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CONTENTS

Page

The Future of the *Anglo-American Cataloging Rules (AACR)* in the Light of Universal Bibliographic Control (UBC). *Dorothy Anderson* 3

International Standards: The Road to Universal Bibliographic Control. *Elizabeth L. Tate* 16

International Standards for the Interchange of Bibliographic Records in Machine-Readable Form. *Henriette D. Avram* 25

The *Anglo-American Cataloging Rules:* A Historical Perspective. *Wyllis E. Wright* 36

The National Union Catalog Pre-1956 Imprints: A Progress Report. *Margaret PorterSmith* 48

The *Monthly Catalog*'s First Response to Its 1947 Congressional Charge. *John A. McGeachy, III* 53

Book Marketing and Selection: A Publishing/Library Forum. *Elizabeth A. Geiser, Alfred H. Lane,* and *Peter J. Jacobs* 65

Notes on the Author Notations and Tables Used in Library of Congress Schedule for Icelandic Literature. *Helen M. Kovar* 70

Resources and Technical Services Division: Annual Reports, 1974/75 73

Code Revision—A New International Standard 91

ISBD(S) Revision Meeting 94

RTSD Nominees—1976 Election 95

In the Mail 97

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The Future of the *Anglo-American Cataloging Rules (AACR)* in the Light of Universal Bibliographic Control (UBC)*

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The basis for the development of Universal Bibliographic Control (UBC) is international standards agreed and accepted so that the bibliographic records prepared in each country for its publications are accepted by other countries and can be readily interpreted. There is no international cataloguing code, but most current national codes have the Paris Principles as their basis. There are also multi-national codes such as the Anglo-American Cataloging Rules (AACR) *which is in use in all parts of the world in varying ways and for different purposes. The current trend in preparing international cataloguing tools such as* ISBD (M): International Standard Bibliographic Description for Monographic Publications *and* ISBD (S): International Standard Bibliographic Description for Serials, *which have been adopted in many national bibliographies and national codes, indicates that even if there is no international cataloguing code, yet the existing codes will be offering the same solutions. The authors of* AACR *in preparing the revised edition are asked to take its international use into account and in so doing will contribute much to UBC.*

LIKE ALL PROFESSIONAL PERSONS, we librarians walk within the perimeters of our own field and communicate with each other using our own vocabulary and the acronyms and initials that we have created to identify our aims and our tools. In the title of this paper are two sets of initials which belong to the world of librarians and information workers: the first, *AACR*, grown familiar to us over a period of eight years, represents something physical:—a book—something ordered —a set of rules—something limited in its application—pertaining to the

* Edited version of a paper presented at the American Library Association Annual Conference in San Francisco 30 June 1975; accepted August 1975.

world of the Anglo-American librarian. The other set of initials, UBC, is more recent in creation and stands not for an object but for an objective, embracingly and embarrassingly large, a concept which has as its aim "the promotion of a world-wide system for the control and exchange of bibliographic information."[1]

How then to relate the one, the physical object, with the other, the abstract ideal? Can we establish that a relationship between the two is possible, or already exists and is likely to develop? Let us take first the grand concept, note its base, its philosophy, its requirements, and then consider how *AACR*, the cataloguing code, can operate within the scope of UBC, how it can contribute to the development of an international communications network.

Universal Bibliographic Control is a grand name, but in its essence UBC is very simple: "The concept of UBC presupposes the creation of a network made up of component national parts, each of which covers a wide range of publishing and library activities, all integrated at the national level to form the total system."[2] Nothing very new or dramatic is expressed in this rather wordy statement nor is there anything revolutionary about plans to benefit international bibliographic exchange by improving national bibliographic control.

What has been new in the past four years has been the conscious application of the name "Universal Bibliographic Control" to a whole programme of international bibliographic projects, and even more important, the designation and the use of the initials "UBC" for that programme. Once these steps were taken, UBC became more than just projects and activities; it became an ideal and an objective.

For the International Federation of Library Associations (IFLA) the UBC programme has become a long term policy and a rallying cry, to reach out beyond IFLA to other international organizations and, more especially, to national library and bibliographic organizations. The UBC programme was first discussed in depth at the IFLA Grenoble Conference in 1973, and was then put forward in the IFLA paper prepared for the Unesco Intergovernmental Conference in September, 1974. At that conference, devoted to NATIS—the concept of national information systems—the objective of UBC was endorsed and recommended (Objective 14). Its advantages as a programme of action became obvious as the conference discussions progressed. NATIS, as delegates pointed out, requires establishment through legislation, governmental action, planning, before appropriate action can be taken. But "UBC requires . . . no legislative support and can proceed beneficially at any pace permitted by its national environment"[3] because it is made up of so many steps, large or small, which can be initiated by dedicated librarians as they see their country's needs and priorities. Indeed, any action taken at the national level to improve national bibliographic control will aid UBC and the international communications system which we are building. There is just one proviso—that action taken at the national level be in accordance with international bibliographic standards which are accepted and acceptable.

This is the simple but distinctive philosophy behind IFLA's programme: the recognition that each country is best qualified to identify and record its national publications. All countries have a contribution to make as component parts of the UBC system, and though that contribution may vary in size, there can be no distinction in quality. As a corollary, if bibliographic records are to be prepared following international standards, then IFLA must endeavour to promote work on such bibliographic tools as are required.

The decision of the IFLA Executive Board to establish the International Office for UBC as a means to implement its UBC policy followed naturally, taking as its nucleus the mechanism and the results of the IFLA Cataloguing Secretariat which had been set up in 1971. The UBC Office was to pursue the same functions as the Cataloguing Secretariat, but over a wider range of activities: the collection and dissemination of information, liaison and co-ordination among cataloguing and bibliographic organizations, acting as a focal point for action at the international level. On 1 July 1974, the IFLA UBC Office became operational, with financial support from national library and bibliographic organizations as well as a generous grant from the Council on Library Resources.

In this year there has been a great upsurge of interest in UBC, in projects that will promote UBC, and in the possibility of progress towards its objective. At the UBC Office—a small office; a small staff—we are very conscious of the increasing interest in IFLA's programme and our work and in the kinds of action that can be taken nationally and internationally. It is very noticeable—and very pleasant—the increasing busyness of our Office which seems to show that it is carrying out its functions as a centre for information and a clearinghouse for UBC activities.[4] For myself—and I have been associated with IFLA's work on cataloguing standards since 1958—I am constantly surprised at the increasing speed of development in international library work: there is a desire to participate in the work and, more important, a readiness to accept internationally agreed decisions.

The basis for the development of UBC, as stated, is international standards agreed and acceptable, so that the bibliographic record made in each country for its publications is accepted all over the world and can be readily interpreted. By 'standards' we are not restricting the choice to those which have received the approval of the International Organization for Standardization (ISO), but are considering also 'internationally accepted codes and practices'. Indeed, there are many bibliographic situations which require solutions which are too complicated and detailed to standardize in the ISO sense. No set of cataloguing rules, for example, no scheme of classification, could ever receive the stamp of approval from national or international standardizing bodies. Moreover, bibliographic situations are never static, and, as is well known to librarians, one can never anticipate consistency in publishing. Publishing is a creative operation and the publisher has the right to consider himself as an artist in producing his books. We must always be prepared to

accept the challenge of new forms of material in library collections, new problems in identification and description, with the resulting necessity to seek new solutions.

I have stated the UBC conditions here in a librarian's terms and from a librarian's point of view. But UBC is more than a librarian's ideal: the prevention of unnecessary duplication on the one hand, and the recognition of national experience on the other represent solid economic sense. For librarians the case for UBC was first stated in 1969 as a resolution of the International Meeting of Cataloguing Experts:

> Efforts should be directed towards creating a system for the international exchange of information by which the standard bibliographical description of each publication would be established and distributed by a national agency in the country of origin of the publication. The means of distribution in such a system would be through the medium of cards or machine readable records. The effectiveness of the system will be dependent upon the maximum standardization of the form and content of the bibliographical description.[5]

More recently, in September 1974, it has been stated just as emphatically at a symposium on national and international information systems: "Every effort should be devoted to eliminating needless duplication by promoting multiple use of a single intellectual analysis of the primary documents of the world."[6] For secondary services as in the library community, "Lack of compatibility exacts a price in wasted manpower, wasted money, wasted energy, and wasted time. And it exacts a price in imprecise and difficult communication when the information user cannot decipher a code or identify a bibliographic citation."[7]

All of us in the business of supplying information will agree, and our requirements for bibliographic control, national and international, are the same. In manual and in mechanized situations, in libraries and in information systems, we wish to avoid duplication and to search for compatibility.

International Standards in Cataloguing

For the past twenty years within the international library community we have been working to develop the basis for accepted international standard practices in cataloguing: for example, in agreeing on principles for establishing the choice of entry word and heading in catalogue entries (the Statement of Principles of the International Conference on Cataloguing Principles (ICCP), 1961, the "Paris Principles"); in establishing unique identification codes such as the International Standard Book Number (ISBN) and the International Standard Serial Number (ISSN); in establishing lists of uniform headings in specialist fields (liturgical works, anonymous classics); in creating standard bibliographic descriptions for materials found in library collections *(ISBD(M): International Standard Bibliographic Description for Monographic Publications* and *ISBD(S): International Standard Bibliographic Description for Serials).* At the moment there is a whole range of projects which have relevance to cataloguing in process of development within IFLA

and the other international bibliographic organizations (e.g., ISO/TC46, International Council on Scientific Unions/Abstracting Board, International Federation for Documentation, Unesco)—work on filing, on character sets, transliteration, language codes, classification.

But for the library community in considering the bibliographic record, the first essential is the cataloguing code. No international cataloguing code has been formulated as yet, but since 1961 at least twenty catalogue codes have been drawn up which have as their common basis the Statement of Principles agreed at ICCP. Among these are cataloguing codes which are used internationally.

AACR *as an International Code*

Such a one is *AACR*. From its origins, it is apparent that it is not an international code, and it was not the intention of its authors that it should be considered as such. Nor, in looking ahead to its revised edition which is planned for 1977, can *AACR* be an international code when it remains the editorial experience of North American and British librarians.

But it is used in all parts of the world. It is, indeed, a multi-national code as are two others: the new German cataloguing code, *Regeln für die alphabetische Katalogisierung (RAK)*, which has been drawn up by a committee which included representatives of the German speaking countries,[8] and the USSR code, *Edinye pravila opisaniia proizvedenii pechati dlia bibliotechnykh katalogov*,[9] which is used throughout the USSR, in Mongolia and in some libraries in Vietnam. The Russian rules, although drawn up before 1961, do not contradict the Paris Principles, and *RAK* in certain aspects follows more closely than *AACR* the Paris Principles and the subsequent recommendations of the International Meeting of Cataloguing Experts.

But of the multi-national codes *AACR* is the most widely used, and it is the concern of the international library community that the authors of *AACR*, in preparing the revised edition, should acknowledge this use and respond accordingly. Indeed, its authors have already done so, with the request of the Joint Steering Committee for Revision of *AACR* to the UBC Office to act as 'clearinghouse' in gathering comments and criticisms on *AACR* and information about its use.[10]

Some of the reasons for *AACR*'s acceptance and wide use are immediately apparent; others are more subtle, and hence more interesting. First and most naturally, it is used in English language speaking countries such as Australia, New Zealand and some of the territories of the Caribbean. Then there are countries in which library development has stemmed almost entirely from the practices and traditions of the United States or the United Kingdom.

The publication of *AACR* in 1967 was particularly timely, because it was a period when in many countries for the first time libraries were being established or were being given positive governmental support. It was natural that the new librarians who were required should be sent

abroad for their training and that on their return they should introduce the practices and rules with which they had become familiar. In Iran, for example, in 1968 of eight professional librarians in the country, seven had been trained in the United States: the introduction and adoption of *AACR* (North American text) in Iranian libraries followed.[11]

In other countries library practices have followed the educational pattern, and it was natural in a country like Korea, where there had been a strong American influence in establishing universities, that the libraries (e.g., Yonshei University Library) and library schools (e.g., Ewha Women's University) should follow American practices and cataloguing rules. Less happy have been the situations in countries and libraries where *AACR* and Anglo-American practices have been introduced not through the influence of national librarians, but because of the foreign 'expert'. I can remember visiting a Thai library which in its operations and the tools it was using seemed alien to its locale and its users' needs, because it had been set up by an American "expert" and left unchanged.

In countries with old established traditions of book collections but no librarians—such as Greece—it has been natural that professional expertise, including the necessary librarians' tools and literature, should be sought from those countries with a strong library profession.

Another variation in Delhi Public Library, which was established in 1950, with Unesco aid, as a model public library for India; here *AACR* (and Dewey) are used for the multi-script and multi-language collections.[12]

In Brazil the Cataloguing-in-Source Centres set up in 1971 adopted *AACR* from the beginning, and the most recent report, by Regina Carneiro and Marily Godoy Antonelli, has emphasized the reasons for that decision, asserting that use of *AACR* "extends the potential use of Brazilian cataloguing data beyond national boundaries and goes far towards bringing Brazil into the international bibliographic communications system."[13]

In considering *how AACR* is used, as opposed to *why*, we find varying patterns. In those countries where English is the only language, *AACR* can be considered as the national cataloguing code, accepted in its entirety (Australia and New Zealand, for example). In other countries, where one of the languages of the country is English and there is a heavy concentration of English language publications appearing on the shelves of libraries, it is used for English language material, but with local adaptations for publications in other languages. This is the pattern in Singapore, Malaysia, Hong Kong, where librarians have felt the need to adapt parts of *AACR* to suit the requirements of their kinds of publication or their languages. A further extension of this occurs in countries which have a national cataloguing code for their own publications and use *AACR* for foreign language imports; this is more common in Asian countries, for example, Thailand and Japan. The next variation is the use of *AACR* as a reference tool and aid to cataloguers, as is common in European libraries. In Belgium, the Netherlands, Switzer-

land, Yugoslavia, Poland, Romania, copies of *AACR* are at hand for cataloguers to consult.

AACR has also been translated by librarians into other languages. The full text has been translated into Persian so that it can be applied both in cataloguing Persian publications and those received from abroad, into French, and into Spanish and Portuguese, translations used in countries in South America. Parts have been translated into Japanese, Arabic, Korean and Greek.

The most significant development of all has been the adoption of *AACR* as the basis for the creation of new cataloguing codes. This has been the pattern in Scandinavia where the four countries agreed in principle at a conference in 1972 that new national codes would be drawn up on the basis of *AACR* (British text) and *ISBD(M)*.[14] The Danish and Swedish codes have already been published.

Criticism of AACR

This worldwide use of *AACR*—from Korea to New Zealand, from Finland to Ethiopia, from India to Guyana—is remarkable and is revealing. But the code has also been criticized: *AACR*, it has been said, is too sophisticated, too complex, to suit the needs of developing countries, both because their librarians cannot unravel elaborate *AACR* rules and because their publications do not fit the pattern of western publications. Backlogs of thousands of uncatalogued books, it is claimed, do not reach the readers because the cataloguers "are in the back too, puzzling over tortuous cataloguing rules."[15] But backlogs of uncatalogued books are not the prerogative of libraries in developing countries: much nearer home are libraries in so-called highly developed countries where the books are piled high awaiting cataloguing and the reason given is not that the cataloguers do not understand *AACR*, but that "We are short staffed."

Nor can it be accepted altogether that *AACR* does not suit the publications that appear on shelves in libraries in African or Asian countries. In many, such as university libraries, there is and will remain for a long time a high percentage of specialized textbooks (in medicine and engineering, for example) which are in the English language and have been published in North America or the United Kingdom. It is worth noting how low are the proportions of books produced in some countries and some continents: statistics for 1968 showed that Africa with 9 percent of the world's population produced only 1.5 percent of its books; only 20 of its 34 countries produced any books at all, seven of them publishing fewer than 20 titles annually, only five publishing more than 100 titles per year.[16]

But if we do not accept that *AACR* is too complex for most librarians to understand, yet we can emphasize that simplicity and clarity in the English text would assist cataloguers all over the world in its use. This has been one of the comments received from *AACR* users at the UBC Office: a request that the authors in preparing the new edition aim to im-

prove the English of the text. Other criticisms follow the same theme, and can be considered as straightforward editorial improvements: more examples in a wider range of languages, the compilation of a specific, in-depth index (this is stated to be the greatest need), the addition of transliteration tables.

Other comments on *AACR* reveal basic disagreements with its approach and some specific rules: that it deviates in some respects from the Paris Principles; that its approach to corporate authorship is too broadly based; that its concept of personal authorship extends too far; and that its approach to serials, especially with regard to entry under corporate body, is too difficult to follow and moreover does not fit current trends. The first three of these criticisms come from cataloguers in countries where *AACR* does not prevail and are very basic, being directed at *AACR* choice of heading; they also show how far we are from realizing an internationally accepted cataloguing code.

The fourth criticism is a view which has also been expressed by cataloguers in countries using *AACR* and deeply committed to its preservation and improvement: they feel that the authors of *AACR,* in its revision, should take note of international activities in serial recording and control.

At another level are the criticisms which the *AACR* authors may find it possible to consider in the new edition. For example, it has been pointed out that the use of the English form for headings of personal and geographical names is contrary to sections 7.1 and 9.44 of the Paris Principles which suggest original forms of names. The resolutions of the International Meeting of Cataloguing Experts, where the Paris Principles were re-examined, also recommended that the use of original forms of name be encouraged "in order to advance international uniformity."[17]

There are also a number of very specific criticisms of *AACR* which relate to chapter 2, "Headings for Persons," and to particular rules in that chapter. It is not surprising that some of the rules set down by *AACR* in 1967 do not find favour with librarians in various countries in 1975. In 1967 many countries were in the process of developing new library systems and there were few professional librarians. Eight years later, there is the solid basis of experience, maturity, more librarians, and a greater demand for exactness in identifying name patterns.

One reason has been the steady increase in the number of publications written by national authors and published in their own country. This has come about as a natural consequence of literacy and educational programmes, of the creation of book development councils (on which librarians are playing an active part), and in some measure as a consequence of International Book Year in 1972. For example, the first issue of *The African Book Publishing Record* in 1975 records details of 527 new and recently published books of 61 publishers from 17 African countries[18]—a far cry from the 1968 statistics.

Moreover, in 1975, it is acknowledged that decisions on name patterns and usage can only be made at the national level, and, as part of

the basic conditions of UBC, that a national library should establish the definitive forms of names for its national authors, both personal and corporate, and maintain authority lists. Hence responsibility for preparing rules for entry of national names follows, and librarians in a number of countries have been examining the existing *AACR* rules for their country's names in this light and commenting accordingly.[19] The final version of the rules for Malay names drawn up by the Singapore and Malaysian library associations arrived in the UBC Office in June 1975: the new rules are also being sent to the *AACR* authors in the hope that they will be included in the new edition.

But I should like to put forward another solution: I suggest to the authors of *AACR* that detailed decisions on entry for personal author names of every type in every country is outside their scope, and that in the revised edition rather than trying to legislate for all, they set down basic principles for name patterns and then make references to the source and availability of detailed rules for the names in particular countries, or as an alternative, to an authoritative work on the subject, such as the IFLA manual *Names of Persons,* which was produced in accordance with one of the resolutions of the ICCP as just such a solution. The 1967 edition is now, like *AACR,* out of date, and a new and more detailed edition is being prepared at the UBC Office which will cover a wider range of countries.[20] The suggestion that a new edition of this manual be prepared was made first in discussions at the Regional Conference on UBC held in Singapore in February, 1975, and again as a direct request from the British members of the Joint Steering Committee on *ACCR* at the Anglo-Nordic Seminar held in York in April, 1975.

There are clear indications that there is a strong desire in the library community to establish, if not an international cataloguing code, then at least some internationally-recognized standard of cataloguing practices. In 1973 Christiane Rageau of the Bibliothèque Nationale, Paris, carried out an investigation for the International Association of Orientalist Librarians, presented at the 29th International Congress of Orientalists, into the cataloguing practices followed in libraries with specialist Orientalist collections in Europe and in other libraries, both specialist and academic, modern and long-established, in Asian countries. On the basis of ninety replies, she says:

'Ce qui est apparu tout à fait intéressant, c'est la désir pratiquement unanime d'arriver à un accord sur l'établissement d'une norme internationale. Certaines reponses indiquent que le moment est venu d'étudier le problème, en fonction de l'ISBD.[21]

In analysing codes presently in use, she notes a clear preference for multi-national or national codes, and reports that several libraries indicated a willingness to change to an international cataloguing code when it appeared.

Eva Verona, Chairman of the IFLA Committee on Cataloguing, in commenting on the international use of *AACR,* has legitimately ques-

tioned the basis of the new edition even if revision takes into account comments on its use:

> *In the field of cataloguing there is still a great number of problems which have* not been sufficiently discussed at the international level and which are at present treated in a variety of ways. . . . Would it not be better to discuss these specific problems at international meetings before embarking on such a difficult and ambitious task as is the making of an international code.[22]

The USSR Cataloguing Committee cannot accept *AACR* in any way as an international code because it reflects the publishing practices and authorship relations which are prevalent in North America and the United Kingdom, *and they have also suggested working towards an international* code which would be based on firmly-agreed principles with details left to national cataloguing rules.[23]

I agree with Verona, with the USSR Cataloguing Committee and the *others who have voiced the same opinion: we should be seeking the basic* principles of agreement for an international code. But I fear that the search may take a long, long time and many, many international meetings.

The Degree of International Agreement

In preference, as a pragmatic solution, I believe that we should continue on the basis of the compatibility which already exists, the standards on which we have already agreed, and that in so doing we shall be augmenting the progress already made towards UBC. Let us consider how far we have reached in attaining an internationally agreed basis of cataloguing practice. As the foundation we have the Paris Statement of Principles for choice and form of headings and entry words. Then, and more valuable because they are cataloguing tools, not just sets of principles, are the standard bibliographic descriptions which have been developed since 1969.

ISBD(M) was produced as the recommendations of the IFLA Working Group in 1971 and was published in its first standard edition in 1974. In the short space of five years, it has been accepted in more than twenty national bibliographies, including, within the current year, those of Nigeria, the Philippines, Iceland and Yugoslavia. It has been introduced into a number of national cataloguing codes, including *AACR*, the *Regeln für die alphabetische Katalogisierung* and the Danish, Swedish, and Dutch codes. It has been adopted as a national standard (French standard AFNOR 244-050) and an outline *ISBD(M)* has been presented to ISO/TC46 for approval as an ISO standard. It has been published in translation as separate brochures in German, Danish, Finnish, Slovene, Serbian, Italian, Portuguese, Arabic, Russian, Korean and other languages.

Yugoslavia presents the outstanding example of a library community which has been prepared to change and adapt its traditional cataloguing practices in order to keep in step with developments at the international level. *ISBD(M)* has been translated into the languages of Yugoslavia and has been introduced into republic and national bibliographies; semi-

nars have been held to familiarize Yugoslav librarians with the new method of description. And the results? The reports from colleagues say there have been few problems, and the cataloguers found *ISBD(M)* easy to follow: "they like it."[24]

After *ISBD(M)* came the establishment of an IFLA Working Group to develop an ISBD for serials which would be compatible with *ISBD (M)* but which take into consideration the particular needs of the description of serials. *ISBD(S)* was published as the recommendations of the Working Group in 1974, and like *ISBD(M)* has been translated into a number of languages and introduced into national bibliographies. In discussions held during the IFLA Washington Conference in 1974, the IFLA Committee on Serial Publications expressed concern that the use of *ISBD(S)* in national serial centres side by side with the *Guidelines for ISDS* was resulting in variations in interpretation and was revealing gaps in detail. It was decided, therefore, that an ISBD (S) Revision Meeting, similar to that held for *ISBD(M)* in 1973, should be held in Paris in October 1975. On the basis of the comments and amendments agreed at that Revision Meeting we shall expect to produce a first standard edition of *ISBD(S)*.

Other IFLA Sections and Committees and other library organizations have seen the value in establishing standard bibliographic descriptions for particular kinds of material found in library collections. As a result two more IFLA Working Groups have been established, one for maps and one for non-book materials. In each instance when an official IFLA Working Group has been set up, care has been taken to ensure that one member involved in the original *ISBD(M)* participates in the new Group, and that the first premise of each Group is to keep compatibility with *ISBD(M)* in so far as the requirements of the material permit.

Other SBDs modelled on *ISBD(M)* have been drawn up by specialist groups: one for "Old Books" has been prepared by a group of French and German librarians and was examined at an ad hoc meeting in February this year. One for "Music" is in use for printed music in the *Bibliographie de la France*.

Looking to the future then, there is every prospect of cataloguing codes, whether national or multi-national, coming closer together because they will be based not just on a set of agreed principles but on accepted documents: we have mentioned ISBDs and those other initials, ISBN and ISSN, and there will be forthcoming results of other work in progress within ISO/TC46 and IFLA. If more 'standards' relating to specific areas of the catalogue entry can be accepted, we can envisage the possibility that although we do not have an international cataloguing code, yet we shall have a number of codes in which the same problems are given the same solutions.

We know that the authors of *AACR* are committed to producing the revised edition by 1977 and that to do this they cannot wait upon developments at the international level. But there is much that can be done in the revision which will please librarians in all parts of the world. Most important, one text: at the moment the situation is wasteful and

frustrating. In one small country, Singapore, the National Library uses *AACR* (British text) and the University Library uses *AACR* (North American text). A recent survey in New Zealand showed that 40 percent of the libraries used the North American text, 30 percent the British, and the other 30 percent were not sure which code was being used.

The authors of *AACR* have indicated their willingness to take into consideration comments made by *AACR* users, and it is apparent that the librarians using *AACR* in parts of the world outside the North American/United Kingdom communities have accepted, for their part, a responsibility to contribute to the revised edition. I have mentioned the new rules for Malay names which the library associations of Singapore and Malaysia have completed in time for incorporation into *AACR*. The attitude of the Scandinavian librarians who came to the Anglo-Nordic Seminar on *AACR* in April was also very constructive; *AACR* has meant a great deal to them and they have devoted much to *AACR;* they feel they have a stake in the new edition and would not like to learn that their views were not considered.[25] The same is true for librarians in Australia.

The authors of *AACR,* in considering international developments, can also contribute to that work. From its nature, international work is not fast, and the authors of *AACR* with their tight timetable will not be able to wait upon the completion of work in some problem areas—for example, studies in corporate authorship which may follow on the publication of Verona's work.[26] Instead, authors of *AACR* may like to think of their new proposals and new drafts for rules as contributions towards projects at the international level.

AACR in the eight years since publication has acquired a status and a value far beyond its origins. It is a multi-national cataloguing code, it is used internationally, and for librarians in many countries outside North America and the United Kingdom, it is now their code: in this sense, it has already become an international manual of cataloguing practice.

We hope, then, that the authors of *AACR* in the next two years will consider seriously the points we have made, take note of the views expressed by users, become familiar with the projects under way at the international level and react accordingly. A revised edition of *AACR* formulated with these points as a background to drafting and understanding will indeed contribute greatly to the development of our ideal of Universal Bibliographic Control.

