and the following draft standards: "Draft Standard for the Advertising of Micropublications" (*Library Resources & Technical Services* 18:284-87 Summer 1974) and the draft statements on Reproduction of Manuscripts and Archives for Noncommercial Purposes and on Access to Original Research Materials in Libraries, Archives, and Manuscript Repositories (*College and Research Library News* 8:199-201 September 1973).—Henry James, Chairman, Reprinting Committee, Resources Section, RTSD, Sweet Briar College Library, Sweet Briar, VA 24595.

## Lending to Reprint and Microform Publishers — A Policy Statement

### *Preamble*

This policy statement supersedes the guidelines of the Reprinting Committee as revised and adopted in April 1968. The present statement is based on the proposition that the lending of library-owned materials for reprinting in hard-copy or microform should be within the spirit of disseminating the accumulated wealth of world scholarship. American libraries have with great ingenuity and at vast cost in acquisition, preparation, and protection preserved the printed heritage of knowledge and accordingly have the right to receive from reprinters just compensation and due care in the handling of library property. In turn, reprinters should receive appropriate cooperation and fair treatment in their dealings with libraries, in order to ensure a healthy, viable reprint publishing industry.

To help achieve these goals, this Committee sets forth the following conditions of reciprocal action for libraries and reprint publishers:

1. *LENDING LIBRARIES*

- 1.1 The decision to lend a work for commercial reprinting is a matter within the sole determination of the owning library.
- 1.2 If a library decides to lend its materials for reprinting, the request of any responsible reprint publisher should be considered, unless there are clear advantages to the library in negotiating an exclusive agreement.
- 1.3 The library is entitled to compensation for the handling costs involved in lending and retrieving materials, bearing in mind that the purpose of lending to reprinters and microform publishers is to encourage the republication of scholarly works. Such compensation may take the form of fees, additional copies (see 1.6), services, products, etc.
- 1.4 The library may seek compensation more or less than the handling cost for those materials in which it controls and/or owns the reproduction rights.
- 1.5 The library is entitled to reimbursement for damage to its materials (*see also 2.4*).
- 1.6 The library may request and expect to receive from the reprint publisher a specified number of copies of the reprint, or, if desired, cash or credit in lieu of copies.
- 1.7 The library should set realistic conditions for lending to reprinters and then hold the reprinters to the conditions as contracted.

2. *REPRINT AND MICROFORM PUBLISHERS*

- 2.1 Copyright clearances are solely the responsibility of the publisher.
- 2.2 The publisher should deal directly with the owning library, not indirectly by means of interlibrary loan through another library, nor through a third party.
- 2.3 The publisher should return borrowed materials within the time limits specified by the lending library, and agreed to by the publisher.
- 2.4 The publisher should return the library's material in the same condition as borrowed unless special arrangements for cutting, rebinding, or replacing the volume have been made.
- 2.5 Reprints in hard copy and microform should be exact textual copies of the original. When there are textual departures, these should be understood and approved by the lending library, and variances should be clearly stated in the reprint.
- 2.6 The physical qualities of reprint publications in both hard copy and microform should conform to the appropriate national published standards.
- 2.7 A reprint edition should cite clearly and accurately the full bibliographic information identifying the original edition. This information should appear on the title page or its verso, or on a bibliographic target.
- 2.8 Advertising and promotion for reprint publications should identify both the original and reprint edition and any textual variations from the original, as specified in the "American National Standard for the Advertising of Books," ANSI Z39.13-1971.
- 2.9 Reprint editions should bear a credit line identifying the owning library if the lending library so wishes.
- 2.10 Forthcoming reprints should be published by the announced publication date; if publication is cancelled or delayed this information should be widely disseminated.

## Standards Activity

### New American Standards

Copies of the following recently published American National Standards are available from the American National Standards Institute, 1430 Broadway, New York, NY 10018, at the prices indicated:

Z39.19-1974 *Guidelines for Thesaurus Structure, Construction and Use.* \$4.50

Z39.20-1974 *Criteria for Price Indexes for Library Materials.* \$3.00

Z39.22-1974 *Proof Corrections.* \$5.00

Z39.23-1974 *Standard Technical Report Number.* \$3.00

### New British Standards

#### *Maintenance terms in terotechnology*

Terotechnology is defined in a new glossary just published by the British Standards Institution as a combination of management, financial, engineering, and other practices applied to physical assets in pursuit of economic life cycle costs. Its practice is concerned with the specification and design for reliability and maintainability of plant, etc.

