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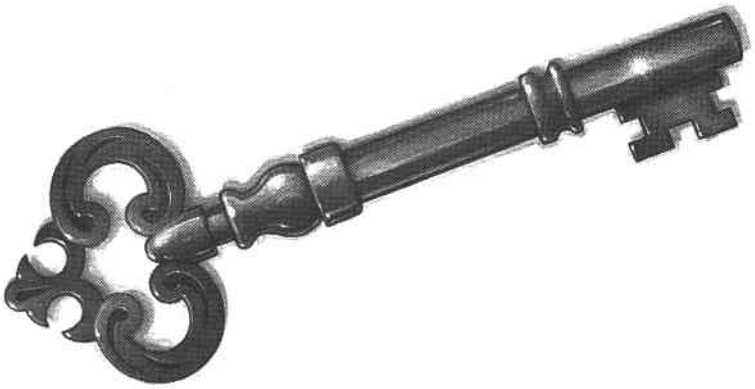

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A Study of Music Cataloging Backlogs

Judy MacLeod and Kim Lloyd

Despite adequate documentation of monograph arrearages in academic libraries, backlogs of music materials for the entire library community have gone unreported. In confirming the existence of music backlogs, it also becomes necessary to address questions concerning how they grew, what causes these backlogs to continue, and what it might take to eliminate them. In a survey of institutional subscribers to the Music Cataloging Bulletin, *libraries were asked to quantify their uncataloged scores and sound recordings and to describe their music cataloging staff and procedures. Of the 358 participating libraries, 77% reported having music backlogs. These backlogs grew primarily as a result of large acquisitions and gifts without corresponding staff to process them. Respondents also cited lack of knowledgeable staff as a deterrent to the reduction and elimination of the backlog.*

Despite adequate documentation of monograph arrearages in academic libraries, backlogs of music materials for the entire library community have gone unreported. By documenting the existence of music backlogs, music librarians are able to learn about the relationship between their local situations and those of other music libraries. Music catalogers charged with reducing or eliminating backlogs will find that comparison with other music backlogs is more relevant than examining local book arrearages. By collecting and relaying information that is common to music backlogs, individual institutions can approach backlog elimination in a similar manner.

The primary problem with backlogs is the same for music materials as it is for books or any other media: ownership is not equivalent to access, and as the scope of access widens (and becomes more costly for each institution to attain), knowing exactly what is owned becomes even more important. Many libraries have been unable to acquire items at the rate and volume that they were able to in the 1970s, nor have they been able to eliminate the enormous backlogs that were in part the result of large acquisitions budgets and smaller cataloging budgets.

Considerations such as automation, adoption of new cataloging rules, and the acquisition of gifts are common to all libraries. Even though the expansion of automated services within the last decade has simplified and speeded up the processing of acquisitions, it is also true that libraries have chosen to interrupt the normal flow of processing to accomplish other time-consuming tasks—often tasks that would not have been feasible without automa-

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tion. Low-priority items and complex materials, such as music, often were put aside while these adjustments were made. Shared cataloging has contributed to the reduction of backlogs, but automation has also created opportunities—retrospective conversion, creating LANs (local area networks) for resource sharing, bibliographic instruction, and even accommodating the use of electronic mail—that have continued to take precedence over backlog reduction.

Gifts can also be a major factor in the development of backlogs because music collectors and faculty typically leave their personal collections to libraries. With the wide expanse of musical genres appreciated by the public and the diversity of musical thought being taught in universities, comprehensive purchase of these materials would be an impossible task for many libraries were it not for the donation of richly varied collections. Generosity aside, acceptance of these materials places an unexpected and burdensome strain on those who must then incorporate them into the collection.

The *Anglo-American Cataloguing Rules*, second edition (*AACR2*), implemented in 1980, has unquestionably played a role in changing cataloging practice and, possibly in the case of music, hindering progress toward reducing the backlog. With rule 25.27A1, *AACR2* specified that a uniform title for a musical work must be in the same language that the composer originally used in assigning the title. Music catalogers needed to have either a command of many languages or extensive reference collections to consult when constructing uniform titles. Smiraglia (1985) sums up the situation by stating that

> [the] *AACR2* approach is even worse [than before], because the composer's original title in the language in which it was formulated is much more expensive to determine and even less likely to be of consequence to the musician seeking the work.

One may interpret this further as saying that the cost of authority work to determine the uniform title exceeds the ultimate benefits to the library and to the user.

The Library of Congress Name Authority File is helpful in solving music uniform title questions, but it is not all inclusive. While automation of authority files assists smaller libraries or less experienced catalogers with uniform titles, it has become increasingly difficult to identify like items because publishers of both printed music and sound recordings often issue one work in many manifestations. Also, as is common in using a bibliographic utility or any other shared database, there can be inadequate or even erroneous cataloging to hinder identification of an item. Often catalogers must either leave items in the backlog awaiting the appropriate authority records or spend extensive amounts of time creating the entries.

Review of the Literature

A survey of the literature indicates that backlogs still exist for many libraries. Although there has been no study of music backlogs, two important studies on monograph arrearages were central to the design of this study.

Foremost, Piternick (1969) cleared the way for backlog surveys. Because Piternick consigned music materials to an "other" category in his query of ninety-one Association of Research Libraries (ARL) members, no concrete figures about music backlogs could be drawn from his study. However, the predictions from librarians twenty-five years ago are worth examining. Not only did Piternick report that a significant number of the libraries had backlogs, they anticipated the backlogs to continue to increase over time. ARL libraries also told Piternick that these backlogs resulted from increases in library materials spending without comparable staff increases. The solution predicted by many libraries was minimal-level cataloging. With the subsequent transformation of technical services brought about by automation, however, this idea was all but abandoned by the time a follow-up study was done.

Building on Piternick's work, Agnew, Landram, and Richards replicated his study in 1984. This time, however, questions were added concerning the role of

automation in reduction of backlogs. The results indicated that ARL libraries continued to have backlogs despite the availability of shared cataloging through bibliographic utilities. This was attributed to staff shortages or a lack of catalogers with subject expertise (in areas such as music). Their conclusions about monograph arrearages have some bearing on music materials. Many libraries reported that foreign language materials made up a significant portion of their backlogs. They also noted that acceptance of gifts without concern for the ability of technical services departments to process them added to the problem. As discussed earlier, music materials come in a multitude of languages, and gifts in particular are problematic to the music librarian. In regard to the use of minimal-level cataloging, only eight of eighty-eight libraries were still contemplating this method in 1984.

Research Questions

The purpose of this study is to provide information that will help understand music backlogs. In particular, we wanted to survey a range of libraries and examine their music backlogs, looking for similar characteristics and common problems that contribute to their continued existence. In light of the special circumstances surrounding the acquisition and cataloging of music materials, two research questions form the basis of this study.

1. Do music backlogs exist as the result of heavy purchases or gifts received without corresponding cataloging budgets for processing?
2. Do music backlogs remain because other library automation projects have taken priority over their reduction?

Methodology

Assumptions have been made about the design and work environment of the libraries surveyed because of the specific nature of the research questions. First, it is assumed that each library participates in shared cataloging through a bibliographic utility or database. The next assumption is that there is a cataloger who is familiar with the subject area of music and responsible for cataloging these items, ensuring that music is not simply relegated to the backlog out of avoidance or unwillingness to treat nonbook or even nonserial items. Another assumption is that the libraries are using *AACR2* to create full bibliographic records and are not using minimal-level records.

Limitations of the study center primarily on definitions. A music backlog was defined for survey participants as consisting of uncataloged music scores and sound recordings. We excluded monographs and music items the library owns but chooses not to catalog (e.g., theses, sheet music, etc.). However, a question was included concerning music items that are put on a shelf for a specific period to await the appearance of a bibliographic record in a shared database. Increased acquisitions (gifts or purchases) would not necessarily be associated with funding, but libraries were asked to indicate whether there had been a documented change in the funds available for library purchases since the development of the backlog. Participants were queried about projects that had taken precedence over the elimination of the music backlog.

A questionnaire was sent in August 1991 to institutional subscribers to the *Music Cataloging Bulletin*. This population was chosen because it was small enough to permit a complete census and also because we assumed that the libraries have catalogers responsible for music cataloging. Each questionnaire had a cover letter attached explaining the purpose of the survey and requesting a specific completion date. An abbreviated follow-up questionnaire was sent to nonrespondents in October 1991.

Questionnaires were sent initially to the 578 institutional subscribers of the *Music Cataloging Bulletin*. Two hundred nineteen were returned; this group will be referred to as Backlog-1. An abbreviated version of the questionnaire was sent in a follow-up mailing to libraries that did not respond to the first mailing. Three hundred fifty-nine of these were sent and

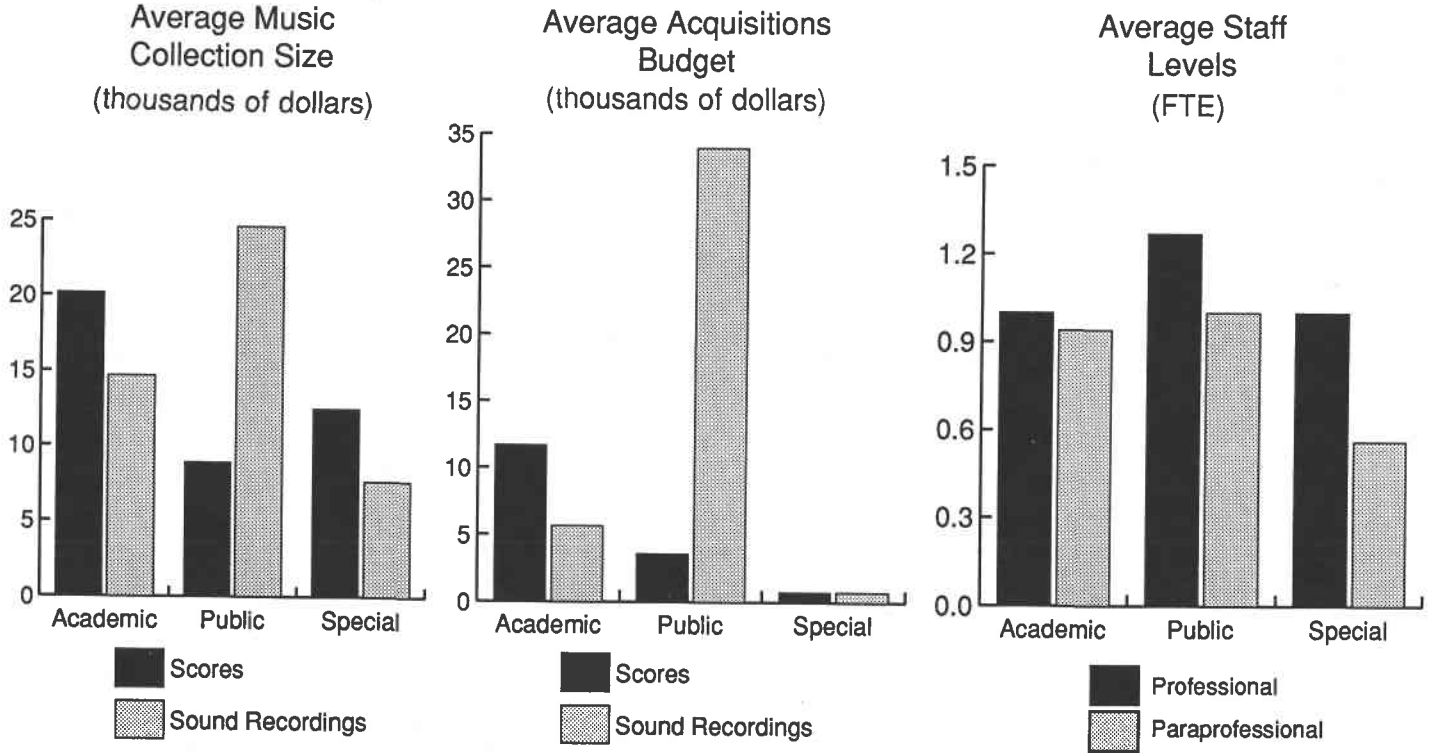

Figure 1. Collection Sizes, Staff Levels, and Acquisition-Budgets.

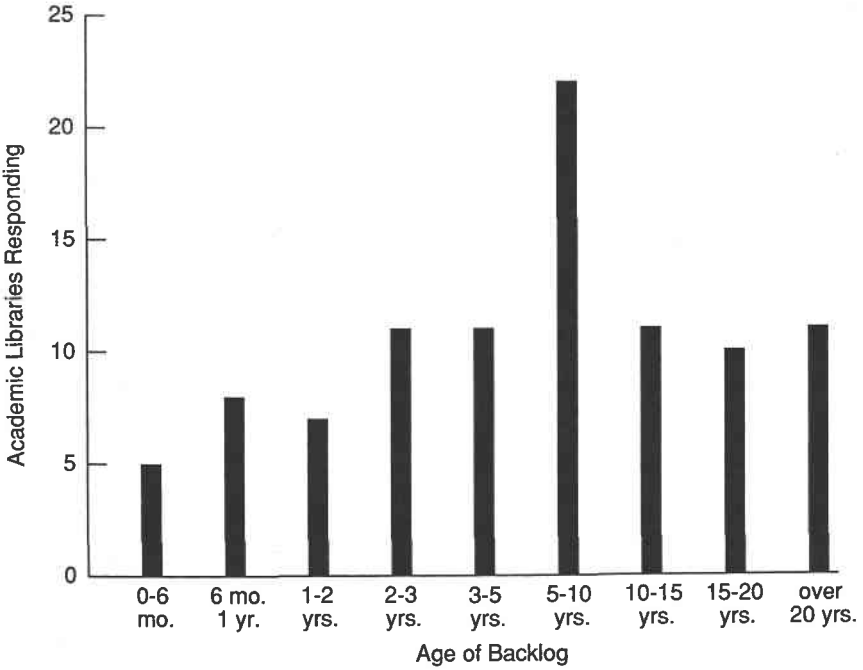

Figure 2. Comparative Age of Backlogs.

138 were received; this group will be referred to as Backlog-2. Of the total number of libraries surveyed, 357 (62%) responded to one of the two questionnaires. SAS (Statistical Analysis System) software was used to process data from all returns.

Results

Libraries that participated in this study can be characterized in several ways. The largest group of respondents (73%) were academic libraries (see figure 1). Of this group, mean collection size was 20,158 (median = 10,700) scores and 14,646 (median = 8,488) sound recordings. The mean annual budget for scores was $11,678 (median = $6,575) and $5,628 (median = $3,625) for sound recordings. On average, one full-time professional and slightly less than one full-time equivalent paraprofessional (0.94 FTE) catalog music materials.

Public libraries provided 20% of the responses. Their mean collection size was 8,881 (median = 2,000) scores and 24,582 (median = 17,916) sound recordings. The mean annual budget for scores was $3,600 (median = $1,000) and $33,945 (median = $19,500) for sound recordings. On average, more than one professional (1.27 FTE) and only one paraprofessional assist in cataloging music materials in public libraries.

A small group of special libraries responded to the survey (4%). Their mean collection size was 12,472 (median = 10,703) scores and 7,629 (median = 6,500) sound recordings. The mean annual budget for scores and sound recordings was $750 for each category. A staffing level of 1.56 FTE (1 FTE professional and 0.56 FTE paraprofessional) is the average for catalogers of music materials.

Seventy-five percent of all respondents reported having a backlog. Of the academic libraries, 77% had backlogs; 73% of the public libraries had backlogs; and 66% of special libraries had backlogs.

Responses and opinions expressed were highly consistent among the three

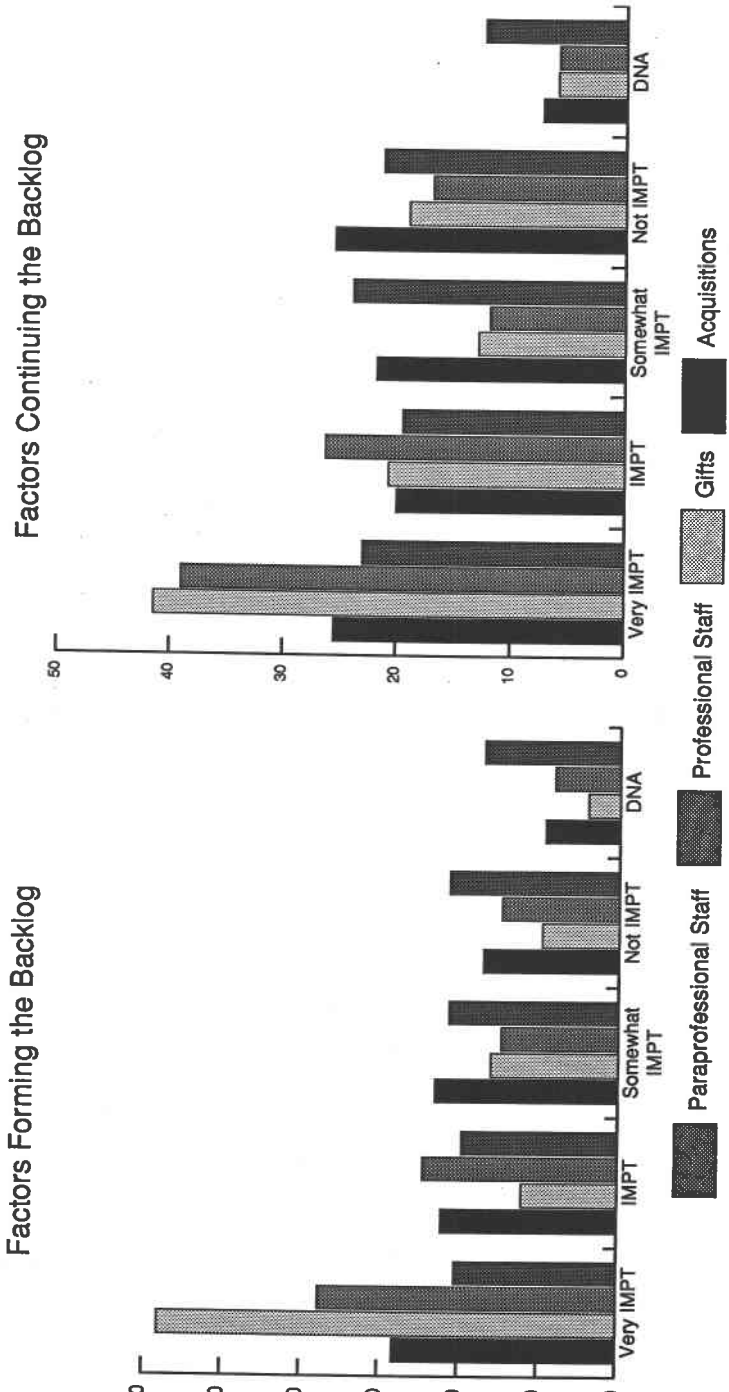

Figure 3. Factors Contributing to Backlogs.

library types. Therefore, for the rest of this article, we only report figures from the academic libraries, the largest group of respondents.

When each survey participant was asked to report the age of its backlog, most libraries indicated at least three years, with the highest proportion (26.7%) falling between five and ten years (see figure 2). The mean size of a music backlog was 2,146 scores and 2,785 sound recordings. Thirty-five percent of these libraries provide some kind of access to the scores backlog and 45% make the sound recordings backlog available.

Libraries were asked to rate four factors and their contribution toward forming the existence of the backlog. The factors considered were gifts, acquisitions, professional staff level, and paraprofessional staff level (see figure 3).

Gifts were considered by 58% of Backlog-1 and 57% of Backlog-2 libraries to be an important factor in forming the backlog. Acquisitions levels were also reported as a factor by 28% and 18% of the Backlog-1 and Backlog-2 libraries, respectively.

Survey participants indicated professional staff levels to be a highly important factor in the cataloging of music materials. Sixty-one percent of Backlog-1 and 60% of Backlog-2 respondents attributed staff levels to the forming of the backlog. Sixty-five percent of Backlog-1 and 39% of Backlog-2 libraries also believe professional staff levels continue to influence the ability of the library to eliminate the backlog. While there was no clear indication by Backlog-1 respondents of the importance of paraprofessional staff levels in either forming or continuing the backlog, 39% of Backlog-2 respondents reported these levels to have factored into the beginnings of the backlog.

Libraries were then asked to consider the importance of four factors in eliminating the backlog. These factors were cataloging at minimum levels, the cataloging budget, the use of Enhance copy (OCLC Online Computer Library Center, Inc., bibliographic records that are upgraded in quality by libraries with special training), and *The Best of MOUG* (a publication of the Music OCLC Users' Group that can be used to minimize searching for uniform titles of prolific composers in the Authority File of OCLC). The cataloging budget (and the ability to hire more catalogers) was the highest ranked factor. Thirty-five percent of Backlog-1 libraries considered budget a factor in planning the elimination of the backlog. Nearly as many libraries rely on the use of OCLC Enhance copy to eliminate their backlogs (30% ranked it "very important"). *The Best of MOUG* was considered to be only "somewhat important" to "not important" in reducing the backlog. Cataloging at minimum levels is rarely considered for reducing backlogs, with 65% of Backlog-1 libraries indicating this factor was "not important" or "did not apply." Backlog-2 libraries most often indicated the cataloging budget as a factor in eliminating the music backlog (57%).

When asked to consider other situations that could contribute to the existence or growth of the backlog, 44% of Backlog-1 libraries cited retrospective conversion projects. Twenty-nine percent mentioned lack of a cataloger with subject expertise. Few of these libraries considered a lack of appropriate reference tools, or dealing with the uniform title rule (*AACR2* 25.27A1) to be important factors in sustaining the backlog.

Libraries were asked to evaluate the availability of automation in controlling the backlog. The most highly rated of these was use of a bibliographic utility, with 61% of Backlog-1 libraries indicating it to be "important" and 77% of Backlog-2 libraries citing it as well. Fifty-one percent of the Backlog-1 libraries found an online authority file to be "very important," while just less than 20% of Backlog-2 libraries mentioned this tool. Use of an online catalog in controlling the backlog was "very important" to 44% of Backlog-1 libraries and mentioned as a factor by 52% of Backlog-2 libraries. How the online catalog is used to control the backlog was not specifically stated by respondents.

The remaining set of questions addressed reduction of the backlog. Seventy-three percent of Backlog-1 libraries incorporate reduction of the backlog as part of

the routine cataloging workflow. However, the priority level for reduction remains low, with 57% of libraries (Backlog-1 and Backlog-2) considering it "somewhat" or "not" important. When asked who set this priority level, Backlog-1 libraries most often cited technical services departments or the music unit, with the library administration ranked third.

Summary

Based on the results reported, it is clear that Piternick's study and its follow-up missed a considerable source of cataloging backlogs by not studying music materials at ARL libraries. Only one-fourth of libraries participating in this study reported having no backlog.

Our first research question asked whether music backlogs exist due to heavy acquisitions without corresponding increases in the cataloging budget to process the materials. Well more than half of the respondents (65%) reported gifts to be "important" or "very important" to the forming of the backlog. The cataloging budget (interpreted to include the ability to hire staff) was also an important factor in the continued existence of the backlog according to 57% of respondents. Combined, these findings appear to support the need for cataloging staff that are specifically assigned to music materials. In many of the libraries surveyed, music cataloging was addressed by only a portion of staff time. Many respondents indicated that the backlog had grown primarily when there was no experienced music cataloger or that the backlog would continue to exist until more time could be found to deal with it.

The second research question inquired whether music backlogs remain because other library automation projects have taken greater priority in technical services. Forty-four percent of respondents cited retrospective conversion projects as interfering with the reduction of the music backlog. However, the findings do not indicate any consensus or trends about the role of automation inhibiting backlog reduction.

While the data from this survey clearly point out the existence of music cataloging backlogs and the role of gifts in perpetuating them, there are other trends apparent in the responses that are not widespread enough to report as conclusive. Automation has had such a significant impact on technical services that online catalogs and authority files are widely accepted as important tools for controlling the backlog. New purchasing levels (and thus current acquisitions budgets) are understood to be decreasing; a recognizable effect of this is that 75% of respondents are able to incorporate backlog reduction into their regular workflow.

Music librarians have apparently become accustomed to handling these uncataloged materials by creating procedures to make them available to patrons. These methods of access reduce the pressure on catalogers to process material and, correspondingly, respondents reported a low priority level for reducing the backlog. Participation in bibliographic utilities is considered vital to backlog reduction. However, with so many libraries reporting staff level as a chief factor in keeping the backlog from being eliminated, it seems unrealistic to expect that all of the technology made available since Piternick's 1968 study can be used most efficiently for processing music, without catalogers who are "music literate."

We did not attempt to address the multitude of issues that a music library or a technical services unit faces in dealing with the cataloging of music materials. We did identify some factors that have hindered elimination of the backlog. There are many areas still open for further investigation with relation to music cataloging backlogs. These include

- implementation of automation into technical services and its impact on cataloging workflow and productivity;
- staffing patterns in technical services;
- how uncataloged materials are made available for patron use; and
- cost per item for cataloging music versus other library materials.

In this study, survey participants clearly had a wide range of experience in dealing with music backlogs, and their collective

knowledge could be used in creating methods to provide greater access to these materials. While the number of solutions for handling uncataloged material nearly matched the number of libraries with backlogs, commitments to automation, enhancement of technical services staff levels, and more time to catalog offer the best solutions for the entire library community to have an accurate reflection of the body of music literature available.

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Music Cataloging Decisions, as Issued by the Music Section, Special Materials Cataloging Division, Library of Congress in the MUSIC CATALOGING BULLETIN through December 1991
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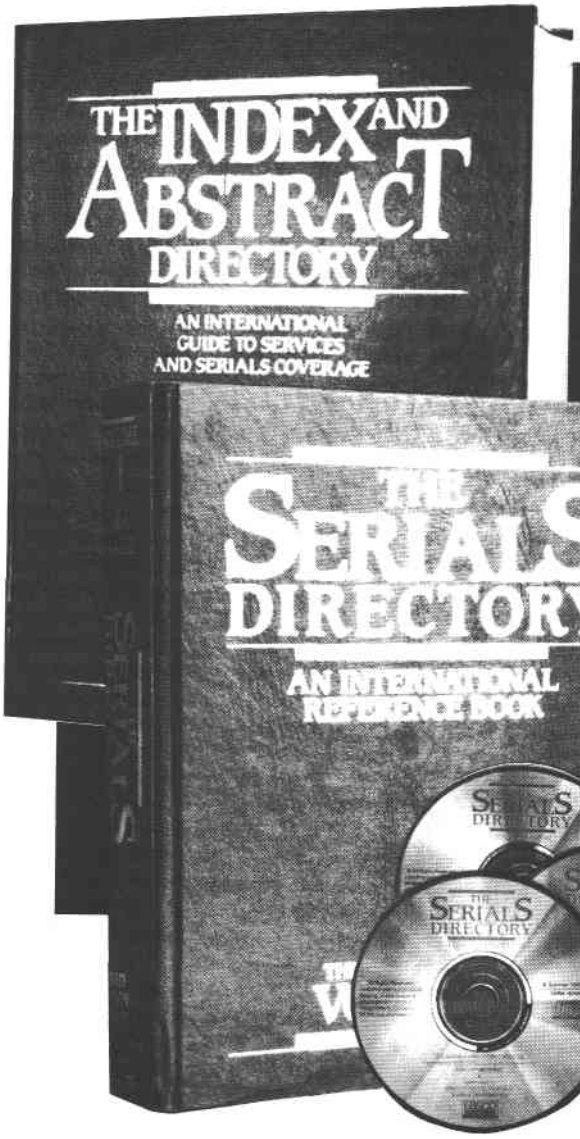

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Variation in Place of Publication: A Model for Cataloging Simplification

Rhonda J. Marker and Melinda Ann Reagor

When revising cataloging rules for the purpose of cataloging simplification, areas of the bibliographic record should be examined in a systematic manner. The implications of any change on catalog use, whether by technical services, public services, or individual patrons, must be explored. The details of publication, distribution, etc., present monograph catalogers with especially challenging decisions. The place-of-publication element is examined and cataloging codes are reviewed historically to determine whether a variation constitutes justification for the creation of a new bibliographic record, and public services implications of creating a new bibliographic record are explored. The authors suggest a change in policy that will more accurately reflect publishing practices, the significance of a separate bibliographic record, and cataloging needs.