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International Standards: The Road to Universal Bibliographic Control*

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The evolution of modern practices in bibliographic description is traced to provide a frame of reference for consideration of the new ISBD (M) International Standard Bibliographic Description for Monographic Publications. *The origin and objectives of the standard are discussed, and the American experience in its application is reviewed.*

AS THE BICENTENNIAL APPROACHES, the backward look has become fashionable. It is appropriate, therefore, to introduce the subject of this discussion by reminding you that George Washington in his first message to the first Congress asked for speedy action in establishing uniform national standards. Washington was not successful; nor were those of his successors who repeated his pleas in the early years of the Republic. As a consequence, prior to 1836 the man in Connecticut, when he bought a bushel of oats, received twenty-eight pounds, but the resident of New Jersey got thirty-two pounds, while the farmer in Missouri netted thirty-five pounds and the westerner in Washington Territory went home with thirty-six pounds.[1] Those were the days when the authorities in Brooklyn accepted as legal four different feet: the Williamsburg foot, the Bushwick foot, the United States foot, and the foot of the Twenty-Sixth Ward. It is reported that some strips of real estate in Brooklyn couldn't be taxed because different surveys made with these different units proved they didn't exist.[2] Units and their equivalents were particularly troublesome, as is apparent from a letter to the editor of *Science* written in 1892 by a professor at Rensselaer Polytechnic Institute. He complained that he had been interrupted one morning by a messenger with a telegram inquiring about the weight of a U.S. gallon

* Edited version of a paper presented at the Institute on International Standards as Related to UBC, San Francisco, 27 June 1975; accepted August 1975.

of water at sixty degrees Fahrenheit. Thinking the value easy to find, Professor Mason first asked the messenger to wait, but he discovered only "the greatest confusion" in the references he consulted. After several months of investigation he had found eight different answers, each from an authoritative source. Professor Mason solved *his* problem by calculating the weight anew and thereby added a ninth value to the list.[3] Take note of the professor's problem-solving technique, for librarians also have devised the same nonsolutions for cataloging problems.

Today a foot is a foot and if any Brooklyn real estate escapes taxation, it is not for that reason. But one cataloger's subtitle may be another cataloger's note, for cataloging is still an art and not yet a science. Its evolution into a science must be accelerated, however, if we are to meet today's global needs for information. To see how far the evolution has advanced, a brief historical review will be helpful.

Bibliographic Description in Early Catalogs

To the monks who prepared the catalogs of medieval libraries, problems of bibliographic description must have caused little anguish. The histories of their catalogs indicate that the author and title were quickly recognized as primary identifiers, but otherwise there was little description except perhaps the number of volumes or number of items in the volume, and the condition of the binding; sometimes there were special notes for books that were incomplete or imperfect. Some catalogs included the name of the donor, especially if further gifts were a principal aim. Other catalogs that served as inventories gave the monetary value of an item. In the thirteenth century the monks adopted the practice of including the opening words of a work and in particular of the second folio, as a means of differentiating copies, an effective method since two scribes were unlikely to have handwriting so similar that successive folios of each copy would start with the same words. In some of these monastic catalogs curious evaluations of the books can be found. The books in the library at Glastonbury Abbey were described in terms that translate from the Latin into descriptions like "good," "legible," "old," or "old and useless." The catalog of St. Martin's Priory in Dover signaled worn volumes with a phrase that means the books were deemed suitable only for wrapping up mustard.

Additional elements of description began to appear in the catalogs of the sixteenth century—first, for books not written in Latin the language was mentioned; later the names of editors and translators were added. Andrew Maunsell, that remarkable English bookseller who was one of the first to write down the rules he followed, included also the name of the printer or the person for whom the book was printed and the year. In the seventeenth century the most notable catalogs, at least in the Anglo-American tradition, were those prepared for the Bodleian Library at Oxford University. The correspondence between Sir Thomas Bodley and the librarian, Thomas James, reveals a recognition of the need for adequate and consistent bibliographic description, for Bodley

reprimands James more than once for his confusing method of listing items bound together in a single volume; for failing to list titles Bodley knew were in the library; and for omitting the place of publication, the year, and the number of volumes. From the point of view of bibliographic description, the first Bodleian catalogs were very simple, giving under the name of the author only a very brief title, an abbreviated place of publication, the date, and the size. The brevity may well have created problems, for in 1697 when the curators of the Bodleian asked the staff for suggestions, Humphrey Wanley, an assistant in the library, had this to offer:

> But a new Catalogue being a vast undertaking, too much caution cannot be used. One way of taking such a general Catalogue may be this. Suppose a dozen or more Learned men, who are likewise supposed to *know books* better than others, meet so many times a week, for a month or two, and consult together for the best method in placing the books, as whether it be best to place all books of a bigness together promiscuously, or all books of a Faculty, Science, &c. together, and that with respect to their heighth; or not, placing the different editions of every author together, the oldest, first. To consult whether books with gilt backs should stand with their backs out or not. . . .
>
> Whether particular notice ought to be taken of any different Readings, or other Learned Notes written in the books, by knowing men.
>
> Whether the Title & date of every book should not be expressed in the Language of the book.
>
> To consult about the Method of drawing up a Catalogue from the books so placed. As whether it be not the best way to express the book, that a Scholar may know what book is meant tho' he does not see the book it self. Whether when a book contains many different Tracts of several Authors, under one general Title, Every author & Tract ought not to be expressed in the Catalogue. Whether upon any General Head, or Author, the names of all those Authors or books that any way illustrate the others ought not to be carefully put down. Whether they ought not to say expresly such a book is a Folio, &c. Whether the names of eminent Printers ought not to be remembered with the Place, & year &c. . . . When a book has no Place or Date, whether it ought not to be put *sine loco, sine anno,* &c. Whether the First & Best Editions ought not to [be] marked. Whether the most rare books ought not to be distinguished, with a short note of the Price, &c.[4]

Wanley's proposals constitute a worthy precursor to modern code revision committee agendas and indicate the need in his own time for making and recording decisions about the content of entries. It is not surprising, therefore, that the late seventeenth and early eighteenth centuries saw the appearance of treatises on collection organization and tentative essays toward cataloging rules such as are found in the prefaces to catalogs. Although early in the eighteenth century a work was published in Panormi that has been described as the earliest cataloging code, the first national code of cataloging rules did not appear until 1791 when the French government issued a set of instructions for the reorganization of the various libraries that had been confiscated during the Revolution. Probably as an economy measure, the code specified playing

cards as the data carrier. The bibliographic elements to be mingled with the hearts, clubs, spades, and diamonds included first the title copied from the title page, with the author's name underlined, or a key word if there was no author. The place of publication, printer or publisher, and date followed. As appropriate, mention was made of the fact that the work was incomplete or had an unusual binding, and notations like "Gothic type," "Vellum," or "Illus." also were added. By the end of the eighteenth century, the brief author and title notations sufficient for monastic catalogs had required expansion to include some of the facts of publication, subsidiary authorship, and physical description, and the need for written rules had been recognized as the art of cataloging evolved.

Bibliographic Description in the Golden Age

A harbinger of the originality that was to characterize the development of cataloging in the nineteenth century appeared in 1821. Entitled "An Aenigmatical Catalogue of Books of Merit on an entirely new plan, by John Cole," it promised the ultimate in nonuniformity of bibliographic description. Cole's new plan called for entries in the form of riddles, one of which, for example, reads:

> The works of a man born at Elstow, within a mile of Bedford, in the year 1628. "His descent was," as he expressed it, "of a low and inconsiderable generation, his Father being an itinerant tinker, and his Mother of like rank."[5]

The name in the statement of authorship area, for those who haven't guessed, should be John Bunyan.

Fortunately, Cole's idea didn't catch on; instead shortly thereafter, Panizzi's very practical code appeared as a brief introduction to the 1841 catalog of the British Museum. Relatively few of the ninety-one rules relate to description, but they, along with the rules for entry, were transferred to the United States by way of Charles Jewett's *Smithsonian Report*. This event, which may be said to have inaugurated the golden age of cataloging, brings to mind Professor Mason and the weight of a gallon of water at sixty degrees Fahrenheit. Professor Mason solved the problem of too many values by determining still another value. Librarians likewise solved the problem of no standard code by multiplying codes. By 1900 an American cataloger had a choice of at least six different cataloging codes: Jewett's code, Cutter's code, Linderfelt's *Eclectic Card Catalog Rules,* Melvil Dewey's *Library School Rules,* Perkins' *San Francisco Cataloguing,* and the first edition of the American Library Association (ALA) *Condensed Rules.*

Though the elements of bibliographic description in these codes were in general the same, the rules offer interesting variations. The ALA *Condensed Rules,* for example, stipulates that the title should be an exact transcript of the title page, in no way altered except for the omission of mottoes, titles of authors, and repetitions.[6] Cutter, on the other hand, was of the opinion that "the more careful and student-like the

probable use of the library the fuller the title should be—fuller, that is, of information, not of words. Many a title a yard long does not convey as much meaning as two well-chosen words."[7] He advises catalogers to "omit puffs and many *descriptive words* which are implied either by the rest of the title or by the custom of books of the class under treatment, and those descriptive phrases which, though they add to the significance of the title, do not give enough information to pay for their retention."[8] Perkins liked the idea of omitting puffs and included a rule to the effect that a short word in parentheses should be substituted for a long phrase. As an example he cites the title "Practical directions for collecting, preserving, transporting, preparing and mounting diatoms," which he abridges to read "Practical directions (about) diatoms."[9]

Perkins regarded the edition statement as part of what he calls "Description." Cutter considered it part of the title, and Dewey allowed the option of including it with either the title or the imprint. If it was treated as part of the title, Dewey instructed that it be transcribed in the vernacular, but if it was part of the imprint, it was translated into English, no matter what the language of the title page, and all adjectives were to be omitted except "new," the abbreviation for "enlarged," and the number of the edition.[10]

The *Library School Rules,* like some of the other contemporary codes, called for the physical description of the book preceding the facts of publication. These rules provide a miscellany of terms for describing the illustrations. The cataloger engaged in what Dewey terms "exact work" is required to differentiate between a "group of portraits" and a "portrait of a group."[11] Most of these codes prescribe the same imprint data. The place of publication was mandatory, but it could be abbreviated to four letters, unless the name was unusual or ambiguous like Oquawka or Sibsagor, to use Perkins' examples. The name of the publisher was given only for rare books, but the date of publication and in some codes the copyright date were customarily required.

In the codes just described, though the variations are numerous, the instructions are reasonably specific. The Library Bureau at about the same time issued a pamphlet entitled *"How Shall I Catalog My Library?"* This pamphlet must certainly embody every cataloger's dream of freedom, for the rule for description reads: "On the first line write author's surname, followed by his given name or names; on the next line, the title; below, any data that you consider worth while. . . ."[12] Surely the catalogers of that era, like Professor Mason, must have concluded that laissez faire results in only the greatest confusion. The originality that flavors these nineteenth-century codes has advanced the art but not the science of bibliographic description.

Standards for Bibliographic Description

In the United States the proliferation of cataloging codes decelerated when the Library of Congress (LC) began its card distribution service, for centralized cataloging brings maximum benefits when standard

practices prevail. The ALA *Condensed Rules,* somewhat expanded, became the 1908 Anglo-American cataloging code, which received wide acceptance. Supplemented by rules on cards for many years, the 1908 code in turn was replaced by the 1941 code, less well received and no longer Anglo-American. Not long after the appearance of the 1941 edition, at a dinner meeting at the Harvard Faculty Club one Saturday evening, Andrew D. Osborn presented an invited paper to the Fellows of the American Library Institute. His paper, "The Crisis in Cataloging," voiced the concerns of many catalogers and administrators, including those at the Library of Congress, and sparked detailed consideration of questions of bibliographic description. One result, the *Studies of Descriptive Cataloging,* provided a rationale for the *Rules for Descriptive Cataloging in the Library of Congress.* ALA adopted these rules but decided to codify and reissue the 1941 rules for entry. The fact of that codification is well known and of interest here only because of the subsequent effort to revise the rules and make the code once again Anglo-American. This effort stimulated planning for an international meeting in Paris, a meeting that widened our horizons and made us aware that standardization within the boundaries of a single country is not enough.

Addressing the opening session of the International Conference on Cataloguing Principles in 1961, Sir Frank Francis spoke of a librarians' dream that had become an urgent need. The acceptance and use in other countries of catalog entries made in different countries he saw as a most promising route to improved bibliographic control.[13] Once again the infinite variety of cataloging practices was standing in the way of effective cooperation—cooperation that promised cost reductions for libraries and improved access to information for scholars. This time the dimensions of the problem were international.

The success of the Shared Cataloging Program, undertaken by the Library of Congress in 1966, demonstrated the feasibility of the ideas expressed by Francis. At the same time, work on the development of format recognition programs for creating machine-readable records was progressing, and these two factors quickened the desire to further the work begun by the Paris Conference. Accordingly, in August 1969 a meeting of cataloging experts was held in Copenhagen. The delegates agreed with a proposal advanced by Suzanne Honoré that "efforts should be directed towards creating a system for the international exchange of information by which the standard bibliographical description of each publication would be established and distributed by a national agency in the country of origin of the publication."[14] The delegates accepted either cards or machine-readable records as the means of distribution but identified as essential to the success of the system "the maximum standardization of the form and content of the bibliographical description."[15]

These provisions of the resolution are the essence of universal bibliographic control (UBC). The concept is simple: each national cataloging agency is to have primary responsibility for the bibliographic con-

trol of publications originating in that country. Each national cataloging agency is to acquire these publications and promptly prepare and distribute bibliographic records for them in either eye-readable or machine-readable form. As participation increases and the same titles need no longer be cataloged repeatedly in libraries around the world, resources can be deployed to improve bibliographic control at home and to encourage its expansion in emerging countries.[16]

Though several ingredients are vital to the realization of universal bibliographic control, one takes precedence over all the others. The first stepping-stone to UBC is "the maximum standardization of the form and content of the bibliographical description." The science, not the art, of cataloging can lead to UBC. The first standard to be developed was the one for the description of monographs, known generally as *ISBD(M)*. The cataloging experts entrusted it to a working group, under the chairmanship of A. J. Wells of the British National Bibliography. The working group prepared a preliminary edition which was issued in 1971. With some revisions, it was published as a first standard edition in the spring of 1974.[17] Since its first appearance, *ISBD(M)* has been adopted for use in some twenty national bibliographies, including the *Australian National Bibliography, British National Bibliography, Canadiana, Bibliographie de la France, Deutsche Bibliographie, Islensk Bókatíðini, National Bibliography of Nigeria, Philippine National Bibliography,* and the *South African National Bibliography.* The standard has been translated into at least fourteen languages: French, Hungarian, Dutch, Portuguese, Spanish, Russian, Croatian, Serbian, Macedonian, Slovene, Danish, Finnish, German, and Japanese, and other translations are under way.[18] Not even Coca-Cola became that ubiquitous within four years of its invention.

The Revised Rules of Description in North America

The list above has one very noticeable omission—the United States. The omission was intentional to allow more detailed discussion of the American experience with *ISBD(M)*. The international standard did not affect cataloging in this country until its provisions had been incorporated into a revision of the rules for description in the North American Text of the *Anglo-American Cataloging Rules.*[19] In September 1974 the Library of Congress adopted the revised rules for virtually all monograph cataloging except that already in the pipeline. Canada, incidentally, was more than a year-and-a-half ahead of us, having adopted *ISBD (M)* for use in *Canadiana* in January 1973. To introduce the revised rules, workshops and institutes have been held in Wichita, Kalamazoo, Tallahassee, Provo, and elsewhere throughout the country during the spring of 1975. Gradually *ISBD(M)* is changing the content of cataloging courses and the practices of catalog departments.

As a consequence of all this effort we now have three sources of information about the revised rules: the experience of LC catalogers who have been applying the rules for some time; the discussion of workshop

participants; and the questions referred to LC by the Catalog Code Revision Committee or sent directly by faculty members and practicing catalogers. Most of the questions, understandably, have related to elements that are new to American catalogers. Leaves of plates were a puzzlement initially, but catalogers have quickly learned this new method of accounting for the extent of the book. The printer's imprint and the Latin abbreviations were unfamiliar but seem to have been quickly assimilated. Generic titles in series statements have been a source of some uncertainty also; these rules, of course, are tentative and may require modification in the light of further development of the international standard for serials. The great majority of the questions have concerned "other title information" and statements of authorship. To organize these data, the new rules require the cataloger to make sharp, clear-cut differentiations never before deemed necessary and seemingly only dimly perceived by those who design title pages. Apparently this problem has been troublesome to catalogers in other countries also for the national bibliographies reveal varying interpretations. *ISBD(M)* has introduced another new approach into the revised rules, namely, the idea that the bibliographic description must be self-sufficient. Therefore, a statement of authorship is required if there is one in the book; it is derived preferably from formal statements in the book and it is not affected by the choice and form of the main entry. *ISBD(M)* has brought no radical changes; the inconvenience these modifications cause is a small price to pay for the standardization that will facilitate our use of cataloging from other countries.

Through the centuries the art of bibliographic description has evolved from the meager notations of the medieval monks, through the multiform entries produced by the codes of the golden age, to the organized data elements of *ISBD(M)*, easily identified by computers and people alike. If standards for bibliographic description can be internationally adopted and the art of cataloging become a science, universal bibliographic control may well become a reality.

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STUDY OF MICROFORM CATALOG DATA RETRIEVAL SYSTEMS

Library Technology Reports has published in its May 1975 issue an eighty-one-page study of microform catalog data retrieval systems which describes in detail the systems offered by Information Dynamics Corporation, Information Design, and Library Processing Systems. The May 1975 issue of *LTR* is available for $20 from the *LTR* office at ALA, 50 E. Huron St., Chicago, IL 60611.

International Standards for the Interchange of Bibliographic Records in Machine-Readable Form*

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The paper describes the work in progress toward an international machine-readable cataloging system and discusses the problems remaining.

KALTWASSER HAS PROVIDED a succinct statement of the goal of Universal Bibliographical Control (UBC):

> The guiding principle for UBC should be as follows: the information on a book should be produced as completely and correctly as possible at the earliest possible date. In the interest of speed, accuracy, and simplicity this should be done in the country of origin by the national bibliographies. The data should be made available in machine-readable form.[1]

We are concerned here with the latter aspect of the goal—making the data available in machine-readable form—and shall address both the requirements and the prospects for international standards for the exchange of bibliographic records in machine-readable form.

Following Kaltwasser, let us anticipate that the exchange of machine-readable cataloging data will be between national agencies and that each national agency will assume responsibility for distributing this data within its country.

The Library of Congress (LC) MARC service began with U.S. imprints in 1969, and was followed, during the period 1969–1973, by the planning, development, and implementation of national MARC services throughout the world (Australia, Canada, Denmark, England, France, Germany, Italy, Japan, Latin America, Norway, Sweden, etc.). During the same period of time, the structure of the MARC format (the physical representation of the information in the machine-readable medi-

* Edited version of a paper presented at the Institute on International Standards as Related to UBC, San Francisco, 27 June 1975; accepted August 1975.

um) became an American National Standards Institute (ANSI) standard in 1971 (Z39.2-1971) and the ANSI standard (with very minor modifications) was adopted as an International Organization for Standardization (ISO) standard in 1973 (ISO 2709). The majority of developing national formats adhered to this structure. However, the structure is only one of three basic components of a machine-readable record. The others are: (1) the content designators, which identify data elements or provide additional information about a data element, and (2) the contents, which are the data themselves (e.g., the author's name, title).

In addition to these components, a MARC record, regardless of what agency created it, has a defined character set for the encoding of data, and a defined set of codes for such items as language of the work, country of publication, etc.

A review of the various MARC formats reveals that, although in most instances the ISO format structure is followed, we are far from having achieved an international standard record. In practice, the specifications other than those relating to the structure of the record may vary from being almost alike to being almost completely different.

As examples, let us consider the specifications for a few of the MARC systems records:

1. LC/MARC records use the *Anglo-American Cataloging Rules* (North American text), following *ISBD(M): International Standard Bibliographic Description for Monographic Publications* rules for ordering and punctuation, LC subject headings, LC classification, and LC cataloging practices. A Dewey Decimal classification number is assigned for use by libraries classifying by this system. The record contains coded information originally defined during the U.S. MARC Pilot Project (1966–1968) for language, place of publication, etc. The character set is the expanded roman set established by the library, based on the ISO standard character set, and adopted as a standard by the American Library Association. The structure of the format is the ISO standard format.
2. Canadian MARC records also use the *Anglo-American Cataloging Rules* (North American text) and *ISBD(M)* has been incorporated into the cataloging procedures. LC subject headings and LC and Dewey Decimal classification numbers are assigned. In some instances, the subject headings and classification systems are expanded or modified to reflect Canadian requirements. The ISO standard format structure is followed, and the record uses both the code values as originally defined by LC for U.S. MARC and the LC character set. The major differences are in the use of more content designators than are used in the U.S.
3. UK/MARC uses the *Anglo-American Cataloging Rules* (British text). PRECIS subject strings, LC subject headings, LC and Dewey Decimal classification numbers are assigned. The ISO standard format structure is followed, the character set is the LC character set,

and the system employs the LC values for coded information. Again, the major difference is that more content designation is used than in the U.S. or Canada. Both the Canadian records and the U.K. records reflect the requirements of a bibliography as opposed to those needed for a library.

4. In the French INTERMARC system, the cataloging data follows the Paris Principles as well as *ISBD(M),* but the Universal Decimal classification (UDC) is used. The ISO standard format structure is followed; some of the LC code values are used and others are those prescribed by ISO standards. The LC character set is used, but additional characters have been defined. Content designation of data elements is far more complex than in any of the previously discussed systems.
5. German MARC records follow the *Regeln für die alphabetische Katalogisierung.* It is not clear from the available documentation what subject heading system or classification scheme is used. The ISO standard format structure has been modified, and the content designators are entirely different from those used in the systems described above. The character set follows the LC set, but different code values have been assigned to each character. The language code is a language abbreviation table developed by the Germans, and the country code is the ISO code (also used in French MARC records).

What does all this mean in terms of using these various data bases at any one national agency? Each data base received must be processed by a tailor-made program. Where the varying data elements, content designators, codes, and character sets are hospitable to machine analysis, the translation of these items into the national format can be made automatically. In other instances, human analysis, interpretation, and modifications will be necessary.

It becomes evident that realization of Kaltwasser's recommendation that cataloging data be available in machine-readable form requires international agreement on a set of specifications. Since this is a formidable task, let us examine the problems, review the state of the art, and explore the possibilities.

Problem: Varying Role of National Bibliography and National Library—Most major countries have a national bibliography as a functional entity produced by an agency other than the national library. In the United States, the Library of Congress book catalogs serve as one component of the national bibliography. Since a bibliography is functionally different from a library catalog, the content of its cataloging records is affected. For example, a bibliography is not required to catalog each record in relation to a collection, nor does it have to preserve continuity among headings beyond any given issue or cumulation. It may also list as separate entries items that would be treated collectively in a library catalog. These functional differences naturally affect the format and the content of the records.

Solution: There is none in the near term. The fact remains that both national bibliographies and national libraries are engaged in the international exchange of machine-readable data.

Problem: Lack of International Cataloging Standards—Machine-readable records as carriers of cataloging data are sensitive to these data. Although the *Anglo-American Cataloging Rules* have been adopted by several countries and progress is evident in adoption of the Paris Principles for the formulation of national codes, there are no internationally accepted cataloging codes and few generally agreed upon cataloging practices. The lack of cataloging standards creates major differences in MARC records produced by different nations.

Solution: Under the auspices of the International Federation of Library Associations (IFLA), considerable effort is being directed toward standardization in the area of cataloging. *ISBD(M),* establishing a standard description for book-form material as well as guidelines for the development of ISBDs for other forms of material, is evidence of this effort. *ISBD(M)* has been widely adopted internationally. However, standardization of choice and form of headings is a major problem for which there is no near-term solution.

Problem: Lack of International Subject Control System—There is no internationally accepted subject heading system or classification scheme. In the U.S., we use principally LC subject headings, Sears subject headings, LC and Dewey Decimal classification schemes. In Europe, the Universal Decimal classification appears to be the more popular classification scheme. In addition, the British Library is promoting the use of the PRECIS system. Although the National Library of Canada uses the LC subject heading system and classification schemes, adapted to Canadian requirements, and the *British National Bibliography* (now incorporated into the British Library) assigns LC subject headings and an LC classification to each UK title cataloged, it still appears safe to say that the assignment of subject terms and classification values does not lend itself readily to standardization.

Solution: There may never be a solution. Perhaps the best that can be hoped for is some kind of standard broad subject class assignment similar to the "Broad System of Ordering" or "Subject-Field Reference Code" currently being investigated by the International Federation of Documentation (FID) under contract to Unesco/UNISIST.[2]

Problem: Language Difficulties—The different languages used in entries, particularly in the subject terms and notes, have an impact on the international exchange of bibliographic data. Naturally, each national group prefers subject terms and notes expressed in its own language.

Solution: There is no alternative which is more effective.

Problem: Character Sets and Codes—Letters, numbers, punctuation, diacritics, special characters, etc., are represented in machine-readable form by a defined code associated with each character. To avoid a machine-readable Tower of Babel, interchange tapes must use an agreed-upon character set and the associated codes.

Solution: The work originally done at LC for a roman alphabet character set, including all romanized languages, has been used by many of the national agencies creating MARC tapes. Although there is an ISO character set, it includes only 128 characters. There is general recognition of the serious limitations imposed by this constraint and efforts are under way to use the basic character set with an already established, agreed-upon technique to expand the set to include not only all roman alphabets but also Greek, Cyrillic, African languages, mathematical symbols used in bibliography, and function codes required for bibliographic processing. This work is being done under ISO TC/46/SC4. Needless to say, there are other languages requiring standardized character sets for interchange purposes such as Hebrew, Arabic, Japanese, Chinese, and Korean. The definition of the character sets for these languages is of another order of complexity, but the problem must be approached and resolved.

Problem: Nonroman Alphabets—We have always been faced with the problems of the nonroman alphabets. When machine-readable records of other countries are to be used, this problem is magnified. Most of the large research libraries of this country have accepted the romanization schemes adopted by the Library of Congress, but other countries use different schemes. Thus, using their records for nonroman languages would entail either accepting the existence of several romanization schemes for the same language or converting their romanization schemes to ours. This process would probably require human inspection in many cases because there may not be a one-to-one relationship between the schemes. Romanization may be a problem without solution unless we face up to the fact that the only solution may be to use the vernacular. In certain countries, separate catalogs are maintained for each vernacular, assuming that the user is familiar with the language of the catalog. The limitation is less on the definition of codes to represent the characters in machine-readable form than on the output of the characters to make them human-readable. With the advent of nonimpact printers and photocomposition devices, this limitation is being removed. There still remains the problem of the Far Eastern languages with their tremendously large character sets.

Solution: A great deal of work has been in progress for years in various committees of ISO. There has been no overall international romanization agreement. Where agreement has been reached, the ISO standards differ from the LC method. The problems of romanization lie in the complexity of language itself. The problems associated with using the vernacular require intensive study, from the point of view both of machine manipulation and display and of the organization of catalogs.

In summary then, the many events in the last decade or so have laid the foundation for universal bibliographic control. The Paris Principles set the framework for an international cataloging code and progress is evidenced in the formulation of national codes based on these principles. *ISBD(M)* established a standard description for book-form ma-

terials as well as providing guidelines for the development of ISBDs for other forms of material. The ISO standard for bibliographic information interchange on magnetic tape provided a standard format structure for the exchange of bibliographic records in machine-readable form. However, the problems described still result in a significant lack of standardization in the data content and the content designation of the bibliographic records.