BS 3811, *Glossary of Maintenance Terms in Terotechnology*, recently issued in a revised edition by BSI is intended primarily as a guide for persons engaged in the maintenance aspects of the field and defines forty-seven terms.

Copies are available for £1.65 from BSI Sales Branch, 101 Pentonville Rd., London N1 9ND, England.

#### *Materials for recording instruments*

The second stage of revision of BS 1193 *Sizes of Sensitized Materials for Recording Instruments* is reached with the publication by the British Standards Institution of Part 2: *Recording paper*. This standard (which relates to material in roll form only) provides a rational list of sizes to serve as a basis for the design of equipment and to meet satisfactorily all normal needs. This revision implements the recommendations of the British Photographic Manufacturers Association as set out in its report "Conversion to metric" and forms part of the British Standards Institution's program of metrication.

Because of certain factors not common to both film-based and paper-based recording materials, this standard is in two parts, Part 1 for film and Part 2 for paper, and in this revision the two parts are published separately.

A major difficulty experienced in revising this standard concerned the specification of the widths of recording paper in metric units. Unfortunately, the majority of recording instruments using paper are designed for widths which are intrinsically inch sizes. It was at first proposed that the metric equivalents of the inch sizes should be rounded to the nearest whole number, but the question arose as to whether paper having these rounded widths would track properly through the equipment in which it would be used. Moreover, as a large proportion of equipment is of American design, it was considered likely that the demand for such widths for sensitized materials would continue for some time. This revision

therefore lists the six-inch, seven-inch, eight-inch, and twelve-inch widths, but nevertheless states that these widths shall be regarded as obsolescent and shall be replaced as soon as is practicable by the 150mm, 175mm, 200mm, and 305mm widths, which should be used in the next generation of equipment.

Copies are available for £1.65 from BSI Sales Department, 101 Pentonville Rd., London N1 9ND, England.

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## LIBRARY OF CONGRESS SUBJECT HEADINGS IN MICROFORM

The eighth edition of *Library of Congress Subject Headings*, consisting of a cumulation of the seventh edition and all supplements issued through 1973, will be issued in microform on an experimental basis. The microform edition will consist only of the headings and references and will be issued in addition to the two-volume printed eighth edition, which will include an extensive introduction and a list of "Subject Headings for Children's Literature." The printed edition is scheduled for publication in mid-1975.

The Library of Congress has awarded a contract to Butler Associates, Stanford, Calif., to conduct the twelve-month pilot study which will involve the distribution to participants of microform test material in one of several different microformats.

The study, which is being coordinated by the MARC Development Office, will assess user receptivity to these microforms, investigate various kinds of microformats suitable for use in a technical processes environment, and determine whether the publication of Library of Congress reference tools, such as *Library of Congress Subject Headings*, in continuously updated microform editions at regular intervals is practical. At the conclusion of the study, a final report will be compiled, including some general background on the state of the art, a description of the interaction of equipment and microformat in the design of a publishing system, and reports of the field site experiments.

The microform edition of the headings and references is expected to be available for distribution six to eight months before the printed eighth edition of *Library of Congress Subject Headings*. Libraries that are not participating in the pilot study may purchase the experimental microform at an additional charge from the Card Division when they order the printed edition. The microform will be sold only in conjunction with the printed edition and will not be available separately. If the experimental offering of the eighth edition in microform proves successful, it is possible that new microform issues cumulating headings through later years will be prepared and sold separately.

An announcement on the price, microformat, and expected date of distribution will be made as soon as all arrangements have been completed. The pilot study and experimental offering of the subject heading list have been initiated as part of a continuing effort at the Library of Congress to disseminate its bibliographic products as quickly as possible.