The environment in which cataloging is done in libraries has never been more complex. Sweeping cataloging rule changes were brought about by the publication of the *Anglo-American Cataloguing Rules*, second edition (*AACR2*) in 1978. Automation of the cataloging process through the use of national bibliographic utilities had begun shortly before *AACR2* was published, and local library systems were developed soon after. In response to the clamor by librarians for explicit guidelines to implement *AACR2*, the Library of Congress began in 1981 to issue rule interpretations. The result is a complex array of rules, rule interpretations, and machine-readable cataloging (MARC) bibliographic record codes. Lately there has been a move toward "cataloging simplification" that will decrease the time needed to create original catalog records. When revision of cataloging rules or rule interpretations is undertaken, the various areas of the catalog record should be examined systematically. The history of the rules must be considered, as well as practices of the publishing industry that might shed light on the area under examination. The implications of any change on catalog use, whether by technical services, public services, or individual patrons, must be explored. In this paper, one area of the bibliographic record is scrutinized as a model of the systematic examination that can be applied when reevaluating cataloging practices.

Few questions are as vexing to cata-

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logers as whether to create a new bibliographic record for an item or to add to an existing record. For monographs, the rules in most cases are quite clear: changes in title, edition, and pagination all indicate that the manifestation in hand differs from a previous one. However, the details in the publication, distribution, etc., area seem to present monograph catalogers with especially challenging decisions.

Although it is clear that a change of publishers will in most cases signal a different edition, there is enough variation in publisher names and their appearance on monographs to require extensive cataloging rules about the correct form of name to be recorded in a bibliographic record. Similarly, variations in the dates or in the place of publication appearing on an item, while not necessarily reflecting a change significant enough to require a new bibliographic record, nonetheless present complex questions concerning the correct form and completeness of bibliographic description. It is hardly surprising, therefore, that catalogers should seek clarification on the significance of variations in the publication, distribution, etc., area for the creation of new records.

The terminology used to refer to this part of the bibliographic record has not been consistently applied. In earlier rules, "imprint" was used to refer to the place of publication, name of the publisher, and date of publication (*Rules For Descriptive Cataloging* 1949, 16–17). In this paper, we will restrict the use of the term "imprint" to refer to those data on the item that identify the publisher. For the purpose of clarity, we will adopt the phrase used in the current cataloging code, *Anglo-American Cataloguing Rules*, second edition, 1988 revision (*AACR2R*), "publication, distribution, etc. area" or "area 4," to describe those elements of the bibliographic description.

Examples of Variations

Some examples will illustrate the conundrum facing catalogers in this area. A cataloger reported receiving two copies of a title on the same day. Both were identical except for the following variations: one copy was published by "Holt, Rinehart and Winston" with a list of twelve cities beginning with "New York"; the other copy was published by "Holt, Rinehart and Winston, Inc." with a list of nine cities beginning with "Fort Worth" and without mention of "New York" (Schneider 1991). A single OCLC record was found with place of publication "New York."

An English translation of *Traveling Companions* by Friedrich Gorenstein, bearing the imprint "Harcourt Brace Jovanovich, Publishers // New York San Diego London" was received for cataloging. Every element of the Library of Congress (LC) record for this title matched the item in hand, with the exception of the place of publication; "San Diego" alone appeared on the LC record.

The publisher Springer-Verlag frequently varies the order of place-of-publication information in its publications. Items published in the United States list various cities on the title page beginning with "New York Berlin Heidelberg." An examination of the title page verso shows two international standard book numbers (ISBNs), one for the "New York" et al. item and another for "Berlin Heidelberg New York." A difference in ISBN has never been justification for a new bibliographic record; in fact, it is common to find several ISBNs on a single record. However, a variation in the cataloger's transcription of place of publication, following cataloging rules to transcribe the "first named place," requires the creation of a new record for the manifestation printed in Germany.

In this paper we will examine the place-of-publication element of area 4. The examination will include a review of current and earlier cataloging codes to determine whether a variation constitutes justification for the creation of a new bibliographic record. We will look at the public services implications of creating a new bibliographic record and will suggest a change in policy to reflect publishing practices, the significance of a separate bibliographic record, and cataloging needs.

Review of Cataloging Codes

The earliest American Library Association rules give only brief instructions for recording the place of publication: "After the title give the place or places of publication in the language of the title. . . . When thought desirable, add (in brackets) modern equivalents and familiar forms of latinized or vernacular names" (*Catalog Rules* 1908, 45).

The 1941 ALA rules, in contrast, include twenty-four pages of instructions on transcribing area 4 information. In addition to basic instructions on recording the place of publication, they cover a multitude of possible situations such as recording two or more places and one publisher, one place and two or more publishers, variation of imprint in works of more than one volume, initialisms in imprint, and an incomplete or missing imprint. The rules clearly state that the title page is the preferred source of information for area 4 of the description and that information supplied from elsewhere in the item, or by the cataloger, must be enclosed in brackets. Although it seems that the rules for transcription are exhaustive, they do not address the case of a variation in the place of publication between two or more manifestations of an item.

Under the definition for "Edition, Issue, etc." in the extensive glossary, the 1941 ALA rules instruct catalogers to accept the publisher's description when given in the book. For those cases in which that is not possible, the glossary defines "Edition," "Impression," and "Issue." The single instruction for treating differences between two or more manifestations is found in a footnote, in which the cataloger is instructed to describe a different issue of an early printed book in a note as a "variant," "variant copy," or "state" (American Library Association 1941).

Less elaborate guidelines for transcribing the place of publication were published in *Rules for Descriptive Cataloging in the Library of Congress* (1949), where the objectives of descriptive cataloging are set out as "(1) to state the significant features of an item with the purpose of distinguishing it from other items and describing its scope, contents, and bibliographic relation to other items; (2) to present these data in an entry that can be integrated with the entries for other items in the catalog and that will respond best to the interests of most users of the catalog" (p.7). These rules also state that "the purpose of cataloging a separately published monograph is to identify it and to distinguish it from other works and also from other editions of the same work and, in some instances, from other issues of the same edition" (p.9). Differences in title are "generally sufficient" to distinguish one work from another. Differences in number or name of the edition; name of the editor, illustrator, translator, or publisher; date of publication; series; or physical description also are used to distinguish one edition from another. The rules further explain that because the Library of Congress does not collect various issues of an edition (except for some rare books), issues are generally added as copies of a given edition. Even a difference in imprint date (except a difference in copyright date) and form of publisher's name (but not a difference in publisher) are added as copies under these rules.

The place of publication is important to the bibliographic description because "particularly if it is not a large publishing center, [it] may suggest a probable local viewpoint of the author" (*Rules For Descriptive Cataloging* 1949, 16). Although the 1949 cataloging code makes provision for a change in the name of a place during the publication of a multivolume work (e.g., Christiania changed its name to Oslo and St. Petersburg changed its name to Leningrad and back again to St. Petersburg), it does not address the situation in which a publisher moves or publishes a single-volume work in various places. Even the chapter of the rules that sets down guidelines for distinguishing one bibliographic entity from another is silent in the case of a difference in the place of publication.

The *Anglo-American Cataloging Rules* (1967) adopted the language of the 1949 cataloging code in its guidelines for distinguishing one bibliographic entity from

another. The 1967 rules differ only in stating, "Issues that vary only in place of publication or place of publication and imprint date are treated as issues. . . . If there are other differences, the issues are generally treated as different editions" (American Library Association et al. 1967, 191–92). Thus, the 1967 rules state specifically that an item with a change in place of publication does not warrant a new bibliographic record. These rules define such an item as a different issue of the same edition. This is consistent with the 1949 cataloging rules in which "issues" of an edition were added as copies to an existing bibliographic record.

Like the earlier cataloging codes, the *Anglo-American Cataloging Rules, Revised Chapter 6* (1974), states that "different editions are most commonly distinguished by the differences in their imprints." These rules also repeat the familiar guideline that "issues that vary only in place of publication or place of publication and imprint date are generally treated as issues."

AACR2, published in 1978, does not include guidelines for distinguishing one bibliographic entity from another, as did the previous cataloging codes. It does, however, give detailed instructions for recording place-of-publication information. The places of publication "may be repeated in any order that is appropriate to the item being described" (1.4B3), although they are to be recorded "as they appear" (1.4B4). If more than one place is named, the "first named" place of publication, distribution, etc., is recorded. Other places may be added under certain conditions. In the case that the "first named" place is not a place of publication, then the place of publication is added, as is a subsequently named place that is distinguished by layout as being that of the principal publisher. Also added is a place that is in the country of the cataloging agency, if it is named in a secondary position (1.4B8). The rules specify that if the item lists several publication offices, the first named place, a subsequently named place in the country of the cataloging agency, and a place given prominence in the layout are recorded (American Library Association et al. 1978).

The current cataloging rules, *AACR2R*, repeat the instruction to record places of publication "in the order that is appropriate to the item being described" (1.4B3). The rules then give guidance on the appropriate order. As with the 1978 edition, they are to be recorded as they appear (1.4B4). The first named of a publisher's offices is recorded, as is a subsequently named place that is given prominence by layout or typography and the first named place in the country of the cataloging agency. Although rule 1.4B3 seems to allow variation in the order in which multiple places of publication are transcribed, this rule specifies that the first named place be transcribed first, and other places are added. The rule also instructs the cataloger to "omit all other places" (1.4C5). The rules also cover the case of items with multiple places of publication that relate to two or more publishers. Of particular interest is the instruction, if the first named publisher is not in the country of the cataloging agency, to add a subsequently named publisher from that country (1.4D5d). A Library of Congress rule interpretation (LCRI) for rule 1.4D5 instructs catalogers to record the names of all publishers appearing on the chief source of information (Library of Congress 1990b).

Smiraglia (1992) and Madison (1992) discuss an unwitting rule change for recording the place of publication that occurred with the publication of *AACR2*, and the rule's revision to correct the unintended change in *AACR2R*. However, whether a change in place of publication constitutes a new edition is not addressed in either *AACR2* or *AACR2R*.

It is sometimes the case that publication information is found in more than one area of the item. The rules in both *AACR2* and *AACR2R* require only that the information be taken from any prescribed source (1.4A2). For books, the prescribed sources for area 4 of the description are the title page, other preliminaries (including the title page verso), and the colophon (2.0B2). There may be a choice of pre-

scribed sources for the transcription of place of publication. Both the cataloging rules and experience confirm that either prescribed source can be used. For example, the title page of *The World of the Rural Labourer in Colonial India*, edited by Gyan Prakash, lists Delhi, Bombay, Calcutta, and Madras. The title page verso lists New York, Toronto, Delhi, Bombay, Calcutta, Madras, and nine other cities beneath the name and address of the publisher (Oxford University Press, Walton Street, Oxford). Following the *AACR2* and *AACR2R* rules for U.S. cataloging agencies, the Library of Congress has transcribed the first place of publication from the title page and the second place of publication from a list on the title page verso: "Delhi ; New York."

Library of Congress Rule Interpretations

The instruction to create a separate bibliographic record for a variation in the place of publication is not found in a cataloging rule, but in the Library of Congress rule interpretations. "For variations in the publication, distribution, etc., area not covered by the preceding statements, consider that the item is a new edition. Noteworthy examples for the publication, distribution, etc., area are variations involving different places or entities transcribed, or any difference in an entity's name that is suggestive of either a name change or a different entity" (Library of Congress 1990a).

Library of Congress rule interpretations are meant for the use of LC catalogers and are published for the cataloging community to inform other libraries of LC practice. They are meant to augment, not substitute for, published cataloging codes. In practice, the LCRIs serve as a supplement to *AACR2* for many libraries, including most academic and research libraries. In the case of deciding whether an item is an edition or a copy, the LCRIs here provide guidance on a matter on which earlier cataloging rules were clear but the current code is silent. It is significant that for variation in the place of publication, however, the LCRIs differ from the guidelines of older cataloging codes.

Impact on Bibliographic Utilities

The impact of the LCRIs on the bibliographic utilities is mixed. The two largest utilities, the Research Libraries Information Network (RLIN) and the OCLC Online Computer Library Center, Inc., are affected in different ways because of their distinctive file structures. The RLIN database preserves members' versions of a catalog record in clusters. The cluster groups together those records that match on key elements such as title, publisher name, date, and pagination. RLIN does not publish guidelines for creating new bibliographic records but refers users to rules indicated in byte 18 of the leader in the MARC format (Descriptive Cataloging Form) for *AACR2* or non-*AACR2* cataloging. Thus, libraries that do not follow the LCRIs might or might not input new bibliographic records in RLIN, while libraries that follow LC practice create new records if there are variations in the place of publication. Although RLIN clustering takes into account the place and publisher (260 subfields ǂa and ǂb), the place of publication is a factor only when a record lacks a subfield ǂb (publisher name element). Thus, records with the same publisher name but variant places of publication will cluster together (Research Libraries Group 1991, 2–5).

In contrast to RLIN's record clusters, the Online Union Catalog (OLUC) in OCLC preserves only a "master record" that can be edited and produced for a member library's local tape or card product or downloaded into a local system. OCLC's *Online Systems Bibliographic Input Standards*, fifth edition, gives specific guidelines for creating a new master record in chapter 4: "When to Input a New Record." According to that chapter, "change in place within the same country between printings of the same edition" does not justify a new record in the OLUC (OCLC 1992, 37). The general guidelines in the *Input Standards* also state that

"differences resulting from changes in cataloging rules do not justify a new record" (OCLC 1992, 31). Thus, OCLC records for items cataloged using pre-*AACR2* rules might, in fact, represent items that under current LC practice would require separate bibliographic records.

Implications for Technical and Public Services

Regarding variation in place of publication as justification for a new record has implications for both technical services and public services. For most of the twentieth century, American libraries have attempted to standardize cataloging codes in order to facilitate cooperative cataloging. Most libraries now use at least one bibliographic utility to minimize the cost of cataloging. When using copy input into a bibliographic utility by the Library of Congress or another library, catalogers must decide whether the item in hand matches an available online record. Among the factors that must be taken into account are the other elements of the bibliographic record, the rules under which the available record was created, the requirements and standards of the utility, and local cataloging policies. These factors can be charted and explained to the technical services staff that does pre-catalog searching. However, machine matching algorithms, such as those utilized for retrospective conversion purposes, do not differentiate between records created under *AACR2* and older cataloging rules. Because of the age of items that are typically converted to machine-readable form, there is often no means of predicting the various rules under which available records were created. For this reason, place of publication is rarely, if ever, used as a matching element for retrospective conversion purposes, resulting in two sets of standards in use: one for current online cataloging and one for retrospective conversion of manually cataloged titles.

For book acquisition purposes, including electronic data interchange, several elements of a catalog record are useful. One recent examination of the common elements required by publishers, booksellers, and librarians identified a core set of bibliographic descriptive elements (ISBN, title, edition, publisher, date of publication, binding, and price) that does not include place of publication (Dempsey 1990, 67). With the widespread and increasing use of book jobbers, approval plans, and other purchasing practices, the geography of book publishing might be irrelevant to the activity of book acquisitions.

Much has already been written about unnecessary record duplication in the bibliographic utilities. As the utilities have found, this duplication has implications for the library community in general. OCLC's Database Quality Section embarked on a Duplicate Detection and Resolution project in 1991. It reported that "catalogers create and use the database, but it is also used for other purposes, including reference and interlibrary loan. . . . We have found cataloging issues that have impact on other uses of the database, such as whether identical items from multinational publishers require separate records in the database when, for example, one was published in Berlin and the other in New York" (Campbell 1991).

There are several compelling reasons to eliminate seemingly duplicate records from a database: greater ease and precision in searching; better or more descriptive data if records are merged (Campbell 1991); and the elimination of less useful duplicate records in systems with limited storage capabilities, such as CD-ROM products (O'Neill 1989, 8). It is doubtful whether the catalog user is well served by separate records for items published in various places by the same publisher. Because library users often look for a particular edition in order to find the source of a citation, it is important that different editions should be cataloged separately so that variations in wording, pagination, and other content are clearly differentiated. However, a study of the effect of the level of bibliographic description on public library users found that omission of place of publication causes no problems in the successful retrieval of items in the catalog (Seal, Bryant, and Hall 1982). Several elec-

tronic mail messages on autocat@uvmvm.bitnet alluded to this purpose (Hill 1992):

> If you lump several versions of the same work into the same record, . . . you potentially [hide] information from users (who have a right to think that it makes no difference whether they get copy 3 or 4), who may be trying to track down some citation to page 211 (but it's not 211 in that version), or who may be interested in the introduction (which was missing from one version). . . .

Ironically, the proliferation of records in a catalog can hinder access. Online catalogs are able to display a limited number of items on computer screens. The presentation of what appears to the user as duplicate records might discourage browsing in the online catalog. Research on user searching of online catalogs has shown that while user satisfaction has little to do with the number of items retrieved, it is closely related to the precision of the search results and the quality of the database (Kinnucan 1992). It also is known that users can become frustrated with too many irrelevant documents. One study found that, regardless of the total number of items found, most users are interested in no more than ten to twenty references (Sandore 1990). Given the propensity of online catalog users to self-limit search results, the elimination of virtually identical records from a database might increase the total number of bibliographic citations that a user judges to be relevant. In addition, some systems have limited storage capacities, whether because of the medium (such as CD-ROM) or the size and expense of the hardware necessary to support a larger database. As library collections grow, it becomes increasingly important to build online catalogs that contain the greatest number of unique items and the fewest possible irrelevant records.

For libraries that have multiple branches or are part of a consortium, unnecessary proliferation of records can also increase intralibrary and interlibrary loan. If a library user finds an appropriate record but the item is not available at that branch, a request is submitted to order the item through a materials delivery service. There might well be another issue available at the originating library but its holdings are on another bibliographic record because the place of publication differs. This problem could be lessened by eliminating the unnecessary proliferation of records in a catalog.

Publishing and Printing Practices

As evidenced by the number and variation of place names on title pages, publishers no longer have single editorial offices. For example, Harcourt Brace Jovanovich has editorial offices in New York, San Diego, and London. The first named place of publication on its books depends in part on where the book was edited (Schneider 1992). Holt, Rinehart & Winston has nine editorial offices, although the main editorial office is now located in Fort Worth.

Publishers, especially small presses, also move their editorial offices. For example, the publisher Jason Aronson, Inc., published the title *The History of Psychotherapy: From Healing Magic to Encounter* in New York in 1976. By 1991, when Aronson issued a second printing, the publisher had moved to Northvale, New Jersey. The earlier example of the Holt, Rinehart & Winston book that had two different lists of cities was a result of the relocation of the publisher from New York to Fort Worth in 1989. When the title was initially published, the first named city was "New York." After the publisher moved to Fort Worth, a "reprint correction" would subsequently begin the list of city names with "Ft. Worth" (Johnson 1992).

Publishers also vary the order of place names on the item according to where the item is printed. Although the cataloging rules have consistently instructed catalogers to disregard printing information when publisher information is available, the distinction between publishing and printing has blurred for many publishers. Springer-Verlag, for example, "produces" books in both New York and Heidelberg. If a book is produced in New York, the first named city is "New York"; if a book is produced in Heidelberg, the first named city is "Berlin." The title segment of the ISBN (the

last six digits for Springer-Verlag books) is the same for both books. The publisher segment of the ISBN (the first four digits) differs because the two editorial offices are corporately independent. A single title, however, is usually "produced" in both cities. There is no other difference between the books except for the place of publication (Springer-Verlag Documentation Department 1992). As in this example, a book might not clearly indicate that a difference in the place of publication alone is the result of a different printing or the publication of a different edition. If it is not clearly marked, catalogers are asked to make that distinction by creating a new bibliographic record or using an existing record. As technology and fluctuating economic conditions impel the industry to more fragmented operations, changes such as those described will continue.

Summary

The *AACR2R* definition of "edition" for books specifies "produced from essentially the same type image" and "issued by the same entity" as the elements that cannot vary for two items to be considered the same edition: *"Edition: Books, pamphlets, fascicles, single sheets, etc.* All copies produced from essentially the same type image (whether by direct contact or by photographic or other methods) and issued by the same entity" (*AACR2R* 1988, 617). Under this definition, virtually any changes in the content of the item indicate a new edition. But clearly, the Library of Congress has extended the definition of entity to include not only the publisher of the item but also the place from which the item is issued as elements that determine a new edition. The implicit assumption underlying the rule interpretation is that any change in the prescribed sources of information constitutes a difference in the "type image."

That assumption cannot be supported for the reason that a bibliographic record may accommodate many such changes. For example, new printing or copyright dates, and even minor variations in an entity's name (as long as it is not a genuine name change), are not considered significant enough to warrant a new bibliographic record. Some changes in the "type image" reflect a difference in the identity or content of the item: differences in pagination, a new publication date, or title changes. However, this examination has shown that a change in place of publication alone does not indicate a difference in the content of the item. Changes in the name of an "entity" affect the identification of the item, and because place of publication has traditionally been associated with an entity's name, it might be assumed that a change in the place of publication will identify the item as a different edition. However, historically this has not been the case, and with no visible ill effects for the purpose of identifying a bibliographic entity. Thus, the definition of an edition needs no revision in order to allow variation in the place of publication to be ignored.

Some bibliographic records already allow for variation in place of publication, most notably serial publications and multivolume monographs. In such cases, the variation may be mentioned in the note area of the catalog record. The same practice could be adopted for single-volume monographs for variations such as those that occur with simultaneous printings (e.g., one printing is for "San Francisco" and another is for "New York"). However, some variations occur with subsequent printings, and these variations more closely resemble local copy information. More work is necessary to standardize local copy information in the bibliographic record in a cooperative cataloging environment. Standards are needed for both the cataloging code (e.g., *AACR2R*) and the machine code (e.g., the MARC format).

Conclusion

We have examined common publishing and printing practices, public services, technical services, and individual patron use of the catalog, and the earlier and current cataloging rules for area 4. All of these factors lead to the conclusion that place of publication should not be an ele-

ment that determines whether a new bibliographic record is created. Accommodation of variation in place of publication on a single record does not violate cataloging codes, is consistent with current cataloging definitions, and could improve library catalogs for both catalogers and library users.

Two possible courses of action suggest themselves as a result of this analysis. First, cataloging agencies might integrate these findings with their current cataloging practices. Some libraries have a history of following Library of Congress policy, including LCRIs. Other libraries examine each rule interpretation to determine local cataloging decisions. Those libraries might wish to reexamine whether they will follow this particular LCRI. Although the cataloging code does not explicitly prescribe the use of a single bibliographic record when only place varies, neither does it prohibit such a practice. However, our conclusion does conflict with LC's rule interpretations and thus with LC practice.

Second, the Library of Congress might also wish to reexamine its cataloging policies with regard to place of publication. Admittedly, the cataloging environment at LC will always differ in many respects from that found in other libraries. However, because of its recent decision to use cataloging copy contributed by other libraries, LC now encounters many of the same problems found in copy cataloging departments. This change in experience might lead to a reexamination of its cataloging practices. The recent efforts of the Cooperative Cataloging Council convened by LC also might prompt a reconsideration of cataloging rules at LC. Libraries that follow the LCRIs might see rule interpretations that will accommodate LC's changed cataloging environment.

Also, future study of the bibliographic record should take into account both the technical service requirements for bibliographic information and the public service use of the catalog. Other relevant areas for investigation are the publishing industry and advances in automation. The cataloging environment is constantly changing, and cataloging rules that were necessary at one time might now hinder efficient, useful cataloging. When cataloging practices reflect the materials that libraries catalog, then cataloging is indeed "simplified."

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Reflecting the Maturation of a Profession: Thirty-Five Years of *Library Resources & Technical Services*

Richard P. Smiraglia and Gregory H. Leazer

In the humanities and in technology, social circles that function around orientation paradigms influence the development of new ideas and provide explanations of phenomena in much the same way as do scientific circles. One view of librarianship is that it is a technological field. Elements of scientific knowledge influence the development of new techniques and services. In ALCTS, Library Resources & Technical Services (LRTS) *is the official journal, the gatekeeper that since 1957 has provided the membership with quarterly advances in knowledge and techniques for collections and technical services. This article is a report of a research project undertaken in an attempt to define* LRTS' *content over its lifetime and to see whether* LRTS *displays the characteristics of a formal, scholarly communication venue. The entire run of* LRTS' *first 35 volumes was examined. Overall we observed a maturation in* LRTS, *similar to that reported by other researchers in library and information science (LIS). In many ways* LRTS *reflects the characteristics of the core LIS journals, which increasingly fall into a scholarly range. The proportion of articles that report research, the increase in that proportion over time, and numbers of citations per article across the areas of interest are further evidence of this. The research literatures of cataloging and classification, collection management and development, and preservation—the core of ALCTS interests—show remarkable similarities and fall within the hypothesized region derived from earlier examinations of periodical literature in bibliographic control and LIS in general. In sum,* LRTS *by and large reflects the growth of a maturing, scholarly discipline surrounding the orientation paradigms that ALCTS exists to serve.*

A set of recurrent and quasi-standard illustrations of various theories in their

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conceptual, observational, and instrumental application" constitutes a paradigm as articulated by Kuhn (1970, 43). Successful paradigms are those that offer solutions to acute problems as recognized by a body of practitioners. Kuhn shows how such paradigms provide an impetus for research, which can in turn stimulate the development of new theories and paradigms via the process of revolution in the sciences. In this way the continued growth and expansion of scientific knowledge is assured.

Crane (1972) successfully argues that social circles, or invisible colleges, surrounding such paradigms tend to the growth of basic scientific knowledge. These groups are largely responsible for the informal dissemination of scientific knowledge as well as the continuous production of new scientific ideas. Similar social institutions are shown to exist in fields other than basic science. In the humanities and in technology, social circles that function around orientation paradigms influence the development of new ideas and provide explanations of phenomena in much the same way as do scientific circles. Crane refers to orientation paradigms as "expectations concerning the nature of phenomena," (1972, 95) and speculates on the presence of such paradigms in the humanities and in technology.

One way to view librarianship is as a technological field. Elements of scientific knowledge influence the development of new techniques and services. If we take this point of view, then we may also consider the specialties within librarianship that are focused on collections and technical services as constituting an orientation paradigm that influences developments. Certainly, the existence within the American Library Association (ALA) of a division with a focus on collections and technical services provides some evidence of the existence of a system or network of such orientation paradigms. ALCTS, the Association for Library Collections & Technical Services, serves as the umbrella organization within ALA under which a network of interest groups (orientation paradigms) exists in fields such as acquisitions, collection management and development, cataloging and classification, preservation, reprography, and serials. ALCTS' presence is evidence of the functioning of a successful paradigm as defined by Kuhn.