Work on Content Designators

Recognizing the difficulties for the international exchange of records created by this lack of standardization, IFLA established a Working Group on Content Designators in 1973, under the auspices of the Committee on Cataloguing and the Committee on Mechanization. The charge to the working group was to arrive at a standard set of content designators for different forms of material for the international interchange of bibliographic data in machine-readable form. The working group decided it would limit its scope to the requirements for the library community, that is, libraries and national bibliographies. The magnitude of the assignment was such that it appeared unwise at the outset to consider the needs of other bibliographic agencies such as abstracting and indexing services. However, liaison was established with an ISO counterpart (the Working Group on Content Designators, ISO TC 46/SC4/WG2) as well as with the UNISIST Working Group on Bibliographic Data Exchange.

The working group first agreed on the definition and function of each type of content designator (tags, indicators, and subfield codes), and then formulated a set of basic principles upon which the international standard would be built. Since detailed analysis of the data content required for the bibliographic description of a form of material must precede the assignment of content designators, the working group decided to include only those forms that had received such detailed analysis, namely, monographs, serials, films, maps, and music. Although manuscripts had been analyzed in detail, this form of material was considered less critical for exchange purposes and so did not receive priority treatment.

Early in its deliberations the working group realized that the international communications format to be designed would be a common denominator among national agencies. The lack of standardization in cataloging codes and practices as well as in subject systems prevented the design of an international format that could be adopted by national systems without modification. Consequently, the basic premise was that each national system must maintain its own national format for use within its country and translate to and from the international format for international exchange. The philosophy behind the design was to do the "do-able."

The resulting international format is in the nature of a compromise. The fields of the bibliographic record are divided into functional blocks

(see Appendix). The functional blocks define the function performed by the data elements in the record for the work. For example, the identification block includes all the elements that uniquely identify that work, e.g., International Standard Serial Number (ISSN), International Standard Book Number (ISBN). The intellectual responsibility block contains all names, both personal and corporate, concerned with producing the work. The descriptive block contains all elements now covered by the *ISBD(M)* except notes. (The working group was aware that an accepted ISBD presently exists only for monographs and that modifications to the international format, which is intended to be applicable to monographs, serials, films, maps, and music, may be necessary as other ISBDs are developed and accepted. The group worked in the context of *ISBD(M),* recognizing that the order of elements and punctuation may vary in later ISBDs.) Since *ISBD(M)* uniquely identifies a work without the addition of headings or subject designation, it serves as a stand-alone record which can be considered a base record. This *ISBD(M)* base record will be of great value internationally.

The content designators assigned to the data elements comprised by ISBD are standard throughout all records in the international format. For those areas where complete standardization is not yet possible (and, in some instances, may never be), broad standard content designators have been assigned to identify a field for international exchange, but the field will also include whatever explicit content designators were assigned by the originating national agency. This part of the record can be used or deleted at the option of the receiving national agency. It was the opinion of the working group that, since this data had been encoded by a national agency, the data should be retained as given for possible use by the receiving agency.

In summary, a record is made up of two major parts: (1) the standard bibliographic description given in *ISBD(M)* order and containing *ISBD(M)* punctuation and (2) the headings, subject terms, etc., which reflect national usage. Standard content designation will be used in both parts, but the second type of data will also contain elements of the content designation of the national format.

The MARC International Format assumes the utilization of standards already in existence, namely the ISO format structure, *ISBD(M)* and the developing ISBDs for other forms of material, and the ISO codes for the representation of names of countries, etc. It is important to note the significance of *ISBD(M)* in the design of this format. Without *ISBD(M),* it is highly improbable that progress could have been made.

The format takes into consideration work in progress in IFLA and ISO for such elements as an intellectual level code, a language code, a media code for nonprint material, and suggestions are made for an interim solution until a standard can be established.

One significant problem remaining unsolved at this time is the means of showing the relationship of one bibliographic entity to another.

Three general categories of relationship are involved:

1. Vertical—the hierarchical relationship of the whole to its parts, such as a single volume of a multivolume set.
2. Horizontal—the relationship between versions of a work in different languages, formats, media, etc.
3. Chronological—the relationship in time between issues of a work, e.g., the relation of a serial to its predecessor and successor.

At present, there is not agreement on how best to record this information in machine-readable form. Three of the methods currently in use are:

1. Place the information on the related work in a single field within the record. Thus, different volumes of a multivolume set may be recorded in a contents field.
2. Use a separate record for each related work. The description of the multivolume set is contained in one record and as many other records as needed are used to describe each volume of the set. The individual records are linked by some common identifier.
3. Use a single record made up of subrecords for each related work. The description of the multivolume set makes up one subrecord and a subrecord is used to describe each volume of the set.

The working group realizes that whatever method is finally agreed to, the national agencies must have the authority to record the data in a manner appropriate to their cataloging practices.

A provisional draft of the international format has been distributed to agencies all over the world by the IFLA Office for UBC, comments solicited, and an open meeting will be held in Paris in October 1975.

The problems and work in progress described up to this point address substantive issues of the records themselves. There are other issues for an international MARC exchange which may be classed in two general categories: (1) exchange agreements, and (2) maintenance.

Exchange Agreements

In the international MARC community, discussions have always been limited to the exchange of machine-readable bibliographic data among national agencies to be used for the internal processing of those agencies as well as for distribution to libraries within each country. Exchange among national agencies was formally discussed at one international meeting, the Banbury Conference, attended by the Western European nations in May 1974. At that time a resolution was passed that a permanent organization be set up to administer an international MARC network. To date, such an organization has not come into being. However, there are negotiations going on between agencies for the exchange of tapes. It should be noted that the present exchange situation is plagued by most of the problems discussed in this paper which stem from lack of standardization. Another significant problem is the lack of agreement on the protocol of exchange. There are national agencies interested in exchange between the agencies (normally suggested to be at no cost) but

with exclusive clauses attached to the agreement. For example:

1. Only the national agency of a country is permitted to distribute records of other countries and any public or private organization desiring the tape records must go to the national agency.
2. The distribution of records of other countries outside of any one country requires an additional agreement between the two agencies concerned.
3. Distribution of records within a country is limited to public organizations.

The exclusive clauses bring up many interesting issues not yet resolved:

1. How to proceed when, within a country, the national agency's records are copyrighted.
2. How to proceed when, within a country, all records distributed are in the public domain and can be used by the public or private sector as desired.
3. How to prevent tape copying, that is, the problems associated with monitoring all organizations purchasing records to guarantee that these records are not copied and given or sold to another organization in or out of the country.

In the case of LC, some of the issues described above create an additional measure of confusion and difficulty. Under its shared cataloging program, LC tapes today already contain records from other countries in which the description is accepted and LC headings, classification, Dewey Decimal classification, etc., are added. This will be true in the future when the records in machine-readable form from other agencies are used in LC's processing system. Internationally, LC could only distribute U.S. imprints and would have to discontinue any other service to any foreign country's libraries. This has several disadvantages:

1. Some organizations prefer all records from the LC tape because of their consistency.
2. Since a national bibliography converts only the records of the imprints of its country to machine-readable form, only LC tapes (as LC/MARC expands) will have the foreign imprints that are not yet covered this way. Eventually, other national bibliographies will provide tape services; however, the coverage will be incomplete for many years to come.
3. LC considers its distribution service within the U.S. to be in the public domain and no limitation is imposed.

To date, the Library of Congress has formalized an agreement with the National Library of Canada (NLC) and the Bibliothèque Nationale (BN) in Paris and is negotiating with the National Library of Australia. In the case of the LC/NLC and the LC/BN agreements, imprints of the respective countries will be exchanged without cost and on a nonexclusive basis. The agreements include the right to augment or modify the bibliographic data contained in the foreign records for titles cataloged by the national agencies, and to distribute the augmented or modi-

fied records to private or public organizations anywhere in the world. In addition, the foreign records may be distributed to any agency in the country whether or not the titles represented by the records have been cataloged by the agency and the agencies are at liberty to reformat all records to make them consistent with the national format of that country. Both NLC and BN may purchase LC tapes for all non-U.S. imprints included in the LC/MARC Distribution Service. If, in the future, in the context of Universal Bibliographical Control, it is agreed on a multilateral basis that countries will only exchange their own imprints, then the LC/NLC and the LC/BN agreements will be terminated and negotiations for a new agreement begun.

Maintenance

Code lists for countries and languages, geographic area codes, and chronological coverage codes have to be augmented by new entries from time to time. The Library of Congress maintains its own list for libraries in the U.S. and elsewhere in the world which use LC tapes or LC code values. Those codes established as ISO standards are maintained by an organization assuming that responsibility. However, there is no international secretariat responsible for maintaining lists and distributing information about codes that are not yet ISO standards. Moreover, no machine-readable format for cataloging data remains static. Changes are required to reflect changes in cataloging rules and subject and classification systems, or to provide better methods of representing information. These changes must be documented and publicized. Consequently, it appears that, for an international MARC exchange to operate effectively, some agency must assume this responsibility. As the international system grows, this function also will grow and must be funded and staffed.

Certainly it has been accepted that, in the interest of economy and speed, we need to use the cataloging records of other nations. The LC Shared Cataloging program has demonstrated the feasibility and utility of this approach in the U.S. Likewise, as we strive to share resources by automated means, substantial benefits will accrue to those national agencies responsible for the distribution of machine-readable bibliographic data in their countries. Although there are problems yet to be resolved, the growing awareness of the importance of standards to make exchange efficient and economical and the support given by IFLA to UBC creates the environment necessary for success. With the work of the last decade as a foundation, we will continue to make the modular improvements that will promote efficient interchange while learning to accommodate those differences that it is not possible to resolve.

REFERENCES

1. Franz Georg Kaltwasser, "Universal Bibliographical Control (UBC)," *Unesco Bulletin for Libraries* 25:252 (Sept./Oct. 1971).
2. *UNISIST Newsletter* 3, no. 2:5.

APPENDIX

Functional Blocks of the MARC International Format

Identification Block: includes those elements that uniquely identify the record (e.g., control number, ISBN, ISSN).

Coded Information Block: includes fixed field data (frequently codes) describing various aspects of the work.

Descriptive Block: includes those areas now covered by the ISBD (i.e., title, edition, imprint, collation, series) with the exception of notes.

Notes Block: includes free text statements describing various aspects of the work. In a few cases, the notes may follow a predefined format (e.g., contents notes).

Linking Entry Block: includes standard links in numeric and textual form to other records (e.g., ISBN, ISSN, key title, series added entry, author/title added entry). In addition, the block may include the local control number of a related record.

Related Title Block: includes uniform titles, variant titles appearing on the piece, translated titles, etc., to be used as access points. These titles do not form links to other records.

Subject Analysis Block: includes both systematic or verbal subject identification (e.g., UDC, PRECIS, Library of Congress subject heading). Personal and corporate names used as subjects will appear in this block.

Intellectual Responsibility Block: includes personal names and name of corporate bodies. These names which will be identified as personal, family, corporate, or meeting, with the further refinement of having primary, alternative or secondary responsibility. A code will be used to show the type of responsibility in more detail, e.g., editor, compiler, translator, etc. These fields will also contain the content designators and punctuation as supplied by the issuing agency.

Reserved for Future International Use Block: includes a field defined for recording the agency responsible for the cataloging, i.e., a cataloging source field.

Local Use Block: reserved for local use.

The *Anglo-American Cataloging Rules:* A Historical Perspective*

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The history of the development of the Anglo-American Cataloging Rules *is a record of some successes and some failures in the attempt to produce a rational and efficient code. There is still a generous opportunity for improvement, an opportunity which should be utilized as we move into a new era of computerized catalogs.*

THE HISTORY OF ANGLO-AMERICAN COOPERATION in the preparation of cataloging rules now covers a period of seventy years, dating from the request received by the American Library Association (ALA) in October 1904 from the Library Association, looking to the preparation of a joint code of rules. The early part of this period is not of great interest to us here, but I should like to review briefly the development of the so-called "second edition" of the ALA cataloging rules of 1949, since there was an almost continuous process of code revision from 1930 to 1967, and the history of the first half of this period influenced some of the decisions made in the second half.

After the appearance of *Catalog Rules: Author and Title Entries* in 1908, there was no official action for additions or changes for over twenty years. During this period each library adopted new practices as it found need. The Library of Congress (LC), in particular, found many revisions, clarifications, and additions necessary. These were printed in card form and distributed to other libraries for their information and guidance. By 1930 most catalog departments and many catalogers had a sizable file of "LC card rules" on hand, in addition to any local additions to the official code. In that year the Committee on Cataloging and Classification of ALA suggested the advisability of a revision of the 1908 rules to include the new rules of the Library of Congress and others. The need for a new official code was particularly pressing because

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of the great growth at that time of cooperative cataloging among the larger libraries. A Catalog Code Revision Committee was created, at first as a subcommittee of the Committee on Cataloging and Classification and in 1932 as an independent committee of the American Library Association, "to make necessary revisions in the ALA Catalog rules with authority to cooperate with the Library Association of Great Britain and with such other national library associations as it might think appropriate."[1]

From 1930 to 1935, some slow progress was made. The general direction which the revision should take was discussed in various regional groups of catalogers, and the committee, meeting at annual conventions of the association, adopted some rules. No funds were available for the work, which depended on the leisure to be found by volunteer workers. In 1936 a grant from the Carnegie Corporation enabled the committee to secure an executive assistant to devote full time to the task and the work began in earnest. Special subcommittees were formed to consider problem areas, such as anonymous classics, societies and institutions, religious headings, etc. Also in 1936 the Library Association appointed a committee to join in the work of revision. For three years it was an Anglo-American undertaking, but with the outbreak of war in 1939, the British were forced to abandon their efforts, and the eventual publication became the "ALA Cataloging Rules" rather than a joint production.

With the various subcommittees working out the rules for their individual sections; the general committee going over other parts of the code; the executive assistant editing the results, submitting drafts for consideration, and reviewing the comments received from committee members; and an editorial subcommittee giving a final polishing to the rules, the work now moved forward rapidly. In 1941 a preliminary edition was issued for consideration by the profession before final adoption.

A deep-seated conviction, based on years of experience, that the 1908 rules did not cover enough of the situations encountered by catalogers in their work and that the great need was expansion of the rules to cover more special cases, had inspired the work of the committee. The result was a code of highly detailed rules, drawn from a variety of sources—the 1908 code, the LC card rules, special rules from other libraries, and rules newly brought forward by members of the committee. The sheer size and complexity of the proposed code alarmed catalogers and administrators alike. Andrew Osborn gave eloquent voice to the dissatisfaction in his paper "The Crisis in Cataloging."[2] A committee on the use of the code was appointed by the ALA Executive Board to consider the criticisms, and in 1944 this committee recommended that Part I of the code, covering rules for entry and heading, be revised in the light of the criticisms received and that Part II, covering the rules for description, be scrapped. In 1946, Clara Beetle was appointed editor for the revision of Part I, with directions to simplify the rules, remove inconsistencies in the treatment of similar materials, and rearrange the order to emphasize

basic rules and principles. The resulting code was published by ALA in 1949.

In the meantime, the Library of Congress had undertaken to prepare rules of descriptive cataloging for its own use and the use of such other libraries as might desire to adopt them. The work began with the preparation and publication of *Studies in Descriptive Cataloging,* an investigation of the necessity for various sorts of description in library catalogs. This was followed by the convening of a group of experts to prepare the simplest code of descriptive rules which could meet the established needs. Members of the staff of LC appeared before various regional groups to explain what was being done. In 1949 LC published its vastly simplified rules for descriptive cataloging, which were received with general satisfaction by the profession.

The success of the simplified rules for description led to the hope that a similar simplification of the rules for entry and heading might be possible. In 1951 the Policy and Research Committee of the Division of Cataloging and Classification asked Seymour Lubetzky, who had worked on the *Studies in Descriptive Cataloging,* to prepare a critique of the 1949 rules for author and title entries. The result was his *Cataloging Rules and Principles,* which gave a devastating picture of the inconsistencies and inadequacies of that code. At the annual meeting of 1953, the division appointed a Catalog Code Revision Planning Committee, with representation from the Executive Board of the division, the Descriptive Cataloging Committee, and the Board on Cataloging Policy and Research. This Planning Committee reported at the Midwinter Meeting of 1954 and recommended that a full revision of the 1949 code be undertaken.

The recommendation of the Planning Committee was accepted, and as a first step a Steering Committee, composed originally of five members and eventually enlarged to nine, was appointed. Mindful of the gap between catalogers and other librarians which had resulted in the rejection of the 1941 draft rules, the Executive Board of the division also appointed an Advisory Board made up of administrators, reference librarians, and others. Since this Advisory Board was appointed by the Division of Cataloging and Classification, it did not, in practice, provide the continuing communication between catalogers and other groups which was desired, and in 1961 the then Cataloging and Classification Section invited other divisions and associations to appoint their own representatives as consultants to the Catalog Code Revision Committee. With the appointment of these consultants a very fruitful two-way communication and partnership prevailed during the later phases of the work.

During its first year, the Steering Committee was engaged in two tasks. One was the recommendation to the division of the names of members for the general committee. We also, in imitation of the committee of the 1930s, arranged for a number of subcommittees to cover special subjects, but this was an example of the generals planning the

last war. In the development of *AACR*, we were not assembling one code out of a large number of rules but trying to develop the rules from principles previously agreed on. Consequently these subcommittees were less active with us than their counterparts had been in preparation of the 1941 draft. The general committee had at first sixteen members but was gradually changed and enlarged until the final roster contained twenty-three names.

The Steering Committee also prepared a *Statement of Objectives and Principles for Catalog Code Revision*, in which we tried to present the general principles on which the revision would be based.[3] We accepted the general principle of past codes that the catalog should both identify a particular book and assemble the works of a particular author. The effort to maintain these two aims in approximately equal balance caused many hours of discussion. We accepted the idea that the fundamental basis for the organization of the catalog was the recognition of authorship, although we recognized that some nonauthor headings (other than titles) might be necessary. During the ten years of discussion of the rules, some of us were convinced by the arguments of Seymour Lubetzky that such nonauthor headings were illogical and unnecessary, but we were not able to convince the majority of the committee on this point.

We also stated at the beginning that we hoped to prepare the best code possible, without regard to past practices or to the cost of altering the entries already in the catalog. Practical concessions to cost factors, if needed, would be made deliberately at the end of the enterprise. To some degree we succeeded in this course, although it was at all times difficult to keep the discussions at committee meetings from straying away from What should be done? to What can we afford to do? Practical considerations were invoked in the later stages of the revision and had considerable effect on the final rules.

One development that we did not foresee at the beginning but which arose in the course of our work was that we had to shift the emphasis from the proper treatment of classes of publications, of persons, and of organizations to the proper treatment of types of authorship or types of names. Our position was that in using *AACR* the cataloger should not be required to ask, What kind of work is this—a dictionary, a libretto . . .? or What kind of person is this—a bishop, a married woman . . .? or What kind of organization is this—a bank, a library, . . .? The rules were designed, instead, to require answers to the questions Is this a work of single or multiple authorship? Is this a person who uses a simple name or one made up of separable parts? Is this organization's name one which is identifying and individualizing in itself, or must it be subordinate to some other name for intelligibility? This marks perhaps the main difference between *AACR* and its predecessors.

We did not, in those days, question the principle that authorship should be the fundamental basis for the organization of the catalog. This principle has been basic in western librarianship from earliest times, although eastern cultures have usually preferred to consider title

as more important. Our assumptions have now been challenged by the publication of Hamdy's work on the concept of main entry, a work which demands most careful consideration by everyone interested in the theory of cataloging.[4] We are reviewing here forty years of code construction. As we look forward to the next forty years, as we move from the use of the computer as a machine for producing cards for card catalogs to the use of the computer as the catalog itself, will the advantages of escaping the morass of "choice of entry" be great enough to lead us to a change in our ideas of the proper organization of catalogs, bibliographies, and subject lists? There is still work to be done by those who approach cataloging as an intellectual discipline rather than a mechanical practice.

The Graduate Library School of the University of Chicago devoted its summer institute in 1956 to the theme "Toward a Better Cataloging Code" and provided a forum for the public discussion of the proposed new approach.[5] Also in June 1956 the Catalog Code Revision Committee obtained from the ALA Executive Board a grant of $10,000 toward the cost of code revision. There was general agreement that Seymour Lubetzky was the best choice for editor of the new code, and arrangements were immediately made with the Library of Congress to release Lubetzky from other activities and assign him to the work on the code, utilizing the ALA funds. It was estimated at the time that the work would take three or four years to complete—a schedule which proved to be highly optimistic.

Quite early in our operations we learned that the Library Association had set up a special Cataloguing Rules Sub-committee in 1951, to review the 1949 rules from the British point of view. This group was proceeding systematically through the rules at the time the Americans were beginning to rewrite them. As the work on the new rules progressed, the British brought their review of the old rules to an end and started to work with the Catalog Code Revision Committee on the new ones. Arrangements were made for the exchange of drafts of rules and minutes of discussions, and, beginning with the participation of Hugh Chaplin in the 1956 University of Chicago institute, for participation in the actual discussions of each committee by members of the other committee who might be available. If my memory is correct, at least one member of the British Committee was present at every Annual Conference and many of the Midwinter Meetings of ALA beginning in 1958. Members of the American committee visiting in London were invited to attend the meetings of the British committee which, by virtue of the shorter distances in Britain, were held monthly.

The Canadian Library Association appointed, in 1957, a Special Committee on Revision of the ALA Catalog Code, which also worked closely with the Americans in the work of revision. Copies of the successive drafts of the rules were also sent to other library associations throughout the world, but, except for some comments from Latin American catalogers, these produced very little reaction although they

undoubtedly helped prepare the way for the success of the international conference at Paris in 1961. It may be of interest to note that, in the later stages of the code revision, nearly 200 copies of the drafts were being distributed to members of the Code Revision Committee, its consultants, other officers and committees of the Cataloging and Classification Section, the British and Canadian committees, and foreign associations.

As work began on the revision, a sequence of discussions and reviews of the proposed rules was instituted. The editor prepared a group of rules and presented them first to the senior revisers of the Library of Congress to review the clarity of the language involved. The rules were then gone over by the Steering Committee and presented to a meeting of the full committee. After discussion there, the editor redrafted as necessary and presented the revised rules, together with the next lot of new rules, to the same triple scrutiny. For the first year or so we met for the usual two-hour period allotted to committees. This period proving not sufficient, we switched to an all-day meeting on the day preceding the start of the conference. In addition to meeting at the two conferences, the Steering Committee scheduled weekend sessions in the spring and fall regularly. These meetings were made possible during the first four years by the cooperation of the Library of Congress, which named the committee as consultants in cataloging and thus was enabled to cover the expenses of the meetings.

Discussions of the rules in the meetings of the general committee were always lively. The committee was large, and not all members were able to attend all meetings. New members were added from time to time. There were conservative members, intent on continuing past practices, and radical members, anxious to reform the practices once and for all. There were representatives of public libraries, anxious for simplification, and representatives of research libraries, anxious for completeness and scholarship. We also invited to take part in the discussions the officers of the Cataloging and Classification Section and members of the Descriptive Cataloging Committee and the Board on Cataloging Policy and Research. With a shifting membership we found ourselves frequently re-arguing points we had hoped were settled, when a rule supposedly approved in substance but sent back for improvement of wording was again debated in substance under the new phrasing. But gradually we did approach a consensus and moved forward.

In order to widen the discussion of the new rules by bringing in as many catalogers as possible, the Executive Committee of the section suggested at the 1957 Annual Conference that a special preconference institute on code revision be held the following year. It was then too late to secure any support for such an activity from the ALA budget, but permission to hold an institute was granted on the understanding that no funds would be available from headquarters. After investigation of the financial arrangements that would be necessary if such an institute were to be held at Stanford University and finding that the liability

even under the worst situation would not be over $1,000, the members of the Steering Committee agreed to be jointly liable for any deficit, and a contract was signed. Fortunately the idea of such an institute proved popular, and some 200 persons attended and took part in spirited discussions. There was the expected interchange between the advocates of the new approach and the defenders of the old, but the arguments on both sides were brought out in the open and given a very thorough airing. The result was a much wider appreciation of the directions in which the new rules would develop.

The popularity of the Stanford institute led to the organization of a second such public discussion at Montreal in 1960, when the new code had begun to take more definite shape. The British committee organized two similar conferences, in 1959 and 1964, and the Canadian committee held an institute in 1961. Through these general meetings catalogers were kept informed of the progress of the work, and general reaction to the new rules could be measured by the committees involved.

During this period of 1957 to 1961, while we were hotly debating within the committee such problems as the use of pseudonyms or of real names, the entry of serials under title as issued or under latest title, the legitimacy of entry of local institutions under place-name, the need for nonauthor or form headings, and the proper criteria for entry of a subordinate organization under its own name as opposed to entry under the name of the parent organization, there were also debates being carried on with others outside the committee whose suggestions failed to secure support within the group. Two of these perhaps deserve special mention.

The first was an argument presented both to the Catalog Code Revision Committee and to the Joint Committee on the Union List of Serials by a group of medical and technical librarians that all serials should be entered under title. The argument put forward in support of the suggestion was that this would correspond with the usual form used in citations, especially when the citations were to initialisms or to abbreviations of the titles. Twenty years ago we paid little heed to this suggestion, but it did not die and probably deserves more consideration than we gave it then. In this connection we might recall that at the 1961 Paris Conference on Cataloguing Principles a substantial group of participants argued that entry of a serial under the issuing body was justified only when the serial contained the reports and proceedings of the society and thus met the criterion of authorship.

The second suggestion which we passed over rather lightly was that we consider the influence of the computer on the future of cataloging. Unfortunately no one could tell us at that time with any detail what the requirements of a computerized catalog would be. We did make a number of simplifications, such as the dropping of descriptive phrases, e.g., "pres. U.S.," which might impede mechanical filing, but these were made for the sake of reducing unnecessary wordiness and not for the sake of the computer. Some members of the committee attempted without suc-

cess to change such headings as "U.S. 93rd Congress. 2nd Session" to "U.S. Congress, 93rd. Session, 2nd" as an aid to filing. We are now becoming more familiar with computer needs, and I suspect that our British colleagues will soon be debating the need to continue the use of titles of honor preceding forenames, such as Sir, Dame, and Lady, which complicate programming for automatic filing.[6]

In 1957 Andrew Osborn returned from a meeting of the German library association and reported that the catalogers there had agreed to revise their rules to call for entry of titles under the first word and were considering the possibility of accepting the principle of corporate authorship. This news, together with information regarding code revisions being undertaken in France, Italy, and the USSR, led to a suggestion that there was a very real possibility of obtaining international agreement on cataloging rules. A conversation with Verner Clapp showed that the Council on Library Resources was interested in the idea. The result was an exploratory meeting of representatives of France, Germany, Great Britain, Italy, the Soviet Union, and the United States, together with invited guests, in London in 1959. Sufficient areas of agreement were found to lead the way to the planning of a full-scale International Conference on Cataloguing Principles in Paris in 1961.