## REVIEWS

Reno, Edward A. *League of Nations Documents, 1919-1946; A Descriptive Guide and Key to the Microfilm Collection*, v. 1. New Haven, Conn.: Research Publications, Inc., 1973. 282p. \$200.00. (v.1-3: \$500.00)

Major research libraries will welcome the microfilm collection of League of Nations Documents and Serial Publications and the projected three-volume hard copy *Guide* to this collection. The political, economic, legal, humanitarian, and cultural activities of the league produced a valuable body of research materials. The quantity of the league's publications, excluding serial titles, was formidable, and it presented many complexities for acquisitions and bibliographical control. Because of the reciprocal relationship of the *Guide* to the microfilm collection, this reviewer would first like to comment on the microfilm collection before turning to volume one of the *Guide*.

During the life of the League of Nations, United States research libraries were, at best, able to acquire only partial holdings of the league's publications, and then generally only those documents and serials offered for sale. Research Publications, Inc., was given access to sets of the league's publications located at the United Nations library in New York and the United Nations library in Geneva. The net result of this project is that Research Publications has been able to assemble a virtually complete set of league publications. The microfilm collection comprises over 25,000 documents of the assembly, council, and other organs of the league as well as

the principal serials published by the league.

The microfilm collection, consistent with the league's publishing system, is organized into the following eighteen subject categories—IA: Administrative Commissions; IB: Minorities; IIA: Financial Section and Economic Intelligence Service; IIB: Section of Economic Relations; III: Health; IV: Social Questions; V: Legal Questions; VIA: Mandates; VIB: Slavery; VII: Political Section; VIII: Communications and Transit; IX: Disarmament; X: Financial Administration of the League of Nations; XI: Traffic in Opium and Other Dangerous Drugs; XIIA: Intellectual Cooperation; XIIB: International Bureaus; XIII: Refugees; G: General Questions.

The quality of the films is worth noting. Research Publications was able to remove the binding from one set of the bound volumes and, hence, was able to produce good quality films of the complete text of a high percentage of these publications. There are, however, a few exceptions: occasionally a poor quality original (typewritten carbon copy) was filmed, and in several instances filming was done from a tightly bound volume from another set, resulting in films with gutter distortions and loss of text. The films are well targeted, which facilitates the identification of individual documents. The entire collection is available on 35mm roll film for \$8,900, and partial series are separately priced.

The three-volume bibliography to the collection, entitled *League of Nations Documents, 1919-1946; A De-*

*Library Resources & Technical Services*

*scriptive Guide and Key to the Microfilm Collection*, is being prepared under the editorship of Edward A. Reno. Corresponding to the collection, it is comprehensive in scope. Only serial publications are excluded from the *Guide*, inasmuch as serial titles were generally indexed on an annual basis. The introduction to the *Guide* contains a very useful account of the history of the league's publications as well as information on accessing the film collection. Researchers may wish to consult Hans Aufricht's *Guide to League of Nations Publications* (New York, 1951) for a more detailed explanation of the eighteen subject categories, noted above, of the league's publications.

Volume one of the *Guide* covers over 6,000 documents in subject categories IA-IV and is divided into two parts: (1) description of the documents by subject category, including a "Reel Index" to the microfilms, and (2) a consolidated documents "Number Index." Each document is separately listed under the official number assigned to it by the league. The entries include place and date of the controlling document, subject title of the document or document set, and a descriptive abstract and/or listing of the document. A full explanation of the terminology employed, such as "controlling document," and examples of each element in the entries are provided in the editor's introduction. The forthcoming volumes two and three are to present similar identifications and descriptions for subject categories V-XIII and G.

A random sample of the entries in volume one and the films indicates that the *Guide* is a highly accurate finding aid. The abstracts of the documents are concise and add to the research value of this bibliography. Research Publications, Inc., and the editor, Edward Reno, are to be com-

mended for undertaking this project and providing bibliographic access to this important collection of research material.—Donald F. Wisdom, *Library of Congress, Washington, D.C.*

Lancaster, F. Wilfrid, ed. "Systems Design and Analysis for Libraries," *Library Trends* 21, no. 4 (April 1973). 74p. ISSN 0024-2594. \$2.50.