"Invisible colleges" function to advance the growth of knowledge by permitting the free exchange of information among scholars or practitioners of a field of endeavor. Formal means of communication, such as journals, often arise in such communities to serve as official channels for authorized information. The double-blind peer-refereed scholarly journal functions in a gatekeeping role to disseminate research and other new knowledge with the official blessing of the invisible college that generates it. In ALCTS, *Library Resources & Technical Services* (*LRTS*) is the official journal—the gatekeeper—that since 1957 has provided the membership with quarterly advances in knowledge and techniques for collections and technical services.

If *LRTS* is indeed a formal communication venue in a community of scholars and practitioners working in a technological orientation paradigm, then an empirical assessment of its content ought to reveal similarities with other formal scholarly communication tools. Such an empirical assessment of *LRTS* should include objective bibliometric comparisons with other scholarly journals in library and information science (LIS). This article is a report of a research project undertaken in an attempt to define *LRTS*' content over its lifetime and to see whether *LRTS* displays the characteristics of a formal, scholarly communication venue.

Background

ALCTS, the organization that publishes *LRTS*, has a long history as a part of the American Library Association. Over the past century the division has grown and evolved a great deal. Formerly named the Resources & Technical Services Division (RTSD), the division was formed from the merger of ALA's Division of Cataloging and Classification and the Serials Round Table. In 1956 a section of acquisitions and resources was added to the division. RTSD became ALCTS, an association, in 1989

(RTSD Annual Report 1989, 429). In 1991 the Resources Section was renamed the Collection Management and Development Section, and a new Acquisitions Section was formed (ALCTS Annual Reports 1991, 462).

The evolution of RTSD/ALCTS reflects the extent to which the problems of librarianship revolve around the key problems of collections services and bibliographic control. As scholarship has evolved in these fields of library and information science, and as the supporting technology available has evolved into today's highly sophisticated integrated automated systems, the community has responded repeatedly to the continued maturation of the profession.

This growth is reflected in the literature of the profession, and particularly in the changing scope and content of the literature of the organization. The association's current journal, *LRTS*, was first published in 1957, following the merger of the magazine *Serials Slants* and the *Journal of Cataloging & Classification* (*JCC*). *JCC* had first appeared in 1948 as the successor to the News Notes of the Board of Directors of the ALA Division of Cataloging and Classification (Huang 1967, 14). With *LRTS*' first issue in winter 1957, the editorial content was expanded to include all interests of the new division. The *RTSD Newsletter* (now titled the *ALCTS Newsletter*) was established in 1976 to carry news of interest to members of the division and to serve as an informal communication medium for the rapid dissemination of news. Thus, *LRTS* was free to become increasingly a formal means of dissemination of scholarship. At the 1991 Annual Conference, a new editorial policy for *LRTS* was approved, explicitly stating that research reports were to be included in *LRTS* and that news items were not. This can be seen as one reflection of the growth of a profession. Also in 1991, *AN2*, an electronic newsletter, was established via the Internet to serve as an even less formal and more rapid means of disseminating information of interest to members of the division.

If librarianship is a technology based on a science—library and information science—*LRTS*' content should be representative of LIS research in general. If ALCTS represents a particularly cogent group of librarians and information scientists working in an operational paradigm, then the means of communication developed by this community should reflect this scientific character. One way this is reflected in ALCTS is in the continued development of *LRTS* from its earliest stage—in which it contained news about cataloging, etc.; news about the division; technological reports; and occasional research—into a formal journal restricted to reporting peer-reviewed research and developments of unique and evolving operational techniques and research methods. Also, the continual development of more and more informal channels for communicating news to the members of the community is further evidence of a scientific maturation of the profession that ALCTS was developed to serve.

One aspect of the maturation of the profession is the continuing development of new specializations that collectively define an operational paradigm for the field. Consequently, different aspects of the profession at any given moment will be at different stages of development. Older specializations in the field should have a more highly developed scientific literature. Also, one might expect differences in the characteristics of the literatures of the different sections of ALCTS. For instance, one might expect to observe that the literature of reprography and preservation is highly technological, and that the literature of collection management has a more humanistic bent, whereas bibliographic control has assumed more the character of a scientific literature in recent years.

The various sections of ALCTS, with their dates of creation, are:

- Cataloging and Classification Section: founded in 1900, joined RTSD in 1957
- Serials Section: founded in 1929 as the Serials Round Table, joined RTSD in 1957
- Reproduction of Library Materials Section: founded in 1936, joined RTSD in 1957
- Resources Section: founded within RTSD in 1973

- Preservation of Library Materials: founded within RTSD in 1979
- Acquisitions Section: founded within ALCTS in 1991
- Collection Management and Development Section: founded within ALCTS in 1991

Purpose of the Study

The purpose of this study is to discover whether *Library Resources & Technical Services* has, in fact, become a formal, scholarly communication medium. In particular, we were interested to learn:

1. Whether the articles that are published in *LRTS* are predominantly research reports, rather than news or commentary;
2. Whether there is any difference in the scholarliness of the articles that are published in response to the needs of the various sections of ALCTS;
3. Whether there is any difference in the scholarliness of the articles published over time; and,
4. Whether bibliometric measures will indicate that the articles are of a scholarly nature.

Literature Review

Analysis of bibliographic citations has been used to learn about and explain communication patterns in the sciences and some scholarly disciplines. Several papers have reported bibliometric analyses of LIS literature, and a few papers have reported analyses of the literature of bibliographic control, which is a close approximation of the operational paradigm that ALCTS' sections define.

According to Derek de Solla Price (1970), the percentage of citations to literature that is five or fewer years older than the citing article (Price's Index or PI) can be used to indicate the "hardness" of a scientific discipline. Science ranges from "hard" ($PI \geq 42\%$), to "soft" ($33 \geq PI \geq 22\%$), to technical literature ($P \leq 21\%$).

Peritz examined research articles in 39 core LIS journals from 1950 to 1980. She noted increases in the amount of research, the proportion of citations to periodical literature, and the number of citations, and a decrease in the age of the works cited. She noted that "when compared to Price, research papers in library science would rate either in the research front category or at least very high in the normal range" (1981, 60). Windsor and Windsor (1973) examined the citation patterns of information scientists by examining articles indexed in *Information Science Abstracts* from 1966 to 1971. Price considered articles scholarly only if they contained 10 or more references (1970, 3–22). Windsor and Windsor (1973, 378) found that a majority of papers, 79.8%, had 4 or fewer (or no) references. Nour examined the core library journals of 1980 and found 24.4% of the articles were research. She also noted that articles about technical processes tend to have a lower mean and median number of references than articles on other LIS topics (1985, 273). Feehan, Gragg, Havener, and Kester examined the 1984 journal literature (1987, 176), discovering that in 91 core library journals only 23.6% of the articles were research. Buttlar examined 16 core library science journals for the period January 1987 to June 1989 and found that most of the content was devoted to non-research but that research-based articles were on the increase, with survey methodology reported the most frequently (1991, 47). Kim (1991) performed citation measures on a set of 52 journals in LIS to compare these measures with earlier perception-ranking studies. She discovered that research-oriented journals had a lower average Price's Index (i.e., cited less recent literature) than the practitioner-oriented journals. Finally, Thompson (1991) looked at 20 journals in library and information science (440):

> When Price's three norms for scientific literature are applied to library and information science, the discipline does not meet the criteria for being considered a "hard" science, but is more accurately a "medium" science. When the two subsets of library science literature and information science literature are compared, however, information science consistently shows a greater tendency toward "hard" science than does library science.

Issues that surround aspects of biblio-

graphic control are at the heart of ALCTS activity. There have been several bibliometric analyses of bibliographic control literature or of journals that are focused on aspects of bibliographic control. Huang (1967, 15) examined the contents of *JCC* and *LRTS* from 1948 to 1964, noting that the proportion of research had increased over time. Frohmann (1982) looked at the literature of cataloging and classification, noting that *LRTS* was the most cited journal among the source citations and also that cataloging literature relied heavily on nonperiodical sources such as cataloging codes and manuals. Smiraglia conducted a study of literature of bibliographic control in 1984, attempting to define a research front and measure its productivity. He found that there was evidence of a rate of absorption of research similar to that in the social sciences. Frost studied literature about online catalogs (1989), examining journal articles from 1980 to 1985. Finally, Carter and Kascus (1991) conducted a tenth-anniversary review of *Cataloging & Classification Quarterly* (*CCQ*), 1980–1990.

LRTS has been mentioned in several related articles as well. Watson (1985, 336) noted that *LRTS* contributors were largely academic librarians (57.3%), with 16.9% library science faculty. Buttlar (1991, 47) noted that *LRTS* ranked 12th among 16 core LIS journals in the distribution of research. However, Kim (1991) found that *LRTS* ranked 4th among 12 top-ranked LIS journals. Sellen (1984, 130) found that *LRTS* was among the core journals cited by both *C&RL* and *JAL*. Schrader (1985) found *LRTS* ranked 15th among 17 core journals listed as most cited in *Journal of Education for Librarianship* (*JEL*). Budd (1991, 293) ranked *LRTS* 8th among 21 journals most frequently cited.

Research Questions

Based on a synthesis of the literature cited above, we were able to cast several specific hypotheses about *LRTS*' bibliometric profile. To begin, we were interested in simple descriptive measures such as article page-length and number of articles, which serve as a preliminary indicator of the scholarliness of the material in a journal. We noted that Cline's examination of *College & Research Libraries* (*C&RL*) (1982, 210) found that in the period 1939–1979 the mean number of articles per issue decreased from 10.35 to 6.47. Cline also found that the mean number of pages per article grew from 5.76 to 8.08. Auld (1988) found in his examination of *Library Trends* that the typical article was just over a dozen pages in length (p. 868), but that articles had increased in length over time (p. 859).

A related issue is the amount of non-feature-length material in *LRTS*. The *RTSD Newsletter* was introduced in 1976 to carry news of division and section activities directly to the membership. By the time of the development of *LRTS*' official editorial policy in 1991, news material was explicitly excluded. Thus, our first three hypotheses:

Hypothesis 1: The number of feature-length articles per issue decreases over time.

Hypothesis 2: The average length of articles increases over time.

Hypothesis 3: There is a decrease in the number of news items over time.

In evaluations of the journal literature of LIS, *LRTS* often is ranked among the core journals and is frequently referred to as a journal of research. The proportion of articles in *LRTS* that report research, then, should be consistent with the proportion found in the core LIS journals as a whole. Three authors specifically report on the proportion of research in core LIS journals: Buttlar (1991, 46) reported 29% from 1987 to 1989; Nour (1985, 262) found 24.4% in 1980; and Feehan et al. (1987, 176) found 23.6% in 1984. Peritz (1980, 254) found that the proportion of research in core LIS journals had increased from 14% in the period 1935–40 to 31% in the period 1970–75; 19% of the articles over the period 1935–75 reported research. Huang (1967, 15) examined *JCC/LRTS* 1948–1964 and found that the proportion of research had increased from 12% in 1948 in *JCC* to 21.3% in *LRTS* in 1964. Carter and Kascus (1991, 71) examined *CCQ* from 1980 to 1990 and found that

21.5% of all articles reported research (including history). Therefore:

Hypothesis 4. Between 10% and 32% of articles in *LRTS* report research results.

One of Price's measures for scholarliness and the scientific "hardness" of a journal is high references per paper, the total number of references in a journal divided by the number of source items in a journal, which reflects the cumulative effect of knowledge building in a scholarly area. A normal range is from 10 to 22 references per paper, with a typical value of 15 (Price 1970, 161–79).

Windsor and Windsor (1973) examined articles indexed in *Information Abstracts* (*ISA*) between 1966 and 1971. They noted that Price considered articles scholarly only if they contained 10 or more references (Price 1970, 3–22). Windsor and Windsor found that 29.8% of all papers in information science literature had no references; 50% had 4 or fewer references (p. 378); 67% had 8 or fewer references; 75% had 11 or fewer; 90% had 28 or fewer; and 95% had 63 or fewer (p. 379). Budd's examination of the literature of academic libraries found that 262 articles included 3,708 citations, or a mean of 14.2 (1991, 292). Nour's examination of the research articles published in core library journals of 1980 found that the mean number of references was 12.6 and the median 9, with a range from 0 to 84 (1985, 269). Articles about technical processes tended to have a lower mean and median number of references than those on other LIS topics (Nour 1985, 273). Auld (1988, 859) found that the mean number of references in articles in *Library Trends* was 12. Cline examined *C&RL* from 1939 to 1979. The proportion of unreferenced articles decreased from 45% to 9%; the mean number of references per article grew from 2.89 to 15.46 (1982, 210). Metz' reexamination confirmed these trends (1989, 43). Peritz studied citation characteristics in library science, reporting mean and median numbers of citations in research articles in the 39 core journals by year: in 1950 the mean was 3.9 and the median 1.7; in 1960 6.9 was the mean and 2.5 the median; in 1965 7.2 was the mean and 4.0 the median; in 1970 7.1 was the mean and 5.2 the median; and in 1975 8.7 was the mean and 5.8 the median. Overall the mean was 7.4, the median 5.0 (1981, 51). Harter and Hooten (1992) examined information science articles in the *Journal of the American Society for Information Science* (*JASIS*) from 1972 to 1990. They reported a mode of 1 citation per article, with a median of 5, a mean of 7.51, and a range from 0 to 72. Schrader examined *JEL* from 1960 to 1984 (1985) and found that: "The range of citations per article goes from zero to 66. The median falls in the group of one to four citations per article. Thus, just over 50 percent of all papers in *JEL* yielded zero to four citations each."

Smiraglia's 1984 unpublished study of citation patterns in bibliographic control noted that the number of citations increased dramatically over the 37-year period (1984, 6). Frost's study of the literature of online public access catalogs (OPACs) noted that 70.5% of the sample contained references, while 29.5% had none; of the articles with references, 56.8% contained 1–10, 25.7% contained 11–20, and 17.6% contained 21 or more (Frost 1989, 356). Therefore:

Hypothesis 5: Articles in *LRTS* should have between 11 and 24 citations.

Another indication of the scholarliness of a discipline is the rapidity with which knowledge is disseminated and built upon. A high proportion of citations to journal literature usually is taken as a sign of rapid growth of a research front. Budd (1991, 292) found that 56.3% of citations in the literature of academic libraries were to journals, 28.7% to books. Nour (1985, 269) found that in research articles published in core library journals of 1980 a mean of 5.6 citations were to journal articles; the median was 3.5 for journal articles; journal references ranged from 0 to 40 per article. Cline's review of *C&RL* from 1939 to 1979 found that 44.65% of cited documents were periodical articles. The proportion increased modestly from 40% to 48.8% over time (1982, 221–22). Cline cites Barnard (1957)—51.8% of citations were to serials and 37.7% to monographs; and Brace (1975)—33% were to serials and

38.9% were to monographs (Cline 1982, 222). Schrader (1985), studying the *JEL* from 1960 to 1984, found that cited works in journals accounted for 40% of all citations, while cited monographs accounted for only 25% of the citations. Frost found that in the literature about OPACs, 41.1% of cited works were journal articles (1989, 352).

Frohmann (1982, 356), writing about the literature of cataloging and classification, reports on Lehnus' 1974 study of cataloging texts; Lehnus found that a small proportion of authors (less than 7%) were responsible for 50% of the citations, that the two most heavily cited types of works were cataloging codes and manuals, and that the monograph is the most frequently cited publication format. Frohmann continues (1982, 368):

> The likelihood of finding scientific activity in the field varies directly with degree of consensus. The 43.9% reliance on journal articles is a measure of the kind of consensus characteristic of scientific literatures. The 13.8% reliance on library tools is also a measure of consensus, albeit of a different kind. Reliance on codes, classification schemes, manuals, rules, etc., indicates a consensus about conventions rather than agreements on the problems and methods constituting scientific work. The proportion of citations to monographs other than library tools is the best measure of lack of consensus in the field, and it is not high (23%).

Therefore:

Hypothesis 6: At least 44% of the citations in *LRTS* will be to works in journals.

Scientific literatures often display high proportions of coauthorship. In Buttlar's 1991 analysis of library periodical literature, 60.6% of articles were by one author; 21.7% were by two authors; 4.5% were by three authors; and 1.7% were by four or more authors (p. 41). Cline's examination of *C&RL* showed 89.35% had no coauthors, 9.29% had 1, .96% had 2, .23% had 3, and .17% had 4 or more; the proportion of articles having no coauthors dropped from 95.65% to 72.68% from 1939 to 1979 (1982, 215). Metz' reevaluation of *C&RL* showed that the trend toward multiple authorship continued: 12.7% of the articles in 1939–79 had 3 or more; 24.3% in 1980–88 (1989, 44). Schrader 's study of the *Journal of Education for Library and Information Science* (*JELIS*) for 1960–1984 found that one out of three articles was authored by two or more individuals in the early 1980s (1985, 295). Frost found that 62.4% of articles about OPACs were by one author, 23.9% were by joint authors; of source articles in her study 70.3% were by one author, and 29.8% were collaborations (1989, 355). Carter and Kascus' evaluation of *CCQ*'s first ten years found that 19.5% of the articles had two or more authors (1991, 77). Therefore:

Hypothesis 7: The proportion of articles in *LRTS* produced by the collaboration of more than one author will lie between 20% and 30%.

Hypothesis 8: The proportion of articles in *LRTS* produced by the collaboration of more than one author will have increased over time.

A variety of bibliometric measures have been developed that can be used to indicate the scholarliness of a journal's content. These include citation half-life (median age of citations), Price's Index or PI (the proportion of citations to works that are five years old or less), the self-citation rate (the proportion of citations in *LRTS* that are to other articles published in *LRTS*), immediacy index (the total citations received from journals published in the same year divided by the number of source items available for citation in a journal that year), and impact factor (the total citations given to a journal for a specified time period divided by the number of source items published in that journal during that same time period).

Thompson (1991, 440), reviewing LIS literature, indicated that it "could be considered a hard science, maintaining over a 42% research front during the five years analyzed." Peritz (1981, 60) found in library science literature that from 1950 to 1975 the proportion of citations more than 7 years old fell from 43% to 27%; the overall total was 25%. Kim (1991, 26)

noted that research journals had a lower average PI than practitioner-oriented journals. Budd (1991, 293) found that 51.6% of citations in the literature of academic libraries are 0–5 years; 25.4% are 6–10 years. Smiraglia identified a research front in bibliographic control that included 16 authors—PI in this group was 48% (1984, 11).

As Kim (1991, 26) noted:

> The self-citation rate, the proportion of citations received by a journal [that] stem from the journal itself, also indicates the degree of interaction with the journal network. Highly specialized journals in discipline subfields or more practitioner-oriented journals with low referencing patterns would probably have higher self-citation rates.

Cline (1982, 223) found that the journal self-citation rate in *C&RL* ranged from 7.64% to 11.17%. Metz (1989, 44) noted that ten years later the self-citation rate in *C&RL* had not changed—it remained 11.6% in 1980–84 and 10.6% in 1985–88. Therefore:

Hypothesis 9: Price's Index will be between 42% and 50%.

Hypothesis 10: Self-citation rate for *LRTS* will be approximately 11%.

Methodology

The entire run of *LRTS* was examined ranging from vol. 1, no. 1 (1957) to vol. 36, no. 4 (1992). This encompassed 1,319 articles.

The following data were collected for each issue:

- Date
- Number and type of articles. Each article was classified into one of the following categories: historical research, technical research, review, commentary, miscellaneous article, obituary, editorial, section report, conference report, workshop report, award report, other association news, book review, letter, index, other
- Number of pages

Also, each feature-length article was described and its citations were characterized, using a second data sheet. The following data were collected for each feature-length article:

- The type of article, according to the following classification: historical research, research, review, commentary, technical
- Number of authors
- Area of interest. Each article was assigned to one or more sections of ALCTS, to a general topical category (technical services), or to the entire association (the article was a report of the activities of RTSD, for example). Some articles were assigned to more then one section. For example, an article about the cataloging of serials was assigned to both the Cataloging and Classification Section and the Serials Section categories.
- Number of citations
- Number of citations to journal articles
- Age of citations
- Number of citations to *LRTS* articles
- Number of citations to *Journal of Cataloging and Classification* articles
- Number of citations to *Serials Slants* articles
- Number of pages

Data were coded and entered into computer data files. SPSS/PC+ and later SPSS for Windows were used for analysis.

Results

Analysis of Issues

A total of 1,319 articles appeared in the first 35 volumes of *LRTS*, a total of 140 issues. Throughout the project we were curious as to whether the articles varied by subject matter. That is, would the literature of cataloging and classification differ from that of the other sections of ALCTS (Preservation, Reprography, Collection Development and Management, Acquisitions, and Serials)? In table 1 the distribution of articles according to these categories is shown. More than half (54.8%) of the articles were related to cataloging and classification.

Based on Cline's 1982 description of *C&RL*, our first hypothesis was that there would be a decrease in the number of feature-length articles over time. Figure 1 is a plot of the mean number of feature-

length articles per issue. Excluding the first nine volumes (1957–66) our hypothesis is supported. The number of feature-length articles decreases from a high of 15 in 1966 to 8.25 in 1991.

We also hypothesized a corresponding increase in the average page-length of articles over time (figure 2). The average length of articles increases over time from 5.68 to 11.42, supporting this hypothesis.

In our third hypothesis we predicted a decrease in the number of nonfeature-length articles (obituaries, editorials, ALCTS section reports, conference reports, workshop reports, award notices, ALCTS association news, and letters) per issue over time. The number of such items increased slightly, from approximately 4 in the early years of publication to approximately 6 in later years (figure 3). This hypothesis was not supported. However, the number of nonfeature-length items has decreased since the official approval of editorial policy excluding them in 1991.

Types of Articles

Because *LRTS* frequently appears on lists of core journals in LIS, based on examinations of core journals we hypothesized that between 10% and 32% of feature-length articles would report research results. Table 2 contains a distribution of articles by type: 21.8% of all articles report research, confirming the hypothesis. *LRTS* falls in the middle of the range for all core LIS journals, which could be attributed to the large amount of nonresearch material that has appeared in *LRTS*. However, our measure shows virtually no change from Huang (1967), who found 21.3% in the *JCC* and early volumes of *LRTS*, and is consistent with Carter and Kascus' exami-

TABLE 1

Topical Distribution of Articles

	N	%*
Acquisitions	147	11.1
Cataloging & Classification	723	54.8
Collection Development & Management	120	9.0
Preservation	51	3.8
Reprography	105	7.9
Serials	130	9.8

*Totals do not equal 100% because of assignment of some articles to more than one category.

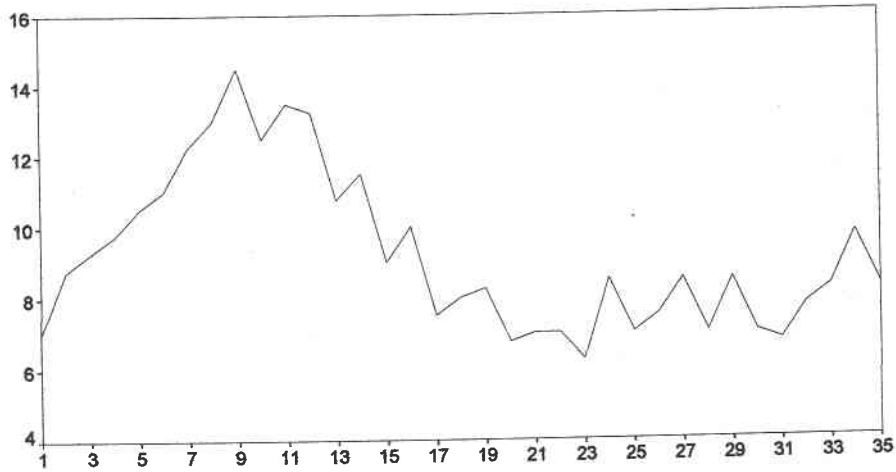

Figure 1. Number of Articles per Issue.

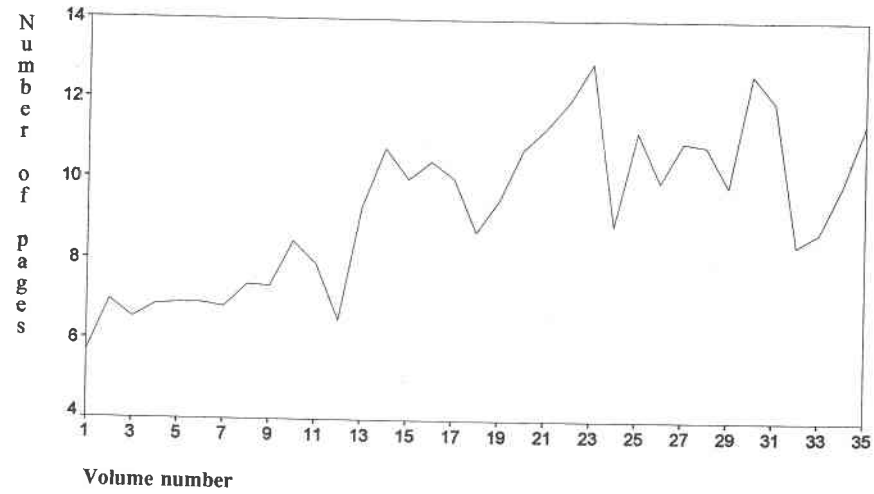

Figure 2. Length of Article.

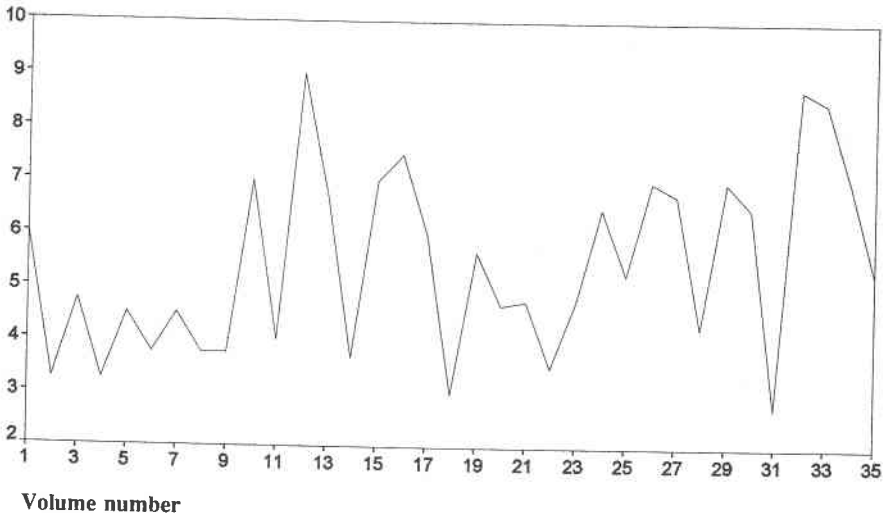

Figure 3. Number of Nonfeature Items per Issue.

nation of *CCQ* (1991), in which they found 21.5%. *CCQ* is a journal devoted to cataloging and classification. As we noted above, cataloging and classification have accounted for the majority of all contributions to *LRTS*.