In preparation for the second institute on code revision held at McGill University in 1960, Lubetzky prepared a draft of the code as so far developed, to serve as the basis for the discussions. At Montreal we were joined by the members of the Organizing Committee for the approaching Paris conference and held fruitful discussions with them. At that time Lubetzky informed the Steering Committee that he was leaving the Library of Congress to accept a teaching position at the School of Library Service at the University of California, Los Angeles. Since we were at that moment more or less marking time until the international conference could be held and wishing to avoid final decisions until we knew the results of cooperative effort, Lubetzky was asked to continue as editor, devoting such spare time as he could find in vacations to the duties. Since the direct connection with the Library of Congress was now cut, and since the period originally estimated as the time required for the work was expired, a new source of financing was needed. The Council on Library Resources agreed to grant funds for the work. After an experiment of a year or more Lubetzky found that he could not combine the editorial work with his teaching duties and resigned. The Steering Committee then requested the Library of Congress to grant a leave of absence to C. Sumner Spalding so that he could take up the editorship. With a new editor and with funds from the Council on Library Resources which eventually totaled $44,000, we embarked on the second half of the code revision.

The two years from 1960 to 1962, immediately before and after the Paris conference, were marked by sharp attacks on the new rules being proposed by the committee. Both the theoretical basis and the practical effect of the rules were questioned. Opposition was not by any means an

indication of pure conservatism. A belief in the value of the catalog as a reference tool as well as a finding list, a desire to take as main entry the heading under which the material would be most usually looked for, a wish to avoid the need for some secondary entries by combining two theoretically disparate elements in a single heading, and a desire to secure uniformity among entries from different libraries by the application of exhaustively detailed rules all played a part. The opposition during that period tended to center in, or at least to find effective spokesmen in, the Library of Congress. Because of the size of its catalogs and because changes on its printed cards would affect many other libraries, LC was particularly sensitive to the economic and practical effects of a new code. Because it is the custodian of the *National Union Catalog,* it felt most strongly the need for uniformity among entries from many libraries. The H. W. Wilson Company, then the other great supplier of printed catalog cards, was free from these pressures and adopted most of the new rules contained in Lubetzky's 1960 draft immediately. The attitude of the Library of Congress was the principal reason why the final text of *AACR* represents many compromises with the principles which some of us had hoped would govern the new code.

For ten days in October 1961, the representatives of fifty-four countries and twelve international organizations met in Paris and debated the principles on which library catalogs and bibliographies should be constructed. Working papers covering various points had been distributed in advance, and a draft set of rules, based largely on the preliminary rules drawn up by Lubetzky the previous year, gave a framework for the discussions. There was substantial agreement on all points except for the proper entry of collections of various works published together. By a slight majority the conference favored entry under title over entry under compiler. There were lesser degrees of disagreement on a few points such as the choice of real name or pseudonym as entry, the number of joint authors entitled to added entries, and the degree of responsibility which entitled a corporate author to claim a journal as its publication. The high point of the meeting was the acceptance by the Germanic representatives of the principle of corporate authorship.

The first meeting of the Catalog Code Revision Committee after the Paris conference was devoted to the consideration of the statement adopted there. A few points of disagreement were found. The more important were that the committee opted for the entry of collections with collective title under the name of the compiler—the minority position at Paris—and that it reaffirmed its previous position of opposition to form headings and treatment of such entries as standard titles. The committee eventually was forced, because of continued strong support for form headings, to reverse itself on this last point and to conform to the principle adopted at Paris.

In the spring of 1962 the Library of Congress, speaking for the Association of Research Libraries, informed the committee that it could not accept the total abolition of entry for institutions under place

where located, as advocated both by the previous votes of the committee and by the Paris conference. The rejection was based on the existence of great numbers of such entries in all library catalogs. As a result the following meetings of the Steering Committee and of the General Committee were devoted to hammering out the limited compromise represented by rules 98 and 99 of the North American text of *AACR,* rules which were never adopted in the British text. Since the publication of *AACR,* the Library of Congress has withdrawn its objection to direct entry under name for all corporate bodies, and these two rules have been deleted from the code.

Up until this period, the Catalog Code Revision Committee had undertaken to revise only the rules for author and title entry, assuming that the simplified rules for description issued by the Library of Congress in 1949 were still generally accepted and would be merely reprinted in the new code. The Library of Congress, however, felt that these rules needed to be revised also and wished to include more rules for description for specialized materials. The Council on Library Resources, whose funds were now supporting the work of code revision, was very reluctant to see the committee undertake any new activity. Under these conditions the revision of the descriptive rules was assigned to the Descriptive Cataloging Committee of the Cataloging and Classification Section, working with the Library of Congress, with the understanding that the revision of the two parts of the code would be completed at the same time. The Library Association set up a new Descriptive Cataloguing Rules Sub-committee in London to work with the American committee and the Library of Congress on the project.

At the same time Verner Clapp, speaking for the Council on Library Resources, indicated strong dissatisfaction at the slow process of trying, in successive meetings of the committee, to obtain agreement on various points between the innovators and the traditionalists. At his insistence it was agreed that where a substantial consensus could not be secured, the old rules would be followed in the new code. This led to the eventual retention in *AACR* of some rules which depart from the strict adherence to logical principles which we had hoped would govern the new code.

The final meetings of the committee were devoted largely to three questions relating to theological and legal headings: the entry for biblical and extra-biblical books, the use of the form heading "Liturgy and ritual" and the use of various form headings for legal materials.

As we approached the rules for entry for the Bible, there was a general agreement that, just as we had abolished the subdivision "Spurious and doubtful works" under the names of individual authors, we should abolish the entry for the Old Testament pseudepigrapha and the New Testament apocryphal works under the Bible, and treat these as we treated other anonymous works or collections of anonymous works. The Apocrypha, however, presented a different problem, since the books contained in it are regarded by some churches as canonical although reject-

ed by others. The Steering Committee, recognizing that not only the canon but also the names of some biblical books are in dispute between Catholics and Protestants, proposed as a compromise that we accept the Protestant names of the books and the Catholic canon. This suggestion was immediately challenged, and catalogers from the (Protestant) American Theological Library Association presented statements from faculty members of their institutions protesting that under no circumstances could the books of the Apocrypha be entered under the heading *Bible.* None of the professors appeared to be aware that these books had always been so entered, albeit as a special subgrouping. The final result was an agreement that we continue as in the past to treat the books of the Apocrypha as a special case, as subdivisions of the Apocrypha which in turn is a subdivision of *Bible. O. T.* This arrangement made more sense when the biblical books were arranged in canonical order than it does today with the subdivisions in alphabetical order.

The dispute regarding entry for liturgical works involved not only the catalogers from theological libraries but the defenders of form entries in general. To some of us, the names of liturgical books seemed very promising candidates for treatment as standard titles. The fact that the 1949 code had given five different methods of handling this form heading—special rules for the Orthodox churches, the Catholic Church, the Lutheran churches, the Anglican churches, and the Jews—and that for the *Book of Common Prayer* we had ignored the form heading completely, implied that the heading was a less than self-evident entry. But all that we were able to accomplish was to reduce the five previous rules to a single uniform treatment for these works.

At the same time we lost the battle to replace the various legal form headings by standard titles. We did succeed in securing standard title entry for multinational treaties and in giving that title in direct rather than inverted form. We called for an individualizing entry for separate treaties rather than entry under the inclusive dates of administrations, even though we had to make the resulting form a subdivision of the country name rather than place it in title position. We, in my opinion most unfortunately, succumbed to the arguments of the representative of the American Association of Law Libraries and recognized a new form heading for court rules. It seems to me that the present formal monstrosity of "Canada. Court rules. Supreme Court" should before now have been replaced by the more logical and conventional form subject heading "Court rules-Canada-Supreme Court."

And so, with a final editing of the rules, with the addition of the results of the labors of the Descriptive Cataloging Committee to those of the Catalog Code Revision Committee, with the preparation of an index and the submission of the whole for publication, we came to the end of fifteen years of attention to the code and ten years of active rule making. As I stated when I handed over the printed volume as the final report of the Catalog Code Revision Committee, the result of our work was by no means perfect. Opportunities for further work were left for the

next generation of catalogers. But we had made a beginning on the continuing task of providing a code which was rational and consistent, and which would combine economy in the production of entries with efficiency in their use in the catalog. Much still remains to be done. And the time to do it is now, as we enter a new era in which the computer will be used not as a tool to produce cards to fit into pre-existing card catalogs, but as the catalog itself. What entries will then best combine economy and efficiency? I have briefly reviewed forty years of code making in the past. I hope that some among you are already at work preparing for forty years in the future.

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The National Union Catalog Pre-1956 Imprints: A Progress Report

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The history of the National Union Catalog, established at the Library of Congress in 1901, and of the National Union Catalog Publication Project, undertaken in 1967, are traced, and the editing process involved in preparing an estimated 20 million cards for pre-1956 imprints is detailed. With approximately two-thirds of what is already the largest printed bibliography completed, all volumes are now scheduled for publication by the end of 1979.

THE National Union Catalog Pre-1956 Imprints (Pre-56 NUC) is the largest printed bibliography ever undertaken. As of September 1975, having reached volume 399 (Morgan, George G. W.–Mueller, Johann G.) of an anticipated 610 volumes, it already contained more volumes than either the British Museum's *General Catalogue of Printed Books* (complete in 263 volumes) or the Bibliothèque Nationale's *Catalogue général des livres imprimés* (218 volumes through Watznauer). To date this catalog has received an enthusiastic reception from librarians and scholars. Libraries report that their cataloging arrearages decrease as volumes of the catalog appear, that their searching and acquisition operations are facilitated, and that their reference and interlibrary loan work is enormously simplified by this tool.

Background

The *Pre-56 NUC* has been long in coming. The National Union Catalog (NUC) was begun at the Library of Congress (LC) in 1901. As the library began to print and distribute its own cards to major U.S. libraries, it began to collect and file the cataloging records of these libraries together with its own cards in a single catalog. By 1926, this cata-

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log had grown to almost two million cards, but no attempt had been made to edit it or to eliminate duplication, and only a limited location service was offered. In the years that followed, the catalog expanded steadily, and the Union Catalog Division was established in 1932 to enlarge, maintain, and service it. By this time it was recognized by librarians and scholars that this country needed a comprehensive union catalog which would record the locations of all books of research value in the U.S. and make this information available to those who required it.[1] As the NUC grew, serious discussions began as to how it might be made more accessible to libraries throughout the country. LC had already begun publishing a book catalog of its own cards, including a limited number of titles for which copy had been supplied by other libraries, and in 1954 a new American Library Association Subcommittee on the National Union Catalog was established to consider the expansion of the *Library of Congress Catalog—Books: Authors* into a national union catalog by the addition of a large number of the catalog entries of other libraries as reported to LC. It was determined that such a catalog would be feasible and of considerable benefit to libraries in their efforts to coordinate acquisitions and carry out interlibrary loan, cataloging, and reference tasks.[2]

The resulting *National Union Catalog: A Cumulative Author List,* including all LC cards and entries for imprints of 1956 and later years from other libraries, has been published on a current basis since 1956. It took another ten years of planning and negotiation, however, before work could begin on the editing and publication of the huge file of pre-1956 cards. The Library of Congress finally made arrangements with the American Library Association for publication of the catalog by Mansell Information/Publishing, Ltd., of Chicago and London, with LC performing the editorial work.

The National Union Catalog Publication Project (NUCPP) was established at LC in 1967 for the specific purpose of editing for publication the approximately 20 million cards which make up the pre-1956 NUC.[3] *Pre-56 NUC* includes reports for all forms of material: maps, monographs, music, serials, in all languages except those cyrillic and Oriental titles not cataloged by LC. NUCPP is attached directly to the office of the director of the Processing Department. Its staff of fifty-seven employees carries out the numerous processes through which unedited cards must pass before they are ready for shipment to the publisher.

The Editing Process

The first of the many steps in the editing procedure is the merging of the main portion of the catalog with a total of seven supplements, including one devoted to serials and four of a chronological nature. This merging is done by NUCPP filers, who also are responsible for maintaining the unedited portion of the catalog. Pre-editor/searchers then review the trays card by card, eliminating many of the duplicate reports for a given item and transferring all location symbols to the LC

printed card, if one is available. If there is no LC card, the pre-editors transfer all the symbols to the card which they judge to be the most suitable for inclusion in the catalog. They begin to standardize the filing, which has been done under a number of systems, and also pull all of the references found there for verification. They then search these references in the LC Official Catalog and the NUC, returning the verified ones to the trays and discarding the invalid ones.

The *Pre-1956 NUC* is intended to include all existing LC main and traced added entries for pre-1956 imprints, except title, series, and subject added entries. Since the NUC is missing many LC printed cards, the filers next compare each tray, card by card, against the Official Catalog. The cards not found in the NUC trays are either xeroxed or ordered from the Card Division. With certain Cyrillic and Oriental entries, our filers have discovered as many as 200 to 300 missing LC cards per tray.

After these preliminary steps have been completed, the main editing process begins. Although editing is similar to cataloging in that both procedures involve the bibliographical description of works using a standard set of rules, there are important differences between the two. A cataloger takes an item to be cataloged and makes as thorough and accurate a description of it as is economically feasible and necessary to integrate it into an existing collection. An editor, by contrast, is not attempting to describe a work, but without seeing it, to standardize as far as possible the dozens, and sometimes hundreds, of descriptions which various catalogers have made for it.

Using the 1949 ALA code as the basic guide, an editor examines each card in a tray for correctness of choice and form of entry. He or she resolves the numerous conflicts which exist between entries and provides added entries and cross-references when necessary. Editors must search and attempt to verify in the NUC, or in the Official and Public catalogs, or in other reference sources, the many headings which appear to be incorrect or in conflict with those already established. Editors identify duplicates not eliminated by the pre-editors and are responsible for the final arrangement of the cards. Filing is done in accordance with LC rules, as modified by the project, and for some entries the filing arrangement is extremely complex. As editors go through the trays they also check carefully for the reproducibility of each card. When necessary, they have cards retyped and also indicate when added entries and cross-references need to be prepared.

For certain headings, such as voluminous authors and corporate jurisdictions, a senior editor will be assigned the entire heading as a "project" and he/she will edit the complete file, frequently doing much of the pre-editing work as well. These projects often involve thousands of cards and take weeks to complete. The two largest projects to date have been the Great Britain file, which in its final form occupies four complete volumes and portions of two others with a total of approximately 3,200 pages, and the Bible file, for which volumes 53–56 have been reserved, to be pub-

lished upon completion of the rest of the catalog, thereby ensuring that the file will be up to date at the time of publication of the last volume of the catalog.

NUCPP continues to receive reports for pre-1956 items at a rate of about 500,000 annually. The cards which fall in the part of the catalog already published are filed in the supplement, along with a constant stream of added entries, references, and corrections. This A–O supplement already numbers approximately 1.85 million cards.

Reference service on the pre-1956 NUC and its supplement is provided by the Union Catalog Reference Unit of the Reference Department. Libraries desiring information about titles falling in the unpublished portion of the catalog send their requests directly to this unit. A regional reference network of Mansell subscribers has been established to handle inquiries falling in the scope of the published volumes. Libraries not subscribing to the *Pre-56 NUC* first send their requests to the designated Mansell subscriber in their region. Requests not satisfied at this regional level are forwarded to LC for further searching. Request forms and a manual on NUC reference service are available from the National Union Catalog Reference Unit.

After an editor has finished a tray, it is taken by a copy editor. The copy editor examines all of the location symbols of contributing libraries on each card, changing the obsolete or modified ones as necessary. He or she also eliminates unnecessary and extraneous information, stray marks, etc., on all cards so that they will be in the most economical, concise format possible when photographed.

Following the copy editing process, the typing requested by the editor is done. Typists prepare new main and added entry cards and cross-references, using a special manual and following the editors' instructions. The cards are then proofed for accuracy and format.

After this initial typing process, the edited trays are reviewed, card by card, by an associate editor or reviewer. In this brief final checking process the reviewer attempts to make sure that the editor has not overlooked any duplication, conflicts, or incorrect headings. Since the editors must work quickly and most trays contain entries in several different languages, prepared by a wide variety of libraries under different cataloging rules, this final check by our experienced reviewers helps to ensure that the high bibliographic standards established for the catalog are maintained.

When necessary, the reviewer also requests additional typing of main and added entries. After this is completed, each card in a tray is stamped sequentially, so that the correct arrangement will be preserved. The cards are then microfilmed, so that the film will be available to editors until the printed volumes are received. In addition, should anything happen to the cards in transit they can be reproduced from the film. The cards are then packed and sent to the publisher in London in weekly shipments of 18,000 to 20,000. At the publisher's offices, they undergo further pro-

cessing and are finally published in large green volumes which are shipped at the rate of five per month to the catalog's subscribers.

Over two-thirds of the catalog entries have now been edited and shipped to the publisher. At the present rate, all volumes of the completed catalog, the largest printed catalog in the history of printing, should be in the hands of its subscribers in 1979.

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The *Monthly Catalog*'s First Response to Its 1947 Congressional Charge

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In 1947 the Monthly Catalog *inherited the duties of the discontinued* Document Catalog. *Since then it has been expected to serve both as a sales catalog of federal publications and as a "comprehensive index of public documents." Its fulfillment of these two goals is examined through a sample of depository publications from 1971. The time required to list a document in the bibliography and the extent of the* Monthly Catalog*'s indexing are studied; comparison is made with Library of Congress cataloging. With computerization a renewed response toward fulfilling its charge is possible for the* Monthly Catalog.

THE DATE 24 March 1947 is significant in the history of federal document bibliography. During its meeting that day, the Congressional Joint Committee on Printing adopted the following resolution:

> RESOLVED, That the annual index of the Monthly Catalog of United States Government Publications shall be deemed satisfactory to meet the requirement contained in Title 44, Sec. 75 of the U.S. Code, providing for the printing of a Biennial Document Catalog at the close of each Congress, which shall be retroactive to the issue last published of the Biennial Document Catalog at the close of the Seventy-sixth Congress.[1]

This simple resolution was the only legislative action necessary to discontinue the *Document Catalog* with its analytical dictionary entries. The committee was responding to a recommendation from the public printer in this matter and was motivated largely by the economic aspects of his proposal.

A letter from the public printer, A. E. Giegengack, to the committee chairman had noted the disparity between the free distribution of the *Document Catalog* and the number of paid subscriptions for the *Monthly Catalog*. Giegengack estimated the cost for 800 copies of the

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next *Document Catalog* issue at $60,000, and observed that that tool was

> entirely a duplication in expanded form of the entries in the Monthly Catalog. It is believed that the saving to the Government would far more than justify the discontinuance of the Biennial Document Catalog since such a few copies are circulated even though the persons who have been receiving it free of charge will suffer some inconvenience in having to use the annual index of the Monthly Catalog.[2]

The public printer's letter also mentioned a study undertaken by the Superintendent of Documents into the "possibility of substituting the annual index of the *Monthly Catalog* for the Biennial Document Catalog," and stated that the proposal had been discussed with "leading scholars and librarians." Jerome K. Wilcox, as chairman of ALA's Public Documents Committee, was perhaps the most important of these librarians. His report "concerning the cataloging and indexing programs of the Division of Public Documents" was prefaced with the statement that "for many years, there have been questions in my mind as to the necessity for all the details given in the *Monthly Catalog,*" a thought which could be profitably repeated today.[3] With regard to the *Monthly Catalog*'s format, Wilcox made the following recommendations which have become familiar to users of the bibliography: (1) a change to a straight alphabetical listing by inverted agency name heading, (2) a change to a straight alphabetical listing under these agency headings, and (3) the issuance of an index containing a "complete subject approach" to each title with reference to entry numbers rather than page.

Introduction of the Computer

1974 could prove to be an equally significant year for federal document bibliography. In that year computer-assisted techniques were first used in the production of the *Monthly Catalog* (hereafter designated *Catalog*). The benefits resulting from this change from a manual operation may seem obvious, but its significance can only be judged at a later time. At the least, the year marks the end of the twenty-six-year period in which the *Catalog* attempted to respond to its doubled charge—to provide both a sales catalog and a "comprehensive index" of public documents—through traditional methods.

This period from September 1947, when the *Catalog* received its doubled charge, through December 1973, when its last manually compiled combined index appeared, was filled with criticism of the bibliography's indexing methods, its incompleteness, and its lack of timeliness. Debaters of the same point held widely differing opinions: the statement that the *Catalog* "has an excellent index"[4] contrasts sharply with "[librarians] should not, however, settle for the woeful inadequacy of the *Monthly Catalog*'s index."[5] With this period now closed, it may be possible to reach a consensus on the *Catalog*'s first response to its 1947 congressional charge.

Purpose of Study

In the present study, the *Catalog*'s response to this charge is exam-

ined through a random sample of 100 publications chosen from among those listed on the daily depository shipping lists of 1971, with attention paid to two issues: (1) the period of time from the listing of a document on a shipping list until its appearance in the *Catalog*, and (2) the thoroughness of the indexing provided by the bibliography as compared with the cataloging provided by the Library of Congress (LC).

Identification of reasons for time lag during the 1947–1973 period is important for specifying certain internal situations which may still produce a retarding factor in future issues. Cogent analysis of the tool's combined index in use during this period will remain an interesting and important challenge for some time.

Sample Characteristics

The 100 sample documents, drawn from those available to all federal depositories, were randomly selected to represent the output of all segments of the federal bureaucracy: 10 were issued by the legislative branch; 1 by the judicial; 70 by the executive, all but 2 of which were published by the several executive departments; the final 19 documents were issued by various independent agencies and commissions.

The preponderance of series in the sample is shown in Table 1. Here, after separating publications listed in the *Catalog*'s February appendix, additional series were identified by the second half of their classification numbers.

TABLE 1

SAMPLE DISTRIBUTION BY TYPE OF PUBLICATION (SUDOC)

Type	Number
Periodicals and Subscriptions (February Appendix)	33
Cuttered Documents	26
Numbered Series	20
Departmental Serial Numbering	10
Date or Congress Number plus Serial Number	4
Date alone	4
Congressional Bills and Reports	3

Library of Congress catalog entries were found in the *National Union Catalog* for 39 of the 100 documents; 18 (46 percent) were covered by open entries for periodicals, annual reports, and other serial titles; and 21 (54 percent) were cataloged as monographs. Of this latter number more than half were either congressional hearings or publications of the Interior Department.

Time Lag Figures

The daily depository shipping lists provided the necessary dates for the study of the time lag in listing items in the catalog. The date of the shipping list from which each of the documents was chosen was used as the date of availability of that document.

The time lag for indexing was computed by comparing the date of shipping a document with the date of shipping the issue of the *Catalog* in which it was indexed (both dates determined from the daily depository shipping lists). Of the 100 documents, 62 were identified which could be used to provide data on the question of time lag. Of the other 38, 33 were periodical publications listed in the February appendix of the *Catalog,* 4 were not listed in the bibliography for individual reasons, and 1 appeared in the *Catalog* before it was distributed to depositories.

Documents Excluded from the Catalog.

The four documents omitted from the bibliography were (1) a House bill (routinely not included), (2) a "change" to a publication in the *Army Regulations* series, (3) a general publication of the Geological Survey, and (4) an "administrative" publication of the Veterans Administration.

Personal inquiry at the Government Printing Office revealed the following reasons for noninclusion of the documents in the *Catalog*: (1) only sales publications within the *Army Regulations* are listed; (2) the Geological Survey document was a reprint of a 1968 publication and was not recataloged in 1971; (3) the Veterans Administration publication was "administrative in nature" and had been distributed to depositories by mistake.

Another example of a publication not listed was found in preliminary sampling and is not included in the figures reported here. This was a NAVPERS *Rate Training Manual,* which was excluded because

> This publication contained copyright material and all copies were withdrawn from our sales stock. Due to microfilm restrictions on this copyright material, we did not enter this publication in the catalog since all publications so listed must be microfilmed.[6]

These findings demonstrate that conditions for the inclusion of a document in the *Catalog* are much more limiting than is apparent from statements describing the bibliography's coverage. They show that the *Catalog* has not discharged its responsibility to provide a "comprehensive index of public documents" for even that portion of the government's printed material which passes through the Public Documents Department as a part of the federal depository program.

Mean Time Lag

A mean time lag for the sixty-two applicable publications was calculated as 77.52 ± 4.7 days with 95 percent confidence. Figure 1 shows the frequency distribution of the time lag observations. For this graph the time lags of the sixty-two documents were first expressed in a number of days as outlined above; then these observations were grouped into weekly units.

The curve shows a generally normal distribution with week eleven as the modal class. It is right skewed; citations for three of the publications did not become available until the twentieth week after the publi-

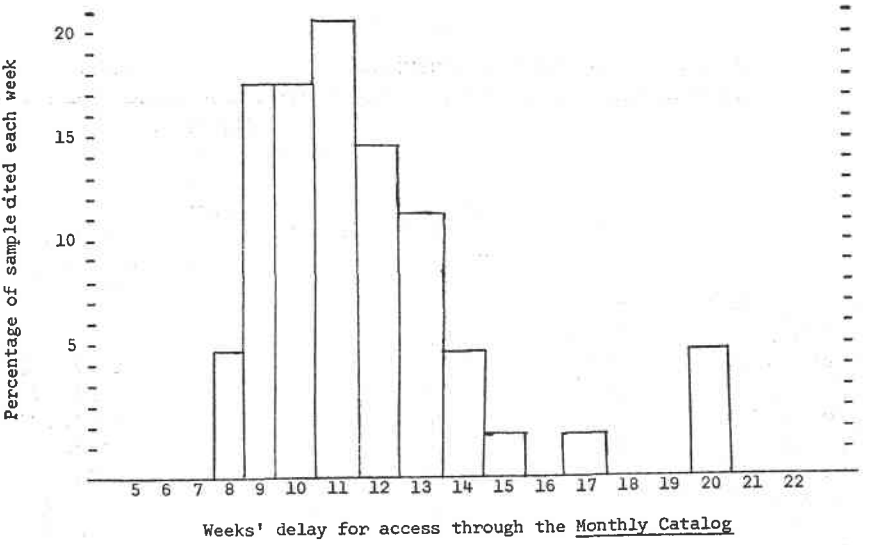

Figure 1

Frequency Distribution Showing Delay of *Monthly Catalog* Citation in Weeks

cations were mailed. The greatest time lag was found in the December issue as was expected, since that issue contains the annual index. The printing of this index generally delays the issuance of the December issue; the December 1971 issue was not mailed to depositories until 14 March 1972.

Delaying Factors

Although the major reason for the delay in response time of the *Catalog*'s coverage was its manual compilation, other factors can be observed which may not be relieved by the use of a computer in its compilation. For each of the fourteen issues of the bibliography in which sample citations were found, the following information was recorded: the date that the issue was mailed, the number of bibliographic citations found in the issue, the number of Items (defined as one of the classes of documents available for selection) on shipping lists of that month, the number of documents in the sample found in the issue, and the period of time during which the sample publications were mailed. The data are presented in Table 2.