In the introduction to this collection of papers on systems analysis and design for libraries, F. Wilfrid Lancaster observes that "systems analysis in this issue [of *Library Trends*] is treated as a management tool in its own right." He further quotes MacKenzie who characterizes systems analysis as

seeking out the fundamentals of a situation, and applying to their study rigorous scientific methods, with the aim of finding an optimal solution to the problems facing the manager.

While Lancaster "tried to gather contributions representing a roughly evolutionary approach to systems analysis and design in libraries," the papers tend to fall into one of two broad categories: those papers which consider the philosophical orientation and general methodology of systems analysis and design, and those papers which treat special aspects of the process of systems analysis and design.

Differences of opinion relative to the role, goals, and methods of systems analysis and design abound between papers. Such differences, however, are not unexpected since the field of systems analysis and design draws on individuals with widely varying backgrounds and interests. It is unlikely that a group of authors, with varying perceptions of what constitutes the essence of systems analysis and design, could be expected to provide a systematic and integrated view

of the subject without excessive editing. The views of different schools of thought (e.g., Mackenzie's emphasis on optimization as contrasted with Corey and Bellomy's "satisficing") should not be particularly distracting to the experienced systems specialist, however much they can be expected to confuse the inexperienced reader in search of *the way*.

While the issue is generally well edited, a curious inversion of the terms "design" and "analysis" appears in the title of the collection, and the paper authored by Corey and Bellomy has an omission in its text on page 536. In addition, if the papers were intended to serve as introductory readings, perhaps more care should have been taken to ensure the consistent use of specialized terminology in the papers.

Without considering each paper in detail, one may note an observation by Fasana which is worthy of note and comment. Fasana expresses the opinion that the

basic problem confronting libraries is the impact of rapidly accelerating change on an institution which has traditionally been slow moving and conservative.

Methods of introducing change in essentially bureaucratic organizations have occupied specialists in management science for a number of years. Toffler, in *Future Shock*, talks of accommodating change through organization by "ad-hocracy." Many specialists in management science have recommended the development of "temporary systems" for the same purpose. In both cases, the emphasis is placed on accommodating organizational change through the structure of project teams, or problem-oriented teams, composed of specialists who associate as team members only for as long as the problem remains unresolved. This purpose and organization is not un-

like that which has often been proposed by the systems team.

Systems analysis and design, and particularly the systems team, possess considerable potential for offering a hospitable environment for introducing change into the organization. In large part, this potential has remained unrealized in the library context because of the average librarian's lack of understanding of the role of systems analysis and design in the organization. Perhaps therein lies the major contribution which this collection of papers may make to the profession. Generally, the information conveyed is available in other sources scattered throughout the literature of librarianship. This collection of papers, however, represents a first attempt to examine a broad range of topics within a single, inexpensive, and readily available publication. At the same time, the authors seem to make a concerted effort to document what has commonly been called the "art" of systems analysis and design.

While the papers contain little new information for the experienced systems analyst, they will provide most librarians and library school students with a sound introduction to systems analysis and design in libraries.—*Thomas J. Waldhart, College of Library Science, University of Kentucky, Lexington.*

Dunkin, Paul Shaner. *How to Catalog a Rare Book*. 2d ed., rev. Chicago: American Library Association, 1973. 105p. ISBN 0-8389-0141-7. \$4.95.

More than twenty years have elapsed since the publication of the first edition of *How to Catalog a Rare Book*. During that time many changes have taken place in the cataloging field, not only in principles and rules but also in the priority given to cataloging departments in now strained library budgets. Dunkin

noted in his first edition that the kind of cataloging he advocated was seldom done. Recent financial restrictions have helped to ensure that his suggested practices, no matter how desirable they might be, could not be followed widely. By simplifying the requirements for title page transcription and notes, the new edition of Dunkin's work now presents means by which more detailed cataloging may be provided for rare books at less expense. At the same time, he updates procedures to agree with the provisions of the 1967 *Anglo-American Cataloging Rules (AACR)*.