We were curious about whether the proportion of research articles varied by subject matter. Table 3 contains a cross-tabulation of types of article (research, technical, etc.) by broad subject area. The proportion of research did, in fact, vary across the areas of interest. The proportion of research articles ranged from a low of 14.9% for reprography to a high of 31.4% for collection development. Cataloging and classification contained 22.8% research articles, although over half (53.7%) of all research articles published in *LRTS* were on this topic. We expected a greater range of values for the mean scores of the non-cataloging and classification articles

given the smaller number of articles that appear in these categories.

Peritz (1980, 254) had found that the proportion of research increased greatly over time in all of the core LIS journals. Figure 4 is a plot of the proportion of research per volume of *LRTS*. Like the core journals described by Peritz, the proportion has increased over time from approximately 15% in volume 1 (1957) to slightly more than 60% in volume 35 (1991).

Similarly, we wondered whether this pattern of growth in the proportion of research over time would be mirrored among the various areas of interest. This distribution is given in figure 5. Research accounted for approximately 15% of articles in each area of interest for the first twenty volumes of publication. A marked increase in the proportion of cataloging and classification research articles is sustained since that period. A corresponding increase in the proportion for collection management articles is noted. The increase in collection management began five years after the increase for cataloging and classification, but recently has surpassed it.

TABLE 2

TYPE OF ARTICLE

	N	%
Research	287	21.8
Technical	114	8.6
Review	190	14.4
Commentary	702	53.2
Other	26	2.0
Total	1,319	100.0

CITATIONS PER ARTICLE

Relying on earlier published studies of the literature of LIS we found that in general, journal articles in LIS fall into the range that Price would have called scholarly, that is, more than ten citations per article.

TABLE 3

TYPE OF ARTICLE BY SECTION

Category: Count / Row %	Research	Technical	Review	Commentary	Other	Row Total
Cat. & Class.	153	69	60	386	3	671
	22.8	10.3	8.9	57.5	0.4	52.1
Pres.	8	7	8	12	—	35
	22.9	20.0	22.9	34.3	—	2.7
Repr.	15	11	32	41	2	101
	14.9	10.9	31.7	40.6	2.0	7.8
Acq.	29	8	16	63	4	120
	24.2	6.7	13.3	52.5	3.3	9.3
Coll. Dev. Mgt.	37	2	19	56	4	118
	31.4	1.7	16.1	47.5	3.4	9.2
Serials	21	11	33	64	1	130
	16.2	8.5	25.4	49.2	0.8	10.1
Other	22	6	18	56	10	112
	19.6	5.4	16.1	50.0	8.9	8.7
ColumnTotal	285	114	186	678	24	1,287
	22.1	8.9	14.5	52.7	1.9	100.0

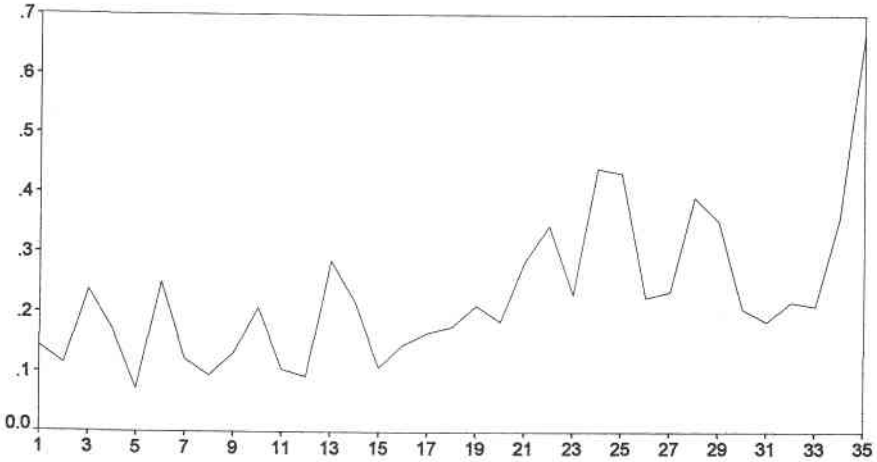

Figure 4. Proportion of Research Articles.

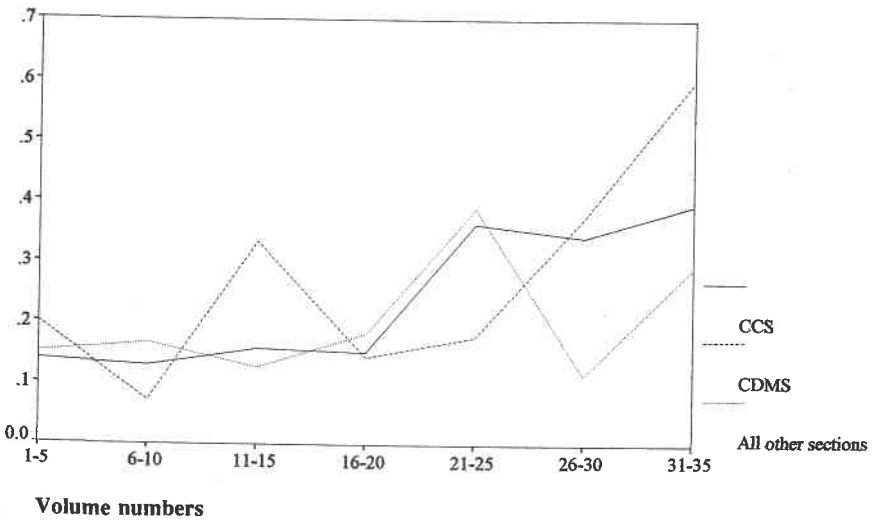

Figure 5. Proportion of Research by Section.

Specifically relying on earlier research, we were able to hypothesize that *LRTS* articles would contain between 11 and 24 citations per article.

Table 4 contains the mean numbers of citations per article across the various areas of interest. Overall there was a mean of 17.8 citations per article. However, the inclusion of review articles that contain a large number of citations artificially inflates this figure. The mean was 8.6 citations when review articles were excluded from the analysis. Research articles have a mean of 12.7 citations. Almost a third of all articles (30.3%) contained no citations, and 63.8% of all articles contained fewer than ten citations (this is 48% of all articles with citations). These results are consistent with Windsor and Windsor (1973) and Frost (1989). Figure 6 is a plot of these

TABLE 4

MEAN NUMBER OF CITATIONS PER ARTICLE

	All Articles			Nonreview Articles			Research Articles		
	Mean	Std. Dev.	*N*	Mean	Std. Dev.	*N*	Mean	Std. Dev.	*N*
Cat. & Class.	15.4	31.4	671	9.4	14.9	611	14.4	18.6	153
Pres.	40.7	65.5	35	14.6	23.9	27	24.9	36.9	8
Repr.	34.7	56.2	101	7.7	11.4	69	4.4	5.8	15
Acq.	9.8	17.1	120	6.3	11.9	104	7.7	12.3	29
Col. Dev.	27.9	50.0	118	11.0	14.6	99	16.4	19.0	37
Ser.	15.4	27.7	130	5.6	7.7	97	4.9	6.0	21
Other	10.6	18.6	112	4.8	8.1	94	9.5	11.6	22
Total	17.8	36.0	1,287	8.6	13.8	1,101	12.7	17.7	285

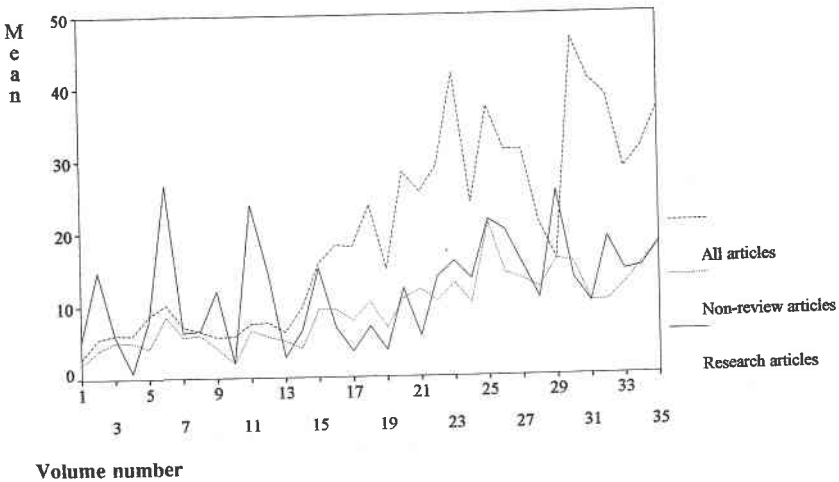

Figure 6. Mean Number of Citations per Article.

means over time. There is an increase in the number of citations per article over the lifespan of the journal, which is consistent with earlier findings. Generally, nonreview articles and research articles sustain a minimum of 11 citations per article starting approximately with volume 20. Thus, the hypothesis is supported only for recent years (since 1978).

The mean number of citations for the nonreview and research article categories for each section of interest is given in table 4. The mean number of citations for nonreview articles ranged from 5.6 for serials to 14.6 for preservation. The mean number of citations per research article ranged from 4.4 citations for reprography to 24.9 citations for preservation. The high number of citations for preservation articles is attributable to the fact that only 8 research articles were published in this category, one with 79 citations and another with 89. While the mean number of citations is a measure of scholarliness, it is also a function of other variables. As noted above, the mean number of citations increases over time; thus the high number of citations for preservation articles might be due to the fact that most were published in the last ten years.

Bibliographic Format of Works Cited

Based upon prior research we hypothesized that at least 44% of the citations in *LRTS* would be to journal articles. Table 5 contains the proportions of citations to journal articles in the various areas of interest. The mean number of citations to journal articles was 51.8% for all articles in *LRTS*, 47.9% for nonreview articles, and 47.2% for research articles. When the proportion of journal articles cited is arrayed over time we see no significant change (figure 7). Also, we note Frohmann's (1982) and Lehnus' (1974) discoveries that the majority of material cited in the literature of cataloging and classification is cataloging manuals and codes (i.e., nonperiodical literature). In table 5 we see that a lower proportion of citations to journal literature appears in cataloging and classification articles. Given that articles about cataloging and classification account for a large proportion of the content of *LRTS* (52.1%), it is possible that their presence negatively affects the total proportion.

Coauthorship

Prior research had found that the incidence of coauthorship in LIS periodicals ranged generally from 20% to 30% with an increase over time. However, in *LRTS* only 14.5% of the articles (and 14.3% of the nonreview articles) were the products of collaboration. When we isolate research articles (including historical pieces) the proportion of collaboration increases to 24%. Multiple authorship is a recent phenomenon in *LRTS*; the last 15 volumes of *LRTS* have a higher incidence of multiple authorship (see figure 8). *LRTS* may appear to have a lower rate of collaborative articles than expected because of its long period of publication. That is, other studies of multiple authorship investigated only publications from the last fifteen years. The growth in the incidence of multiple authorship in *LRTS* also points to the fact that all types of articles are increasingly likely to be the product of collaboration. But the rate of multiple authorship also is concomitant with the increasing proportion of research articles published in *LRTS*—this type of article is more likely to be collaborative than other types of articles. Table 6 contains the distribution of collaboration across the areas of interest.

Price's Index

Price's Index (PI), or the percentage of citations to literature that is five or fewer

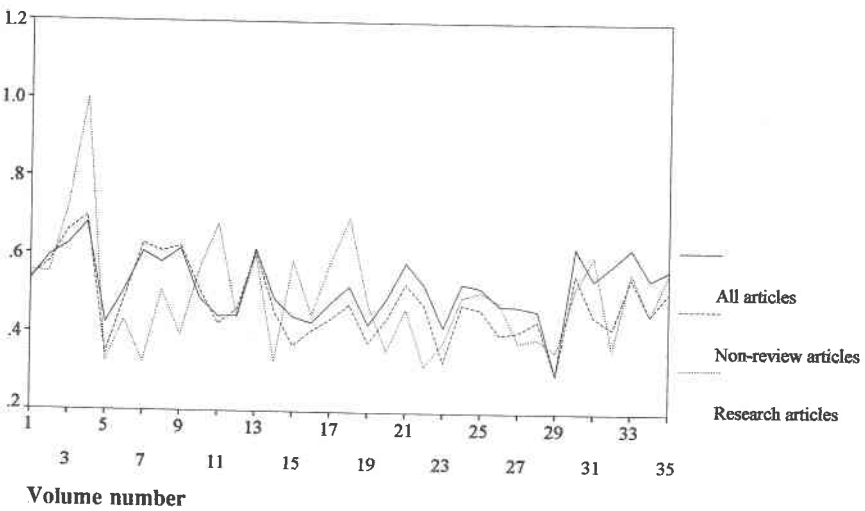

Figure 7. Proportion of Citations to Journal Articles.

TABLE 5

PROPORTION OF CITATIONS TO JOURNALS BY SECTION

	All Articles (%)	Nonreview Articles (%)	Research Articles (%)
Acq.	57.1	52.2	55.6
Cat. & Class.	48.0	45.6	42.4
Coll. Dev.	54.4	49.4	43.4
Pres.	47.9	40.1	59.3
Repr.	59.8	49.2	47.6
Serials	55.9	52.9	59.4
Total	51.8	47.9	47.2

TABLE 6

PROPORTION OF COLLABORATIVE ARTICLES BY SECTION

	All Articles (%)	Nonreview Articles (%)	Research Articles (%)
Acq.	21.8	21.3	29.7
Cat.& Class.	12.7	12.7	21.7
Coll. Dev.	15.8	17.8	23.7
Pres.	19.6	21.4	40.0
Repr.	12.4	11.6	0.0
Serials	13.8	17.5	47.6
Total	14.5	14.3	24.0

years older than the citing article, has been used as a measure of the "hardness" of a scientific discipline. Smiraglia's (1984) investigation of the literature of bibliographic control found a PI of 50%, which dropped to 48% when review articles were removed from consideration. Thompson (1991, 440) indicated that PI for LIS literature was 42% for the five years she studied.

In our evaluation of *LRTS* we found an overall PI of 78% (table 7). We attribute this rather high figure to the presence of regular annual review articles. The PI drops to 59% when review articles are removed from consideration. If we look only at research articles, PI is 44%. Overall, these high PI figures would be taken as an indication of rapid obsolescence of knowledge in the subdisciplinary literatures that make up *LRTS*. Levels of PI this high would indicate that articles in *LRTS* are consistent with levels found in a hard science.

We also calculated PI separately for the

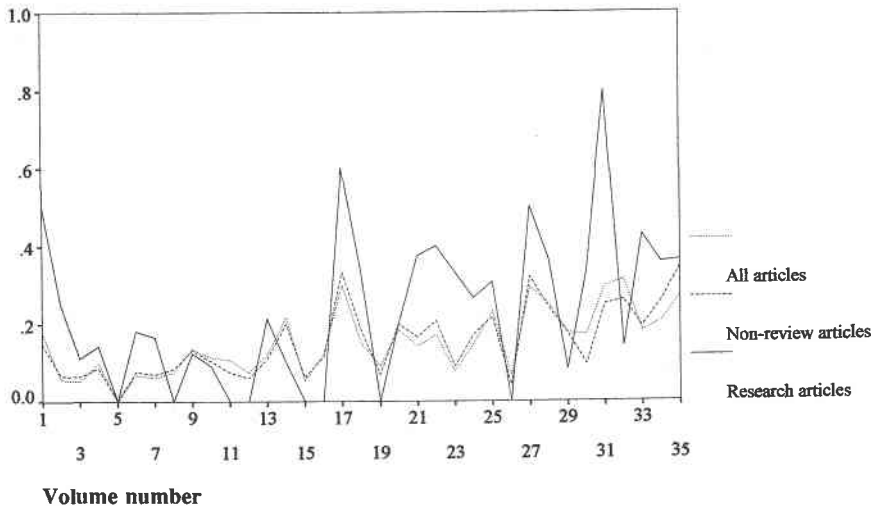

Figure 8. Proportion of Collaborative Articles.

TABLE 7

PROPORTION OF PRICE'S INDEX FOR EACH SECTION, BY TYPE OF ARTICLE

	All Articles (%)	Nonreview Articles (%)	Research Articles (%)
Acq.	85.6	60.7	56.9
Cat.& Class.	68.0	49.6	43.6
Coll. Dev.	82.4	49.0	41.6
Pres.	89.5	62.7	48.2
Repr.	94.3	61.4	60.3
Serials	87.5	56.9	58.2
Total	78.0	59.0	44.0

articles that were assigned to the standard topical categories to see whether the literature of cataloging differed from that of preservation, for instance. These figures appear in table 7. The higher percentages in the "all articles" category reflect greater proportions of review articles in those sections. For instance, most reprography articles are, in fact, the "year's work" annual review articles. Note that the research literature of cataloging and classification, collection management and development, and preservation—the core of ALCTS interests—resembles *LRTS* in general and falls within the hypothesized region derived from earlier examinations of periodical literature in bibliographic control and LIS in general. Figure 9 shows a general decline in PI for all categories of articles over time to levels that are consistent with the PI scores revealed by earlier research. PI for the last several years of *LRTS* is still characteristic of a hard science.

JOURNAL SELF-CITATION

The self-citation rate, the proportion of citations received by a journal that come from the journal itself, also indicates the degree of interaction with the journal network. Kim (1991, 26) indicated that highly specialized journals in discipline subfields or more practitioner-oriented journals had higher self-citation rates. There was little evidence of self-citation rates for journals in LIS, but based on Cline (1982, 223) and Metz (1989, 44) we expected that *LRTS*' self-citation rate would parallel that for *C&RL* and would be approximately 11%.

LRTS' self-citation rate was 12.2% for all articles, 13.1% when review articles were excluded, and 12.8% when only research articles were examined (see table 8). These figures are slightly (but probably not significantly) higher than expected.

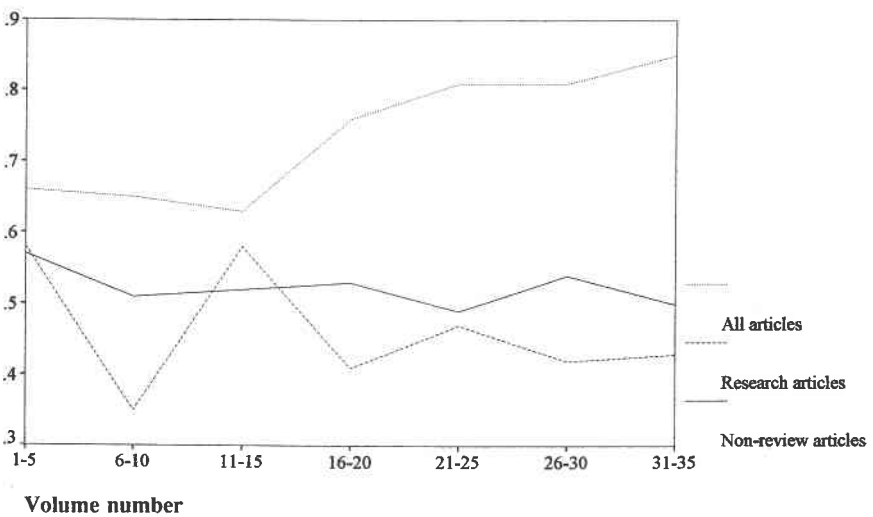

Figure 9. Price's Index by Type of Article.

There has been a decrease in the self-citation rate from an early period of highly variable self-citation (see figure 10). Recent years show some recovery to higher levels of self-citation. The self-citation rates for all articles and nonreview articles are very similar; the more highly variable rate for research articles probably reflects the smaller number of articles in this category. Likewise, the high self-citation rate in early years and again in recent times probably reflects the practitioner orientation of the literatures of reprography and preservation.

TABLE 8

PROPORTION OF CITATIONS TO *LRTS* FOR EACH SECTION, BY TYPE OF ARTICLE

	All Articles (%)	Nonreview Articles (%)	Research Articles (%)
Acq.	8.7	8.7	10.0
Cat.& Class.	7.6	8.1	8.1
Coll. Dev.	5.7	7.6	6.9
Pres.	3.8	6.9	3.4
Repr.	3.1	9.8	21.2
Serials	7.5	11.0	3.9
Total	6.7	8.5	8.9

IMMEDIACY INDEX, IMPACT FACTOR, ETC.

SSCI Journal Citation Reports is a source of a variety of citation data about the journals indexed in the *Social Sciences Citation Index*. Data for *LRTS* are incomplete—*JCR* data were available only for the years 1981–88 and 1990–91. The *impact factor* is the total number of citations given to a journal divided by the number of source items published in that journal during a given time period, which measures how frequently the average article in a journal has been cited in a given year. The *immediacy index* is the total number of citations received from journals published in the same year divided by the number of source items available for citation in a journal that year. Impact factors for journals in LIS range from 0 to 3 during the period under consideration. *C&RL*'s impact factor ranges from .587 to 1.156, increasing over time.

The immediacy index, impact factor, and citing half-life (median age of citations to *LRTS*) for *LRTS* are shown in table 9, and the figures for *LRTS* are lower than those for *C&RL*. This can be attributed to the high number of review articles that appear in *LRTS* and the high rate of self-citation in *LRTS*. That is, *LRTS* is the jour-

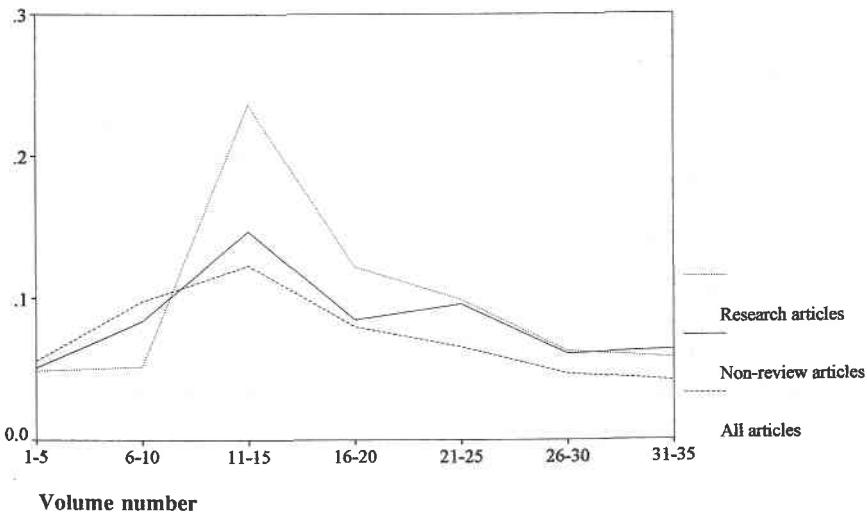

Figure 10. Proportion of Citations to *LRTS*.

TABLE 9

IMPACT FACTOR, IMMEDIACY INDEX, CITING HALF-LIFE*

Year	IF	II	CHL
1981	0.793	0.207	3.8
1982	0.793	0.000	1.8
1983	0.500	0.273	1.6
1984	0.469	0.000	2.0
1985	0.758	0.147	6.0
1986	1.302	0.258	2.1
1987	0.462	0.300	3.4
1988	0.776	0.000	1.6
1989	—	—	—
1990	0.644	0.026	1.8
1991	0.814	0.194	1.8

SSCI JCR 1981–88.

nal most cited by articles in *LRTS*—a quarter of all *LRTS* articles are year's work review articles—which tends to inflate the impact factor. Because *LRTS* is cited by articles in *LRTS* more than by those in any other journal (again due to the large number of review articles) the immediacy index will be deflated. The presence of review articles also lowers the citing half-life.

DISCUSSION

As Thompson noted (1991, 440):

> When Price's three norms for scientific literature are applied to library and information science, the discipline does not meet the criteria for being considered a "hard" science, but is more accurately a "medium" science. When the two subsets of library science literature and information science literature are compared, however, information science consistently shows a greater tendency toward "hard" science than does library science.

Overall we observed a maturation in *LRTS*, similar to that reported by other researchers in LIS (most notably Cline 1982). Like Thompson we find that *LRTS* represents a literature that meets the criteria for a medium science, but one that shows a continuing maturation toward a hard science. The number of feature articles has decreased, while the length of feature articles has increased, which is consistent with the development of a scholarly communication tool. A drop in the amount of nonfeature-length material was noted but is a recent change in course. One possible reason for the absence of change in this is the growth of the association. As sections were added and activities increased, more announcements and reports were generated. We had anticipated a decrease in the number of news items, but that hypothesis was not supported. The recent adoption of an editorial policy excluding all news items will, of course, change this.

Also, in many ways *LRTS* reflects the characteristics of the core LIS journals, which increasingly fall into a scholarly range. The proportion of articles that report research, the increase in that proportion over time, and the number of citations per article and its concomitant increase over time are consistent with core LIS journals. The proportion of citations to journal articles was higher than we expected. Together these factors show continued maturation not only of the orientation paradigms that make up ALCTS but also of LIS in general. We noted some variation in the proportion of research among the areas of interest, but not as much as had been expected. There were fewer collaborations than we expected, but their numbers have increased over time. All of these measures have shown more dramatic increase since volume 20, published in 1978.

PI, again, is consistent with scientific or scholarly publishing but is higher than for the core LIS journals. We think PI for *LRTS* is inflated by the presence of annual review articles. The wide variation in the mean numbers of citations per article across the areas of interest is further evidence for this. Some areas—notably reprography, preservation, and serials—generate few or no contributions to *LRTS* other than annual review articles. Likewise, self-citation is higher for *LRTS* than we had expected based on examinations of the core LIS journals. Finally, the immediacy index, impact factor, and citing half-life are lower than expected, but we

think this too can be attributed to the practitioner orientation in serials and reprography. The PI for research literature of cataloging and classification, collection management and development, and preservation—the core of ALCTS interests—fall within the hypothesized region derived from earlier examinations of periodical literature in bibliographic control and LIS in general.

In sum, *LRTS* by and large reflects the growth of a maturing, scholarly discipline surrounding the orientation paradigms that ALCTS exists to serve. We expect articles within *LRTS* to increasingly reflect the bibliometric characteristics of a hard science as the level of research in all areas increases.

Further Research

In general we have attempted here to equate research articles published in *LRTS* with the main body of research in library and information science. We have not attempted to measure the degree to which articles in *LRTS*, or for that matter in library and information science in general, mimic other scientific or humanistic literatures.

To some extent the topical results in this study point to characteristics of the literatures of the subdisciplines represented by librarians who belong to ALCTS. Our data correlate well with work by Frohmann (1982) and Carter and Kascus (1991) in cataloging and classification. It would be interesting to study the scatter of these literatures across periodicals in LIS. Also, it would be interesting to conduct further study of the individual literatures that are represented in *LRTS*. For instance, McCain has looked for core journal networks in the literature of genetics and has shown that genetics lacks a single unified core literature. Instead, it consists of a number of loosely linked research specialities, each with its own "core" journal set (1991, 311). It would be interesting to see whether one or more core journal sets are found in the literatures of the orientation paradigms operating within ALCTS.