Analysis of the data reveals, first, that the *Catalog* does not fulfill the statute which requires the Superintendent of Documents

> On the first day of each month [to] prepare a catalog of Government publications which shall show the documents printed during the preceding month.[7]

Of course, the legislation is literally unrealistic and cannot be realized in the bibliography's present format, if at all. Still the *Catalog* neither appears "on the first day of each month," nor does it include citations for "documents printed during the preceding month." The data indicate

TABLE 2

SCOPE AND MAILING DATES OF DOCUMENTS IN THE *Monthly Catalog*

Issue	Date Mailed	Number of Entries in Bibliography	Number of Items on Shipping Lists	Number of Documents in Sample	Inclusive Mailing Dates
February 1971	3/25/71	1,500*	863	2	– 1/7
March 1971	4/12/71	1,747	678	6	1/13– 2/4
April 1971	5/17/71	1,522	1,114	5	2/10– 3/9
May 1971	6/ 9/71	1,450	871	5	3/26– 4/14
June 1971	7/14/71	1,394	784	5	4/30– 5/17
July 1971	8/17/71	1,581	963	5	5/20– 6/18
August 1971	9/ 9/71	1,520	1,009	6	6/28– 7/19
September 1971	10/ 8/71	997	961	5	7/23– 8/10
October 1971	11/ 9/71	1,807	864	7	8/10– 9/14
November 1971	12/ 6/71	1,033	922	5	9/20–10/7
December 1971	3/14/72	1,007	838	3	10/27–11/1
January 1972	2/18/72	1,194	872	4	11/15–12/2
February 1972	3/10/72	881*	961	3	11/29–12/20
March 1972	4/20/72	1,536	970	1	12/23–

* This figure excludes the number of entries made for publications in the appendix.

that most documents are listed in an issue mailed two to three months later than the items themselves.

Another factor causing citation delay for certain documents is difficulty encountered during their cataloging. This produces instances of an overlapping coverage by two issues as seen in the "Inclusive mailing dates" column for the January-February 1972 issues. That cataloging difficulties are not uncommon can be inferred from the fact that the contents of a large block of shipping lists are not all found in a single issue of the *Catalog*.

The data also indicate an uneven number of entries in the different issues, with sharp variations, for example, between September and October 1971 and between February and March 1972. These variations are more likely the result of differing periods of preparation of the index than differing rates of document publication. The number of entries in the February 1971 *Catalog* also supports this general hypothesis since this issue appeared late in March; it required two weeks more for preparation than did the February 1972 issue.

The September and February issues both include special sections requiring additional composing time (in September, a list of depository libraries, and in February, a list of serial publications), time possibly offset by a shorter period of coverage. Column four of Table 2 records a count of the "Number of Items on Shipping Lists" for fourteen calendar months, February 1971–March 1972. It is hypothesized that this

count should be proportional to the size of regularly produced *Catalog* issues and would be reflected in the latter after a period of eleven weeks, the average time lag. But there is no variation in the "Number of Items" column which might account for the size variations of certain *Catalog* issues.

Indexing Analysis

During the 1947–1973 period, the *Catalog* included, as in earlier years, a combined index with citations provided "under subjects or titles"; the introduction in January 1974 of a divided index with subject, author, and title sections is seen as inaugurating a renewed response to the 1947 congressional charge.

A major factor influencing librarians' opinions of the *Catalog* was this combined index. It frequently exasperated users, but an understanding of this index remains essential. The same 100 depository publications were used to study this feature of the *Catalog*.

Index Citation Format

Index entries for the ninety-six sample publications were ascertained from files in the Public Documents Department Library. A total of 308 entries for the ninety-six documents was found, and the entries were examined to determine how frequently index citations did not reproduce a document's title and to identify variant citation forms frequently employed in the index.

Of the 308 index entries, the citations of 157 (51 percent) were based on an exact transcription of the document's title. For an additional 61 entries (19 percent) of the entries, the documents' titles were clearly recognized, but small incongruities appeared: the omission of insignificant title words, or the introduction of a comma into the title.

The remaining ninety index entries (30 percent) employed catchword title indexing, resulting in a form of entry less clearly recognizable as the document's title. In this form of indexing, a subject term is followed by that section of the title associated with the subject; the remainder of the title is given next, followed by a comma and any initial words of the title, as seen in this entry from a monthly index:

> Deaf, education, challenge and charge, review
> of report of conference, 8296

The commas in this example and those found in the group designated "Slight title variations" are replaced by other punctuation marks in the annual index because of the larger number of entries under a term. In these compilations the major heading is followed by a colon; further subdivisions of the heading follow a dash. Thus in the annual index the above example is cited as:

> Deaf:
> education—
> challenge and charge, review of report of
> conference, 8296

The subject, "Deaf," is easily found as an entry point in the index. But the next portion of the title, "education," appears at first indention in an alphabetical arrangement of the subject's subdivisions. Similarly, each of these subheadings may be followed by another group of further alphabetical subdivisions placed at second indention.

What appeared in the monthly index in a simple catchword title arrangement has been spread out in the annual cumulation into three disjointed segments. This use of catchword title indexing with title rearrangements, in combination with subsidiary lists in any one of which only a fraction of a title appears, is the major cause of difficulty in *Catalog* searches for this period.

Mean Number of Access Points

In the period before automation of the *Catalog*, a card file of the index entries was maintained which contained the tracings of entries for each document cataloged. Using this data, two approximations of the mean number of access points in the bibliography's index were calculated, one including see references, the second figure excluding such references.

The range of the number of index entries made for the documents was from one to twelve. The mean number of access points including see references found for the ninety-six documents was calculated to be 4.29 ± 0.5 entries per title with a 95 percent confidence. When the see references were excluded from consideration, the maximum number of entries for a document dropped to eight. The mean number of index entries made for the documents was reduced by more than a whole unit to 3.21 ± 0.34 entries per title.

For the thirty-nine documents for which Library of Congress catalog copy could be located, a total of 170 access points, including main entry, subject, and other added entries, was indicated by tracing. The mean is seen to be 4.36 ± 0.26 access points per title. Examination of the *Catalog*'s indexing of these thirty-nine documents reveals a mean of 3.56 ± 0.3 access points. The *Catalog* provided slightly better than average bibliographic access for publications which were selected by LC to be cataloged, but its indexing is less than the average suggested for the same publications by LC catalogers.

Index Coverage

A study equally important as that identifying citation formats used in the *Catalog*'s index is that of determining points at which the index is likely to provide access to desired material. To investigate this question, the index entries of the sample documents were examined to determine how often a searcher could expect to find a citation to a known document, one for which a bibliographic description is available, through title, subject, author, or series.

The frequent use of title elements as subject headings makes it impossible to discuss these entries separately. Of the total number of title

and subject entries made for the documents, 66 percent were formed from elements in the documents' titles. An index search for a known document will most generally be initiated by a quick check under title or author, but of the ninety-six documents investigated, only fifteen were found cited in the index with an exact transcription of the title as given in the document's bibliographic description.

The discussion of the *Catalog*'s indexing formats suggested that a document may be indexed under its initial substantive word and yet not be cited with a transcription of its title. Close examination of the index under subject heading terms, including variant forms of the initial word of the documents' titles, revealed entries for an additional twenty-five documents, a total of 41.66 percent of the titles.

The *Catalog*'s index does not include more than one personal author citation per document.[8] Among the sample documents there were thirty which included personal authors in their bibliographic descriptions; the index included an entry under the first author for twenty-nine of these. An examination of the thirty documents revealed a total of sixty-six names associated with their creation; the *Catalog* thus provided bibliographic access to 43.97 percent of this total.

Several of the personal name entries found in the index were surprising: an entry was made for the reporter of decisions of the U.S. Court of Customs and Patent Appeals and for the editors of nine periodicals. It is obvious that further clarification of the Public Documents Department Library's guidelines providing for the inclusion of personal names in the *Catalog*'s index is desirable.

One would expect a more thorough provision of corporate entry approaches in the *Catalog* because of the lack of limitation to a single entry as for personal authors, but the index provided entries to only forty-one documents of the sample under some form of corporate body headings. Access to series represented in the sample was also found to be incomplete: nine of thirty series titles were not provided with bibliographic access through the government office responsible for the work, and title entries were provided for only five.

LC's Suggested Cataloging

For the thirty-nine documents added to its collections, catalogers at the Library of Congress provided forty-two corporate body entries and thirty-six title entries. Seventeen personal author and fourteen series entries were suggested. LC rejected added entries for periodical editors, but did provide them for joint authors.

Subject coverage by LC of the thirty-nine documents was provided by sixty-one entries (36 percent of the entries made by LC). To compare this figure with the subject coverage provided by the *Catalog*, the two sets of tracings for each of the thirty-nine documents were compared and for each nonsubject entry of LC a comparable *Catalog* entry if there was one was subtracted from the total number. This operation left 55.4 percent of the bibliography's index entries.

Thus it appears that, while the bibliographic coverage provided through the use of LC cards was more complete for searches by author, title, and added entry, the *Catalog*'s subject coverage of the sample documents was more extensive than that afforded by the LC service.

It was noted that a majority of the LC subject headings were subdivided; LC cards more closely defined the subjects treated in documents cataloged than did the subject headings used in the *Catalog*'s index. Due to the factors of heading specificity and heading syntax in only one instance did both tools provide identical subject analysis for a document. In another six cases the two systems differed only in the addition of the subdivision by place, "U.S.," to LC cards. But beyond this number correspondence of entry became increasingly tenuous.

Bibliographic Access to Federal Publications

The situation revealed by this study of the bibliographic coverage of 100 depository publications in the *Catalog* and through Library of Congress cataloging is one of incompleteness. Of the 100 items, the *Catalog,* for various reasons, failed to include four documents in its checklist of newly printed federal publications. The LC card service is known to be selective; only 39 of the 100 documents were cataloged by LC.

The time required for the *Catalog* to provide this bibliographic access was also discouraging. An average of eleven weeks was required to list entries in the bibliography; the figures ranged from eight to twenty weeks—five months for some documents issued late in the calendar year. The time required to obtain LC cataloging data varies according to the form in which it is requested, and was not examined here.

In their provision of bibliographic access points to federal documents, the two systems favored different methods: LC provided more corporate body and title entries while the *Catalog* included proportionally more subject access points, albeit more general ones. In its 1974 index, the *Catalog*'s provision of title entries has probably become more extensive than that presently reflected on LC cards.

In the matter of subject access to documents, the *Catalog*'s index and a card catalog based on recommended LC entries would exhibit virtually no compatibility. The findings of this study indicated that if the corpus of subject headings used by each tool were to be represented as circles, these geometric figures would be tangent: in only one instance did both LC and the *Catalog* provide an identical subject entry.

Appraisal of the Monthly Catalog

A repetition of the statutes describing the functions required of the *Monthly Catalog* is relevant at this point:

> The Superintendent of Documents, at the close of each regular session of Congress, shall prepare and publish a comprehensive index of public documents upon a plan approved by the Joint Committee on Printing. . . .
> On the first day of each month the Superintendent of Documents shall prepare a catalog of Government publications which shall show the documents printed during the preceding month.[9]

These requirements originated in the *Printing Act of 1895;* in 1947 the Joint Committee on Printing permitted the Superintendent of Documents to discontinue the biennial *Document Catalog* with the opinion that both the above quoted statutes could be fulfilled by an improved *Monthly Catalog.*

The seriousness of the problems which caused the termination of the *Document Catalog* can hardly be questioned, but its demise is unfortunate since—whatever the extent to which the *Monthly Catalog* may have fulfilled the two requirements stated above in the years immediately following its 1947 charge—the single bibliographic work now published by the Public Documents Department Library is neither comprehensive nor timely.

The *Monthly Catalog* is enjoined to be a "comprehensive index of public documents." This study has shown that the *Monthly Catalog* included only 96 percent of a sample of the publications mailed to depository libraries from the Government Printing Office; its coverage of nondepository publications is suspected to be less complete. Since the 1947 committee resolution, all publications "not confidential in character" which come to the attention of the Superintendent of Documents are intended to be included in the bibliography.

The *Monthly Catalog* shall be prepared "on the first day of each month." With manual composition it has been impossible to fulfill this requirement. This study found an average of eleven weeks' delay between the distribution of a depository document and the availability of bibliographic access for that document. Even with magnetic data files and photocomposition it may not be possible to produce overnight a publication "which shall show the documents printed during the preceding month."

The *Monthly Catalog* has become "indispensable to the person desiring to keep in touch with government publications"[10] since 1947 only because there is no other bibliography of government publications now published. Before that date it was important as the sales catalog of the Government Printing Office. The result of the approval of the 1947 recommendation of the public printer has been a dichotomy of purpose under which the *Monthly Catalog* is now published; an attempt to issue in a single bibliographic work a sales catalog of federal publications and a "comprehensive index of public documents" has resulted in the production of a bibliographic tool which fulfills neither of its two statutory obligations.

Desiderata

The two congressional requirements are not mutually exclusive, and there is no reason why a carefully planned publication cannot serve as a sales catalog in its initial issues, and as a comprehensive bibliography of federal documents in its cumulations. The most serious limitation of the *Monthly Catalog* is that it attempts to achieve both goals in its primary monthly issues and fails because the dichotomy promotes a compromise between its two purposes.

For a sales catalog, timeliness is of utmost importance; issues could be produced for this purpose on a weekly basis without indexing or the bibliographic detail presently included. At monthly intervals issues could be produced providing indexing and greater bibliographic detail for the cited documents. For a "comprehensive index" the compilation of not only a year's index, but also of the bibliographic citations, in a single cumulation, would be welcome.

Concurrent with the introduction of computer techniques in the production of the *Monthly Catalog,* an event with significant implications for the future of federal document bibliography, the Superintendent of Documents would be wise to make a thorough appraisal of the tool needed to fulfill his congressional charges, rather than rashly grafting new techniques onto an existing bibliography.

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Book Marketing and Selection: A Publishing/Library Forum

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ON 1 JULY 1975 at the American Library Association Conference in San Francisco, a capacity crowd of nearly 1,300 heard from a panel of librarians, publishers, and wholesalers how the budget crunch is affecting the producers/distributors of books and the buyers of books alike. What does each sector need from the others to cope with today's economy? What cost/effective systems and procedures are compatible with each other's needs? The program focused on problems and materials of concern to academic, research, and large public libraries.

The day-long meeting provided interpretations of and reactions to the findings of three task forces consisting of members of the Association of American Publishers/Resources and Technical Services Division Joint Committee and the Resources Section of the American Library Association, sponsors of the program. Coordinated by Sandra K. Paul, Random House, with John Dill, McGraw-Hill Book Company and Juanita Doares, New York Public Library heading the Program Committee, three survey groups queried librarians, wholesalers, and publishers on their current practices and business procedures regarding the marketing and selection/acquisition of books. A fourth task force was concerned with the evaluation of selection tools.

Although it was clearly recognized by the Program's Planning Committee that there was need for a more refined questionnaire and a more

penetrating probe of the groups surveyed, it was also clearly evident that never before had so much current raw data been gathered from and about the library marketplace.

The opening session on "Money: Where Do All the Dollars Go?" heard from Andrew Neilly, John Wiley; DeWitt C. Baker, Baker & Taylor Company; Carol E. Moss, Los Angeles County Public Library System; with reactions from Beverly Schroeder, Dimondstein Company; Harlan Kessel, University of California Press; and Marguerite Soroka, Engineering Societies Library. Virginia Whitney, Rutgers University Libraries, was session leader.

Session two discussed "Selection Tools: What's Good, What's Bad, What's Missing?" Participants were Jean Boyer, Temple University; Murray Martin, Pennsylvania State University Libraries; with reactions from Elizabeth A. Geiser, then R. R. Bowker Company; William Buchanan, U.S. Historical Documents Institute; Roger Straus III, Farrar, Straus & Giroux; David Brooks, Carol Cox Company; and Peter Jacobs, Bro-Dart. William Bunnell, County College of Morris Library, led the session.

Session three, dealing with "Marketing and Selection: What Are Effective Responses to Common Needs?" heard from Jack Feyock, McGraw-Hill Book Company; Preston Treiber, EBS, Inc., Book Service; Norman Dudley, University of California at Los Angeles Library; Shirley Sarris, R. R. Bowker Company; Lionel Wilson, John Newill and Sons; and Hendrik C. Edelman, Cornell University Libraries. Barbara Marks, Elmer Bobst Library, New York University, was session leader. Robert Sachs, Harper & Row, provided an overview at the conclusion of the program.

Running throughout the day's session were several recurrent themes, voiced and supported by all segments of the marketplace represented on the panels as well as in the audience: the need for earlier reviews; the need for greater understanding, acceptance, and usage of all forms of standardization to achieve new, cost effective ways of doing business; and—overriding all—the importance of keeping this kind of useful forum for industry-wide communications alive and growing.

Here, then, are highlights of the views expressed by representatives of the three major segments of the book community.

The Librarians Speak on Publishers' / Wholesalers' Promotion:

"When I see a lavish flyer on a new major production, I don't want to be told how good it is—the greatest find of the century—I simply want to know *what* it is. I have learned over many years to make judgments based on experience and I resent the puffery that brings the young professor racing to my door all agog." Thus Murray Martin urged publishers to cut the hyperbole and provide the basic facts. He outlined the following specific elements of information librarians require to select their books: (1) complete name of author; (2) complete title, including subtitle; (3) name of publisher; (4) series title; (5) information on the edition: how does it differ from the first edition? Is it an edition or a printing? Is it a

facsimile reprint? Is there new matter added? Who is the editor? ("It is distracting," Martin reported, "and in library terms undesirable to have the item entered under the editor's name, with that of the real author hidden half-way down the page."); (6) date of original work if book is a reprint; (7) succinct description; (8) date of publication; (9) price; (10) formats available, i.e., hardcover, paperback, microform; (11) ISBN, CIP, LC card number. "These items all aid the process of selection and acquisition," Martin said, "first because they give concise description of the book couched in standardized terms, and, second because these elements fit neatly into the basic bibliographic processes of a library."

On promoting books of foreign origin, Martin continued, "Larger libraries, particularly academic ones, order books from all over the world through long established relationships with dealers." If they order Dutch publications from a dealer abroad, for example, they will resent it if a flyer is received which indicates an American publisher/distributor without disclosing the foreign origin, "for a process is begun which must be undone and recommenced to put the order in the right sequence, or perhaps cancel it altogether because of a standing order."

On disseminating the promotional literature, another plea was heard from the librarian panelists and from the audience to "know your market, pinpoint mailings, eliminate duplications." Clearly this was a challenge to the publishers/distributors for more careful market research that will provide all involved with the selection and marketing of books with a clearer understanding of who does what in different types of libraries and thus ensure more accurately directed mailing pieces.

On Book Reviewing/Selection Tools

From panelists and audience alike came a unanimous call for "more timely book reviews." Marguerite Soroka called for the exploration of the use of networking facilities to speed the dissemination of book reviews, and Hendrik Edelman challenged the publishing industry to produce a better selection tool, outlining as ideal one that would be (1) arranged by subject; (2) comprehensive; (3) current; (4) with standard, reliable, complete bibliographic information; (5) accessible; (6) with evaluative criticisms.

On the Economy—and Its Effect on Book Purchases

Carol Moss reported that although the Los Angeles County Library System's $1.6 million book budget for 1975 would grow to $1.8 million in 1976, there would not be a corresponding growth in the number of titles ordered. Rising book prices, according to Ms. Moss, have created a change in collection building: more titles are ordered in single copies with fewer duplicate copies, fewer scholarly and ephemeral works, as well as fewer replacement copies are ordered, and more emphasis is put on resource sharing plans. Ms. Moss went on to predict a decrease in her book budget beyond 1976.

The Publishers on Why Do Books Cost So Much?

Andrew Neilly, John Wiley, shared some "facts of life" about the costing of a book, presenting the factors that constitute the publisher's expenses: 15 percent author royalty, 7.5 percent editorial, 6.3 percent distribution, 11.9 percent administration, 19.5 percent advertising and promotion, leaving 39.8 percent for production and profit. In fact, the total pressure of today's economy is adding drastically to the cost of producing a book.

How are suppliers combatting these problems? Panelists urged broader use of ISBN (Wiley reports a significant saving when ordering access is by ISBN), on-line ordering systems, standardized order forms—and, according to Harlan Kessell of the University of California Press, the parcelling out of work in a "cottage-industry mode" of operation and the use of special in-house composition methods.

On Reviewing and Selection Tools

William Buchanan, U.S. Historical Documents Institute, pointed out the need for a combined selection source for multimedia products; and Elizabeth Geiser reported some specific plans for improvement in Bowker's bibliographic services, including a pilot project offering *Books in Print* and *Forthcoming Books* on microfiche, as well as more expansive and refined subject headings for *Subject Guide to Forthcoming Books.*

On "Consortia"—Are They a Threat to Publishers?

"No," claimed Shirley Sarris of Bowker. Resource sharing can mean released money for more book purchases. But publishers, unfamiliar with networks, need to know which libraries comprise which networks, how the networks function, and who the decision makers are.

The Wholesalers/Distributors

"Become an adjunct member of the library staff," recommended Lionel Wilson, John Newill and Sons, in expressing the theme that keynoted all of the wholesalers' presentations: a call for better communications between their sources of supply—the publishers—and their customers—the librarians. Calling upon librarians to ask themselves, "Why do I order this way?" DeWitt Baker, Baker & Taylor Company, asked the library world to help educate more professionals to explore new ways of doing business. And Peter Jacobs, Bro-Dart, reinforcing the idea, said, "We need not be afraid of change but should welcome it. If change can make us all more efficient, our ability to operate in the face of budget pressures may well expand instead of contract." In detailing ways of improving their own costs and thus their services, wholesaler panelists asked publishers for (1) more realistic publication dates; (2) accurate data on when a book will be reprinted and when it is out of print; and (3) broader use of ISBN and LC catalog card numbers.

Where Do We Go From Here?

It was obvious that all three participating groups—publishers, distributors, and librarians—were being challenged to become more innovative, more effective, more flexible. Specific areas in need of prompt and continuing action include: (1) continue—do not abandon—the pressure for funds for schools and libraries; (2) establish better mechanisms for educating librarians about the business of book publishing; (3) develop programs to educate publishers about the operations of libraries; (4) gear up to provide improved reviewing and selection tools; and (5) undertake more market research into the organizational structure and functions within libraries and into the economics of the marketplace.

Committees of the American Library Association, the Association of American Publishers, the Special Libraries Association, and other relevant groups must now accept these challenges.

Notes on the Author Notations and Tables Used in Library of Congress Schedule for Icelandic Literature

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Icelandic literature is a problem for the cataloger because it involves the many literary forms of the Old Norse (to 1540) and the modern Icelandic literature. Further, the problem of entry is unusual because Icelandic personal names (with certain exceptions) do not contain a surname, but rather a personal name or names and a patronymic, ending in -(s)son or -dottir, and occasionally a toponym. Since 1968, the Library of Congress has been revising old entries as necessary and establishing new entries under a new practice.

MOST OF THE EARLIEST INHABITANTS of Iceland were emigrés from southern and western Norway between approximately 874 and 930 A.D. and brought along with them not only their Old Norse language, but also the poetry and oral history of their homeland. In fact, the Icelanders preserved these literary forms and invented new ones, so that Iceland became a rich depository for the literature of the Middle Ages. This literature had its roots in the Old High German and Old English (through the Icelanders who had settled in the British Isles before coming on to Iceland).

Thus, the Library of Congress (LC) schedule for Old Icelandic and Old Norwegian begins at PT7101 with the literary and historical criticism of the Old Norse literature.[1] The most famous literature to survive from the twelfth and thirteenth centuries was, of course, the collection of prose narratives called sagas. These are of so many different types that they are confusing to the nonexpert to classify. However, the LC schedule beginning with PT7181 is good on the main types: (1) the historical sagas concerning certain families, certain kings, Norwegian colonies, or Denmark and Sweden; (2) sagas relating to the Icelandic church or clergy; (3) mythical or heroic sagas. Under collections, begin-

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ning with PT7220, the *Elder Edda* or *Edda of Saemund the Learned* is carefully distinguished from the *Younger Edda* or the *Edda of Snorri Sturluson* which is a textbook of poetry based on the old poetry in the Elder Edda. The scaldic or court poetry (PT7244-7252) was of a very different and much more difficult type. Written by trained poets to glorify noblemen, it was read in the courts to entertain those present. As LC has usually entered these scaldic poets under the personal name (or names), e.g., Glúmr Geirason (PT7246 .G3), Sighvatr Porðarson, d. 1045? (PT7246 .S5), there has been no particular problem in Cuttering.

Problems may arise, though, in distinguishing the individual sagas or historical works (PT7263–7338), or in using the subdivision tables for these numbers. For example, under PT7269 one finds the family saga almost universally called *Egils saga* correctly listed as *Egils saga Skallagrímssonar* to distinguish it from the similarly named mythical saga *Egils saga Einhenda* (PT7287 .E2-4). Examples using the subdivision schedule preceding PT7263 may be helpful. For Morris' English translation of *Kormáks saga,* a logical classification number would be PT7269 .K7E56, with K7 representing a translation, E5 representing English and the 6 in E56 representing Morris. Similarly, Hollander's English translation of the *Jomsvíkinga saga* is classified by LC as PT7282 .J6 E54.

Another point to bear in mind is that one may have in hand one of the mythical heroic sagas "adapted or imitated from the French, Latin, etc." (PT7294-96). Some of these are easy to guess, such as *Flóres saga ok Blankiflúr* (Floire et Blancheflor), but others are not at all easy. In case of doubt about identifying sagas, standard works on Icelandic literature such as Turville-Petre's *Origins of Icelandic Literature* or Stéfan Einarrson's *A History of Icelandic Literature* are invaluable.[2]

In recent years the Library of Congress has been revising its entries for Icelandic personal names which formerly had been established under the last element of the name.

> With some exceptions Icelandic personal names do not contain a surname; they consist of a personal name or names and a patronymic. In addition some authors add a toponym. Not only is entry under a patronymic contrary to sound principles of establishing personal names for cataloging purposes, it is also contrary to standard Icelandic usage. Therefore, it was decided to adopt the provisions of the *Anglo-American Cataloging Rules* (cf. "Introductory notes," p.80, and rule 49) under which such names are entered under the personal name followed by the patronymic and the toponym, if any, in running form. A reference is made from the patronymic.[3]

Thus, by following through the latest LC cards, main entry and Cutter corrections may be found, e.g., Óskar, Jón, 1921– has been changed to Jón Óskar, 1921– (PT7511 .J54) and Guðmundsson, Jónas M to Jónas M Guðmundsson (PT7511 .J58). Examples of Icelandic authors properly entered under surname are Laxness, Halldór Kiljan and Nordal, Sigurður Jóhannesson.

To solve the very practical problem of entries already in the public catalog under the old form of entry (e.g., Óskar, Jon), the Pennsylvania

State University Libraries plan to leave these in, but all new entries for new authors will follow the revised form and will have a cross-reference from the patronymic to the personal name, e.g., entry under Jón Helgason, 1899– with cross-reference from Helgason, Jón, 1899– . The public service staff will assist library patrons in searching both ways for any Icelandic author.

In the case of an Icelandic author who writes in another language to reach a larger audience, such as Kristmann Guðmunsson, who usually writes in Norwegian, LC entries have been revised to PT8950 .K89 (Norwegian) and PT7511 .K7 (Icelandic). Note that the Norwegian schedule uses the *Icelandic* form of entry and Cutters from Kristmann. Care must be taken not to mistake a Scandinavian author such as Tor Jonsson for an Icelander, as the Norwegian entry would correctly read: Jonsson, Tor. Usually, the place of publication will furnish a clue, although the work of Icelandic authors *may* of course be published in other Scandinavian cities and caution is advisable, e.g., Jón Helgason's *Islandske Laesestykker fra 19. og 20. Aarhundrede,* published in Copenhagen, Denmark, in 1948.