The chief difference between the first and second editions can be found in the treatment of title page transcription. Dunkin has retained the discussion of his earlier method of quasi-facsimile transcription, and now refers to the "simpler transcription" of the first edition as "full content" transcription. New in the second edition, however, is the "calculated risk" technique, which he now advocates as an adequate form of transcription and preferable to quasi-facsimile. This new method produces a catalog record which is closer in punctuation and form to an ordinary record, but which retains the original spelling as it appears on the title page. The author statement is now transcribed according to *AACR* Rule 134, and abbreviations are used in the edition statement. Information which is judged to be nonessential to the identification of the work is omitted, the omission being noted by ellipses. The slight reduction in the amount of detail recorded produces the "calculated risk" that a reader may not be provided with some desired bit of title page information. In this same chapter, Dunkin also discusses the application of photographic techniques to produce a facsimile of the title page on the catalog card, but reports

that results so far have been less than satisfactory.

A second difference between editions is found in the treatment of collation by gatherings. While the author continues to advocate the format described in the first edition, he also presents a discussion of the "shorthand" collation developed by Fredson Bowers. Dunkin includes this presentation largely to aid the cataloger in consulting printed bibliographies which use this formula, noting that the use of arbitrary symbols in the Bowers "formulary collation" might not be understood by the ordinary users of the library catalog. Dunkin suggests that his form of collation is simpler to understand, takes up only slightly more space on the card than a shorthand collation, and eliminates the need for an explanatory reference to the collation. The instructions for the statement of pagination, which appear after the discussion of collation by gatherings, have been simplified to conform with *AACR* Rule 142A1b.

Dunkin retains the brief chapter, "Books about Books," and his very useful explanations of editions and formats. Other descriptive information and instructions remain essentially the same as in the first edition, although the treatments of contents notes and notes on the text have been greatly simplified. New in this edition are comments on broadsheets, full-page illustrations, and special practices in individual libraries.

The text is written in the clear and straightforward style for which the author is well known. The objectivity of his presentation of the differences between the Bowers method of collation and his own system is also noteworthy, especially considering the heated polemics of much of the literature of analytical bibliography. The typeface and format of the new

edition represent a considerable improvement over the smaller, hard-to-read typescript format of the 1951 edition.

The literature on rare book cataloging in libraries is relatively small. Dunkin has neither tried to establish a definition of a rare book nor has he focused on the argument over the need, or lack thereof, for detailed cataloging for rare books. Rather, he presents a useful, up-to-date manual for rare book cataloging, describing practices which can be easily followed in a contemporary cataloging operation. His informative book is a welcome addition to the literature of cataloging, and an important tool for the cataloger.—*Joel M. Lee, Donnelly Library, Lake Forest College, Lake Forest, Illinois.*

Middleton, Bernard C. *The Restoration of Leather Bindings*. (Conservation of Library Materials Series. LTP Publication no.18) Chicago: American Library Association, 1972. 201p. ISBN 0-8389-3133-2 (1972). \$10.00.

Bernard C. Middleton's *The Restoration of Leather Bindings* is the second volume to be published in the Conservation of Library Materials Series issued by ALA's Library Technology Program. It is a worthy successor, and more, of its predecessor, Carolyn Horton's *Cleaning and Preserving Binding and Related Materials*, whose usefulness to rare book librarians and restorers warranted a revised second edition in 1969. The distinguished advisory committee has again picked a winner, a volume whose interest will extend beyond this circle to artist-craftsmen, hobbyists, and general readers who are devotees of one of the most intriguing of the minor arts, bookbinding by hand. The author is a rare combination of

a practical restorer and a historian of binding techniques. His qualifications for both the practical and the scholarly approach cannot be faulted. As a practitioner of the craft, his career has included service in the bindery of the British Museum, the old and distinguished London bindery of Zaehnsdorf, and for the last twenty years in his own specialized business. He is also a teacher and examiner in the Royal College of Art and a Fellow of the Society of Antiquaries. To librarians he is best known as the author of one of the outstanding histories of bookbinding; an area, let it be said, where, until quite recently, old, poor, and pompous books heavily outnumbered works of accurate scholarship and research. Middleton's *A History of English Craft Bookbinding Techniques* (1963) dealt for the first time, as the foreword to the present volume reminds us, with binding history from the standpoint of technique and structure. Those who found it fascinating will not be disappointed by his second book.