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Notes on Operations

Acquisitions from Yugoslavia's Successor States

Michael Biggins

Collecting books and journals from the various regions of what once was Yugoslavia in the past few years has posed numerous challenges. Some difficulties have their parallels in the book trade of other Eastern European countries undergoing revolution and reform; others are the result of civil war. Research libraries committed to developing comprehensive Slavic and Eastern European collections have historically provided Yugoslav book suppliers with their core library clientele on this continent. Most collections owe their existence to the Public Law 480 Program (PL-480) for Yugoslavia, which lasted from 1967 through most of 1972 and liquidated part of Yugoslavia's debt to the United States by shipping copies of Yugoslav books and journals published during those years. A second factor supporting the growth of Yugoslav collections in the United States was the apparently pivotal role that Yugoslavia played in relations between the Soviet Bloc and the West from the 1950s through the 1970s. The present difficulties began in 1990, a year before federal Yugoslavia collapsed and several smaller states took its place. In late 1989 the Yugoslav federal government introduced a fiscal reform program intended to move the country toward a market economy, but which made exports of any kind, including books, astronomically expensive. The loss since 1991 of centralized suppliers covering the entire region of the Western Balkans has made the acquisitions process even more cumbersome, if not impossible, on both sides of the Atlantic. The article suggests new avenues that American libraries might use to cope with the current challenges.

For North American libraries intent on collecting books and journals from the various regions of what once was Yugoslavia, the past few years have posed numerous challenges, ranging from the predictable to the unique and unexpected. Some of these difficulties have their parallels in the book trade of other Eastern European countries undergoing revolution and reform; others are the result of civil war, a post-communist tragedy so far unique to the Balkans and some regions of the former Soviet Union. The present time of troubles began in 1990, one year before federal Yugoslavia collapsed and several smaller independent states—former Yugoslav federal republics—took its place.

Geographic terminology for regions in transformation is problematic, particularly in a discussion like this, which refers to both the old and new political entities. For

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simplicity's sake, Yugoslavia here refers only to the now-defunct federation of six republics and two autonomous republics that gave way in 1991–92 to the independent states of Bosnia and Herzegovina, Croatia, Macedonia, Serbia/Montenegro, and Slovenia. (Serbia/Montenegro still refers to itself officially as Yugoslavia.)

In North America, library acquisitions efforts for Yugoslav materials have traditionally been conducted within two basic frameworks: (1) as a component of broadly-based Eastern European research collections and (2) as part of metropolitan public libraries' efforts to provide popular reading material for significant local ethnic populations. A smattering of Yugoslav books, primarily in Serbo-Croatian, but also in Slovenian and Macedonian, can be found in large public libraries across the country from Boston to Seattle.

But it is the research libraries, and primarily those committed to developing comprehensive Slavic and East European collections, that have historically provided Yugoslav book suppliers with their core library clientele on this continent. While there are hundreds of stand-alone Russian research collections, Yugoslav collections are almost invariably maintained in conjunction with larger Slavic (and mostly Russian) collections. There are about two dozen strong research collections in the United States and Canada for the Yugoslav area. Most of them owe their existence to the Public Law 480 Program (PL-480) for Yugoslavia, which lasted from 1967 through most of 1972 and liquidated part of Yugoslavia's debt to the U.S. by shipping copies of Yugoslav books and journals published during those years initially to thirteen, but eventually to twenty-two, designated libraries in this country.

PL-480 could not have happened at a more propitious time for these libraries, many of which were still struggling to establish solid Slavic research collections. Most importantly, though, the plan coincided exactly with an unprecedented period of liberalization in Yugoslav society and a renaissance in the Yugoslav publishing industry. At its height, the program was supplying as many as 2,700 monographic titles to each participating library per year, all of them ostensibly selected for their potential research value (News of P.L. 480, 1972). By early 1972, however, the doors of opportunity had slammed shut again for Yugoslavia's intellectuals and political reformers, and so, perhaps by more than chance, did the PL-480 program. The remaining years of the 1970s were a relatively fallow period for Yugoslav publishing, which the twenty-odd newly strengthened South Slavic collections in this country were in a position to track with ease through renewed exchange and vendor relationships.

A second factor supporting the growth of Yugoslav collections in the United States was the apparently pivotal role that Yugoslavia played in relations between the Soviet Bloc and the West from the 1950s through the 1970s. A master gamesman, from 1945 to his death in 1980 Josip Broz Tito promoted the image of his country as a renegade communist state that it would benefit the West to court. Yugoslavia was deemed of strategic importance to U.S. interests, with government resources committed to strengthening the domestic intelligence pool on the Balkans. The incentive for research libraries to develop the corresponding collections remained high throughout this period.

With scarcely two dozen comprehensive collections in North America, however, supply for Yugoslav books and serials was never demand-driven, even in the most favorable times. The critical mass of clients needed to support a well-developed and competitive supply system never existed. This contrasts sharply with the situation for Russian publications, where ever since Sputnik demand has been high and the acquisitions options diverse, if sometimes chaotic. Collectively, North America's Yugoslav immigrant communities have managed to support the existence of a few bookstores in cities such as Cleveland and Toronto, each specializing in either Serbian or Croatian books. Libraries have, of course, been able to draw on these sources, but generally for no more than occasional titles to fill lacunae incurred in the larger collection-building process.

For Yugoslav as for most other Eastern

European materials, that process has traditionally taken the form of interlibrary exchanges of books and serials. In the case of Yugoslavia, it has also involved relationships between American libraries and a few book vendors in the cultural centers of Belgrade and Zagreb that were equipped to do business directly with Western clients. The freedom these vendors had to trade with American libraries was for a long time unique in the East European book market; similar vendor relationships for other countries in the region—Poland, the Czech Republic, and Russia, for instance—have become possible only since the demise of Communist rule.

These comfortable relationships were threatened when in late 1989 the Yugoslav federal government introduced a fiscal reform program intended to move the country toward a market economy. The first signs of problems appeared in 1990 as prices for Serbian and Croatian monographs supplied by the main Yugoslav vendors began gradually creeping upward. The balance sheets that Yugoslav library exchange partners supplied with their shipments of books showed the same unsettling trend. Where average prices per volume had previously hovered in the six- to ten-dollar range (reasonable considering the frequently inferior quality of the books as physical artifacts and the distressed state of the nation's economy), by the end of the year prices were being charged that were consistently and inexplicably three to four times as high. By late 1990, representatives of the British firm Collets, then a major supplier of Eastern European publications, were noting with dismay that "with the overvalued dinar, Yugoslav books are [now] even more expensive than those from the West" (Skelley and Waring 1991, 445). While libraries could compensate somewhat by adjusting their monographic intake downward almost immediately, the precipitous inflation had a devastating effect on allocations for established serials subscriptions.

Initially, one felt obliged—if reluctant—to make excuses for the irregularities. Like Poland and Czechoslovakia, Yugoslavia was supposedly in the throes of genuine economic reform and privatization, subjecting itself to austerity measures now for the sake of a prosperous future. Outside advisors, including American experts, had been retained to draft the blueprints. Wages had been frozen, as had the dinar/dollar exchange rate and the domestic money supply; but prices were supposed to be set loose in search of their natural equilibrium. Not until that equilibrium had been reached would a true market economy begin to form. The success of the reform depended on the government's strict adherence to these ground rules. The plan's architects had foreseen a sudden, sharp rise in the cost of living as a necessary early step in the process, but not the prolonged, rampant inflation that ensued. Only in the course of 1991 did it become evident that the reform plan had been subverted when the National Bank of Serbia began issuing billions of unauthorized dinars to pay for Serbia's social welfare programs (No Such Thing 1991). The glut of currency forced both prices and wages up, and yet the government insisted on enforcing the frozen dinar/dollar exchange rate, which made exports of any kind, including books, astronomically expensive (for background see Žižmond, 1992).

The effects of Yugoslavia's failed attempt at reform could be felt in the book market throughout 1991 and into 1992. The Belgrade vendor Jugoslovenska knjiga advertised its paperbacks at $20 and $30 per volume (and hardbacks at $50 to $80) and invoiced the daily newspapers it supplied at anywhere up to $800 per year's subscription, often retroactively. (U.S.-based suppliers of Russian dailies, by contrast, market them at an average of $200 per title per year.) The Yugoslav national bibliography (*Bibliografija Jugoslavije*), a mimeographed and stapled production issued in several subseries, was eventually marketed at over $3,000 per year. Literary monthlies and philological quarterlies were invoiced at up to $200. None of these subscription prices assumed anything like airmail delivery; all were shipped by surface mail. At the time, the disruption in Yugoslav procurement was one of the most troublesome issues for Slavic acquisitions librarians, second only to the simultaneous

but much more massive crisis brought about by the collapse in 1991 of centralized distribution for Russian and other Soviet publications.

The time may come soon when acquisitions from most regions of Eastern Europe can be conducted primarily on the basis of direct purchasing through in-country vendors. While this may also be true of the more fortunate, northernmost Yugoslav successor states Croatia and Slovenia, it is unlikely to hold soon for the southern successors-Serbia/Montenegro and Macedonia, not to mention Bosnia and Herzegovina. While the incontravertible reality of geography will keep them physically contiguous forever, each of the successor states now faces a reality all its own and steers a unique economic course.

Slovenia

The first republic to declare its independence from Yugoslavia (in June 1991), the government and people of Slovenia were at odds with Belgrade for years before the larger country's disintegration, primarily out of dissatisfaction with the federal government's perennial practice of skimming Slovenia's comparative wealth and transferring it to the less developed southern republics. Slovenes also commonly suspected Belgrade of harboring long-term plans to assimilate them into the Serbo-Croatian-speaking majority. Research collections aspiring to document the gradual process of Yugoslavia's collapse would have to focus heavily on Slovenian materials beginning in 1982—the year of the founding of the opposition journal Nova revija—through the iconoclastic years of 1988–1991, when this next-to-smallest republic successfully challenged the full might of the federal government.

With a population of less than two million, the Republic of Slovenia now looks toward eventual incorporation into the European Community as a way of replacing the large, unimpeded Yugoslav market that it lost in 1991. Within the unitary Yugoslav market that existed until 1991, several major Slovenian publishers operated subsidiaries in Zagreb and elsewhere that issued books in Serbo-Croatian, appealing to a much larger readership than the home market alone could ever provide. For obvious reasons, though, the Slovenian book trade will probably never be in a position to venture beyond the country's borders in any significant way. In comparative terms, then, it is something like having a full-fledged publishing industry in place to meet the needs of the population of Dallas-Ft. Worth, and in a language totally unknown to the rest of the world. There are upwards of twenty publishers in Slovenia today, and the annual output of titles is estimated at 2,000 (Lottman 1992). Press runs are extremely low by American standards, with 100 to 300 copies at the low end (typically for belles lettres), 3,000 a very healthy run for titles with mass appeal, and 8,000 or more not uncommon for school textbooks.

Lilliputian circumstances such as these, combined with the need to pay a European wage to the participants in each publishing venture—authors, editorial staff, and printers, primarily—have made Slovenian books the most expensive in Eastern Europe today. Several additional factors make acquiring them particularly challenging. As Slovenia's economy has undergone privatization, some of the country's chief book vendors and publishers have been bought out by larger firms that understandably view the book trade as only a subsidiary business. Seeking the widest possible profit margin in all their transactions, the controlling firms understandably have eliminated money-losing activities. Because the export of Slovenian books has always been an extremely low-volume and labor-intensive venture, these vendors have now curtailed or discontinued supply services to many of their American clients.

The very success of Slovenia's capitalist transformation has jeopardized library exchanges as an alternative to purchase through in-country vendors. Operating with a stable, convertible currency and a low rate of inflation, libraries in Slovenia may now find it more cost-effective to acquire foreign publications by direct purchase than to continue complex barter arrangements for which they would have to pay the same amount in any case. One of the few benefits that American exchange

partners can still offer these libraries is to supply them with their own institutions' publications at a discount—a benefit which, together with a measure of good will, may help keep these exchanges alive for some time to come. If not, the handful of American research libraries that collect in this area will need to identify innovative ways of acquiring Slovenian trade publications.

Of all former Yugoslav republics, Slovenia offers the most comprehensive bibliographic control. A national bibliography (*Slovenska bibliografija,* issued four times annually in three series) is compiled and published by the National and University Library. The Union of Slovene Publishers and Booksellers issues a prepublication journal, *Knjiga,* four to six times per year; it includes short reviews and monthly citation lists of forthcoming books.

Main sources for Slovenia and their addresses are:

- Drzavna založba Slovenije (vendor), Šmartinska 152/Hala XII, 61000 Ljubljana, Slovenia; fax: 386 61 440-621.
- Mladinska knjiga (vendor), Slovenska 29, 61000 Ljubljana, Slovenia; fax: 386 61 225-936.
- Narodna in univerzitetna knjižnica (exchange), Turjaška 1, 61001 Ljubljana, Slovenia; fax: 386 61 150-134; e-mail: zavrlan@ ext.uni-mb.si.
- Slavica Verlag Dr. Anton Kovač (vendor), Elisabethstr. 22, D-8000 Munich, Germany.

Croatia

If Slovenia has done an exemplary job of weathering the collapse of Yugoslavia and the transformation of its economy and government, Croatia has mostly just muddled through on all fronts. The cost of the alternately hot and cold war it has waged with Serbia on its southern doorstep and the fact that it was never as solid economically as its bantam-weight neighbor to the northwest are explanation enough for this disparity. Following Slovenia's lead, Croatia introduced its own currency in 1992; however, the Croatian economy has continously suffered high rates of inflation reminiscent of the period before Yugoslavia's 1989 reform. Despite the shambling economy, the prices of new books tend to be surprisingly high, and books themselves are viewed as a luxury. There is an official exchange rate established between Croatia's currency and other world currencies, which floats—generally upward—to compensate for the Croatian rate of inflation. As a consequence, books have a tendency to become more affordable, both on the Croatian local market and abroad, some time after publication.

The fragile state of the economy and the fact that even the new Croatian dinar is in a perpetual state of depreciation make the need for hard currency reserves urgent. Because individual companies can bank their stable foreign currency earnings as such, there is much incentive to export. Consequently, in-country vendors have lately proven to be the most reliable source for books and journals. Since 1990, at least two new vendors specializing in book and journal exporting have appeared in Zagreb, in addition to Mladost, the standby Croatian vendor of the past two decades, and the resulting competition has made this market even more favorable to buyers.

Library book exchanges with Croatia, on the other hand, have dwindled since independence. Even before 1991, the principal Croatian exchange partners were having to supply their American partners with an average of 2.5 books for every one they received, in order to maintain parity in value (Vukovic 1986, 458). In the 1980s the National and University Library in Zagreb, the premier Croatian exchange source for monographs, sent just 1,000 books per year to all of its exchange partners combined; many of these were surplus depository copies and duplicates, while some were purchased by the library expressly for purposes of exchange. Even at that volume of exchange, the library's resources were being strained. With diminished state support in postcommunist Croatia, the traditional monograph exchange partners—the National Library and the Library of the Yugoslav (now Croatian) Academy of Sciences and Arts—are able to offer even fewer trade monographs on exchange.

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The picture remains stable, however, for interinstitutional exchanges of journals and books. Research institutes, museums, libraries, and universities, including the Croatian Academy and the National Library, are still in a position to supply their own publications in exchange for those of American partners. These exchanges are weighted heavily in favor of serial publications, including scholarly journals, institutions' periodic reports, and the national bibliographies.

The publishers of many Croatian serials, particularly those titles thought to be in special demand abroad, still adhere to the pre-1991 Yugoslav practice of pricing titles according to a double standard, offering them at one price to domestic subscribers and at a price several times higher to subscribers abroad. Vendors are obliged to observe this practice, and indeed profit from it. A less costly alternative for North American libraries is to seek those serials as exchange materials that Croatian partners can purchase at domestic rates. The challenge implicit here, given current conditions in Croatia unfavorable to exchanges, is to make the cash outlay for those serial titles attractive to the partners involved.

Bibliographic control for Croatian books and journals remains passable; the national bibliography (*Hrvatska bibliografija*), issued in three series to cover books, articles in serials, and serial titles, is the only comprehensive register of the country's output of publications, now that Croatia (and Slovenia, Bosnia, and Macedonia) has been excluded from the once-comprehensive *Bibliografija Jugoslavije*. It lags about one year behind the actual publication of the titles it cites, but many of these remain available even that late. There is no vehicle for prepublication notices. Selectors must depend on vendor and exchange lists, or on book reviews and lists of books received that are published in specialist journals (e.g., for history, literature, economics) or in general-interest weekly magazines. Annual monograph output in this country of 4.5 million runs at about 1,700, lower than in Slovenia.

Main sources for Croatia, with addresses, include:

- Mladost Export-Import (vendor), P.f. 1024, 41000 Zagreb, Croatia; fax: 385-41 434-878.
- Book Trade & Services—Knjiga trgovina (vendor), Kaptol 25, 41000 Zagreb, Croatia; fax: 385 41 271-925.
- Nacionalna i sveučilišna biblioteka (exchange), Maruličev trg 21, 41001 Zagreb, Croatia.

SERBIA/MONTENEGRO

Serbia/Montenegro is by far the largest Yugoslav successor state, with a combined population of 10 million. Although technically subject to an economic blockade imposed by the United Nations in May 1992, vendors and libraries there are still free to ship books and journals abroad in any quantity. Indeed, one of the small incongruities of the ongoing Balkan crisis, as far as libraries are concerned, is that of all regions of former Yugoslavia, the book supply from Serbia is among the least impeded.

The effects of the embargo on Serbia, coupled with its own death-defying economic policies, have been devastating. During the autumn months of 1993, inflation was estimated at over 2,000% per month. In November, predictions of December's inflation rate ran to 10,000%. The Serbian dinar lost value literally by the hour. A resulting irony is that despite the Germanophobia of official Serbian propaganda, the de facto currency there today is the German mark.

Both purchase and exchange arrangements with Serbia continue to function. Some vendors have devised legal alternatives to receiving payments that would now be prohibited by U.N. sanctions. One has made arrangements with Kubon & Sagner in Munich to act as a holding agent until such time as the embargo is lifted. Others have similar agreements with business partners in the United States, who apply the payments collected in this way toward the purchase of Western publications the Serbian companies wish to import. Serbian libraries offering books and serials on exchange continue to ship materials but are constrained to accrue only exchange credits with their foreign partners in return;

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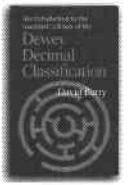

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still, the lack of an incoming flow of books does not seem to deter their efforts, which are probably supported by government subsidies. One general complaint among U.S. libraries has been that Serbian suppliers, both vendors and exchange partners, greatly overestimate the dollar value of the materials they send, which is, perhaps, a legacy of the Yugoslav federal government's ill-fated reforms of 1989–1991. The only bibliographic control for Serbian materials is provided by *Bibliografija Jugoslavije,* the national bibliography.

Sources for Serbia/Montengro are:

- Proex (formerly Prosveta; vendor), Terazije 16/1, 11000 Beograd, Serbia; fax: 381 11 641-052
- Initial, Ltd. (vendor), Knez Mihaila 35, 11000 Beograd, Serbia
- Jugoslovenska knjiga (vendor), Trg Republike 5/8, 11000 Beograd, Serbia; fax 381 11 625-970
- Univerzitetska biblioteka Svetozar Marković (exchange), Bulevar Reveolucije 71, 11000 Belgrade, Serbia.
- Narodna biblioteka Srbije (exchange), Skerlićeva 1, 11000 Beograd, Serbia

Other Regions

Of the remaining two successor states, Macedonia and Bosnia, one is still engaged in a fight for full diplomatic recognition, while the other struggles simply to survive. Since 1945 Macedonia (population 1,900,000) has had a full-fledged publishing industry comparable to those of other Yugoslav republics. It was, in fact, Belgrade's policy to affirm Macedonia's cultural and linguistic uniqueness in every way possible, in order to undercut any residual claims to Macedonian territory that Bulgaria or Greece may have harbored. Now that Macedonia claims sovereign status, it finds its main trade route blocked on the north and south by hostile neighbors (Serbia and Greece), both of whom regularly issue pronouncements denying the existence of a Macedonian identity. Postal routes leading into and out of the country via Servia are often short-circuited, making communication with book suppliers there virtually impossible. The main exchange partner in Skopje, the capital, is reportedly so short of funds that it cannot afford the postage for shipping books; however, long-established exchanges of serials do continue to function. A once-active Macedonian verndor, Kultura in Skopje, has similarly shown no signs recently that it is still able to export.

Conclusion

The loss of centralized suppliers covering the entire region of the Western Balkans has made the acquisitions process cumbersome, if not impossible, on both sides of the Atlantic. The two or three central vendors of pre-1991 Yugoslavia, located in Zagreb and Belgrade, offered comprehensive coverage for the more than 11,000 monographs and 1,700 serials published in Yugoslavia each year, regardless of the republic of provenance. Now it is rare for a supplier to offer materials published outside the borders of a single republic.

Since the onset of the Yugoslav war in 1991, annual book production for all regions combined has been down by thousands of titles. The number of books that American libraries will want to collect will be only around one-tenth of the total output. Once the generic technical manuals, popular literature, translations of foreign authors into South Slavic languages, and other out-of-scope materials are struck from the running, it is a fair estimate that each republic produces some 200–300 titles annually that are of interest to area specialists. Particularly in the case of Serbia and Croatia, many of these 300 titles lately have been reprints of long-suppressed nationalist works written before 1945, of which American libraries may find they already hold serviceable first editions. All of the former Yugoslav republics passed quickly through the post-communist phase in which publishing seemed a single, great settling of accounts with the post-1945 regime—Slovenia throughout the 1980s, and Croatia and Serbia from 1989 to 1991. The injustices of the communist era have since given way to an older obsession made new by the wars in Bosnia and Croatia. Much of what is published there today in some way addresses two

rudimentary questions: Who are we? How do we survive?

Not surprisingly, library exchange partners in these countries are mostly interested in acquiring books and serials that deal specifically with their part of the world, i.e., with Southeastern Europe. Even the national libraries in Zagreb, Ljubljana, and Belgrade lack the broad sweep of Western European and American research collections. Tailoring exchange offerings to such parochial needs, while still providing favorable terms of exchange, will be a major challenge in maintaining these interlibrary relations.

Another, still more fundamental challenge is to ensure that exchange partners have the means to continue trading. At present some exchange programs may be stalling for want of as simple a resource as postage. American partners must identify these needs and make innovative arrangements to meet them. Appeals directed to each country's ministry of culture may be a start, arguing that it is very much in their national interest to lend greater support to their principal libraries' exchange programs. More ambitiously, American libraries could investigate the possibility of establishing a scaled-back version of the PL-480 program, which might, for instance, cover Balkan partners' incidental exchange expenses.

One question of critical importance for the long-term development of existing Yugoslav (or, for lack of a better, more up-to-date term, West South Slavic) collections is whether Slavic collecting and the curriculum of Slavic programs more generally will continue to be driven by the bottom line of the national interest. If so, and Southeastern Europe remains beyond the pale of post-Cold War strategic interests, collecting patterns for this area are bound to be affected.

Currently, at least eighteen research libraries across the continent make an effort to continue developing their collections in the former Yugoslav area. Of these, about eight strive to maintain their collections at the most comprehensive levels (Biggins 1992). They will carry the burden of documenting this agonizing period in the Balkans' history.

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Where Has All the Copy Gone? Latin American Imprints in the RLIN Database

Cecilia S. Sercan

The change from cataloging on a utility to doing local processing has had a major impact on the availability of copy for Latin American materials. Searching RLIN for copy of three months' receipts showed that the vast majority, 72%, did not have any copy at all; Library of Congress fully cataloged and in-process materials totaled 16%. The percentage of items with fully cataloged copy was 9%. By allowing the current receipts to age for four weeks, the percentages improved, with only 55% having no copy at all. LC copy, both cataloged and queued, totaled 23%. An additional four weeks changed these numbers to 43% with no copy at all, 39% with LC fully cataloged or in-process records.

Academic libraries have relied on one another for cataloging copy, available on one of the major national utilities since the 1970s, to facilitate the processing of foreign language material.

We decided to check the availability of copy for current Latin American materials. For most Latin American countries, Cornell has blanket order agreements, from which materials arrive with regularity. From December 1, 1992, through February 28, 1993, printouts were made for all Latin American blanket order titles received. The books themselves continued on their usual path, the great majority going directly to storage, but some were sent directly to the Catalog Department either because of availability of LC copy or because the bibliographer had preselected them on the basis of their importance. A systematic search of all the materials was made in the RLIN database.

This three-month period was, unfortunately, not typical of the receipts of Latin American materials. The reason for this was a local decision to change the dealer who supplied our blanket order for Argentina, a country with a very vigorous publishing industry, that resulted in a decline in the number of imprints received from that country. For example, our receipts from Argentina during 1990 numbered 891 titles; a three-month quota, therefore, should have been approximately 225, not 13. Argentine imprints also are extensively collected and processed; witness the percentage of cataloging copy found in Mark Grover's study (1991). Of the 298 items in his study, 30 were Argentine imprints; of those 30, half had copy on the first search.

In this three-month period, 783 items were received from our blanket order dealers. The books came from fourteen countries, plus an additional locale

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TABLE 1

STATISTICS BY IMPRINT

Country	Pre-1988	1988	1989	1990	1991	1992	1993	n.d.	Total
Argentina	0	0	0	1	2	9	0	1	13
Bolivia	0	3	9	4	20	58	0	3	97
Brazil	1	0	5	11	59	183	0	2	261
Chile	0	0	0	0	4	51	0	0	55
Colombia	0	2	1	3	29	53	0	3	91
Costa Rica	0	0	0	0	1	9	0	0	10
Ecuador	0	1	0	1	4	25	0	0	31
El Salvador	0	0	0	1	0	0	0	0	1
Guatemala	0	0	0	0	11	17	0	0	28
Mexico	1	0	0	1	7	31	0	1	41
Nicaragua	0	0	0	1	1	0	0	0	2
Peru	0	0	0	2	4	48	0	0	54
Unknown	0	0	0	0	5	5	0	2	12
Uruguay	0	0	0	0	0	13	0	0	13
Venezuela	0	0	0	3	14	57	0	0	74
Total	2	6	15	28	161	559	0	12	783
Percentage	0.3	0.8	1.9	3.6	20.6	71.4	0.0	1.5	100.0

unknown. The dates of publication varied, as can be seen in table 1, from two items published before 1988, to no items from 1993, to twelve items that lacked publication dates. The vast majority of the items in the sample were 1992 imprints, 559, or 71%; the second most frequent year for imprints was 1991, with 161, or 20%.

The items were searched in the RLIN database the week they were received in the library, then searched again four weeks later and again four weeks after that. The result is that weekly searches were made of new items, with additional searches of materials once they had sat in the backlog for the additional four-week period.

The purpose of the study was to find copy that would expedite the processing of these new materials. The categories of copy were as follows: full LC copy; LC in-process; member, with LC class number in the 090 field; member, no LC class number; member, acquisitions record; full cataloging copy for another edition; no hit.