Worthy of note is the separate section (PT7520-7550) which covers Icelandic literature by province or place, including locations outside of the country. Many Icelanders emigrated to Canada and to the northern U.S. in the last century, and many of these have continued to write in the Icelandic language, such as Jóhann Magnús Bjarnason, Guttormur J. Guttormsson, Þorsteinn Þ. Þorsteinsson and Guðrún Helga Finnsdóttir. Translations into English and literary studies of Icelandic literature have been published by the University of Toronto Press, reflecting continuing interest in the Icelandic settlements there. The University of California Press and the Oxford University Press have also published along this line.

The last section (PT7581–7599) covers the literature of the Faroe Islands, as these were a stopping-place for many of the 9th century emigrants from Norway to Iceland. Some of these vikings stayed on in the rugged Faroes, so the modern Faroese is derived from the Old Norse, but not the same as Icelandic. Because of their isolation, medieval stories and ballads (kvaedi) have been passed on orally and almost unchanged to the present generation of islanders. The first book ever printed in Faroese (1822) was a collection of ballads about Sigurd the killer of Fafnir.

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Resources and Technical Services Division: Annual Reports, 1974/75

President's Report

DORALYN J. HICKEY, *President*

In years such as this, the president of the Resources and Technical Services Division of ALA can rightly wish for a person such as Paul Dunkin to provide a catch-phrase, describing it pithily. Perhaps it might be termed the "Year of Creative Schizophrenia," for Webster defines "schizophrenia" in part as "disintegration of personality expressed as a disorder of feeling, thought, and conduct." Certainly such disorders and some disintegrations prevailed, but viewed as a whole, they seem to have been ones which bode well for the future of the division, and thus might be reasonably called "creative."

To inaugurate the year, the 1974 Conference in New York City heard a gloomy report about the state of the association's finances, but the gloom was eventually somewhat dispelled by the end of the year, largely because of the huge monetary success of that same conference. At New York, the various divisions of ALA became increasingly conscious of the uncertainties occasioned by the passage of a new dues structure for the association, but they saw also the possibility of making the divisions "put up or shut up" in terms of their services to membership.

Within RTSD we prematurely breathed a sigh of relief that *ISBD(M): International Standard Bibliographic Description for Monographic Publications,* was finally incorporated in chapter 6, revised, of the *Anglo-American Cataloging Rules,* and we set about to make the Catalog Code Revision Committee (CCRC) a part of RTSD, not merely of the Cataloging and Classification Section (CCS), upon the request—it should be noted—of CCS itself. At 1975 Midwinter, ISBD returned to challenge us in the form of librarians who felt left out of the deliberations and who believed, more importantly, that the library's user was being possibly harmed by the changes which ISBD and chapter 6 were introducing in the United States. There is much left to be investigated in terms of ISBD's effects on the public; meanwhile, the Catalog Code Revision Committee faces a deadline of 1975 for its preliminary recommendations and has of necessity, proceeded speedily with its review of ISBD for serials as part of that effort.

In order to plan for the future of RTSD, in cooperation with other ALA divisions, we participated in the Division Interests Special Committee (DISC), a group organized in New York by Ben Franckowiak, then president of AASL. The division's concerns were represented by the RTSD president, vice-president, and executive secretary at various meetings of DISC in New York, Chicago, and

San Francisco. In between these conferences, the division presidents and executive secretaries met with the ALA Executive Board to hammer out some of the details of budgeting under the new dues structure. (For those of you who may have missed its import, the new structure involves each division in essentially paying its own way in ALA by securing enough members, at $15 each per year, to pay for the division's staff and program.)

The RTSD Board of Directors discussed and debated the various issues related to the emerging ALA structure. We are in the process of creating an expanded Divisional COPES (Committee on Program Evaluation and Support); we have raised the price of the division journal, *Library Resources & Technical Services,* to $15 for a subscription so that the costs of processing separate mailings to nonmembers of the division will be realistically charged; and we have tried to create a format for the Board meetings which minimizes the time spent on operational details and maximizes the opportunities for discussion of issues facing the division and the profession as a whole.

In light of the considerations of ISBD and of Universal Bibliographic Control (UBC) (a new IFLA program), RTSD is attempting to increase its international consciousness. We are trying to be sure that the division is properly represented at international cataloging and bibliographic meetings, and we are setting up mechanisms to attempt to avoid last-minute debate and approval of standards forwarded by other national and international associations.

At the division level, we have been remarkably fortunate in having only a few resignations from offices and committees. The activities of each of the sections will be highlighted in the reports of their respective chairmen; however, particular attention should be paid to the redesigned program of the Resources Section (nee Acquisitions Section) whose ambitious plans for San Francisco have set a high standard for the other sections and the division.

Probably the most active RTSD committee this year has been Code Revision. It has set a model for participative style by inviting representation from all of the various ALA units and from other American library, archival, and information associations. Its hearings on rule 6 for serials, conducted at ALA Midwinter in Chicago, brought a timely and much-contested issue to the floor. Whether the issue can be satisfactorily resolved is still in doubt; nonetheless, this kind of open debate *in advance* of rule determination is healthy and provocative.

Other committees, not so heavily funded as CCRC, have worked with equal diligence. Ever-present problems in the area of nonbook materials cataloging seem to be coming into better focus, and the *ad hoc* Nonbook Committee has set up procedures for relating itself to the numerous other ALA groups interested in audiovisual media, and perhaps changing its name to Audiovisual Committee.

Problems associated with the organization and procedures of the various RTSD and sectional discussion groups remain to be solved, but recommendations are in the making. The Council of Regional Groups leadership will undergo a slight change in status and length of term; this group is viewed, however, as one of the best media for communication with potential RTSD members.

The San Francisco Conference RTSD program is designed to focus upon the history and the future of the *Anglo-American Cataloging Rules,* with Wyllis Wright, long-time chairman of the previous code revision committee, providing a perspective, and Dorothy Anderson, director of IFLA's new Universal Bibliographic Control Office in London, attempting to glimpse the future of *AACR* in the context of UBC. Section programs will extend and complement the divi-

sion efforts to provide what appears to be as well rounded and varied a set of conference offerings as has ever been scheduled at an annual meeting. In addition, the division is attempting for the first time to hold an informal coffee session for its membership, to give an opportunity for members to meet officers and committee personnel as well as each other. Another effort along this line was the opening of the traditional Midwinter RTSD luncheon to anyone with the price of a ticket, rather than limiting attendance to divisional and sectional officers and committee personnel as had previously been the case.

Before suggesting some of the challenges and problems which face the division in the year ahead, it is important to recognize the contributions of the many RTSD members whose concern and expertise keep the division operative, even in times of schizophrenia. In particular, both the vice-president and the past-president have been quick to assist the president in attending other meetings, looking in on the various units of the division and the sections, and generally offering sound advice and support in a time of adjustment. The Board members, including section chairmen, have participated fully, stayed in the meetings to the—hopefully not bitter—end, and made regularly helpful and creative suggestions for improvements in divisional structure and programming. The editor of the journal and his staff have once again served without remuneration to produce a highly respected quarterly publication in *Library Resources & Technical Services,* and they deserve our hearty commendation. Each year, the executive secretary is recognized for her many contributions to the well being of the division; it is truly impossible, however, to give adequate testimony to the many ways in which she and her staff provide the moral as well as technical support necessary to keep an RTSD president from making gross errors. If we ever "look good," it is—you can be sure—largely because Carol Kelm arranged it that way.

Where will RTSD's creative schizophrenia lead? It could be to disaster, if we neglect the vital area of membership promotion. Many of our current members believe, with adequate justification, that RTSD membership should be drawn from those who are truly interested in the work of the division and that such a membership will emerge whether or not it is "promoted." We must, however, be sure, in making such a judgment, that we have done a superior job of letting people know what RTSD is trying to do and how its program involves them. This implies a public relations activity at minimum, aimed at bringing people working in or interested in resources and technical services to at least a basic kind of understanding of the division's concerns. Then, once they join the division, we must provide them with opportunities to participate in ways which best meet their interests. This is a task which is never finished.

Assuming that RTSD survives—and few of us believe that it is in any real danger of demise—we need to devise imaginative and forward-looking programs for the division which will serve as continuing education for the membership and bring to our attention the rising young leaders of the profession. This means more attention to people and issues, and hopefully less time expended on the routine and perfunctory details of division management.

Perhaps most important of all is the development of a conscious "interface" between RTSD and its colleague divisions in ALA, between RTSD and its counterpart groups in other associations, and between RTSD and national and international institutions, organizations, and programs which have bearing on the organization and control of bibliographic information. The creative schizo-

phrenia which RTSD now senses will be a salutary one if it prompts the division to look beyond itself to the development of useful programs of interaction with those whose cause is the same as ours.

Executive Secretary's Report

CAROL R. KELM, *Executive Secretary*

Another busy year has passed for RTSD and the RTSD secretariat. The work of the RTSD office included the usual activities related to the Midwinter Meeting and the Annual Conference; meeting numerous internal ALA deadlines; and the provision of information by telephone and letter about technical services matters and RTSD activities. The officers and committee personnel of the division worked conscientiously and productively during the year to fulfill the function of the division and its units. Division publications and conference programs have been major contributions to librarianship, as the reports of division and section officers show.

A major portion of the RTSD office time has been spent this year on serving as the secretariat for the catalog code revision effort. This included maintaining and distributing the documents of the RTSD Catalog Code Revision Committee and the Joint Steering Committee for Revision of *AACR* to members and representatives of these groups, and arranging and attending the meetings of the two groups at conferences and at other times. To assist with the heavy load of work, the office added a half-time secretary in August 1975.

Because of the ALA dues structure change in 1975, the division has actively worked on membership promotion. The office sent letters signed by the RTSD president to the ALA/RTSD members who did not renew their 1975 memberships; to RTSD members who renewed their ALA but not their RTSD memberships for 1975; and to RTSD discussion group members asking them to urge their colleagues to join RTSD. At the San Francisco Conference a morning coffee hour provided a time for informal conversation between RTSD officers/committee chairmen and RTSD members/prospective members. At the 1975 Midwinter Meeting the traditional RTSD luncheon was opened to all who wished to attend, with ticket sales being handled at the ALA Midwinter Meeting registration desk rather than by advance mail sale. These two functions will be continued in 1976 in the same manner.

As of 31 July 1975 the RTSD total membership was 6,356 (compared to 9,454 on 31 August 1974, i.e., the end of the 1973/74 fiscal year). Of this number 4,179 were RTSD personal members (compared to 7,098 on 31 August 1974). Because RTSD receives directly $15 per personal member and a portion of the RTSD organizational members' dues, the division's financial recources will be higher in 1975/76 than in 1974/75, in spite of the slight drop in the number of members.

With the increased financial resources, the division is planning ways to increase communication with its members and to insure RTSD participation in the national and international meetings where matters of special concern to technical services librarians are being discussed and policies formulated.

Cataloging and Classification Section Report

CAROL F. ISHIMOTO, *Chairman*

The Cataloging and Classification Section, in an effort to communicate the developments and progress of national and international cataloging standards, sponsored a one-day institute and a program meeting at the Annual Conference in San Francisco. The Institute on International Standards as Related to Universal Bibliographic Control (UBC) had the following participants: Elizabeth Tate, chief, Descriptive Cataloging Division, Library of Congress: "Monographs, with Particular Reference to Revised Chapter 6 of AACR"; Michael Gorman, head, Bibliographic Standards Office, British Library: "Serials"; Ronald Hagler, associate professor, University of British Columbia, School of Librarianship: "Nonbook Materials"; Henriette Avram, chief, MARC Development Office, Library of Congress: "International Standards (Requirements and Projections) for the Interchange of Bibliographic Records in Machine-Readable Form." In addition to the principal speakers, Saad M. el-Hagrassy of the Cairo office of the Library of Congress, American Libraries Book Procurement Center, spoke briefly about his Arabic translation of chapter 6 of *AACR,* and Dorothy Anderson, director, IFLA International Office for UBC, presented up-to-date information regarding developments at the international level.

The CCS Subject Analysis Committee under the chairmanship of Nancy Williamson, Faculty of Library Science, University of Toronto, sponsored a program meeting on the "Geographic Elements in Library of Congress Subject Headings: Implications of Policy Change for Reference Services, Cataloging and Catalog Management." Edward Blume, chief, Subject Cataloging Division, Library of Congress, was the keynote speaker, and C. Donald Cook, assistant professor, Faculty of Library Science, University of Toronto; Robert Balay, head, Reference Department, Yale University Library; and Nathan Josel, director, Madison Public Library, served as panelists, reacting to Mr. Blume's presentation.

At the CCS program meeting, the Margaret Mann Citation was presented to Margaret W. Ayrault, professor, Graduate School of Library Studies, University of Hawaii "in recognition of her strength of leadership in cataloging and classification as acknowledged by her colleagues in professional organizations, in libraries, and in library education."

The Subject Analysis Committee (SAC) has been an exceptionally active CCS committee this year. SAC has been primarily concerned with subject headings related to special subject areas and to minority groups. Its Ad Hoc Subcommittee on Subject Headings for Correctional Materials, appointed in 1972, presented its final recommendations at the 1975 Midwinter Meeting and communicated its findings to LC and other appropriate groups. The subcommittee had been charged with the responsibility of defining correctional materials and their users; investigating the need for better coverage and new subject headings in this area; revising existing lists, and examining the relationship of this area to the LC subject headings. In general, the findings of the subcommittee showed dissatisfaction with the LC and Sears subject headings in this subject area. For the present, the subcommittee recommended that no new subject headings list be compiled until the existing special lists for correctional materials are publicized,

and the annotated list compiled by the subcommittee is either published or made available through some source.

After several presentations by the Black Caucus regarding its decision to support *Afro-American* as the accepted term for blacks of American descent, SAC went on record as recommending that the LC Subject Cataloging Division begin to change subject headings containing the words Negro and Negroes to *Afro-American* when referring to Negroes in the U.S., and to *Black* when referring to racial origin (e.g. "Black race" for "Negro race").

At Midwinter the need for establishing guidelines for the subject analysis of nonbook materials was expressed. Therefore, a SAC Ad Hoc Subcommittee on the Subject Analysis of Audiovisual Materials was established with the following function statement: "to investigate and to identify any differences in the subject analysis and control requirements of nonbook materials and books. This investigation is to include consultation with public service librarians and media specialists as well as subject catalogers."

The principal activity of the Descriptive Cataloging Committee (DCC) this year has been participation in the work of the RTSD Catalog Code Revision Committee. Whether ALA's role in code development should revert to DCC after the current revision of *AACR* is completed has been questioned. In anticipating the second edition of *AACR,* DCC has begun to identify useful projects that would make the new edition more comprehensible and accessible to catalogers.

The primary concerns of the Cataloging of Children's Materials Committee (CCMC) this year have been the Catalog Code Revision Committee's work on chapters 12 (motion pictures and filmstrips) and 14 (phonorecords) of *AACR,* and the subject headings for children's materials. CCMC has stated the need for a survey of Sears and LC subject headings relating to children's materials to provide the necessary evidence required to support the desirability of a single standard list. CCMC has recommended that LC subject headings should be adopted as the national standard.

The Policy and Research Committee (PRC) has expressed concern that insufficient empirical data was available to individuals involved in making important decisions, for example, in the revision of *AACR.* While PRC recognized that little can be done for the present code revision, the committee felt that future revisions should be based on the results of empirical research. It was further suggested that research projects identified by PRC might be undertaken by individuals in library schools under the guidance of faculty members. In the coming year PRC is planning to investigate this possibility with faculty members of various library schools.

With the publication of revised chapter 6 of *AACR* in July 1974, the implementation of the International Standard Bibliographic Description (ISBD) was challenged by those who felt that the ISBD cataloging format would have adverse effects on catalog users, particularly in school and public libraries. After Midwinter, ALA Councilor Peggy Brooks Smith, on behalf of Sanford Berman, Maurice Freedman, Joan Marshall, and Marvin Scilken, sent to the CCS Executive Committee a draft Council resolution which directed CCS to study the impact of ISBD on library users and to consider whether another format might better serve the users in school and public libraries. If such a study were to be undertaken, the CCS Executive Committee recommended that the Catalog Use Study Committee of the Reference and Adult Services Division would be the ap-

propriate committee, rather than CCS. A broader-based study, not limited to ISBD, but incorporating the larger question of the organization of bibliographic information for all types of libraries was suggested by the CCS Executive Committee.

Concerning the additional financial support that some divisions and sections anticipate as a result of the new ALA dues structure, the CCS Executive Committee recommended that the following priorities be considered by the RTSD Board of Directors: (1) financial support for representation in activities concerning the development of international standards; and (2) publication and distribution of important documents. Related to this second priority is the request to increase the number of pages in *Library Resources & Technical Services* to make possible the inclusion, on a priority basis, of substantive and timely papers delivered at Annual Conferences.

In conclusion, I would like to take this opportunity to thank the members of the CCS Executive Committee and the committee chairmen for their active participation and support. A special note of appreciation must be expressed to Wesley Simonton, editor of *Library Resources & Technical Services,* for his efficiency and his cooperation. To Carol Kelm, RTSD executive secretary, for all the assistance and guidance she has given me throughout the year, I am particularly grateful.

Reproduction of Library Materials Section Report

FRANCIS F. SPREITZER, *Chairman*

How effectively the section fulfills its function, i.e., assisting libraries, depends on the success of its information program and on the efforts of the section committees.

At the San Francisco conference, the RLMS program meeting on criteria and standards for microform purchases and services was educational, lively, well attended, and well received. Several micropublishers participated in the meeting of the Discussion Group (Carl M. Spaulding, chairman), where the proposed ANSI Z-39 standard on *Advertising Micropublications* was the topic. Joseph Z. Nitecki has compiled a supplement to the *Current State of Catalog Card Reproduction* (RLMS Micro-File Series, V.1, Supplement 1), which is available from the Library of Congress Photoduplication Service. Nitecki has been appointed chairman of the new RLMS Publications Committee, which is charged with developing and coordinating publications in the field of concern of the RLMS membership. The Library Photoduplication Order Form Committee (Charles G. LaHood, Jr., chairman) completed the work on a revision of the form and made it available to printers. The *Library of Congress Specifications for 16mm Microfilming of Library Card Catalogs* has been published, incorporating the work of an ad hoc RLMS/RSD joint committee.

The Policy and Research Committee (Norman J. Shaffer, chairman) worked with the Resources Section Bookdealer-Library Relations Committee on guidelines for handling library orders for microforms. The Telefacsimile Committee attempts to construct a successful model for telefax use, more effective and

economical than teletype or telephone. Disadvantageous developments in the ERIC microfiche program caused urgent concern on the part of the RLMS Standards Committee (Stephen R. Salmon, chairman) about film materials for which no processing and preservation standards exist. Acting jointly with the RS Micropublications Projects Committee, the RLMS Standards Committee recommended that libraries purchase for permanent retention microforms produced on materials for which such standards do exist. A Subcommittee on Non-Silver Films was also established, to recommend the research needed for formulating standards for nonsilver films in libraries. As for standards, since the previously ALA-sponsored ANSI PH5 Committee was taken over by the National Micrographics Association, changes were made to reduce the PH5 concern to micrographics reproduction matters. This left other subjects important to libraries, such as photocopying and the permanence of photographic images, including microforms, to other ANSI committees on which ALA is not represented. Active participation in the formulation of standards is a very important matter, yet impossible without continuing financial support.

The section accepted with regret the resignation of William C. Roselle, chairman, effective at the Midwinter Meeting, because of greatly increased duties at his university. The remaining part of his term was served by the vice-chairman, chairman-elect, who thanks the officers and members of the section, and the executive secretary of RTSD, Mrs. Carol R. Kelm, and her staff, for their work and support.

Resources Section Report

ROBERT C. SULLIVAN, *Chairman*

With the conclusion of the San Francisco Conference and the submission of this report, the Resources Section completes its second year of activity after the authorization at the Las Vegas Conference of its expanded role to contribute to library service and librarianship by encouraging, promoting, and exercising responsibility for the RTSD activities that relate not only to the acquisition, but also to the selection and evaluation, of library materials in all types of institutions. It is a pleasure to report that ample evidence exists of the significant progress made during the past year toward fulfilling the expanded role.

The Collection Development Committee continued its energetic and productive activity under the able leadership of Juanita Doares of the New York Public Library. It labored throughout the year to prepare for the all-day program meeting presented in San Francisco on 1 July 1975, jointly sponsored by the Resources Section and the RTSD-AAP Joint Committee. The 8:00 a.m. to 4:00 p.m. portion of this program dealt with the topic: "Book Marketing and Selection: A Publishing/Library Forum," based on an analysis of information obtained by questionnaires mailed at mid-year to selected publishers, wholesalers, and libraries by four task forces. This impressive group of representatives from publishers and libraries met many times and corresponded throughout the past year, and the success of the program reflects the many hours of detailed planning, analysis, and arrangements required. Not only was the program of significant in-

terest to those in attendance but the various published reports of its findings and recommendations will serve as a springboard for much additional discussion and improved procedures for, and understanding of, the interaction between publishers, wholesalers, and librarians in the entire area of book marketing and library selection. ALA in general and the RTSD Resources Section in particular is fortunate to have the close cooperation and enthusiasm of so many dedicated and hard-working publishers' representatives. Much of the key to the success of this ambitious and productive group is the skillful coordination and tireless support contributed by Carol A. Nemeyer of the Association of American Publishers, Inc.

The 8:00 to 10:30 p.m. portion of the 1 July 1975 program presented at the San Francisco Conference was equally impressive. The "Selection Merry-Go-Round" sponsored by the section's Collection Development Committee in cooperation with the Collection Development Chapter of the California Library Association offered a selection of nineteen group discussions of specialized collection development topics. This portion of the program particularly illustrated the emphasis away from the former concentration on acquisitions processes toward the more broad areas of the selection and evaluation of library materials that was envisioned by the change of the name of the section from Acquisitions to Resources.

Still another successful program that was cosponsored by the Resources Section and the RTSD/AAP Joint Committee was the 3 July presentation from 2:00–6:00 p.m. on West Coast publishing. This series of presentations by nine leading Bay Area book publishers was most informative and again reflected the enthusiasm and energetic cooperation generously offered by publishers' representatives.

The Acquisition of Library Materials Discussion Group (Medium-Sized Libaries) chaired by Hans Weber of the University of California at Riverside, and the Collection Development Officers of Medium-Sized Research Libraries Discussion Group chaired by J. Michael Bruer of the University of Houston Libraries continued to meet at the Midwinter and Annual conferences. Judging by the attendance at the meetings of these more informal groups, they appear to fill a real need at the conferences by providing a forum for the interchange of information and discussion of developments that might not be available in the more specialized committee meetings or in other meetings that a nonmember might be reluctant to attend.

The Bookdealer–Library Relations Committee, capably chaired by Harriet K. Rebuldela of the University of Colorado Libraries, was instrumental in ALA's issuing a press release in September 1974 again warning libraries of the possible pitfalls of a serials-microform exchange proposal offered by a particular dealer. Work continued on the drafting of guidelines for the acquisition of both antiquarian materials and microforms to complement those published in 1973 for handling orders for Current Monographs and Serials and Periodicals (ALA, BDLR Committee, *Acquisitions Guidelines* no. 1 and no. 2, Chicago, 1973, 16p. each). The committee also investigated and confirmed that a questionable proposal to issue a *Master Union Catalog* had been withdrawn by the publisher. Another complaint against a particular publisher was withdrawn after the facts were made known, and the committee is considering guidelines or procedures for processing any such future complaints in a more systematic and uniform manner. The BDLR Committee is also cooperating with other appro-

priate ALA committees in reviewing the draft of a leaflet entitled "What Shall I Do With My Old Books" submitted by Shirley B. Lebo of the Library of Congress.

The article "Periodical Prices: A Three Year Comparative Study" by Frank F. Clasquin of the F. W. Faxon Company, Inc., that appeared in the 1 October 1974 issue of *Library Journal* was the subject of much discussion at the Midwinter Meeting of the Library Materials Price Index (LMPI) Committee. Paul Birkel of the University of San Francisco Library has provided effective leadership of this committee. The committee also has been encouraged by the publication in September 1974 of ANSI national standard (Z39.20-1974) "Criteria for Price Indexes for Library Materials" and by the publication in November 1974 of William H. Kurth's paper prepared for the IFLA Committee on Statistics and Standards entitled "A Strategy for Developing Price Indexes for Library Materials." The *Bowker Annual of Library and Book Trade Information* for 1974 listed the thirteenth in a series of compilations of data on prices of U.S. and foreign published materials prepared by members of and consultants to the LMPI Committee. H. William Axford's article in the winter 1975 issue of *Library Resources & Technical Services,* "The Validity of Book Price Indexes for Budgetary Projections," generated much discussion and has prompted the LMPI Committee to clarify again that the indexes were designed as guides to assist libraries in budget justifications and not as replacements for more relevant statistics that individual libraries may develop. The lively reaction to the San Francisco Conference meeting cosponsored by the LMPI Committee and the ALA Office for Research on 3 July 1975 to discuss John Dessauer's study, "Library Acquisitions: A Look into the Future," that was published in the 16 June 1975 issue of *Publishers' Weekly* provided further evidence of the interest in and importance of this committee's work and of the serious impact on library purchasing power of continuing inflation, devaluation of the U.S. dollar, the paper shortage, and related developments.

Lawrence S. Robinson continued his competent direction of the Micropublishing Projects Committee, which has maintained effective liaison with the many other committees and organizations with an interest in library microforms. The committee continued to monitor micropublishing developments at GPO, the alarming increase in the utilization of nonsilver microforms in projects offered for sale to libraries, the need for additional microform standards, the revision of the "Criteria for the Procurement and Use of Microforms and Related Equipment by the Libraries of the California State University Colleges," and the distribution of the *New York Times* on vescicular microfilm. The committee, together with other units of ALA, and the quarterly *Microform Review,* will sponsor a seminar for librarians and micropublishers in New York in the fall.

Deanna H. Marcum of Tennessee Joint University Libraries has rejuvenated the Policy and Research Committee to explore the procedures for implementing a proposed acquisitions scholarship award with the P&R Committee serving as the jury, to recommend to the RS Executive Committee additional tasks to be performed by the members-at-large of the Executive Committee, to suggest ways that RTSD might participate in the White House Conference and State Conferences on Library and Information Services (P.L. 93-568), and to participate in the activities of the RTSD Planning Committee.

The Reprinting Committee, ably guided by Henry James, librarian of Sweet

Briar College, participated throughout the year in the planning for the all-day program meeting in San Francisco, appointed a Subcommittee on Reprint Review Media to attempt to develop additional sources for published reviews of reprints, submitted the policy statement on library lending to reprint and microform publishers for publication in *Library Resources & Technical Services,* and maintained close liaison with the AAP/RTSD Joint Committee.