The scope of this volume is indicated by the author's modest statement: "The purpose of a book-restorer, as I understand it, is to make worn or damaged books usable again, and to restore them as nearly as he can to their original condition, while at the same time prolonging their life as much as possible." Discussion is intentionally limited to books bound wholly or partly in leather, the type of binding prevalent in most rare book library collections today. The treatment of the leaves within the book has been deliberately avoided, as this "large and complex" subject requires a separate book. The foreword claims it to be "the first work, in English, at least, which describes the techniques of restoring leather bindings in sufficient detail that it can be called a textbook or manual." This can be

agreed to if we exclude some account in the classic work of Douglas Cockerell, *Bookbinding and the Care of Books*, and in Sidney M. Cockerell's *The Repairing of Books*.

The author describes the technical procedures involved precisely and in detail, clearly enough for both specialist craftsmen and amateurs, with due warning. Rare book librarians, who want to understand what is happening to their books when they deteriorate and when they have to be fixed, will also gain much valuable information; their knowledge and discretion, as well as the binder's, are needed. Some of the problems confronting the restorer deserve special notice. The tragedy of broken cords and hinges, which leaves an original binding in three pieces, is sadly familiar to collectors and librarians, because there seems to be no way to save the spines, often decorated with elaborate contemporary tooling. Most bookbinders give up at this point and completely "re-back." Middleton stresses that it is "very often possible as well as highly desirable" to preserve the spine, which is "often the most interesting and bibliographically revealing part of the binding." The method he recommends requires manual skill and practice, but it is welcome to know on such authority that the job can be done. The result is constructionally superior to the usual fraud of just glueing on a strip of new leather. Similarly, alternative methods to resewing the signatures, which involves the loss of collational evidence, are carefully explored and illustrated.

Sewing, historically very significant, is described in all its forms from the early raised cords, recessed cords, and stab-sewing to the modern and potentially destructive methods of oversewing and "perfect" binding with rubber or plastic adhesives. Li-

brarians who cannot distinguish between a "tight back" and a "hollow back" will now appreciate the difference in construction. The fascinating ornamental feature of the headband, both "true" and "false," warrants nine lines of entries in the index. Materials and tools, ranging from knocking-down irons to gravy browning, are carefully listed and described, although not laboratory tested as was the case in the Horton volume. Incidentally, the words "potassium lactate" should be engraved on the hearts of all rare book curators.

The underlying philosophy of this book is for restoration, functional and aesthetic, as against destruction and replacement, as practiced by library binders and regrettably by some independent craftsmen. Some of the latter regard repair as a sideline to their original work which requires little historical knowledge or taste. Middleton should convince them that this state of affairs can no longer be regarded as true, even if the increasing scarcity and value of early books have not made collectors, antiquarian booksellers, and librarians beat a path to their door. There is certainly a serious shortage of restorer-binders, and perhaps the lessons taught in this book will encourage some honest people to take up an honest livelihood.

In format the book is well produced and well presented. The "stable and permanent" paper, "Permalife" (developed with the aid of the Council on Library Resources), and the very generous margins give an opportunity for the individual owner to make his own annotations extensively. For a paperback it is well bound, and good gutters ensure it will be able to stand rebinding, as appropriate for this title. The illustrations by Aldren D. Watson can be rated excellent for draughtsmanship and functionality. Out of many examples

I would like to draw attention to the frontispiece, showing the parts of a hand-bound book, and the various form of headbands illustrated on page 108. The photographs, such as the leather samples on page 55, or the process of forming new slips shown on page 79 and the cover, are equally clear and informative.