All items were searched at least once; the results of this search can be seen in table 2. The percentage of hits on the first search confirmed the validity of our decision to shelve these items. Of 783, the original search came up with no copy found for 560, or 72% of the sample. There was no usable copy for 621 titles, an incredible 79%. The largest number after this was for the Library of Congress in-process records, 88, or 11%. If we add the number that the Library of Congress had already cataloged, 34, to this number, we come up with a very respectable 122 titles, or 16%. When we total the number of items that had cataloged copy on the first pass, we come up with 74, or 9%. Nearly half (34), the full LC, would have been found by searching the LC resource file we have on our local system. The availability of 34 fully cataloged records, and 88 titles with an in-process designation, showing that the Library of Congress had acquired these items and assigned a priority level to

TABLE 2

FIRST SEARCH OF SAMPLE

	Full LC Copy	LC In-process	Member 090	Member no 090	Member Acq.	Nothing	Other Ed.	Total
12/4/92	8	9	3	1	4	39	1	65
12/13/92	2	3	1	2	3	44	0	55
12/22/92	5	15	1	0	4	56	2	83
1/6/93	1	7	1	0	3	66	4	82
1/8/93	0	0	1	0	1	5	0	7
1/16/93	10	27	2	2	6	67	1	115
1/29/93	5	17	7	1	22	122	4	178
2/5/93	0	2	2	0	4	16	0	24
2/11/93	1	4	0	1	5	115	2	128
2/21/93	2	2	0	0	7	22	1	34
2/26/93	0	2	0	0	2	8	0	12
Total	34	88	18	7	61	560	15	783
Percentage	4.3	11.2	2.3	.9	7.8	71.5	1.9	99.9

TABLE 3

SECOND SEARCH OF SAMPLE

	Full LC Copy	LC In-process	Member 090	Member no 090	Member Acq.	Nothing	Other Ed.	Total
12/4/92	9	14	6	6	1	29	0	65
12/13/92	2	4	1	3	3	42	0	55
12/22/92	5	15	6	4	6	46	1	83
1/6/93	3	8	2	1	18	47	3	82
1/8/93	0	0	1	0	4	2	0	7
1/16/93	11	28	2	1	15	56	2	115
1/29/93	6	30	12	0	23	103	4	178
Total	36	99	30	15	70	325	10	585
Percentage	6.2	16.9	5.1	2.6	12.0	55.6	1.7	100.1

TABLE 4

THIRD SEARCH OF SAMPLE

	Full LC Copy	LC In-process	Member 090	Member no 090	Member Acq.	Nothing	Other Ed.	Total
12/4/92	12	19	8	3	1	22	0	65
12/13/92	3	13	1	2	6	30	0	55
12/22/92	7	23	8	3	5	36	1	83
Total	22	55	17	8	12	88	1	203
Percentage	10.8	27.1	8.4	3.9	5.9	43.3	.5	99.9

them was information that was available to us without resorting to RLIN searching.

The items that were searched twice numbered 587. From this batch, 325 were not found, or 55%. These items had aged for four weeks. As can be seen from table 3, the statistics improved in all areas. The full LC records climbed by only two, to 37, but the percentage climbed to 6% from 4%. The LC in-process records then numbered 100, increasing by eleven. Member cataloging records with an LC-type call number then numbered 30; without the call number, 15. This was an increase in member copy of 20 titles, but the percentage increased from 3% to 7.6%. When this backlog was allowed to age an additional four weeks, the number of titles decreased to 205, but the number of no hits was 88, or 43% (see table 4). The number of titles with full LC copy was then 24, or 12%, those with member cataloging, 25, or 12%. And there was the added promise of 55 records that LC had queued for processing, a significant 27%.

Perhaps the most telling statistics from these tables is the combination of columns three, four, and five. When Cornell began local processing in April 1988, many of our colleagues lamented the absence of our records in the RLIN database; now other RLIN libraries are following this route and not entering their acquisitions data on the utility. On the first search there were member records for 86 items, or 11%, of whatever nature. Many of the libraries on RLIN use the same blanket order dealers, many have similar collecting profiles, and many are retrenching and not making the information on their acquisitions available for other RLIN libraries. The problem is acute. Although many tout navigating the Internet as a possibility—cruising to find copy for items in our backlogs or for requested items using interlibrary loan—the myth of national-level cooperation, even in the arena of collection development, is sadly battered. Clearly, dependence on the cataloging of our peers will not reduce backlogs in a timely manner unless we and our peers all work to reduce our backlogs.

When we compare these findings with Grover (1991), we can see that the result shows a marked decline since his findings. When he searched the RLIN database in November 1983, searching 298 Latin American imprints, he found full LC copy for 55 of them (18%); we found 4%. He found member copy for 39 (13%); we found 5% (if we included other editions). When he repeated this search in May 1984, the results were an additional 40 done by the Library of Congress (an increase to 32%) and 23 more done by member libraries (21%).

Perhaps libraries in the Research Libraries Group should look more carefully at the allocation of resources. We must realize that dependence on the cataloging done by our peers will not take care of our backlogs in any kind of timely fashion. It is the right time for new cooperative agreements to be reached so that we all may share the burden and benefit of providing fully cataloged library records for our patrons to use.

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The Quality and Timeliness of Chinese and Japanese Monographic Records in the RLIN Database

Jai-hsya Tsao

East Asian libraries, under the pressure of constantly growing backlogs, have increasingly relied on the two national bibliographic utilities for their catalog copy. At the same time, libraries are also concerned with the quality and timeliness of the CJK records in the two databases. To determine the availability of catalog copy for current Chinese and Japanese materials, and to identify specific issues relating to the quality of CJK cataloging, 518 Chinese titles received between November 1992 and January 1993 and 250 Japanese titles received between November 1992 and March 15, 1993, were searched on the RLIN database. The results indicate that, proportionately, more LC catalog copy is available for current Japanese titles. In contrast, more member copy is available for Chinese materials.

Background

A decade ago, the first catalog record containing Chinese, Japanese, and Korean (CJK) scripts was created and entered into the Research Libraries Information Network (RLIN) by the Library of Congress (LC). Three years later, the OCLC Online Computer Library Center, Inc., introduced its CJK system (OCLC CJK 350). Since then, a total of sixty-two East Asian libraries and collections, located primarily in North America, have participated in the two CJK systems and added around 1.5 million records into the bibliographic databases. The annual growth rate is about 250,000 records. As of March 31, 1993, the RLIN database contains 1,012,680 CJK records, or 872,639 unique titles. There are 688,109 unique CJK records in the OCLC Online Union Catalog (OLUC).

East Asian libraries, under the pressure of constantly growing backlogs, have increasingly relied on the two national bibliographic utilities for their catalog copy. At the same time, libraries are also concerned with the quality and timeliness of the CJK records in the two databases. In her 1990 survey of thirty-eight East Asian libraries, Sarah Su-erh Elman found that "the quality of records" was one of the three problems most commonly named by the Research Libraries Group (RLG) and OCLC CJK participants (Elman 1991).

To determine the availability of catalog copy for current Chinese and Japanese

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materials, and to identify specific issues relating to the quality of CJK cataloging, a study was conducted at the East Asian Library of the University of Chicago from November 1992 to March 1993. A total of 518 Chinese titles received between November 1992 and January 1993 and 250 Japanese titles received between November 1992 and March 15, 1993, were searched on the RLIN database. All titles searched during this study were published between 1989 and 1992, and added volumes and copies, earlier imprints, and serials were excluded. Most of the Japanese titles (183 titles, or 73%) were published in 1992. The majority of Chinese titles (339, or 65%) were published in 1991, and only 111 (21%) were published in 1992.

The quantity and topical coverage of titles received at the University of Chicago Library is probably slightly greater than the acquisitions of the average medium-sized East Asian library in North America. These titles cover all subjects in the humanities and social sciences, but only a small number are in agriculture or the history of science. The library acquires about 3,000 Chinese titles and 1,200 Japanese titles each year.

Search Results

Our search of RLIN yielded no copy for 50% (259) of the Chinese titles and 47% (117) of the Japanese titles. LC copy was available for 7% (35) of the Chinese titles and 36% (90) of the Japanese titles. RLIN member copy accounted for 43% (224) of the Chinese titles and 17% (43) of the Japanese titles. Detailed search results and corresponding publication dates for the titles searched are given in tables 1 and 2.

The results also indicate that, proportionately, more LC catalog copy is available for current Japanese titles. In contrast, more member copy is available for Chinese materials.

In order to determine how fast catalog copy appears in the RLIN database, we did a second search at the end of March. We found copy for an additional 58 Japanese titles. Most of the remaining titles without copy were published after October 1992. The case is different for the Chinese titles. Only a small number of new records were found in the second search. In terms of timeliness, it seems that Japanese materials are cataloged faster than Chinese materials.

TABLE 1

CHINESE MATERIALS

	1989	1990	1991	1992	Total	%
LC	4	6	17	2	29	6
Incomplete LC	2	0	3	1	6	1
Member	11	25	153	35	224	43
No hit	8	12	166	73	259	50
Total	25	43	339	111	518	100

TABLE 2

JAPANESE MATERIALS

	1989	1990	1991	1992	Total	%
LC	4	8	24	24	60	24
Incomplete LC	0	1	2	27	30	12
Member	2	3	5	33	43	17
No hit	2	7	9	99	117	47
Total	8	19	40	183	250	100

Based on the two searches, a local cataloging strategy was developed. For Japanese materials, we hold current titles momentarily, to wait for the catalog copies, and concentrate our time and energy on older materials. On the other hand, current Chinese materials without copy are cataloged immediately. Experience has shown that, even if we wait, it is unlikely that many records will be available soon.

Problems

In the East Asian Library, we follow the nationally accepted standards for cataloging CJK language materials. We pay particular attention to access points, description, imprints, and subject analysis. Corrections are made to those fields that would affect indexing and retrieval. Ours is one of the few East Asian collections in which professional catalogers still check member copy in its entirety. Our copy catalogers are responsible for handling LC copy. We usually accept an LC record as it stands, and changes will not be made unless serious mistakes are identified.

In reviewing a total of 321 Chinese and Japanese catalog records, we found that 192 required revision. We made a significant number of changes to subject headings. Eighty-two subject headings in a total of 66 records were enhanced. Addition of variant titles (740) was the second-largest group in which we made additions. Usually the corresponding note for the varying form of title was missing. We also provided more personal names and corporate bodies as added entires (700, 710, 711). Series headings, ISBN, and uniform titles were other areas in which we made additions or revisions. The typographical errors in romanized data; inaccurate vernacular characters; and improper use of tags, indicators, and subfield codes were corrected. Generally speaking, fewer mistakes were found in main entry headings for personal names and corporate bodies; we made only three revisions in these fields.

These findings are similar to the results of Lei Zeng's 1991 project and Janet McCue's 1987 research. Based on the fundamental cataloging rules required by OCLC, Zeng (1992) identified nineteen types of errors on 853 OCLC CJK member-contributed Chinese records and 453 RLIN CJK member-contributed records that were tape-loaded by OCLC. However, Zeng's project primarily was concerned with descriptive cataloging. McCue also categorized the modifications of records as corrections of typographical errors; enhancements (additions, deletions, and replacements of data); corrections to fields tags, indicators, and delimiters; and changes in main entry in accordance with the *Anglo-American Cataloguing Rules* (McCue, Weiss, and Wilson 1991).

RLG and OCLC have tape-loaded each other's member-contributed CJK monographic records since November 1989. All East Asian libraries have benefited from this cooperative activity. However, unexpected difficulties occurred because of different cataloging requirements of the two utilities and have resulted in catalogers spending extra time to modify and "clean up" tape-loaded records.

One example involves the use of word division and aggregation. RLIN word indexing applies only to words of more than two letters, yet 20% of Chinese characters romanized according to the Wade-Giles system consist of only one or two letters (Aliprand 1992). This problem occurred because each character is romanized in the Wade-Giles scheme as a single "word." To avoid false drops in retrieval, RLG introduced the concept of aggregation. The special symbol called an aggregator is used to join individual romanized Chinese words together to form a semantic unit. The corresponding vernacular characters are also joined together in the same manner to facilitate word retrieval in the vernacular. Since word division guidelines were established by LC for Japanese and Korean there was no need for aggregation. Aggregation is a device unique to RLIN. Tape-loaded Chinese records from OCLC do not have aggregators, and RLIN catalogers must add them when they use these records.

On the other hand, vernacular punctuation and spaces in a catalog copy are permitted according to the RLIN standards, but they are not acceptable to OCLC

members. All inadequate marks and spaces have to be corrected. The OCLC standards also require each vernacular field to have a preceding corresponding romanized field. However, the RLIN standards only require both romanized and vernacular fields for core fields, and OCLC catalogers must spend extra time supplementing certain fields on RLIN tape-loaded records.

In addition to making modifications to tape-loaded records according to requirements for word division and aggregation, some OCLC vernacular characters were not coded in accordance with the East Asian Character Code (EACC), an American National Standard. The result of this miscoding is that in many cases correct characters have been replaced by different characters. RLIN catalogers using OCLC tape-loaded copy must watch for records containing such erroneous characters and make corrections as needed. In addition, tape-loaded records in both databases usually lack call numbers; this further reduces their usefulness.

Conclusions

All East Asian catalogers are eager to increase cataloging productivity and decrease the backlog. Among RLG CJK members there is a certain amount of peer pressure to do 10% original cataloging. But in many cases, the time and effort necessary to improve poor catalog copy is greater than that necessary to input an original record. Furthermore, repeated effort will be made to correct the same mistakes across the country. Therefore, when a catalog record is created, all national cataloging standards should be followed to ensure that it is accurate and complete, and no future revision will be required. In other words, the authority files should be checked, subject headings verified, and accurate classification numbers assigned before the record is input into RLIN or OCLC. Efforts should be made to keep typographical errors and inaccurate vernacular characters to a minimum. Meanwhile, revision of OCLC character codes in accordance with the EACC will avoid extra effort currently required to make these corrections. Finally, both RLIN and OCLC libraries would benefit by having call numbers displayed in the tape-loaded records.

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Controlling a Cataloging Backlog; or Taming the Bibliographical Zoo

Beth Picknally Camden and Jean L. Cooper

Cataloging backlogs are a perennial area of concern for libraries. The authors propose that eliminating a cataloging backlog is unnecessary if items in the backlog are accessible to staff and patrons. In this paper a backlog cataloging project is described that uses the features of an online catalog to control and reduce a backlog, increase patron access to uncataloged items, and train staff in the creation of online records.

Cataloging backlogs—arrearages—have been a concern of librarians since the early 1950s. As the burgeoning economy and educational system combined with the information explosion after World War II, libraries found themselves losing the race to control the vast amount of paper that was pouring into their buildings. In 1968, Piternick (1969) surveyed the ninety-one university library members of the Association of Research Libraries (ARL) and discovered that 78% of the respondents had significant backlogs requiring special handling procedures.

In 1984, Agnew et al. (1985) repeated that survey and discovered that 77% of the respondents still reported backlogs. Interestingly, in this later survey, eight libraries that did not have backlogs cited automation for preventing the accumulation of a backlog.

Since that time, a number of articles have appeared in the literature on the problems of backlogs. These articles have dealt with topics such as the aging and usefulness of monographs held in backlogs (Neville and Snee 1984; White and Roos 1988) and measuring and defining the characteristics of a backlog (Abraham et al. 1985; McCue et al. 1991; Rogers 1991). A continuing theme in these articles is the desirability of full cataloging for each item (Horny 1986), the continuing lack of sufficient numbers of professional catalogers needed to do full cataloging, and the option of employing nonprofessional staff to do the work of professional catalogers (Eskoz 1990).

Recently, the literature has begun to provide discussions about the use of computers specifically as a means of reducing or eliminating backlogs. Crowe (1986) and Markiw (1988) mention the use of minimal-level cataloging records in the Ohio State and the University of Kentucky libraries' online catalogs with backlog control as a primary objective; Miller and Ford

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(1988) report that records for uncataloged materials will be added to Trinity University Library's COM (computer output microform) catalog; and Lynden et al. (1991) produced an internal report for Brown University Library recommending the expanded use of "JOSIAH Online Temporary" records (JOTS) in its online catalog to control several backlog collections.

However, the purpose of this paper is not to review the published literature on cataloging arrearages; that has already been done by Piternick (1969), Miller and Ford (1988), and Rogers (1991). Rather, we mean to illustrate how an online catalog can provide a means of controlling a backlog, and to describe the various effects such control can have upon all library functions.

We define a backlog as active if cataloging is repeatedly sought in the network databases. Further, an active backlog is one from which books are regularly removed for both copy and original cataloging. It is assumed that, on average, the same number of books are added to as are removed from an active backlog. The specific number of items may fluctuate somewhat, but the size of the backlog would, by nature, stay within a given range. As Piternick (1969, 103) said, "A backlog of some size is desirable in order to minimize the effects of peaks and valleys in the rate of book acquisition."

Conversely, the authors define an inactive, or static, backlog as one from which no items are removed, or one that grows excessively. This type of backlog should be a concern of cataloging managers. "It is the problem of access caused by the existence of arrearages which constitutes the major cause for concern," said Piternick (1969, 103), and as at other libraries, backlogs at the University of Virginia (UVa) have historically been a matter of concern.

The Library at the University of Virginia

The University of Virginia Library system comprises fourteen physically separate libraries (excluding the Health Sciences and Law libraries) and holds more than three million volumes. The Library acquires a net average of 54,000 titles (78,000 volumes) every year. The Cataloging Services Department, including the backlog storage areas, is located in Alderman Library. In 1989, the UVa Library installed its NOTIS online catalog with the public access and cataloging modules, adding the circulation module in 1990 and the acquisitions and serials module in 1991.

In the 1950s and 1960s, a large part of the backlog was cataloged using minimal-level cataloging and an accession number preceded by a *W*.

> Separately published monographs of predicted lighter use are added to the "W-collection" in accession number order and the accession number . . . substitutes for classification. Author, title, and shelflist cards are prepared for each title (Piternick 1969, 108).

This method of dealing with the backlog was discontinued long ago, and the W-collection is now being reduced through selective cataloging and weeding.

At this writing, the Library has both active and static backlogs. The active backlog is housed in an area of the stacks adjacent to the Cataloging Services Department. This backlog is known locally as the "Zoo" because it is separated from the rest of the stacks with a wire-mesh divider. In addition to the Zoo, several inactive backlogs also exist: a backlog of 6,000 older (pre-1984) general collection books housed in the basement, a backlog of 20,000 South Asian and Mid-Eastern (PL480) materials also housed in the basement, and a backlog of rare books housed in the Special Collections Department.

In April 1990, the active backlog held 19,457 volumes, and was growing. This backlog consisted of items received within the preceding four years. Two-thirds of these items were published within the previous two years. Eighty-eight percent of these items were in languages other than English (Stubbs 1990). All items had been searched in the OCLC Online Computer Library Center, Inc., database for cataloging copy at least once, and copy was being sought at least once per year. Once matching copy was found, an item was removed

from the backlog and cataloged. Additionally, the oldest materials were removed for original cataloging on a regular schedule.

Implementing the Project

The project to enter provisional records into the online catalog was undertaken both as a backlog control measure and as a means of training staff in preparation for the implementation of the acquisitions and serials module in 1991.

Volunteers for the project were solicited via memo and electronic mail beginning on March 7, 1990. The director of the Collection Development Department was also asked to recommend individuals for participation in this project. The project coordinators emphasized the importance of including those people whose primary duties would involve creating bibliographical and copy holdings records for acquisitions functions.

Material selectors in the branch and departmental libraries also expressed their interest in taking part in the project. Because these libraries are chronically understaffed, and because all of the work had to take place in Alderman Library, not all of those interested were able to take part in the project.

There were 39 staff members in the final group of trainees. Of those, 19 were from Cataloging Services, 15 were from Collection Development, 2 from the Fine Arts Library, 2 from the Science and Engineering Library, and 1 from Clemons Library. In addition, 14 of the 39 served, for the most part, as resource people and trainers, rather than as record creators.

Training sessions were scheduled to begin May 1, 1990, and were to continue for two weeks. The sessions were held in the Systems Office's terminal room. The Cataloging Department staff provided a truck of books from the Zoo backlog for each training session. One early key decision was to allow the learners to work, from the very beginning, in the production database with live records in order to enhance their perception of the usefulness of the work and importance of accuracy at all times. Any errors made during training could be corrected online immediately, and the authors believed (and continue to believe) that correcting one's own errors could enhance the learning experience.

The trainer led each learner step-by-step through the process of creating a provisional bibliographic record and its copy holdings record. The training sessions normally lasted between one and a half and two hours. Based on the evaluation of the trainer, the learner repeated the step-by-step process until he or she had absorbed the instruction. When the trainer believed that the learner was ready, the learner entered several records independently and then had the work reviewed by the trainer. The volunteers exhibited a wide range of bibliographic knowledge and learning skills, ranging from almost instantaneous understanding during the training session to extreme difficulty with the conceptual aspects of the procedures. The trainers encouraged the learners to ask questions whenever they had doubts about the correct procedures.

At the end of each training session, the individuals received a truckload of books to complete independently, or the trainer scheduled a follow-up training session.

The participants were expected to work on one truck of books at a time. When a truckload was completed, it could be exchanged for another, and the work would continue. The project coordinators expected that each person would complete one truck of books per month. In actuality, a few of the volunteers completed only one or two trucks of books throughout the length of the project, while others completed trucks in less than a week.

In order to keep track of the books while they were out of the Zoo, a library assistant and a clerk controlled the distribution of books to the participants. They kept careful records of the location of each truckload so that, if a book was requested by a patron, the book could be found for rush cataloging. In addition, the library assistant resolved any problems that were encountered, such as records entered in the wrong processing unit, or added volumes or duplicate copies discovered during the process of preentry searching.

A problem discovered at a later time was that a number of the volunteers had failed to create copy holdings records for some 200 items, leaving no way to locate those items in the backlog. These errors are still being corrected as they are located.

Evaluation

The searching staff kept productivity records throughout the fifteen-month project in order to evaluate progress at any given time. Current figures were distributed frequently during the project, in memos and in electronic mail, to the library staff. The number of records an individual entered was not recorded, but the total number of records produced each month was recorded. The staff also counted the number of rush requests received each month.

Of the 39 staff members who were trained for the project, only 20 to 30 were active participants. During the initial weeks, before they were fully trained, the rate of record creation was relatively slow.

TABLE 1

PROGRESS OF THE BACKLOG PROJECT IN VOLUMES PER MONTH

	Monthly Total	Running Total	Percent Complete
Apr. 90	293	293	1.0
May 90	1,935	2,228	7.9
June 90	5,108	7,336	25.9
July 90	2,736	10,072	35.6
Aug. 90	2,604	12,676	44.8
Sept. 90	2,004	14,680	51.8
Oct. 90	1,994	16,674	58.9
Nov. 90	1,152	17,826	62.9
Dec. 90	891	18,717	66.1
Jan. 91	1,000	19,717	69.6
Feb. 91	1,714	21,431	75.7
Mar. 91	1,400	22,831	80.6
Apr. 91	1,513	24,344	85.9
May 91	1,055	25,399	89.7
June 91	2,927	28,326	100.0

Fully trained staff members created an average of 10 provisional records per hour, with some people working at rates of up to 20 per hour. Staff participation varied according to the individual, with as little as one hour per week to several hours per day devoted to the project. During the course of the project, participants created an average of nearly 2,000 records per month, resulting in a total of 28,326 records (see table 1).

As the proportion of items with provisional records increased, there was an increase in patron rush requests for those books. At the start of the project, less than 20% of all rush cataloging resulted from direct patron requests. By the end of the project, this increased to 33%, and in the following year to nearly 60%. The total amount of rush cataloging increased by more than one-third (see figures 1 and 2).

From these records, the project coordinators concluded that the ability to access items in the backlog via the online catalog has provided better information to users about library holdings and has allowed improved responsiveness to patron requests on the part of the Cataloging Department.

Implications

This project has had some interesting effects on the ways in which the University Library serves its users. These effects are not limited to the speed of cataloging items or training for technical services staff.

Backlog Control and Reduction

One of the major benefits of the project is a level of backlog control that was previously unobtainable. The backlog has always been maintained in date-received order, making knowledge of the date a necessity for locating and finding an item. Having this information available as part of the online record has improved the ability of staff to locate requested items. The UVa Library has developed a system of codes to expand this control to all items in various stages of processing.

Since the completion of the project, all new items added to the backlog have records created either at the order point or in

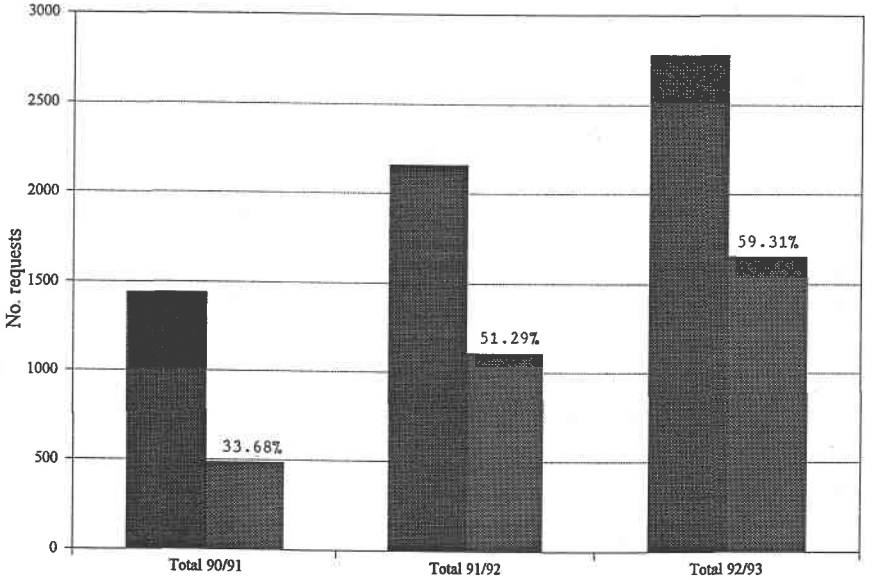

Figure 1. Patron Requests as a Percentage of Total Rush Requests. This chart shows the growth in patron requests for rush cataloging as compared to all rush cataloging. The increase to more than 50% shows the availability of the backlog records in the online catalog. (The figures for 1992–93 are a projection based on eight months of data.)

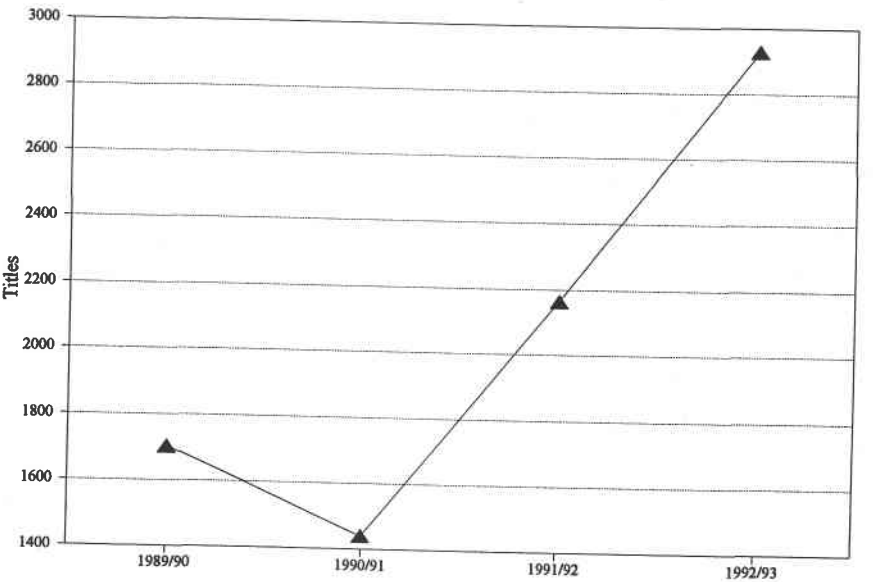

Figure 2. Total Rush Cataloging before, during, and after Project. This chart compares rush cataloging before, during, and after the project, showing a steep increase after the addition of provisional records to the online catalog. (The figure for 1992–93 is a projection based on eight months of data.)

cataloging, thus maintaining the same level of backlog control.