A press release was issued in February announcing the availability of "Third World Bookdealers: A Selected List of Bookdealers in Africa, Asia, and Latin America," compiled by Jennifer Magnus of the Library of Congress. This list, a replacement for the McNiff list issued ten years earlier, is available for $1.00 from the RTSD office of ALA; it contains data on approximately 275 dealers collected from 27 surveys and reports from various libraries. Ms. Magnus, as chairman of ANSI Z-39 Subcommittee 36, also has completed the sixth draft of the proposed standard book order form, and it is being circulated for comment. The RS Executive Committee members and committee chairmen held informal luncheon meetings at both the Chicago and San Francisco conferences to facilitate communication and expedite the work of the section. This has proven to be a worthwhile innovation, particularly because of the crowded agendas of the two Executive Committee meetings, and this practice will be continued. The reporting procedure for the NUC Committee (ad hoc) is being reviewed by the RTSD Organization Committee.

The Resources Section is blessed with dedicated and resourceful officers and members and can be justifiably proud of its many accomplishments during the year. The section enjoyed the constant support and fine cooperation of Carol R. Kelm throughout the year. The continued success of the section's endeavors is assured by Murray S. Martin's assuming the chairmanship for the coming year.

Serials Section Report

ELIZABETH PAN, *Chairman*

The past year saw the creation of two new committees in the section: the AACR Revision Study Committee, chaired by Judith Cannan, and the Regional Serials Workshop Committee, chaired by Hans Weber.

The AACR Revision Study Committee's charge is "to solicit input from serials librarians, to present this information to the RTSD Catalog Code Revision Committee (CCRC), to study the drafts of the AACR revisions and to prepare comments from the point of view of serials for the RTSD CCRC." The committee held well-attended meetings at the Midwinter and Annual conferences to discuss the pros and cons of the various code revisions proposed. In addition, the Serials Section sent a letter to solicit input from its membership to the *ISBD(S)* and *AACR* revisions under consideration.

In an effort to reach those who cannot attend ALA conferences, the Executive Committee established the Regional Serials Workshop Committee, whose function is to promote regional and local workshops and to assist local leaders in the mechanics of planning and implementing workshops on a cost recovery basis. The committee is preparing a manual to assist workshop planners. Within

the brief period of its existence, the committee has co-sponsored two workshops: the first, held in California, dealt with "Main Entry for Serials: Pros and Cons," and the second, held in Texas, focused on "Serials: National Trends-Local Implications." Proceedings will be published for the latter. A third workshop, focusing on "Automated Serials Systems" will be held in New York City on 24 October 1975. In testimony to the widespread interest in serials today, all of the workshops held so far were well attended and recovered their costs. Hans Weber will be happy to hear from you if you are thinking of doing something similar in your region and would like some advice and assistance.

The Policy and Research Committee, chaired by Neal Edgar, continued to provide the Executive Committee with many and varied recommendations for consideration and action. The committee's efforts centered around serials education, design of standard forms for ordering and claiming and communication mechanisms to reach the section's membership. As a result, the Executive Committee moved to establish ad hoc committees to: (1) recommend a serials curriculum and means to promote serials education (2) study the feasibility of designing a standard claim form. The section's concern for an effective and timely means of communication with the membership was communicated to the RTSD Board, resulting in the establishment of a newsletter for the division to be published alternately with *Library Resources & Technical Services.*

The Ad Hoc Committee to Study Manually Maintained Serials Records has substantially completed the tabulation of the results of the questionnaire sent to the membership to determine the types of records being kept and the procedures followed. A committee is being formed to recommend the appropriate means for publishing the results of the study. The efforts of the committee and its chairman, Leroy Ortopan, are gratefully acknowledged.

The Duplicates and Exchange Union Committee, chaired by Rick Eggleton, has been active in improving the DEU mailing list. The committee also held a program for its members during the Annual Conference.

The discussion groups for large and medium-sized libraries continued to provide the forum for their respective constituencies on timely and relevant issues. The Discussion Group for Large Research Libraries, led by Elizabeth Greer, centered on membership issues, while education for serials librarians was the predominant theme in the discussions for medium-sized libraries.

Although not a committee of the Serials Section, the Joint Committee on Union List has always had a close working relationship with the section. The Joint Committee differs from the other ALA committees in that it is an incorporated body with the result that it may apply for grants. The Joint Committee is currently identifying worthwhile projects to undertake. Hans Weber was named chairman.

The annual program in San Francisco focused on CONSER. Small group discussions centered on various aspects of the CONSER program, such as cataloging considerations, holdings statement, etc. During the program, the second annual award for the Worst Title Change of the Year was announced by the publishers of "Title Varies."

It has been a busy and interesting year for those of us involved with serials work. From all indications, the next few years will bring even more exciting developments in the national and international levels which have implications for large and small libraries alike. The challenge that faces the Serials Section is to provide the mechanisms for serials librarians to participate and have a voice in

the making of these changes and to encourage serious thinking and debate of the issues. Regardless of how effective committees are, only a handful can participate directly and actively in committee work. The Serials Section has to seek means to involve a larger section of its membership in order to remain relevant and meaningful to them. If you have suggestions to make, or if you wish to serve on a particular committee, let the current chairman, Joe Howard, hear from you.

Catalog Code Revision Committee Report

JOHN D. BYRUM, *Chairman*

At its 17–21 January and 18–19 April meetings, the ALA/RTSD Catalog Code Revision Committee (CCRC) concerned itself with organizational matters related to CCRC's participation in the preparation of the second edition of the *Anglo-American Cataloging Rules,* efforts at increasing ALA's role in development of international bibliographic standards, and consideration of amendments affecting both the current and proposed editions of *AACR.*

The committee has devoted considerable attention to the tasks of establishing and maintaining liaison with persons and groups with discernible interest in the bibliographic control of library materials in order to involve the American library community in the code revision project. Within ALA, divisions and round tables have been invited to designate representatives to the committee. The RTSD sectional Executive Committees were asked to identify groups which ought to follow CCRC's activities. The committee has also established working relationships with the Interdivisional Committee on Representation in Machine-Readable Form of Bibliographic Information (MARBI) and the Computer Filing Rules Committee. Because ALA's role in code development will revert to the Descriptive Cataloging Committee after the current revision of *AACR* is completed, the entire membership of DCC has elected to participate in CCRC's work. As for groups outside ALA, nearly thirty organizations have been contacted to designate representatives to the committee; those groups which prefer not to do so may choose instead to receive its documentation and have drafts referred to them for information and comment. In addition, CCRC regularly prepares summaries of its minutes for publication in *Library Resources & Technical Services* and through press releases advises other library-oriented periodicals of its major activities and concerns. The committee has also sponsored an open debate on the matter of serials main entry and held hearings to solicit suggestions for improvement of *AACR.* The chairman appeared before the Texas Regional Group of Catalogers and Classifiers, the New England Technical Services Librarians, and the New York Technical Services Librarians to explain the development and concerns of the current revision effort and to provide an opportunity for the membership of these groups to voice their concerns and proposals; others among the committee have also attended local and special meetings to report on and seek reaction to code revision progress.

For the purpose of originating proposals for modification of *AACR* and of considering those submitted by others outside the committee, CCRC has formed

twenty-seven Rule Review and Revision Proposal Teams. These groups, each of which is assigned responsibility for blocs of related rules, have studied the *AACR* in order to identify lacunae in the code and to determine which provisions entail problems of interpretation, suffer from insufficient examples, yield undesirable results, or otherwise seem defective. As an aid to this work, CCRC commissioned the preparation of an annotated bibliography covering publications that offer a critical assessment of *AACR*. (The committee subsequently authorized publication by RTSD of this document.) In addition, the Descriptive Cataloging Committee transmitted to CCRC's teams all matters which had not been brought to a conclusion prior to the commencement of work on the second edition. Finally, the chairman has referred to the Rule Review and Revision Proposal Teams the substantial data which he collected as a result of his study, sponsored by the Council on Library Resources, on the adoption, application, and modification of *AACR* by large research libraries. Teams are now well into the process of generating and reviewing this input with the objective of presenting final reports for discussion at the committee's next meeting in San Francisco.

Concerning the second edition, CCRC has already transmitted to the Joint Steering Committee for Revision of *AACR* its strong recommendation that the text avoid sexist terminology, such as the exclusive use of the masculine pronoun as a generic term, and include a larger representation of female authors in the examples. The committee has also discussed and acted upon the several rule revision proposals put forth by the editors to dispose of those provisions which occur only in either the North American or British text as a first step toward the reconciliation of differences between the two texts.

In addition to determining ALA's position with regard to the content of the second edition, CCRC has endeavored to contribute to the improvement of the existing edition of the North American text. In this regard, the most significant of its efforts relates to collaboration with the Library of Congress and the Canadian Committee on Cataloguing in the production of a revised chapter 12; this work is now ready for publication by ALA under title "Audiovisual Media and Special Instructional Materials." (As a by-product of this revision, CCRC has also been negotiating more limited changes to *AACR* chapters 14 and 15.) The committee also assisted in the consolidation of rules 4 and 5, in the elaboration of a new rule covering Malay names, and in the review of proposals to extend the Chinese romanization tables.

Throughout its deliberation, the Catalog Code Revision Committee has followed with considerable interest matters related to international cataloging standards. The committee has discussed extensively the concept of the International Standard Bibliographic Description and concluded that the ISBD serves as "a useful tool in moving toward a viable program of Universal Bibliographic Control," although CCRC has also endorsed a broadly based study to determine *inter alia* the impact of ISBD on catalog users. In addition, the committee has recommended to the International Federation of Library Associations that the punctuation pattern incorporated in the revised chapter 12 be considered for inclusion in the contemplated International Standard Bibliographic Description for Audiovisual Materials. Moreover, CCRC has expended considerable effort in reviewing the International Standard Bibliographic Description for Serials, cooperating with the Library of Congress and the Canadian Committee on Cataloguing toward preparation of a common position on the revision of the ISBD (S). The committee plans to continue its work in this area by evaluating

proposals submitted by other national cataloging committees and bibliographic agencies and has authorized the chairman to represent it at the ISBD (S) Revision Meeting this October in Paris. Although not invited to contribute directly to the formulation of the International Bibliographic Standard for Early Imprints, the committee has secured permission from the Library of Congress to assist LC in reviewing the successive drafts of this emerging standard and is currently engaged in this task. Finally, with regard to the international front, the committee has recommended to the RTSD Board of Directors that it (1) establish necessary funding and procedures for regular and official representation at international meetings and (2) urge ALA to work toward a reorganization of IFLA that provides for adequate representation within the member associations.

Decimal Classification Editorial Policy Committee Report

FRANCES HINTON, *Chairman*

The Decimal Classification Editorial Policy Committee held its annual meeting on 12–13 November 1974 at the Library of Congress in Washington, D.C. At this meeting, Margaret Cockshutt was elected vice-chairman. A second meeting was held 3–4 April 1975, also at the Library of Congress. All members were present at both meetings: Frances Hinton, chairman; Margaret Cockshutt, John Comaromi, Betty Croft, Joel Downing, Doralyn Hickey, John Humphry, Clare Ryan, Marietta Shepard, and William Welsh.

At its November 1974 meeting, the committee recommended that a number of changes in the 900 History schedule, most of which had already been approved by the Forest Press Committee, be implemented on 1 January 1975. The implementation was approved and has been announced by Forest Press.

At the same meeting, the committee recommended that edition 19 should include "phoenix" schedules 301–309, 324, and area notation -41 and -42; a 900 schedule that includes, in addition to the changes already announced, period subdivisions for most countries in the world; and routine revision throughout the other schedules. Work will continue on a future phoenix schedule for the life sciences, taking into account criticisms of the drafts that have been distributed. It was further recommended that the structure of the index to edition 19 be the same as that to edition 18, with attention being given to improved application of the principles upon which it is based.

Discussion continued on the problem of options offered in the schedules, based on papers prepared by the editor analyzing the nature of the various options. The committee concluded and so recommended that those options providing for the needs of countries outside the United States and for non-Anglo-Saxon, non-Christian cultures should be retained. Those options providing alternatives that are also valid and correct classification should also be retained. However, options that are, in effect, merely a perpetuation of past incorrect classification should be presented as complete relocations without an option.

Another discussion concerned the possibility of issuing revisions of individ-

ual schedules or portions of schedules between the publication of complete editions. The long-awaited survey of the use of DDC in North America, which began in June 1975, should provide some indication of how this idea might be received.

Both Forest Press and the committee continue to be deeply interested in the internationalization of DDC. The retention of options for this purpose, already mentioned, and the broadening and deepening of schedules to accommodate a variety of national needs are examples of this desire to satisfy as many as possible.

The chairman and the editor were invited to attend a meeting of the Forest Press Committee in March 1975, at which was held a fruitful discussion of current recommendations and their effect on users in all countries.

Committee on Education for Resources and Technical Services (RTSD/LED) Report

JOSEPH Z. NITECKI, *Chairman*

This interdivisional standing committee was approved by the Resources and Technical Services Division and the Library Education Division of ALA in 1972–73. The charge to the committee is "to investigate the coverage of resources and technical services in library schools; to develop a statement of the kind of education in these fields which is considered essential; and to seek all appropriate means for furthering such a program" *(RTSD Manual of Procedures, 1973)*. The committee consists of six members, three from each division, each appointed for two years, with the chairmanship rotating between the two divisions every two years. The first chairman was appointed by RTSD.

The committee was inactive in the first year of its existence and did not meet until the ALA Annual Conference in 1974. Following the resignation of the first chairman and my appointment as his replacement just before the New York Conference, the committee members were hurriedly gathered together, deciding to make up for the lost time by concentrating their efforts for the remainder of their tenure on only the first charge to the committee. It was agreed that before educational needs can be discussed, the committee should attempt to compile as much information about the present status of technical services coverage in library schools curricula as possible.

In spite of some reservations about the use of a questionnaire, the committee decided to develop a pilot project involving selected accredited graduate library schools, administrators of technical services, and recent library school graduates. The field of study was limited to the master's program, excluding for the time being, the paraprofessional and advanced programs of study. In addition, one faculty member of the committee agreed to review some school catalogs and syllabi and to compile a bibliography on the subject, while another LED member of the committee volunteered to study curricula of the Canadian library schools.

The first draft of the questionnaire was developed and reviewed by the members of the committee late in the summer of 1974. A redesigned format was

distributed to some forty participants in the project. This group included library schools, administrators and young librarians (ten participants in each group), chairmen of the four sections in RTSD, and appropriate advisory staff in the ALA Headquarters.

In this initial test we were seeking the participants' advice on the format, structure, and content of the questionnaire, trying at the same time to get the feel for the type of data we could expect from the survey.

The information was tabulated and reported at the 1975 Chicago Midwinter Meeting. The participating librarians and administrators were invited to attend the meeting. Also invited was Dr. Ralph Conant, president of the Southwest Center for Urban Research and the principal investigator of a study on library education, funded by a grant from H. W. Wilson and administered by the ALA. At the time, the committee was concerned about the possible overlap between its own study and that of Dr. Conant.

The meeting was well attended, and the discussion was lively, frank, and constructive. Dr. Conant confirmed his previous belief, expressed in his letter to this reporter, that "there are areas in which our two studies touch common ground, but . . . productively, not in duplication."

Among the issues raised by the participants answering the questionnaire and by the librarians attending the meeting, the following were the most prominent topics. (a) The charge to the committee is too broad and perhaps beyond its financial and technical capability. (b) The focus of the study, according to some commentators, first should be on the second assignment, i.e., to develop the statement of needs as experienced by library practitioners, rather than to study the library schools' philosophy. (c) Others felt that, on the contrary, more information is needed about the kind of education provided by different library schools. (d) Considerable time was spent in discussing difficulties of measuring education itself, because of variations in the definition of course content and its scope, further complicated by different lengths of academic year, course credits, forms of presentation. (e) Perhaps the most prevailing issue was the very definition of "technical services," what it should include, and what it ought to exclude.

The following is a brief summary of the results of the first pilot study, discussed at the Midwinter Meeting in Chicago.

Although most of the library schools replied to the chairman's invitation, only five answered the questionnaire. Those that did not complete the survey felt perhaps that the questions would not give justice to their flexible and unconventional programs. One dean wrote: "My advice to the committee . . . is that before drawing up the questionnaire they should study carefully all the bulletins and calendars of the library schools to ensure that the questions asked are, in fact, answerable by those on the flat part of the Bell curve." Well, we have looked into some calendars and, as one LED member of our committee noted, "the amount of information which can be gleaned from the calendars is very limited and somewhat questionable." Some of them give titles but no course description, while courses and their contents change from semester to semester, and they may or may not be compatible with similarly titled courses offered by another school.

All administrators of technical services answered the questionnaire. Although the opinions varied, most of them felt that the general educational background of recent library school graduates was good, but that their technical preparation

was less satisfactory and sometimes not extensive enough. The administrators seem to agree that on the whole, the contemporary library school education is not quite relevant to library needs, especially in the technical services area.

Only three librarians, representing three different library schools, responded to the questionnaire. Their answers covered precisely the three possible views about library education: very negative—middle-of-the-road—and very positive. All three librarians were basically satisfied with the education received: one because it was theory oriented, another because it was thoroughly practical, and the third because it was a well-balanced program. The critic stated that "library schools have no right to turn out graduates who have to learn cataloging and book trade organization totally on the job later. Such schools should change these courses or have their accreditation revoked."

After reviewing the results of the first draft of the survey, the committee updated the questionnaire in line with the suggestions made by the participants in the project. The surveys were conducted individually by some members of the committee in their immediate geographical vicinity, and their findings were reported at the San Francisco Annual Conference.

Although some interesting aspects of the education status emerged from these studies, the group agreed that the questionnaire is not suitable for an in-depth evaluation of the school curricula and, although it was more successful with library practitioners, it would still require further improvements before it could be implemented.

After some discussion, the committee reaffirmed its own tentative conclusion, drawn at the last Midwinter Meeting, that the objectives assigned to the committee far exceed its resources and time needed to fulfill such objectives. This conclusion was reached after a year of searching for a satisfactory questionnaire format. The committee put in a considerable amount of work in designing and reviewing the questionnaire. In spite of full awareness of the difficulties, this work was done in order to test the feasibility of the original charge to the committee.

In summary, the committee felt that its objectives should be narrowed to a less technical and more personal approach, identifying specific issues in the education for resources and technical services, and serving as a catalyst for a continuous dialogue between library practitioners and educators. The more advanced statistically based surveys and studies ought to be left to professionally better equipped and financed organizations and individuals.

Before passing the chairman's gavel to my successor, Professor N. Williamson, I wish to thank all my colleagues on the committee and all the participants in the project for their assistance in the search for a solution to our problem and for their patience and willingness to wait still longer for the fulfillment of the committee's charge. After all, there may be some truth in the old ad for an expensive wine, proclaiming that "nothing good happens fast."

Code Revision–
A New International Standard

AT ITS FOURTH SET OF MEETINGS, at Princeton University in November, the Joint Steering Committee for Revision of the Anglo-American Cataloguing Rules (JSCAACR) confirmed that the forthcoming second edition of *AACR* will use a newly-formulated General International Standard Bibliographical Description, to be known as ISBD (G), as the basis for its rules for description. Agreement had been reached on the outline for the new standard at a two-day meeting in Paris, October 1975, between JSCAACR representatives, members of the International Federation of Library Associations (IFLA) Committee on Cataloguing and chairmen of IFLA's specialised ISBD working groups, including the working groups on serials, non-book materials and maps. The new ISBD (G) provides a single framework for the description of all types of publications in all types of media; it is also to be used as the basis for all specialised ISBD's hereafter, in order to ensure an optimum level of uniformity and compatibility in IFLA's programme of ISBD development as a whole. Full realisation of the ISBD (G) now requires only the addition of definitions, explanatory notes and examples to the agreed outline, and this is to be carried out by a new IFLA working group of which the membership includes two members of JSCAACR and the chairmen of existing ISBD specialised working groups. Completion is expected early in 1976.

The initiatives for the formulation of the ISBD (G) were taken by JSCAACR at its Washington meetings in May 1975, when it became clear that its previously announced objective of conformity with international standards in the new edition was seriously threatened by the unpredictability of the current ISBD programme and by evidence of diminishing compatibility and uniformity between the existing IFLA working groups' draftings of specialised ISBD's. In June, informal consultation with the IFLA Office for Universal Bibliographic Control showed that IFLA too was concerned about the potential difficulties of incorporating specialised ISBD's into a general code of uniform cataloguing rules; and there followed a formal proposal for a joint meeting from JSCAACR to the IFLA Committee on Cataloguing, which is responsible for the ISBD programme. The IFLA Committee thereupon set up the Paris meeting, and invited JSCAACR to provide the working documents. JSCAACR's representatives at the meeting were: Peter Lewis (Chairman of JSCAACR), John Byrum, Edwin Buchinski, Paul Winkler, and

Michael Gorman. Peter Lewis and Michael Gorman will continue to represent JSCAACR on the ISBD (G) working group.

The details of the ISBD (G) framework, to which definitions, explanatory notes, etc., are now to be added, are as follows:

ISBD (G)

A Framework for the Description of All Library Materials

Area	Preceding Punctuation	Element
Each area is preceded by a stop, space, dash, space (. —).		
1. TITLE AND STATEMENT OF RESPONSIBILITY AREA		A. Title proper
	[ ]	B. General medium designation
	=	*C. Parallel title
	:	*D. Other title and other title information
	/	E. First statement of responsibility
	;	*F. Second or subsequent statement of responsibility
2. EDITION OR ISSUE AREA		A. Edition or issue statement
	/	B. First statement of responsibility relating to the edition
	;	*C. Second or subsequent statement of responsibility relating to the edition
3. MEDIUM (OR TYPE OF PUBLICATION) SPECIFIC AREA		
4. PUBLICATION, DISTRIBUTION, ETC. AREA		A. First place of publication, distribution, etc.
	:	*B. Name of publisher, distributor, etc.
	[ ]	*C. Statement of function of publisher, distributor, etc.
	;	*D. Second or subsequent place of publication, distribution, etc.
	,	*E. Date of publication, distribution, etc.
	(	*F. Place of manufacture
	:)	*G. Name of manufacturer
5. PHYSICAL DESCRIPTION AREA		A. Specific medium designation
	.	B. Extent of item
	:	C. Other physical details
	;	D. Dimensions of item
	+	E. Accompanying material

6. SERIES AREA		A. Series statement
Each set of information	=	*B. Parallel series statement
relating to a series is	:	C. Standard serial numbering of series
enclosed by parentheses (())	;	D. Numbering within series
	.	E. Sub-series statement
	=	*F. Parallel sub-series statement
	:	G. Standard serial numbering of sub-series
	;	H. Numbering within sub-series
7. NOTES AREA		A. Note
8. STANDARD NUMBER (OR ALTERNATIVE) AND TERMS OF AVAILABILITY AREA		A. Standard number (or alternative)
	( )	B. Qualification added to standard number (or alternative)
	:	C. Terms of availability and/or price

General notes on the framework

(i) Elements underlined are optional
(ii) Elements preceded by an asterisk may be repeated when necessary
(iii) Areas 7 (Notes) and 8 (Standard number, etc.) may be repeated when necessary

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Statement of Ownership, Management and Circulation (PS form 3526, Jan. 1975) for 1975 filed with the United States Post Office Postmaster in Chicago, September 29, 1975.

ISBD(S) Revision Meeting

On 21 and 22 October 1975, representatives from two international organizations and from the national libraries, ISDS centers, and cataloging committees of twenty countries gathered at the Bibliothèque du Museum national d'histoire naturelle in Paris for the purpose of considering proposals to amend the *International Standard Bibliographic Description for Serials (ISBD*[S]). Edwin Buchinski (Canadian Committee on Cataloguing), John D. Byrum (ALA/RTSD Catalog Code Revision Committee), Joseph Howard (Processing Department, Library of Congress), and Joseph Price (National Serials Data Program) comprised the North American delegation. Dorothy Anderson of the IFLA International Office for UBC served as chairman of the meeting.

At the outset, participants were asked to determine whether the Generalized International Standard Bibliographic Description (ISBD[G]), which had been developed during the previous week by representatives of the Joint Steering Committee for Revision of AACR and by the chairmen of the various IFLA ISBD working groups, could accommodate serial publications. Resolution of this question, involving extensive discussion on many points of detail, proved to be the major accomplishment of the *ISBD(S)* revision meeting. In this regard, it was agreed that:

1. A Title and Statement of Responsibility Area; a Publication, Distribution, etc., Area; a Physical Description Area; a Series Area; a Note Area; and a Standard Number (or Alternative) and Terms of Availability Area are essential to the description of serials;
2. An Edition or Issue Area should be developed for inclusion in the *ISBD(S);* and,
3. A Medium (or Type of Publication) Specific Area should also be added to the Standard in order to provide information on numerical and chronological coverage.

Perhaps the most significant conclusion to emerge from these deliberations—reached after considerable debate and two ballots—was that Area 1 (Title and Statement of Authorship) should restrict itself to description, with provision for the inclusion of identification elements such as "key title" elsewhere in the bibliographic entry. The participants also felt that, whenever possible, the wording of the *ISBD(S)* should incorporate that of the *ISBD(M).*

To implement these decisions and others reached regarding the contents of a revised *ISBD(S),* the participants agreed that the original Working Party should be reconstituted—with Mlle. Bossuat and Mlle. Pelletier, as chairman and secretary—and enlarged by five new members, including John Byrum of the North American delegation. The working group accepted May 1976 as the date by which time it would complete a draft statement of recommendations.

RTSD Nominees—1976 Election

Resources and Technical Services Division

Vice-president (President-elect) (1976–78):
Norman Dudley, University of California Library, Los Angeles, California.
J. Michael Bruer, New York University Library, New York, New York.
Vice-chairman (Chairman-elect) Council of Regional Groups (1976–80):
Barbara A. Gates, AMIGOS Bibliographic Council, Richardson, Texas.
Marguerite C. Soroka, Engineering Societies Library, New York, New York.
Director-at-Large (1976–79):
LeRoy D. Ortopan, University of California Library, Berkeley, California.
Carol A. Nemeyer, Association of American Publishers, New York, New York.
[Nominating Committee: Joseph H. Treyz, chairman; Paul Berrisford (CCS); Barbara Campbell; Judy H. Fair (RS); Harriet K. Rebuldela; Robert C. Sullivan (RLMS); Paul Vassallo (SS).]

Cataloging and Classification Section

Vice-chairman (Chairman-elect) (1976–78):
Elizabeth L. Tate, Library of Congress, Washington, D.C.
Nancy J. Williamson, Faculty of Library Science, University of Toronto, Toronto, Ontario.
Member-at-Large (1976–79; two vacancies)
Lois Hacker, Graduate School Library, City University of New York, New York, New York.
Carolyn M. Leonard, Office of County Libraries, San Jose, California.
Richard Pollard, Stanford University Libraries, Stanford, California.
George Rickerson, Evergreen State College Library, Olympia, Washington.
[Nominating Committee, CCS: Paul Berrisford, chairman; Freddye M. Burns; Lawrence E. Leonard; Monty L. Montee; Mary Ellen Soper.]

Reproduction of Library Materials Section

Vice-chairman (Chairman-elect) (1976–78):
Norman Shaffer, Library of Congress, Washington, D.C.

Jeffrey Heynen, Congressional Information Service, Bethesda, Maryland.

Secretary (1976–79):

Robert Grey Cole, Southern Illinois University Library, Carbondale, Illinois.

Frances G. Spigai, Southern Oregon State College Library, Ashland, Oregon.