If the Conservation of Library Materials Series continues to maintain the high standards reached with Horton and Middleton, librarians and craftsmen will be fortunate indeed. A new volume on the restoration of the interior of books—damaged and stained paper and plates—would be eagerly awaited.—*John R. Turner Ettlinger, Dalhousie University School of Library Service, Halifax, Nova Scotia, Canada.*

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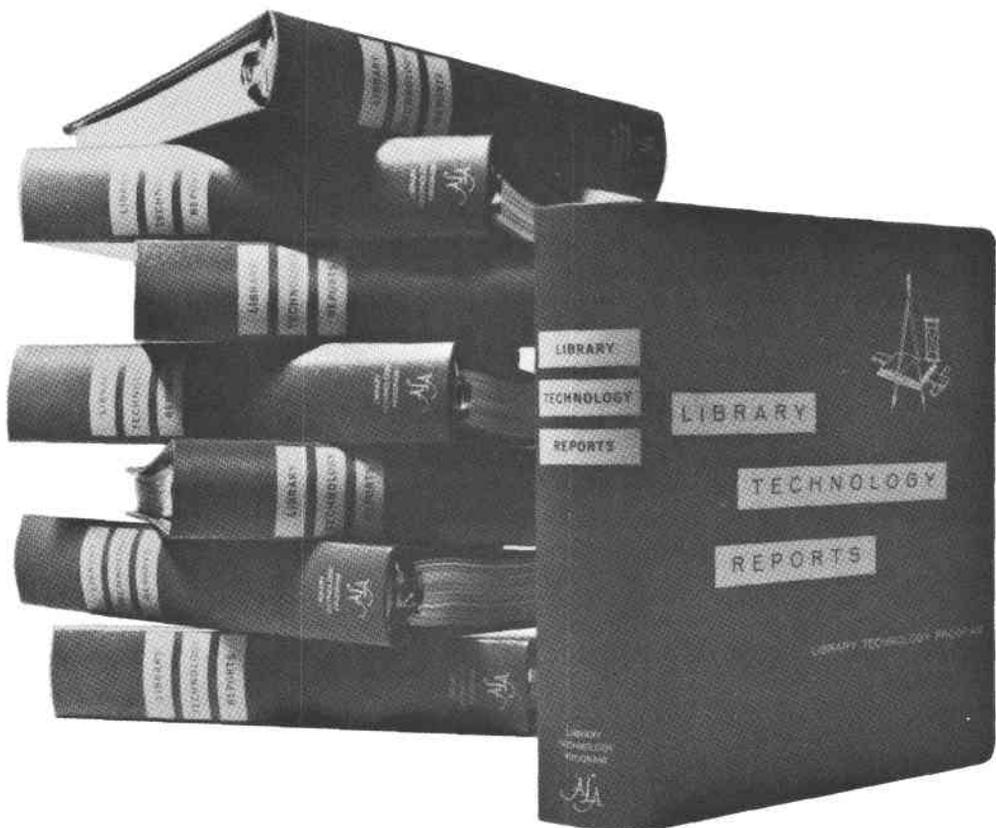
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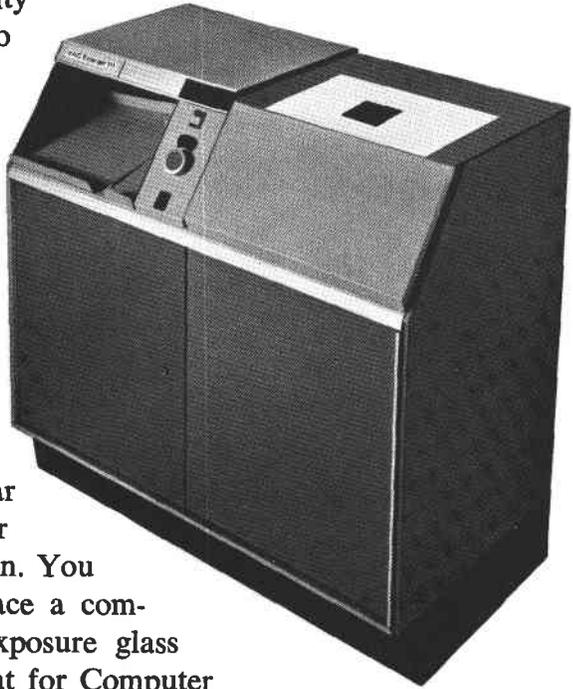
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