Use of Minimal- or Provisional-Level Cataloging for Specific Purposes

Although most catalogers would agree that it is desirable for all items in the collection to have full cataloging, sometimes concessions must be made given the constraints of staffing and budget. The use of provisional records as a temporary measure, while not providing the full range of access to the user, does provide some access to items that otherwise would not be available to users. Known items can be found using the standard author and title searches, and the records are also accessible through the keyword index. Although the number of keywords in these brief records is limited, this is, in some sense, "subject" access.

The implications for the long-term use of brief records is not as clear. At this time, the UVa Library is not adding these provisional records to the national databases. Permanent minimal records would need to follow the OCLC input standards in order to be shared. Questions about classification, and subject and keyword access would also need to be addressed. The Cataloging Department continues to review the possibilities of using varied levels of cataloging, both minimal and enhanced, to provide improved access to the UVa collections.

Increased Use of Items from the Backlogs

The increase in rush requests for cataloging of books in the backlog indicates that full cataloging is not mandatory in order for users to find the items they need. It is interesting to note that after all items in the Zoo backlog had provisional records in the online catalog, the increase in user-initiated rush requests prompted the Library to revise the rush request procedures, making it easier for the Library's users to submit these requests and for the Public Service departments to process them.

In addition, the Cataloging Department developed new rush cataloging procedures that allowed books from the backlog to be processed within twenty-four hours of receipt of the rush request. To achieve this goal, an item is allowed to circulate without a classification number if cataloging copy cannot be found in OCLC, and full cataloging is entered into the database when the material is returned. (The actual number of items circulated on provisional records is miniscule—the Library's experience indicates that by the time the user wants the book a MARC record is generally available.)

Methods of Training Staff in a Technological Age

The Library has gained important insights regarding staff training as a result of this project. Among these insights are

1. Familiarity with the computer almost invariably leads to less anxiety on the part of individuals worried about the possibility of "breaking" the machine or in some way "destroying" the data;
2. Practice makes perfect;
3. Training for computer work should be done on a one-to-one basis or in very small groups; and
4. Training for computer work should be done at the computer and not in the lecture room.

Many individuals who participated in the project have expressed the opinion that this training made the transition to the new acquisitions system immeasurably easier for them, while those individuals who did not participate have commented on the difficulty of learning the new system.

However, the project coordinators later discovered that some of the "volunteers" in the project were in fact "conscripts" and had been required by their supervisors to participate. This reduced their willingness to participate and, it would seem, reduced the amount of effort they were willing to devote to the project. In future projects, extra efforts should be made to explain the goals and purpose of such a project to the staff so that individuals will have a better understanding of the reason for their participation.

Changing Library Viewpoints

We suspect that the computer has blurred the traditional separation between the public services staff and the technical services staff. One of the more interesting aspects of this project was that, inadvertently, it was the first large-scale staff-sharing project in the Library. The individuals who accomplished this task were from several different library departments and gave several hours of their time per week to accomplish a project for the Cataloging Services Department.

Since that time, the Library has conducted a number of staff-sharing projects, both with public services staff learning traditionally technical tasks and with technical services personnel learning reference and other public-oriented work. This program has produced benefits both for the individual (variety in work experiences and opportunity to learn new skills) and for the Library as an organization (redistribution of the work force to essential sites and improved morale among the library staff). The more varied experience made possible by staff-sharing has encouraged employees to acquire a new vision of the purpose of a library—from the archival to the access model—which the Library Administration has sought to encourage.

Future Projects

The success of the Zoo backlog project has led the Library to consider using this project as the model for controlling other noncurrent backlog areas. It seems to be true that immediate minimal access to an item is at least as useful as potential complete access to the library user.

One project now underway is the creation of provisional records for the noncurrent backlog. Housed in less accessible areas, and out of the regular workflow, catalog copy for the noncurrent backlog has not been sought regularly. Public access is limited to years-old order slips in the card catalog. The project to process this backlog will involve searching the national utilities and creating provisional records. Again, the goal is to provide some access, not necessarily the best access.

The Library's Rare Books Cataloging Section conducted a successful project from 1991 to 1992, creating provisional records for 4,664 items in the rare book backlog—items that were previously inaccessible by any method.

Summary

Backlog elimination is no longer a necessity. A backlog that is under control and accessible is not a liability. An active, well-regulated backlog (of a size determined by the size of the library and its cataloging staff) will allow the materials to be processed by the appropriate level of staff when cataloging becomes available. Finally, backlogs have been presented in the literature primarily as major problems (that must be eliminated by heroic measures) revealing underlying flaws in the organization of cataloging departments and procedures. It is our contention that backlogs, once under control and searchable in an online catalog, should be considered a normal, nonthreatening part of the cataloging workflow—not an evil to be eliminated.

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Contract Negotiations for the Commercial Microform Publishing of Library and Archival Materials: Guidelines for Librarians and Archivists

Subcommittee on Contract Negotiations for Commercial Reproduction of Library and Archival Materials

Micropublishing is the commercial distribution of information in microformats by a publisher or an institution acting as a publisher. A contract between a library or archives and a microfilm producer might specify in detail what the parties expect, define instances of noncompliance, and make explicit what rights exist in case of noncompliance. A prenegotiation assessment can help muster support for a project. In a contract the negotiating parties should group and consider the following points: (1) selection criteria and procedures, (2) filming preparation and execution, (3) bibliographical control, (4) license to sell, (5) compensation and royalty, (6) termination, and (7) miscellaneous. The importance of completeness—at reasonable cost—makes fill-in filming worthy of special consideration.

Preface

The goal of the Subcommittee on Contract Negotiations for Commercial Reproduction of Library and Archival Materials, a subcommittee of ALCTS' (the Association for Library Collections & Technical Services) Policy and Planning Committee, of the Reproduction of Library Materials Section, was to develop an annotated checklist of the issues to be thought about when considering entering into an arrangement for commercial publication of library and archival materials. The initial

The subcommittee was appointed by the Policy and Planning Committee of the Association for Library Collections & Technical Services. The members are Meg Bellinger, MAPS (formerly of Research Publications); Cynthia Fox, National Archives; Phelix B. Hanible, OCLC (formerly of the University of Michigan Library); August A. Imholtz, Jr., Congressional Information Service; Barbara Lilley, New York State Library, Division of Library Development; David Moltke-Hansen, Southern Historical Collection, University of North Carolina at Chapel Hill; William Savage, University Microfilms, Inc.; William Z. Schenck, Library of Congress; Helen Schmierer, Brown University Library; and Kenneth E. Carpenter, chair of this subcommittee, Harvard University Library. Jane Carr of the British Library attended several meetings and commented on drafts. Manuscript submitted June 26, 1993; accepted for publication September 21, 1993.

discussion document for the subcommittee's work was Carpenter and Carr (1990). At its first meeting the subcommittee agreed that, given the wide range of projects and goals, its task was not to attempt to produce a model contract.

One of the first decisions of the subcommittee, as initially constituted, was to include archivists on the subcommittee and to cover contractual matters relating to archives. Both groups have the common desire to disseminate and preserve research resources, as do publishers as well, though the views and emphases of all three are not always identical. The perspectives of these parties will also change in the future, and not necessarily in tandem, as new media, changed economic realities, different trends in scholarship, and new patterns of collecting and providing access to scholarly resources all contribute to altered relationships and priorities. Thus, these guidelines are best seen as nonprescriptive and as only one element in a conversation that should be ongoing.

Throughout, we use the term "microform" to refer to roll formats (16mm and 35mm) as well as card or microfiche formats (105mm). Most micropublications are created from the photographic process of taking a picture of original paper-based material on film. Less frequently, microforms are created as computer output microforms (COM). In micropublishing three generations of microforms are generally created: (1) the first-generation master negative, (2) one or more second-generation printing masters, and (3) third-generation positive or negative service copies for customers. Black-and-white microforms are the norm for large textual collections.

Part One: The World of Microform Publishing

Micropublishing is the commercial distribution of information in microformats by a publisher or an institution acting as a publisher. Micropublishing does not necessarily entail filming by the publisher. Some do have full camera, processing, duplication, shipping, and storage facilities, whereas others may contract out part or all of these services. The common denominator among all micropublishers is that they market their products to libraries and other institutions.

A microform collection may consist of unique material, notably manuscripts and archives, held by one repository (or more than one in some cases); printed material in a collection owned by one library (in which case the uniqueness generally resides in the particular strength of the collection); or printed material held by more than one institution, in which case something entirely new has been created. (For information on the history of microform publishing and greater depth in analyzing the types of microform collections, see Meckler [1982] and Bourke [1990].) Scholars obviously benefit from microform collections by not having to bear the expense of travel, while still having repeated access. Less obviously but more significantly, scholars often benefit by having materials available in a degree of completeness that formerly existed in no single institution. That creates new opportunities for research from which all scholars potentially gain, even those fortunate enough to have access to the world's largest libraries.

Microform publishing, therefore, both fosters advances in scholarship generally and at the same time permits a larger number of scholars to pursue research in the sources. Microform publishers act, in effect, as distributors of the archival and bibliothecal wealth. Their efforts to disseminate the holdings of the "have" libraries leads to a spreading out of the costs among a number of buyers. The overall price of a microform collection might be high, but that is because of the quantity of material involved; the unit price will be relatively low.

The price is not, however, merely the filming cost divided by a certain number of copies, with an add-on for profit. Publishers must conceive ideas and then turn them into reality. The very meeting with individuals in an institution costs money. Publishers must assess the market, and even experience does not preclude risk. Ultimately, a firm must sell the product. The organizational skills of a publisher can

make for efficiencies in filming and in providing bibliographic access, but archives and libraries can also film and create records. The great contribution of publishers is in their entrepreneurship: in risking money and then in trying to make good on that risk by marketing the product. That is what libraries and archives, being in a nonprofit environment, cannot do; whereas publishers, in fulfilling their role, above all disseminate—often bring together and then disseminate—large quantities of source materials.

Cooperation is desirable.

Part Two: The Prenegotiation Assessment

Even though a contract might specify in detail what the parties expect, define instances of noncompliance, and make explicit what rights exist in case of noncompliance, it cannot guarantee compliance. It gives only a basis for legal action. The best guarantor of execution of a contract is that it serves the interests of all parties to the agreement.

The prenegotiation assessment, in addition to beginning the process of forming a satisfactory working relationship with the publisher, has other benefits. In many libraries and archives there is a wariness about the commercial sector that might be overcome by going through an information-gathering process. Such a process can also help muster support for a project at different levels in the institution so that the publishing project is less likely to be an "outside" task that gets dropped by an overburdened staff member. In short, a preliminary assessment can help ensure that the academic institution carries out the agreement smoothly.

Publishers, having been through the process before, may be able easily to determine that a microform publishing project is likely to serve their interests. In addition, perhaps, to being able to gather quickly the necessary information, a publisher is apt to know what is necessary information. A library, perhaps for the first time considering a publishing project, is more likely to need to make a conscious effort to conduct a prenegotiation assessment of its goals and a preliminary determination of the benefits and costs. This step should precede negotiations.

Assessing the Contribution of the Project to Scholarship

In keeping with the adage of "first things first," the first question to be asked and answered explicitly is whether the proposed project is worth doing as an aid to research. To ask questions such as the following is to bring to the table the ultimate consumers: other libraries, archives, and researchers.

- What is the ideal scope?
- Might scholarship better be served by a cooperative venture involving more than one library? (This question is one way of explicitly considering whether the needs of researchers rather than those of the library or archive are foremost.)
- Should some material be omitted?
- Is it desirable to include certain materials even if preservation films have already been made?

Assessing Nonfinancial Benefits to the Library

A second set of questions for a library or archive relates to the extent that a project fills other needs, such as preservation, reduced space requirements, and bibliographic control. These are at this point informational questions about potential benefits and quality issues, not negotiations over details.

- Is the material on such brittle paper that it needs to be filmed if the text is to be preserved?
- Is the material unique or so rare that a microform copy is desirable to ensure preservation of the text?
- Does the publisher do preservation-quality filming?
- What kinds of bibliographical records are available for these materials? Do they provide adequate access? If records need to be produced, is the publisher committed to producing them properly and making them nationally available?

- If the material consists of manuscripts, is there an adequate guide, as well as a catalog record accessible through the national bibliographic utilities, or will the project result in access that does not now exist?
- Is the material like newspapers, i.e., bulky to store?
- If the material is a book collection, is a printed guide desirable for users of the originals and the microform? (Because the potential benefits will be in part translated into reality by the publisher, it is desirable to review similar projects in which the publisher was involved.)

Royalty Assessment

For a major project, an assessment of possible royalty revenue is also necessary before intentionally moving to contract negotiations. First, ask the publisher to calculate the possible number of reels of film or the number of fiche. Obtain from the publisher an estimated unit price. Then talk with a publisher about discounts and anticipated sales. The projected number of units to be sold is likely to be surprisingly small, perhaps fifteen or twenty, but the revenue can be significant, given the high monetary value of each sale. The publisher will suggest a royalty percentage, and then potential revenue at different levels of sales can be determined. The value of a free copy of the film might well be considered.

Part of the benefit calculation for an institution will also be determining who gets to spend the revenue. Will the revenue go to the repository or to the parent institution? If to the library or unit, is it an increment to the budgeted amount, or will the parent institution reduce its support by the same amount? Is it legal for the library to receive income in the form of royalties? Once the answers to these questions are determined (if they are not already known), the library should be able to proceed to contract negotiations.

Assessing Costs of the Project

A third set of questions relates to procedures, regardless of who executes and pays for them.

- What are the steps involved in getting materials to camera and returned to shelves?
- What are the steps involved in producing adequate bibliographical records?
- Will space be needed in the institution to prepare or to film the materials?

It is, of course, necessary to break the steps down as finely as possible, if the true costs are to be ascertained.

Choosing a Publisher

Sometimes a library or archive negotiates with more than one publisher on a project, obtains competitive contract proposals, and then faces the need to decide among several options. To develop such proposals is not necessarily desirable or possible. In fact, it can be problematic when a publisher takes an idea to a library that then goes on to contact other publishers. There are occasions, however, when a library or archive must seek competitive bids or when doing so is the only means of avoiding the appearance of favoring one publisher over another. It is in general useful to try to look at the project from the point of view of the publisher. All publishers must make money, but that necessity does not mean that every publisher judges every potential project in exactly the same fashion. A project may fit into a firm's area of strength, support, or growth. A strength area is one in which the publisher is an established presence in the marketplace. A support area is one that builds upon or expands a strength area. A growth area is new, unrelated to present strengths. Each kind of project has different implications for a firm. For instance, a firm might feel ambivalent about offering yet another collection in an area of strength, out of a concern for competing with itself.

In deciding among firms, it can also be useful to consider other kinds of matters that are outside the scope of a contract. What steps does a publisher take to foster compliance within the firm to a contract's terms? Does the firm have procedures to inform production personnel of unusual terms or requirements? Will its marketing

staff be primed to involve the library in timely and appropriate fashion? It can also be desirable to consider marketing capability. For instance, does the firm have representation abroad?

Part Three: Contract Negotiations

A contract can, of course, have as many sections as necessary, but we recommend that the negotiating parties generally group and consider the issues and questions in the following way:

1. Selection criteria and logistics;
2. Filming preparation and execution;
3. Bibliographical control;
4. License to sell;
5. Compensation and royalty;
6. Termination;
7. Miscellaneous.

When reviewing some issues, especially those related to responsibilities and rights, it is important to bear in mind that their significance and relevance will vary tremendously from project to project, in part because of variations in the size and nature of projects. In our subcommittee's discussions, there was a disparity of views among publishers as to what were and were not their responsibilities. They also diverged on which license provisions were or were not desirable or supportable from a business standpoint. Likewise, among libraries, there was variation in the public service and institutional missions. Other factors will also cause libraries to weigh various issues and responsibilities differently.

Moreover, with each assignment of responsibility and each quality standard go cost burdens that may be crucial in determining whether a publisher or library serves its interests and mission by a particular project.

Selection Criteria and Logistics

Selection Criteria

Spell out the scope of the collection.

- Does the collection come from the holdings of one library or archive, or will it consist of material from several?
- Is the collection already identifiable as such within the institution (e.g., a collection bequeathed to the library or in some other way a clear entity)?
- If not, is the collection predefined by a bibliography?
- If not already identifiable or predefined, conceptual product design work is required. Who does it? Who applies the criteria that are developed?
- Is all or only some of the material in the predefined collection to be filmed?
- What title will be used for the collection? If already known by a particular name, will that name be used?
- Will some materials be filmed elsewhere to complete a series or otherwise offer a self-contained comprehensive body of material?
- Even if some materials have been filmed for preservation purposes or as part of another published collection, will the library's copies be filmed in order to serve a scholarly goal?
- Will some material be filmed by the publisher, even if not published? (In archival collections, completeness of the microfilm may, for internal reasons, be an issue.)
- Does the institution or publisher need or wish that some materials in the collection not be filmed? (Identify such materials, or describe the procedures for identifying them. It could be desirable to review together some problematic cases.)
- Is it technically possible to reproduce all the materials, or are there special problems in doing so?

Logistics

- In what order is material to be filmed? (In an archive, the order of the documents in a series is frequently important in understanding the meaning of the individual items or files in that series. At times this means that it is even desirable to film an item more than once.)
- What schedule do the publisher and library or archive ideally want?
- Is searching for call numbers necessary? Who does it?

- Can the library or archive accommodate an ongoing, steady flow of filming requests, or must requests arrive at certain times of the year?
- To whom do filming requests go?
- In what form are the filming requests made? Call slips? A special form supplied by the publisher or by the library or archive?
- What elements are recorded on the form?
- Who retrieves material? If the library or archive does, can it handle the commitment with existing staff? Must some duties be given up to enable the commitment to be met?
- If the library or archive handles retrieval, who pays? A lump sum or an hourly rate? If the project is long-term and if the publisher is paying for retrieval, is there provision for the rate of reimbursement to change?

Filming Preparation and Execution

Decide who will do the filming, the academic institution or the publisher. If the publisher, decide where the filming will take place. In the publisher's microfilming facility? In the library or archive, by the publisher's camera operator? Offsite, but in property of the library, archive, or parent institution? Offsite, but in space rented by the publisher? Rarity or uniqueness of the material can influence the decision, for many libraries and archives are reluctant to send some materials offsite, especially if doing so reduces researchers' access. Efficiency can be a factor: the publisher can usually operate more efficiently and at lower cost if the filming occurs in the publisher's filming facility, though certain projects, such as ones involving selected filming of items from a large archival collection, are perhaps best done onsite.

Library's Own Filming

- Does the library or archive have a filming facility that follows preservation standards?
- Does the institution do filming under some circumstances, e.g., for some especially fragile materials?
- What is the library or archive expected to supply? The camera master? A reproduction master?
- If film already exists, does it meet current standards?
- What happens in the case of disagreement about whether the specifications have been met?
- What charges are applied? Do they differ if the library or archive is supplying a copy of material it has already filmed?
- What is the schedule under which the film will be produced?
- What are the terms of payment? (It can be desirable to specify the circumstances under which the charges will be higher, as well as the amount of the extra charge.)

Onsite Filming by the Publisher

- If in space provided by the library or archive, where will the space be? Are internal negotiations necessary in order to arrange for the space?
- For how long will the space be available?
- Is the space provided free or for a rent?
- May the publisher film other material in the space?
- During what hours will the camera operators be able to use the space?
- Does work need to be done to make the space useful, and are power, lighting, security, and environmental controls appropriate? If work must be done on the space, who pays? Who supplies furniture or other equipment that might be necessary, including a telephone?
- Does the publisher clearly take responsibility in case of a claim for unemployment compensation?
- Does the publisher cover its employees in case of an accident on the institution's premises?
- Will the camera operators need clearance? In advance?

Offsite Filming by the Publisher

- If filmed offsite, what records must be kept?
- Who is responsible for packing and shipping? At whose cost?

- How is the shipping carried out?
- Are the books or papers insured? Who pays?
- At what point in the process does the insurance begin, i.e., when the materials are actually offsite or at some earlier point?
- Under what conditions is the material stored by the publisher?
- How long—or approximately how long—will materials be off the shelf? What about recall of material wanted by a user?
- What procedures are desirable when material is returned? Will the material be examined to determine the need for conservation work or be examined for some other purpose?

Editorial Quality Control

- Who will be responsible for checking the materials before they are filmed to ensure that the material in hand is in fact what is wanted?
- Who will be responsible for checking that the materials to be filmed are complete, legible, and filmable?

The question of retakes needs to be considered. Libraries should want publishers to check for completeness and quality on an ongoing basis so that mistakes can be rectified quickly, before the material has been returned to the library's shelves. That means the publisher needs to keep the original until the film has been developed, processed, and reviewed. Determine how long this might be and whether arrangements for security or quick access need clarification.

Handling of Materials

- Are special instructions necessary about what has to be filmed and what might be omitted?
- May bound materials be disbound? If so, must they be rebound? At whose expense?
- Will minor repairs be made by the publisher or only by the library? What materials and methods will be used for minor repairs?
- Does archival or manuscript material need to be unfolded? Is other work needed before filming, such as removal of fasteners?
- Does the material need conservation work before filming?

The library or archive will need to develop an understanding of the damage that filming will inevitably cause to a given body of material, and it will need to be assured that material will be handled in such a way that the least possible damage is done. Various options exist to deal with this concern: detailed language in a contract, the publisher's own description of procedures, a visit to a facility to see whether standard procedures being followed are adequate. Some librarians strongly recommend a site visit. One institution, the National Archives, actually trains camera operators in proper handling, including proper techniques for hand-flattening folded pages and removing staples. The archives then issues a card certifying that the operator may film in any National Archives facility for one year. Some institutions may even wish to try to negotiate the right to monitor filming.

The publisher should assume responsibility for damage of materials while in its possession and should carry insurance. However, the provisions of a contractual section on damage will differ depending on whether the material is rare or consists of modern books on brittle paper. The publisher cannot be expected to agree to pay, open-endedly, for conservation of damaged volumes, without some safeguards as to responsibility and some limits on the amount of liability.

- How does one decide what damage is through negligence rather than normal use?
- When must damage be reported?
- What are the limits of the publisher's liability?
- Are there mutually acceptable means for deciding the value of the materials if they are damaged?
- If the project is of long duration, is there provision for increasing the amount of liability?

Editorial Enhancements

- What kind of targets, flags, or other access aids are to be prepared? By

whom? At what costs? What is the value of such enhancements?
- Are the targets and headers in keeping with the latest version of national standards, such as ANSI/AIIM MS23, and guidelines, such as the ALA target packet?
- Where will the targets be placed and in what order? (Because they should lead users to the material, placement is critical.)
- Are the control numbers assigned to the items in the collection based on a bibliography? If so, is the bibliographic organizational scheme free of copyright restrictions?
- For microfiche, what data are to be included in the fiche headers? Who will be responsible for verifying the accuracy of the header data?
- For roll film, what will appear on the film leaders and trailers? On box labels?
- Do copyright notices, photocopying restrictions, or other notices need to be filmed in addition to internal target or access symbols?

Film Quality Control

Publishers (filmers) should be able to document clearly their measures and procedures for quality control. These would include the methylene blue test, resolution and density measurement, and steps to bring about bibliographical completeness and accuracy. Libraries and archives, for their part, should understand the micropublishers' procedures and be able to articulate their own quality-control measures.

To ensure that the specifications in the contract are understood and are being carried out, the library or archive should inspect the service copies on a microfilm reader. There should be a period during which film is closely checked in order to develop confidence that quality filming is being done. Once confidence in the publisher's work is reached, random samples of film should be selected throughout the life of the project. It is not necessary and probably not possible to perform the type of quality control a microfilmer does, but it is possible to check to make sure that images are sharp and easy to read and that text is not obscured or missing. If the library or archive discovers a pattern of errors or problems, it should communicate this to the microfilmer immediately before any more film is produced. Procedures for dealing with problems should be discussed when negotiating. Inspection by the library or archive should also cover the execution of the editorial enhancements covered by the contract.

For a list of publications on standards and recommended practices, see Elkington (1992, 180–82).

Fill-In Materials
- If fill-in material is required because of damaged originals, missing items, or other reasons, whose responsibility is it to do bibliographical work to locate other copies, to ascertain their availability, and arrange for their inclusion? The library's or the publisher's?
- Are the missing items so important, so numerous, or so difficult to obtain elsewhere that the project is compromised? (This issue of fill-in relates to the section on selection criteria and should be considered early on, because the need for fill-in could affect the project schedule, royalties, and even viability.)

Storage of Masters
- Does the publisher adhere to the latest version of ANSI standard pH 1.43 for storing masters?

Bibliographic Control of the Collection

Effective bibliographical control is critical in order to provide access to the items in microform sets. Depending on the nature of the materials, it may be in the form of hard-copy guides, catalog cards, or machine-readable records generated by cataloging or indexing. Generally, the expectation is that each discrete bibliographic or archival entity in a microform collection will be identified in and accessible through some type of external finding tools.

Cataloging

For sets of certain types of materials, e.g., monographs on any subject, cataloging is the preferred means of access. Cataloging records should adhere to national standards. The nature of the collection or set will indicate the appropriate level of cataloging—collection level or item level. Published and unpublished collections will have different requirements based on the nature of the collections. Generally, except for archival materials—which may be inventoried—item-level cataloging provides greatest access. And, increasingly, libraries expect the cataloging records to be on one of the major bibliographic utilities and capable of being loaded into most local online cataloging systems.

- If MARC records are to be produced, who will provide them? What level of record? What steps are necessary? For instance, must one copy existing cards? At what cost? Can the project bear the cost of the records?
- What files will be used to create authority control?
- Are copies of the card files going to be needed? Who pays for copying those cards and, perhaps, refiling them?
- Is there provision for entering the records into one of the bibliographic utilities, e.g., the OCLC Major Microforms Project? Whose responsibility is it?
- Will the library or archive be receiving a copy of the cataloging? In what form?
- By when will the records be produced? (In order to spread out investment, publishers sometimes wish to delay bibliographical work, if they are responsible for it.)

Published Guides

If a project needs a published guide and if the collection is drawn solely or mainly from one collection, then the guide represents the collection and the institution. When a library or archive is but one of the contributing institutions, its interest in the nature of the published guide is lessened, but depending on the situation, it may still wish to make the guide a contractual issue. Because a guide costs money to produce and usually generates little revenue, the nature of the guide may be a factor in setting other terms of an agreement.

- If there is a guide, in what form will it be published? As a book? Microfiche? CD-ROM?
- Are licensing agreements necessary for further distribution of the guide in electronic format?
- What will entries look like?
- Will existing records be used?
- Who is responsible for preparing what part?
- How will the work be carried out? If by the publisher, will the library or archive have the right to approve copy?
- By when will the work be completed?
- Who will own the copyright?

For some microform sets, e.g., archival materials, collections of photographs, and newspapers, inventorying or indexing is becoming the preferred mode of providing access to parts of the collection or its individual items. Though in the past these inventories or indexes have generally been in hard copy, increasingly they are loaded as separate databases into local online systems. Thus, the ability to load an index or inventory to a microform set becomes an issue.