[Nominating Committee, RLMS: Robert C. Sullivan, chairman; Samuel M. Boone; Pamela Darling.]

Resources Section

Vice-chairman (Chairman-elect) (1976–78):

William I. Bunnell, County College of Morris Library, Dover, New Jersey.

Sheila Dowd, University of California Library, Berkeley, California.

Member-at-Large (1976–79; two vacancies)

George Miller, University of New Mexico Library, Albuquerque, New Mexico.

Joan B. Myers, Philadelphia School District Libraries, Philadelphia, Pennsylvania.

Constance Schwartz, Proskauer, Rose, Goetz, and Mendelsohn, New York, New York.

Hans Weber, University of Houston Library, Houston, Texas.

[Nominating Committee, RS: Judy H. Fair, chairman; Robert M. Hiatt; John R. Kaiser.]

Serials Section

Vice-chairman (Chairman-elect) (1976–78):

Judith Cannan, Cornell University Libraries, Ithaca, New York.

Lois N. Upham, University of Minnesota Libraries, Minneapolis, Minnesota.

Secretary (1976–79):

Shere Connan, University of California Libraries, San Diego, California.

Benita M. Weber, Montgomery County Community College Library, Blue Bell, Pennsylvania.

[Nominating Committee, SS; Paul Vassallo, chairman; Margaret L. Johnson; Suzanne Striedieck.]

IN THE MAIL

Book Price Indexes

The ALA Library Materials Price Index Committee (LMPIC) at its summer meeting in San Francisco recommended that its incoming and outgoing chairmen comment on H. William Axford's article on "The Validity of Book Price Indexes for Budgetary Projections" [Winter 1975] in order to clarify the purposes of both the committee and its published price indexes.

At the beginning, we should state unequivocally that we are not interested in disproving Mr. Axford's thesis that "a more accurate guide to budgeting than the Bowker index would be the 'average price per copy paid by the purchasers of various categories of books.' " We recognize that the Bowker indexes are not tailor-made guides for individual libraries and cannot, without local modifications or supplementary studies, serve as tools for local budgetary justifications. We are primarily interested in avoiding the establishment of an "either/or" dichotomy between the ALA price indexes and those generated by individual institutions since we believe there is a place for both types of indexes. We are also confident that Mr. Axford had no such intention. We hope this letter will highlight some of the purposes of the published price indexes.

First, the published indexes sponsored by LMPIC are designed to assist libraries in their budget justifications by indicating price trends of library materials. As Robert C. Sullivan, Head of the Order Division of the Library of Congress, and currently a consultant to LMPIC, notes in a letter to the committee: the published indexes were "never intended as a substitute for more precise or relevant statistics on actual purchases that an individual library might generate. Libraries are encouraged to compare their own statistics on cost of library materials with the indexes published in the *Bowker Annual*." In order to show price trends the indexes are based upon comprehensive listings of published materials, and do not pretend to be based upon any individual library's buying patterns.

The published price indexes show *overall* price trends and have a wide applicability as tools for comparing local buying trends with national publishing patterns. One of the serious problems with a local index is the special character of the individual library's buying patterns. For instance, if a library's collection policy is restrictive in a particular area, then price trends for that particular area will be atypical, and it is useful to have national price trends available for comparison purposes.

Second, the published price indexes show in a standard manner the changes in prices of published materials. LMPIC has encouraged the development of price index standards. It maintained close communication with the American National Standard Institute (ANSI) Subcommittee 22 which drafted Z39.20-1974, a national standard for price indexes. Officially adopted by ANSI in 1974, this standard was approved by LMPIC as its standard at the January 1975 Midwinter meeting. The ANSI standard establishes price index criteria which can

be useful for libraries compiling local indexes, and hopefully it will serve as a basis for development of additional foreign price indexes.

Third, the LMPIC figures can be used as source statistics for the development of national policies and programs whereas local price indexes have no such general usefulness. Federal and state organizations can use LMPIC data in their planning because the national price indexes do not reflect costs to individual libraries, but rather publishing costs. Local indexes must take into account local discounts, local taxes, special transportation factors, etc. Therefore, the importance of both kinds of data—national and local—is underscored when one recognizes the different purposes of price indexes.

Finally, we recognize that neither a local nor a national approach is adequate by itself. Libraries should realize the pitfalls of both types of indexes. We are extremely happy that Mr. Axford has focused attention on the problem of rising prices and the difficulties of preparing adequate indexes, but we hope that libraries have not interpreted his remarks to mean that they should discard published price indexes in favor of local indexes. We encourage libraries to use the national indexes critically and to examine their utility. We are certain that there can be improvements in the published indexes which will further assist libraries in justifying their library materials budgets, and we welcome comments and suggestions from the library and publishing communities.—*Fred C. Lynden, Chairman, and Paul E. Birkel, Past Chairman, Library Materials Price Index Committee.*

Interlibrary Loan Analysis in Collection Development

In view of the tendency of single measures of library operations to become standard tools for evaluating library services, we would like to call attention to several major flaws in the methodology and rationale of the article by New and Ott on interlibrary loan as a tool for collection development [Summer 1974]. First of all the statement of the null hypothesis is nonsense; surely, only the most simplistic model of a library could support the idea that the proportion of interlibrary loan (ILL) requests should be constant across a library classification schedule. This would ignore the proportion of scholarly activity in each area within the university, the nature of the Bradford-type distribution for documents in the area, and the absolute size of the literature resources potentially available in the discipline. We now realize that only a quite complicated model could generate realistic hypotheses for this situation.

A Programmatic Approach—Suppose:

U_c (Total Use of Classification c) =
C_c (Charges) + I_c (ILL) + L_c (In-library use)
+ O_c (Other libraries or non-library sources)

At a first approximation, one might expect I_c/U_c to be comparatively constant, generating a somewhat more reasonable—although simplistic—null hypothesis. However, if one wishes to compare use across classifications, one needs a model which accounts for the proportion of total use contributed by each of the factors on the right above. For example, the following rough paradigm will give some idea of an ideal approach:

P_c (x/u) (proportion of use in classification c accounted for by factor x) = (audience$_c$) (service adequacy$_c$)

Where "service adequacy" reflects the following:

$$\frac{(R_{xc})\ (S_{xc})\ (A_{xc})\ (G_{xc})}{(T_{xc})\ (I_{xc})\ (M_{xc})\ (Z_{xc})}$$

where:

R_{xc} = Relatedness of materials in other classifications (strengthens collection).
S_{xc} = Size of the collection (this becomes the very large number representing all materials available through ILL network, thereby becoming the chief reason for ILL use).
A_{xc} = Rate of acquisition.
G_{xc} = Growth rate of the discipline (stimulates turnover of materials).
T_{xc} = Total number of potential users (dilutes collection).
I_{xc} = Scholarly level of users in that area (depletes collection).
M_{xc} = Total materials potentially available in discipline (reflects on collection adequacy).
Z_{xc} = Local characteristics of any particular service in any particular library.

Each of these variables characterizes a specific access to materials, X, e.g., library, charges, ILL, in-library use, with respect to C, a specific Library of Congress (LC) classification.

As the reader can see, the alternative formulations of the null hypotheses depend upon the available level of knowledge regarding the variables to be inserted into the model and the actual organizational structure of the library. In particular, Z_{xc} was inserted as a variable that accounts for local conditions which diminish or stimulate use of any particular service. (In addition, one would want to be sure that ILL was handled in the same way for each LC classification before considering such data carefully.) Finally, the comparative values of the (audience_c) (adequacy_c) for all collection use services as opposed to ILL should determine predicted distribution of ILL. This exercise indicates, perhaps most clearly, the difficulty of constructing a realistic model that would relate ILL to collection adequacy.

Further Problems—After this unfortunate beginning, the article's technical level does not improve. First, the authors manage to obtain a reasonably close fit to the obtained data by using a cumulative Poisson distribution by lumping zero and one occurrence together. This makes almost no sense because the zero category for interlibrary loan of periodicals should include all periodicals in the world not included in the collection or among the requests. That figure amounts to about thirty to fifty thousand periodicals and its inclusion would destroy the fit. As a general rule, the Poisson should be used with extreme caution; at a minimum one should expect an identifiable zero category and equal mean and standard deviation. (See Emanuel Parzen, *Modern Probability Theory and Its Applications* (New York: John Wiley, 1960), p.237-67, for a lengthy discussion with examples of the Poisson process).

In addition they misrepresent the logic of the earlier Graziano study ("Interlibrary Loan Analysis: Diagnostic for Scientific Serials Backfile Acquisitions," *Special Libraries* 53:251-57 (May 1962) in arguing that the journals at the higher end of the distribution should be considered for acquisition in the collection. The whole point of Graziano's reasoning is that, if you have a very rare group of journals that must appear at least once in an interlibrary loan request in order to be considered, there must be, just by chance, a few such

journals which are likely to occur three, four, or more times.

It should be evident that the librarian should not feel any particular compulsion to acquire journals which appear once per year in interlibrary loans. However, since journals which occur three, four, or more times in one year are very likely to be, by chance, journals which will normally occur only once, these journals should not be acquired. The better logic is to determine whether these frequently requested journals occur in more than one year. Then you can assess the probability of this rare event occurring repeatedly and obtain an estimate as to whether or not they belong in the same distribution as journals which are expected to occur only one time per year.

Conclusion—In a large sense we believe that the mere fact that data (in this case ILL data) is available does not mean that it is necessarily a sufficient or even useful basis for formulating library policy. It is always important to keep in mind that significance in the narrow statistical sense does not imply importance or meaningfulness and, perhaps most importantly, that the usefulness of data for evaluation of the operation of any service is highly dependent upon our capacity to conceptualize and model that service.—*M. Carl Drott, Assistant Professor, and Belver C. Griffith, Professor, Graduate School of Library Science, Drexel University, Philadelphia.*

The authors reply: The rationale behind our study was that those responsible for collection development in an academic library frequently ignore a ready-made source for identifying weaknesses in the collection. We suggest that interlibrary loan is one way of communicating inadequacies in the collection to those responsible for its development. The point of our study was not to build a theoretical model of interlibrary loan service, but to provide acquisitions librarians with a tool for making use of readily available information as to the needs of their users.

We specifically stated the limitations of our study (p.277–78), including the audience. "It does not take into consideration those users who find the library collection lacking and go elsewhere. It makes no judgments of how much research should be going on in the various departments of a university. . . ." We were merely analyzing interlibrary loan use in one such library in terms of its existing collection.

Our null hypothesis, simple though it was, was based on an ideal that does not exist: that a perfect collection would have everything the user needs, eliminating any requests for interlibrary loan. It is likely that an academic library has already built its collection with the Bradford-type distribution of literature in any one field in mind. Drott and Griffith further ignore that collection building by its very nature takes into consideration the proportion of scholarly activity in each area within the university as well as the size of the literature resources potentially available in the discipline. In using the Poisson distribution for periodical requests, we were merely comparing our data on periodicals to that of other studies of interlibrary loans and found the curves generally in agreement.

To further answer the criticism that the data on periodical titles should be gathered for more than one year, we did suggest that future research should include "an annual analysis of interlibrary loan figures to provide a *continuing* (italics added) evaluation of the library collection" (p.282). Such a study, over the years, would indicate if the *same* titles were occurring more often than

could be expected by chance, as they did in our one year study.

The criticism by Drott and Griffith typifies the dichotomy that exists between the ivory tower and the working librarian in our profession. The theoretical model which they propose, while more comprehensive and complex, is incapable of application! In the real world of library practice one must be able to acquire the data needed for analysis. We suggest this cannot be done for several factors needed by the Drott-Griffith model, simply because quantitative data for these factors is impossible. For example:

O_c (Other libraries or non-library sources) in their Programmatic Approach
x (audience$_c$ and service adequacy$_c$)

Furthermore, the formula for "service adequacy" contains many factors which cannot be quantified. In fact, the only factors—as defined—which are capable of quantifying are R_{xc} (Rate of Acquisition) and possibly G_{xc} (Growth rate of the discipline.)

Another Response

The article by New and Ott on inter-library loan analysis as a collection development tool appears to have several errors in computation and statistical method.

The authors perform a chi-square (χ^2) test to determine whether there is any difference between the actual number of requests for books in LC classification and expected number of requests. For the expected number of requests they used the average number of requests across all classification categories. (Incidentally, for this expected number they divided 527 by 27 obtaining 12.1, instead of 19.5, which makes all their χ^2 values incorrect.) They assumed that a collection with an equal number of volumes in each category would stimulate an equal number of requests. Since the Library's holdings are undoubtedly not equal in each of these twenty-seven categories, the theoretical distribution more properly should have been the actual number of books the Library holds in each classification category. If the collection were equally adequate or inadequate in each subject area, we would expect an equally distributed proportion of requests. Thus, in this ideal distribution, each χ^2 value should theoretically be equal to every other. This would not prove to be the case with real data however. Some critical measure of departure from this level of equality might then be chosen as an indicator for collection evaluation.

Their suggestion that subjects with the highest χ^2 value are the weakest and should therefore receive greater attention is highly questionable and would lead to misdirected emphasis. If they had carried out their χ^2 computations for each subject category, they would find that the χ^2 would diminish until they reached the P categories, where the number of requests (20) is roughly equal to the mean number of requests (19.5). The χ^2 value would then begin to increase again, so that subject categories with few requests, would have a large and significant χ^2. PG and S, for example, would have a χ^2 value between those for Q and H. Would they recommend that PG and S receive as much emphasis as Q and H?

Furthermore, they have not used the correct number of degrees of freedom (df) for testing the significance of the χ^2 for individual subject categories. For

each category, the correct number is 1. This makes each computed χ^2 above 3.84 (.05 level) significant. According to my count, all but 6 are significant at .05. Twenty-six degrees of freedom are correct for the sum of all 27 χ^2 values. There are also better alternatives to the χ^2 test itself for this type of analysis. (Sidney Siegel, *Nonparametric Statistics for the Behavioral Sciences* (New York: McGraw-Hill, 1956), p.197–200.)

In their analysis of interlibrary loans, they suggest the number of requests follows a Poisson distribution. Use of the Poisson distribution is awkward without knowing the number of titles for which no requests were made. Proceeding on the assumption that there were none (which is not a good assumption because we should expect that such a number would be very high, making the Poisson distribution very unlikely), their data does not support the Poisson hypothesis. To derive the Poisson distribution for their data, the mean number of requests, 1.59 (697 ÷ 438) must be substituted in the following function

$$p(r) = \frac{m^r \cdot e^{-m}}{r!}$$

where

$p(r)$ = theoretical probability, based on the data;
m = the mean number of requests (1.59);
e = the natural logarithm constant, 2.718;
r = the number of requests;
$r!$ = factorial of the number of requests

(Or, p can be looked up in tables of the Poisson distribution, under the mean of 1.59. The authors apparently consulted tables for their theoretical distribution using means of 1.0 and 1.4 neither of which is correct for their data.) using $p(r)$ in the formula for each category of times requested, we obtain the theoretical number of titles requested, as in Table 1. We then perform a chi-square goodness of fit test, which compares the actual distribution to the theoretical distribution. (Murray R. Spiegel, *Theory and Problems of Statistics* (New York: McGraw-Hill, 1961), p.124, 137, 202, 209). This is shown in Table 1.

TABLE 1

	Poisson Distribution, Goodness of Fit Test				Variance Test
Times Requested, r	Actual Number of Titles, A	Poisson Probabilities for $m^r = 1.59$, $p(r)$	Theoretical Number of Titles, E	$\frac{\chi^2}{(A-E)^2}{E}$	Square of Requests × Number of Titles, $r^2 \cdot A$
1	320	.524*	229	36.16	320
2	61	.257	112.9	23.85	244
3	27	.136	59.9	18.07	243
4	11	.054	23.8	6.88	176
5	7	.017	7.6	.05	175
6	3	.005	2.0	.50	108
7	4	.001	.5	24.50	196
8	2				128
9-13	3				365
Total	438	1.00†	438†	$\Sigma\chi^2 = 110.01$+	1,955

* Includes probability of 0 requests.
† Rounded.

Needed to reject the hypothesis that the number of periodical requests is Poisson distributed is a theoretical χ^2 value of 19.68 (df, 13 - 1 - 1 = 11) or greater. The computed χ^2, 110, exceeds the theoretical value by a wide margin.

A further test for this hypothesis is to compare the sample variance to the population variance. (Wilfred J. Dix and Frank J. Massey, Jr., *Introduction to Statistical Analyses*, 3d ed. (New York: McGraw-Hill, 1969), p.248-49) The ratio of the sample variance (s^2) to the population variance (Greek letter σ^2) is distributed as χ^2/n degrees of freedom, so that

$$\frac{\chi^2}{ndf} = \frac{s^2}{\sigma^2}.$$

The formula for estimating the sample variance, s^2, is

$$s^2 = \frac{\Sigma A^2 - n(m)^2}{n - 1}$$

where

ΣA^2 = sum of the squares of requests times the Actual number of titles;
n = the total number of requests;
m = mean number of requests.

From this formula, we obtain

$$s^2 = \frac{1955 - 438\ (1.59)^2}{437} = 1.94$$

According to Poisson theory, the population variance is equal to the mean. We have already computed the mean, 1.59, so we can use this as the estimate for the population variance. Plugging these values in we have

$$\frac{s^2}{\sigma^2} = \frac{1.94}{1.59} = 1.22$$

The critical value at the .05 level for χ^2/n, where n is 438, is 1.11. Since 1.22 exceeds this amount, the Poisson hypothesis is again rejected. We can conclude either that some anomalies of the data prevent its being fitted to the Poisson distribution or that the data fits some other distribution.—*William E. McGrath, Director of Libraries, University of Southwestern Louisiana, Lafayette, La.*

The authors reply: We appreciate Mr. McGrath's careful analysis and critical comments regarding our article, "Interlibrary Loan Analysis as a Collection Development Tool." We are naturally somewhat abashed to discover that two arithmetic errors remained uncaught in the final publication. However, while this points up the need for careful checking and rechecking of both statistical input and publication drafts, it does not alter the basic thrust of our paper.

The correct number of degrees of freedom were used in the calculations. The theoretical distribution was fixed by the number of classes, thus 27 - 1 = 26. A case could be made for 25 degrees of freedom, since a further limitation was that the theoretical total equal the observed total. If 25 is used, χ^2 becomes 37.652 and the results are the same as far as significant classes. Since the figures for each class are not determined independently of the other classes, the correct degrees of freedom cannot be one as McGrath suggests.

Using the correct theoretical frequency, significant values of chi square are found for four rather than five LC classes:

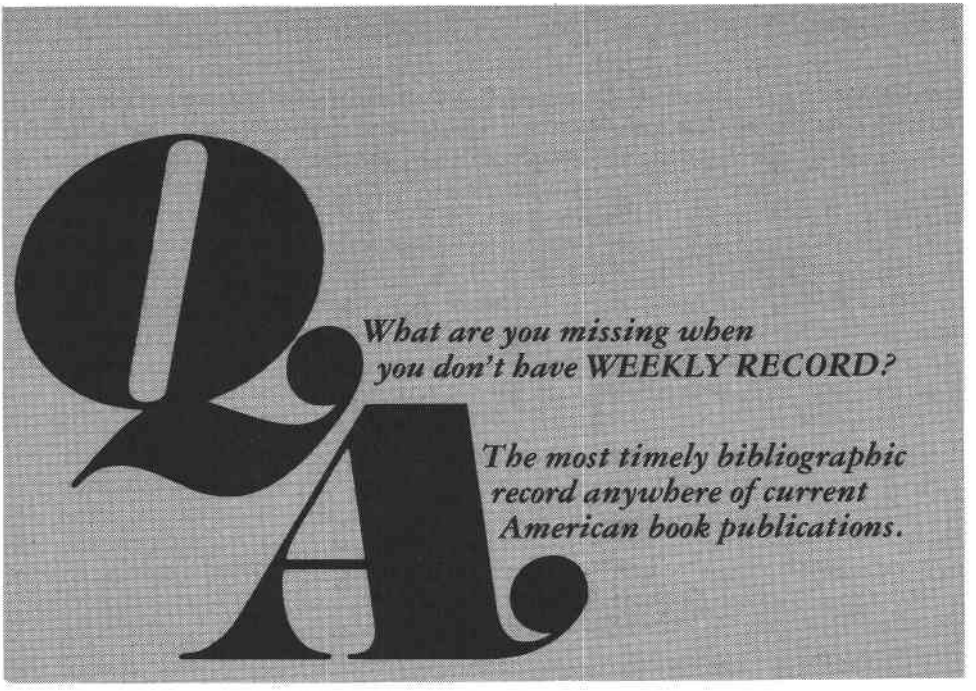
Q— 44.628
G— 92.628
BL & *BX*— 92.628
E & *F*—226.782
(χ^2 = 38.885, v = 26, .05 confidence level.)

Mr. McGrath questions whether high chi square values do indicate weakness in the collection. These values indicate the greatest deviation from the theoretical ideal, and thus do indicate areas of weakness.

PG & *S* both have chi square values of 17.55 which are not significant. If there were classes which had much *fewer* than the theoretical requests, however, that would indicate that either the collection was more than adequate in those areas, or that those departments were completely inactive. In either case, it would not require positive action on the library's part, unless they were diverting large, and it would appear, unnecessary sums in that direction.

We attempted to see if our periodicals fit the Poisson distribution primarily because the work of others suggested that this may be the case. Although our data suggested only a rough fit, we felt it did approximate that of the others. Accepting McGrath's revised calculations, we must assume that it does not. However, for practical purposes it is immaterial, as our work, like that of others, shows a clear break between those titles requested very few times (320, almost half, were requested only once) and those requested quite often (only 19 titles were requested five or more times). At Allergan we do a cost analysis of purchase vs. continue to borrow for the titles identified in our ILL statistics as having an unusually high incidence of ILL requests, and base our acquisition decision on that. A variation of this process would seem useful for large libraries also.

Despite the embarrassing mistakes in calculations that occurred and were not caught prior to publication, we feel that the basic point of the paper is still very valid—that the use of tools such as analysis of interlibrary loans can be quite useful in collection development, and in developing the most economic ways to meet user needs. Such tools are especially desirable since user needs are seldom directly communicated to the library.



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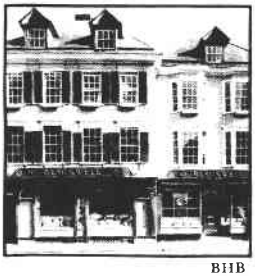

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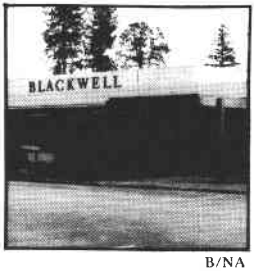

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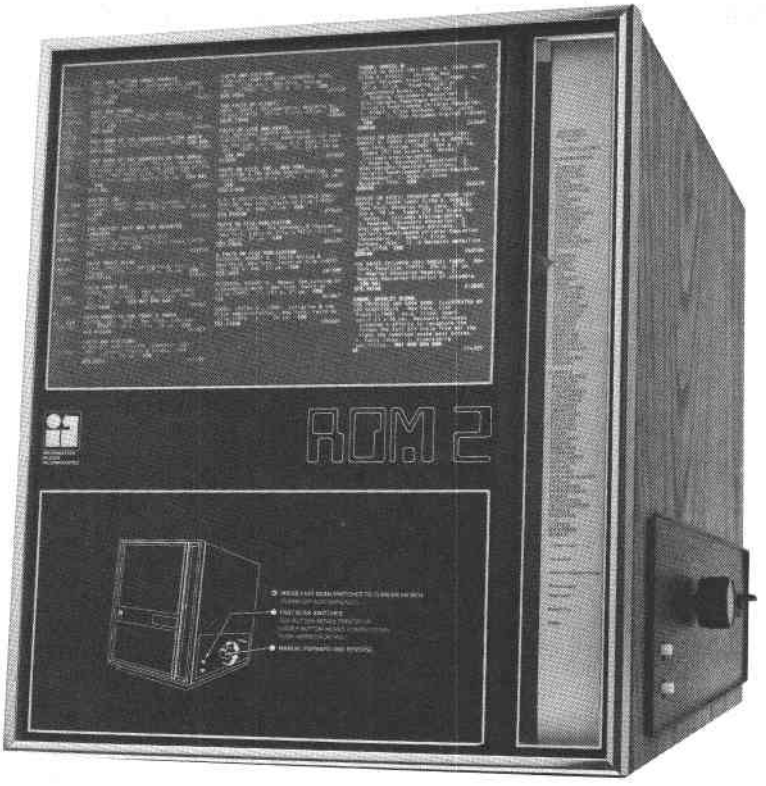

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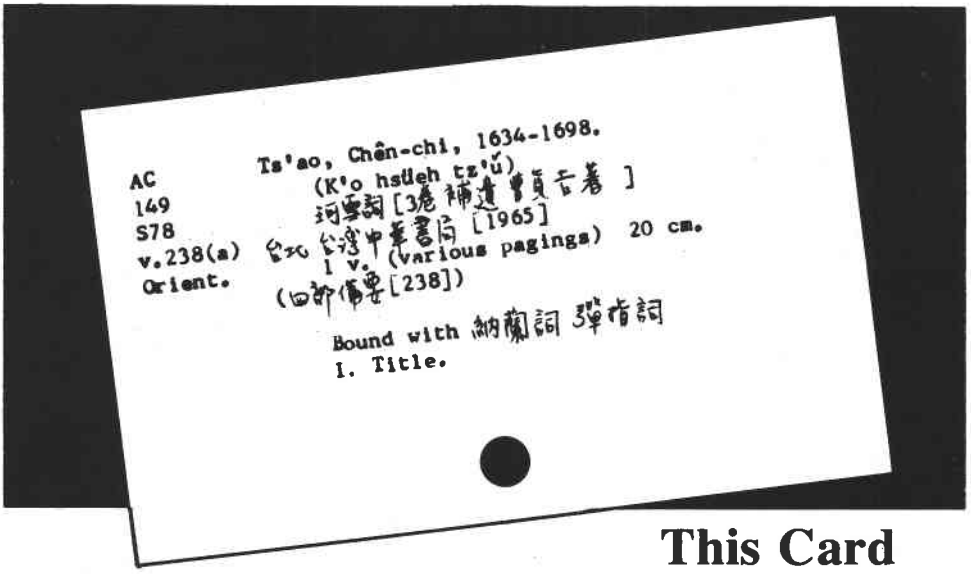

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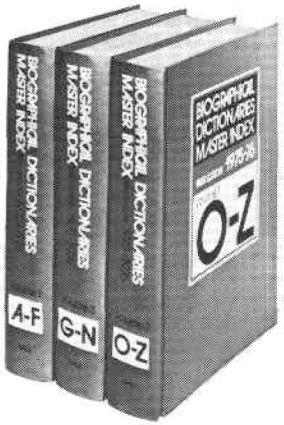

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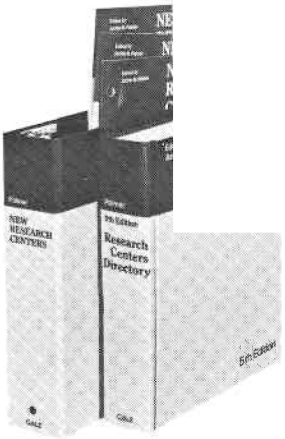

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