- If an index already exists, will it be adequate for users of the film?
- Might further work be needed, perhaps by adding frame numbers?
- If published in book form, what will be the physical characteristics of the publication? On nonacid paper? What type of binding?
- Should the publisher have the right to sell it to those not purchasing the microform? Should the publisher be required to do so?

License to Sell

Rights

- What rights are granted? (Publishers may prefer to have exclusive rights in perpetuity. However, rights in perpetuity should be granted only if linked to tight performance requirements, assignment, commitment to keep the film available, and termination clauses.)

- Does the publisher have the right to the set only as a set or also to subsets and individual documents, series, volumes, or serials? (The opposite side of that question is whether the publisher commits to sell copies of individual volumes or serials, something wanted by some libraries or, more likely, individual researchers.)

Libraries and archives tend to wish to specify what is not granted, but legal counsel advises that the best way of dealing with rights not granted is simply to state very precisely what is granted and to note that no other rights are included. This can pose problems with respect to future rights to republish in other media. Librarians are generally willing to give the publisher of the microform first refusal to the same body of material in another medium, though they feel that to give rights to other media in advance is to surrender all power over quality, distribution, and royalty structures. Publishers, aware that this is a time of transition, wish to invest only if the long-term rights are guaranteed in a fashion that is truly meaningful.

U.K. and European libraries need to be aware that exclusive licenses may contravene clauses 85 and 86 of the Treaty of Rome, hence the granting of "sole" rather than "sole and exclusive" rights.

Reserved Rights

- What rights are reserved?
- With respect to the rights to reproduce and sell microform copies that have been granted to the publisher, does the library or archive wish to retain any right to do so on its own?

The granting of rights to microforms does not, of course, limit interlibrary loan, but librarians and archivists may also want to retain some limited right to make available microform copies to users wherever located and whatever their affiliation, partly out of a desire to provide customary and convenient service and partly out of a desire to avoid being in violation of the contract for inadvertently supplying small amounts of film. The effort to retain the right to supply some quantity of microforms can sometimes appear to publishers to be giving the institutions legal right to publish in competition, especially when a library has customarily received requests for copies from scholars throughout the world. Will the institution make it a practice to turn requests for copies over to the publisher? Will it honor requests for limited parts of a microform, whether in photocopy, microform, copy flow, etc.? If a library or archive supplies its own film to the publisher and is also selling its film commercially, as do some institutions such as the British Library, the extent of the reserved rights must especially be clear to all parties.

Additional Grants of Rights

Although custodians of material generally wish to have it filmed only once, there might be reasons for including some portion of material already filmed in more than one project. Moreover, it is possible to imagine that some refilming or republishing might be done unintentionally. Thus, libraries and archives may find it desirable to have a clause to make sure that the institution has the right to use some proportion of the collection in other projects.

Marketing

Publishers will wish the right to market at their sole expense and discretion, at prices that they set. Because purchasers sometimes wish individual volumes or parts, rather than entire sets, some libraries may wish to require a publisher to make available to the market individual volumes or parts, especially replacement copies for film lost or destroyed.

Advertising Copy

- Does the library or archive wish to see advertising copy? (Libraries and archives often think it important to review advertising, at least the first advertisement, because it represents the institution and its materials. Consulting with those who know the collection can also be useful to publishers, for advertising copy is likely to be improved. The review of advertising copy should be to ensure accuracy and appropriate representation of the institution.)

- How long does the library or archive have to approve copy? Two weeks? (Advertising staffs always seem to work under deadlines, and no matter what the contract says, there is likely to be pressure to respond immediately.)
- Does the publisher have the right to proceed if copy is disapproved?
- To whom in the institution should advertising copy be sent, if someone other than the person signing the contract?

Compensation and Royalty to the Library or Archive

In theory, compensation might involve complex calculations of the relative cost burdens of the institution and publisher as well as estimates of the marketability of the product, but in practice publishers do not structure their offers of compensation on the basis of such considerations. Instead, they tend to use set royalty arrangements. A library or archive that believes it should receive more must take the responsibility of negotiating on the basis of its understanding of usual costs, its contribution, customary markets, and the amount of risk that is borne by the publisher.

We do not advocate that royalties be at a particular percentage. We also do not advocate that the level be fixed. Indeed, a sliding scale, whereby royalties increase after a certain level of sales, is sometimes desirable for both parties. If a sliding scale is being considered, is it calculated on the basis of the number of sales or on the monetary value of sales? (The difference can be significant if many of the sales are of portions of the collection.)

Most U.S. publishers pay royalties on the "net invoice price" or "normal retail price." The terms may be defined differently from one contract to another, but the sense is customarily the same: royalties are paid on the money actually received, taking discounts into account, and not on sales taxes, excise duties, handling charges, or shipping expenses.

Differing definitions probably are not important, but there is one practice that can affect the return in royalties: some international companies customarily give a large discount, perhaps 50%, to a distribution branch in another country, rather than the smaller discount that a nonaffiliated distributor would receive. Royalties are then paid on the lower price. Typically, libraries and archives accept that publishers pay royalties on the money actually received for the product (the "net invoice price") but may wish to negotiate excluding intracompany discounts from the allowable deductions from the invoice price. It is also desirable for the contract to specify how the royalty will be calculated when a publisher compensates another library or archive with product credit in lieu of royalties.

- If more than a single institution contributes to a project, how will royalties be distributed? According to level of contribution? (If so, when collections overlap, which library's holdings will be filmed?)
- If a guide is prepared by the library or archive and is financially an important part of the product (not usually the case), are royalties to be received on it? Is the publisher free to remainder the guide or otherwise dispose of it without prior approval?

Forms of Compensation

Compensation can be in the form of a percentage of sales, i.e., a royalty. This is common. Another option is payment in kind. This can take the form of free copies of filmed materials; credits toward products of the publisher, based on the amount of filming done; or services provided by the publisher, such as preservation microfilming. Payment in kind is common when a library or archive is not the major source for the project. Least common of the forms of compensation is a one-time payment.

Taking Royalties in Kind

When compensation is measured in the form of royalties, a contract might provide a formula for transforming the amount of a cash royalty into an in-kind payment at a discount from the list price. It is generally in the interest of publishers as well as libraries and archives that this option exist.

Calculating Royalty Payments
A royalty reporting term must be noted in a contract, as well as the date by which royalties will be reported and paid. For example, the term might be the calendar year and the reporting date three months from the end of the calendar year. Publishers follow different practices, but each publisher, for accounting reasons, will usually wish to have uniformity across all of its projects. It is desirable to identify the officer to whom reports and payments are to be sent.

Will the statement record the names of purchasers? Some publishers consider the information to be proprietary and confidential; some libraries or archives who wish the information argue that supplying it can be advantageous for both the institution and the publisher.

Some institutions in the United Kingdom may be legally required to obtain a certificate of account.

Audits of the Publisher's Books
Include a provision for auditing the books in order to provide a mechanism for resolving possible disputes over royalties. Such a provision must cover the amount of advance notice to be given, plus the conditions under which the library or the publisher pays for the audit. Multiyear access to the publisher's records for a project may be required by internal or external institutional officers.

Free Copies
It is customary for a publisher to supply a copy to a library or archive whose resources contribute significantly to a project. This may be in the form of a second-generation negative or a third-generation positive, or both. When the contribution is smaller, a publisher may offer a discount on the product or give credits based on the amount of filming. It is desirable that the parties be agreed about whether the credits are for pages or frames, or some other unit of measurement.

Ownership of the Camera Masters
Libraries and archives, as well as publishers, have a common interest in ensuring that master negatives are properly stored and fully accessible for making new reproduction masters. Any divergence between libraries or archives and publishers has to do with ownership, especially over the long term. Publishers are definitely concerned with ownership, for they see the masters as major assets of the firm, part of what enables it to increase in value. Libraries are, however, usually not concerned with ownership but only in long-term proper storage and access. They generally consider their possession of second-generation negatives to be sufficient to ensure access.

Events of Termination

The library or archive must be protected in the case that the worst of fates should overtake the publisher, e.g., failure of a publisher to pay its debts, assignment for the benefit of creditors, appointment of a receiver, bankruptcy, or liquidation.

A library or archive also needs protection at some earlier point. Some of the circumstances that may be covered are a publisher's failure to begin work on a project by a certain date, poor quality, breaking off the project before completion, failing to put the film on sale, ceasing to supply copies to buyers, and nonpayment of royalties.

Both parties might ask what would happen in the event that a publisher, in good faith, determines a publication to be economically or operationally inviable.

Is there a clause for terminating further filming? (This is independent of the issue of ownership of masters.)

Effects of Termination
- What obligations of the publisher continue upon termination? (Among the possibilities are continued royalty payments as well as provisions for storage of masters.)
- What are the duties of the publisher upon termination?

Assignment
Publishers would ideally like unlimited right of assignment, i.e., freedom to turn

over to other parties all rights and ownership in the project. Libraries and archives wish to be able to control who will subsequently be their business partner. One compromise can be to spell out precisely the type of reorganization that the publisher may undertake, while still retaining rights without consulting the institution.

MISCELLANEOUS

Responsibility for Copyright Clearance

Different types of material require different steps and kinds of copyright clearance. With printed material the records of the Copyright Office must often be checked, and then the owner of the copyright needs to be contacted. In the case of manuscript material, the creator of the manuscript or records, or the heir or successor, needs to give clearance. Who carries out what steps is a matter for negotiation, particularly because the library or archive can sometimes be in a better position to obtain permission. Another issue for negotiation around copyright is who assumes responsibility for costs arising out of a claim of copyright violation. Both libraries and publishers feel themselves vulnerable, despite—or perhaps because of—the apparent absence of any claim having ever been brought. It may be that librarians and archivists, in negotiating the acquisition of material with literary heirs or holders of the rights to archival and manuscript collections, should attempt to secure permission for future microform reproduction.

In the United Kingdom, manuscripts are no longer in perpetual copyright; the law now provides for life of the creator, plus fifty years. Because it is difficult to trace owners, the Treasury Solicitor advocates the following clause in British Library contracts (Carpenter, 95):

> The Publisher will make all reasonable efforts to obtain the consent of the owners of the copyright in the manuscripts included in these collections where copyright still subsists. In the event of failure to trace copyright owners or obtain their consent, the Publisher will indemnify the British Library against any legal actions or costs incurred as a result of publication.

Construing the Agreement

A contract needs to specify whose laws will apply in interpreting it in case of dispute. Publishers prefer that all their contracts specify the laws of the same state. Libraries and archives need to check the requirements of any parent institution.

Notice

Provision needs to be made for notice of noncompliance. A telephone call is insufficient, as is a letter sent by ordinary mail, because there is no proof that notice was received. What constitutes formal notification?

Signatures on the Agreement

The contract should be signed by the individual who has the legal authority to bind his or her organization, but at the same time, it may be desirable to record formally on the document the assent of the individuals responsible for actually carrying out the library's commitment.

PART FOUR: FILL-IN FILMING

Although these guidelines focus on contract negotiations for a project in which one library or archive is the sole or the major supplier, publishers often want to do fill-in filming, with compensation usually in the form of credits. The importance of completeness—at reasonable cost—makes fill-in filming worthy of special consideration.

Fill-in can be defined as materials required because they are unavailable, imperfect, or unfilmable in the major source institution or institutions. For the sake of convenience, the term also applies to modest amounts of material that supplement a project.

It is obviously in the interest of the library and academic community that publishers do fill-in filming, and many libraries do make their holdings accessible. Others do not, or else ask a fee that is not appropriate for microforms, given the small market and price inelasticity. (In some instances, a fee of $500 is requested. Because the average price of a monograph in microform is between $10 and $20, the publisher must sell twenty-five to fifty

copies just to break even—a sales figure that is not usually attained.) There is a logic behind a given institution charging the same fee for all forms of reproduction, because costs of retrieval, decision making, record keeping, correspondence, billing, shipping, and the like are not dependent on the method of reproduction. The publisher's return, however, varies greatly, with the market for microforms being very small.

The frequency of requests complicates the situation. Some repositories almost never are asked to lend material for commercial reproduction, which means that, instead of going through the decision-making process, they may find it easier to refuse to lend the material. Some, if they were generous, would find the number of requests to be burdensome, with the return very small. (Some publishers offer three cents per page credits.)

Some publishers believe that the major source institution for a project should assume more of the burden of seeking fill-in materials, by identifying where an item can be found and then arranging for a microfilm copy. There is logic to this position, for the source institution in that way would obtain for itself a complete copy of a work or a copy of a work that fills out its holdings. In fact, it may actually receive a royalty on the film, because in practice publishers find it cumbersome to deduct for a few items filmed elsewhere.

This subcommittee urges that libraries and archives recognize the importance of projects being complete and that they take responsibility for helping to make them so. A mechanism would be to give preservation staff the responsibility for fill-in filming and the requisite decision making. Preservation staff across the country customarily work together to ensure completeness, and it is desirable that they include microform publishers in their community. Along with being in a position to fill requests for film and to record the existence of films, preservation staff might be expected to monitor the frequency of requests. If the number of requests to any one institution is sufficiently high to warrant fees, it will be necessary to obtain a decision as to whether the fee should be in the form of page credits redeemable against product or service, or in the form of one-time cash payments or prorated royalty.

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f i l m o p l a s t

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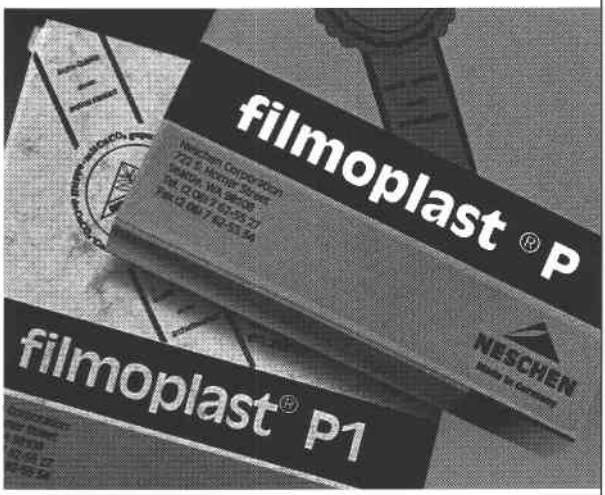

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ERRATUM

Digital-to-Microfilm Conversion: An Interim Preservation Solution

Anne R. Kenney

Errors occurred in printing the table and figures that accompanied "Digital-to-Microfilm Conversion: An Interim Preservation Solution," in *LRTS* vol. 37, no. 4 (Oct. 1993), pp. 380–401.

The corrected table and properly labeled illustrations are reproduced here. In the table, the rendering of smaller type sizes at 600 dot per inch (dpi) scanning is described. The left-hand column, which indicates the type size ranging from 6-point to 2-point type, was inadvertently deleted in publication. The point of this table is to draw a comparison between the point size, the calculated digital Quality Index (QI) rating, and the reproduction quality as determined by visual inspection. In most cases, the visual inspection corresponded to the QI rating, thus confirming its utility in determining the resolution of digitally produced film.

The reproductions of pages from the monograph used in this experiment were intended to illustrate the comparative quality of microfilm printouts from a conventionally produced microfilm to the digital computer output microfilm (COM), and finally to pages printed directly from the digital file. Unfortunately, the illustrations were mislabeled. As the examples on pages 90–95 indicate, image quality is greatly degraded in creating a printout from microfilm, but the tradeoffs between resolution and tonal reproduction as represented in the two film versions should be apparent. The third example of the same pages illustrates the superior quality that can be obtained by printing directly from the digital files themselves.

This article was based on research being conducted at Cornell University to test the feasibility of using digital image technology to preserve and improve access to deteriorating library materials. The findings of an experiment to produce microfilm from digital images by means of an electron beam recorder were reported. Staff at Cornell evaluated the quality of the microfilm, computed its "digital resolution" based on a formula recently developed by a technical committee of the Association of Information and Image Management (AIIM), and compared it to printers' type sizes used by publishers during the period 1800–1950. Based on these analyses, the staff concluded that a scanning resolution of 600 dpi is sufficient to produce digital computer output microfilm that meets American National Standards Institute/Association for Information and Image Management (ANSI/AIIM) standards for image quality for virtually all books published during the period of paper's greatest brittleness.

ANNE R. KENNEY is Associate Director, Department of Preservation and Conservation, Cornell University Library.

TABLE 1

THE RENDERING OF SMALLER TYPE SIZES AT 600 DPI SCANNING

Point Size	Source[1]	Typeface	x-height (mm)	Digital QI Rating[2]	Reproduction Quality[3]
6	*Specimen Pages*	Oldstyle #1	1.20	Excellent	Excellent
6	*Specimen Pages*	Oldstyle #1 Italic	1.20	Excellent	Excellent
6	*Specimen Pages*	Oldstyle #3	1.30	Excellent	Excellent
6	*Specimen Pages*	Oldstyle #3 Italic	1.30	Excellent	Excellent
6	*Specimen Pages*	Modern #2	1.40	Excellent	Excellent
6	*Specimen Pages*	Modern #2 Italic	1.40	Excellent	Excellent
6	*Specimen Pages*	Modern #3	1.20	Excellent	Excellent
6	*Specimen Pages*	Modern #3 Italic	1.30	Excellent	Excellent
6	*Specimen Pages*	Devinne	1.20	Excellent	Excellent
6	*Specimen Pages*	Devinne Italic	1.20	Excellent	Excellent
6	*Handbook of Printing Types*	Plantin	1.20	Excellent	Excellent
6	*Handbook of Printing Types*	Plantin Italic	1.10	Excellent	Excellent
6	*Handbook of Printing Types*	Baskerville	1.10	Excellent	Excellent
6	*Handbook of Printing Types*	Baskerville Italic	1.10	Excellent	Excellent
6	*Handbook of Printing Types*	Times New Roman	1.20	Excellent	Excellent
6	*Handbook of Printing Types*	Times New Roman Italic	1.20	Excellent	Excellent
6	*Handbook of Printing Types*	Perpetus	1.20	Excellent	Excellent
6	*Handbook of Printing Types*	Perpetus Italic	1.10	Excellent	Excellent
6	*Handbook of Printing Types*	Bodoni	1.10	Excellent	Excellent
6	*Handbook of Printing Types*	Bodoni Italic[4]	1.00	Excellent	Excellent
6	*AIIM Scanner Test Chart*	Spectra	1.20	Excellent	Excellent
6	*AIIM Scanner Test Chart*	Times Roman	1.00	Excellent	Excellent
6	*AIIM Scanner Test Chart*	Century Schoolbook Bold	1.10	Excellent	Excellent
6	*AIIM Scanner Test Chart*	Bodoni Italic[4]	0.90	Medium	Excellent
6	*AIIM Scanner Test Chart*	News Gothic Bold Reversed	1.20	Excellent	Excellent
6	*AIIM Scanner Test Chart*	Spartan Medium	0.90	Medium	Excellent
5	*Book of Specimen Pages*	Modern #10[5]	1.10	Excellent	Excellent
5	*Book of Specimen Pages*	Modern #10 Italic[5]	1.10	Excellent	Excellent
5	*Practice of Typography*	Unknown, Solid	0.90	Medium	Good
5	*Practice of Typography*	Unknown, Solid	0.95	Medium	Good
5	*Stephenson Blake Printing Type*	Modern #17	0.90	Medium	Good
5	*Stephenson Blake Printing Type*	Modern #17 Italic	1.00	Excellent	Good
5	*Stephenson Blake Printing Type*	Modern #20	1.00	Excellent	Medium

Point Size	Source[1]	Typeface	x-height (mm)	Digital QI Rating[2]	Reproduction Quality[3]
5	*Stephenson Blake Printing Type*	Modern #20 Italic	1.00	Excellent	Medium
5	*Stephenson Blake Printing Type*	Grandby	0.90	Medium	Good
5	*Stephenson Blake Printing Type*	Grandby Bold	0.90	Medium	Good
4	*AIIM Scanner Chart*	Spectra	0.90	Medium	Medium
4	*AIIM Scanner Chart*	Times Roman	0.70	Medium	Medium
4	*AIIM Scanner Chart*	Century Schoolbook Bold	0.80	Medium	Medium
4	*AIIM Scanner Chart*	Bodoni Italic	0.60	Medium	Medium/ Marginal
4	*AIIM Scanner Chart*	New Gothic Bold Reversed	0.80	Medium	Medium
4	*Practice of Typography*	Unknown, Solid	0.65	Medium	Medium
4	*Practice of Typography*	Unknown, Leaded	0.70	Medium	Medium
4	IEEE Test Chart	Spartan Medium	0.60	Medium	Medium/ Good
2	IEEE Text Chart	Spartan Medium	0.30	Poor	Poor

[1]*Book of Specimen Pages*, New York: Vail Ballou Press, 1934; *A Handbook of Printing Types with Notes on Style of Composition and Graphic Processes Used by Cowells*, London: W. S. Cowell, Ltd., 1947; Thedore Low De Vinne, *The Practice of Typography, A Treatise on the Processes of Type-Making, The Point System, the Names, Sizes, Styles and Prices of Plain Printing Types*, New York: The Century Co., 1900; *Stephenson Blake Printing Types, The Caslon Letter Foundry, Sheffield England*, Sheffield, England: 1969; *AIIM Scanner Test Chart #2*; IEEE Std 167A-1987.

[2]There are four levels of *QI* defined in ANSI/AIIM MS23-1991:
Excellent—all alphanumeric characters easily readable, with serifs and fine detail resolved (*QI* = 8)
Medium—all alphanumeric characters readable without difficulty, but fine detail and serifs may be lost (*QI* = 5)
Marginal—readable (*QI* = 3.6)
Poor—characters barely legible, unacceptable (*QI* = 3)

[3]Cornell staff measured reproduction quality in five categories:
Excellent—all alphanumeric characters easily readable, with serifs and fine detail represented
Good—letters separate and distinct serifs rendered, some thickness of lines
Medium—all alphanumeric characters readable without difficulty, but fine detail and serifs may be lost
Marginal—readable
Poor—characters barely legible

[4]Variation in reading between the two samples for Bodoni.

[5]Poor reproduction of lower-case letters in original volume.

Printout from Conventional Film.

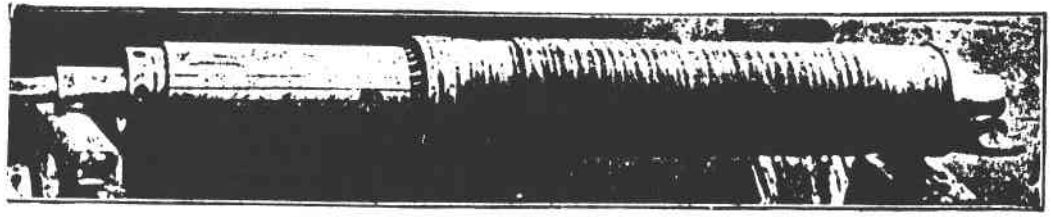


Fig. 23.

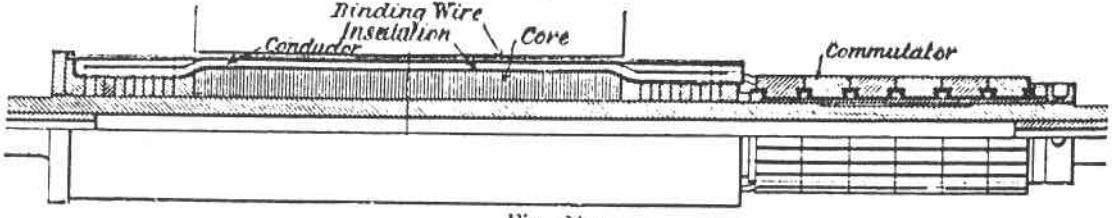


Fig. 24 *a*.

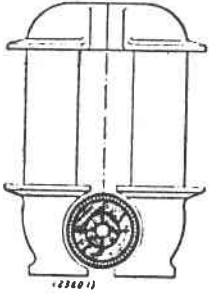


Fig. 24 *b*.

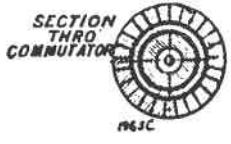


Fig. 25.

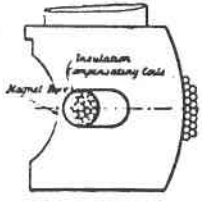


Fig. 26. Compensating Winding made in 1885.

Figs. 23 to 25. Dynamo of 1884, driven by First Turbine.

Figs. 23 to 26. Early Turbine-Driven Electric-Generator.

from 80,000 to 120,000 or more. With the first figure a loss of efficiency of about 10 per cent. below the highest attainable is accepted, and with the latter figure the deficit is only about 3 per cent.

The construction of a suitable dynamo to run with the turbine involved nearly as much trouble as the turbine itself: the chief features were the adoption of very low magnetic densities in the armature core and small diameters and means to resist the great centrifugal forces as shown in the views on page 18. The dynamo was also mounted in elastic bearings. Now that the turbine has found its most suitable field in large powers to which we always looked forward and as the speed of revolution has been consequently reduced, elasticity in the bearings is less essential, and in large land plants and in marine work rigid bearings are universal.

There are many forms of turbines on the market. It is only necessary, however, for us here to consider the four chief types which are:—

Printout from Conventional Film.

Printout from Digital COM.

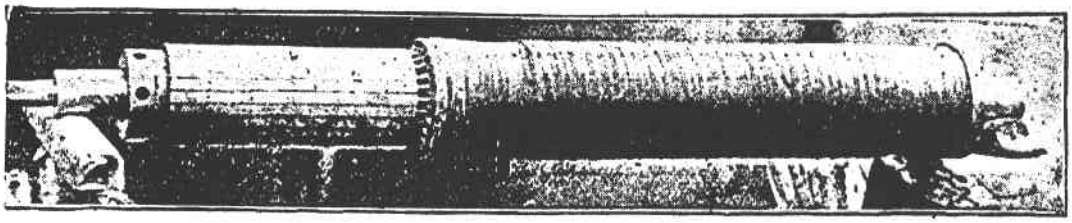


Fig. 23.

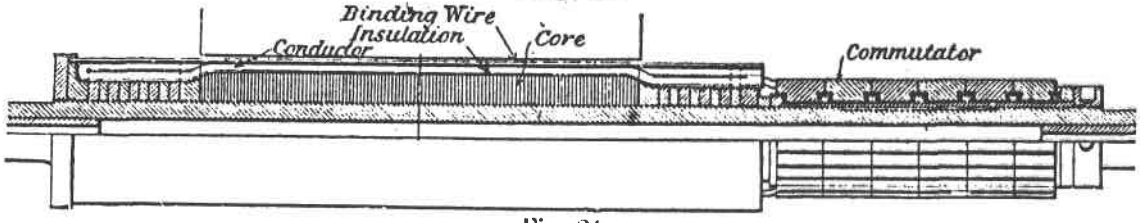


Fig. 24 *a*.

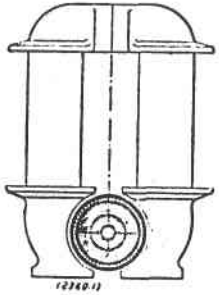
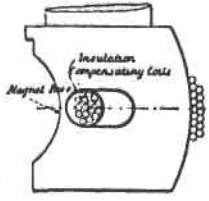


Fig. 24 *b*.

Fig. 25.



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There are many forms of turbines on the market. It is only necessary, however, for us here to consider the four chief types which are:—

Printout from Digital COM.

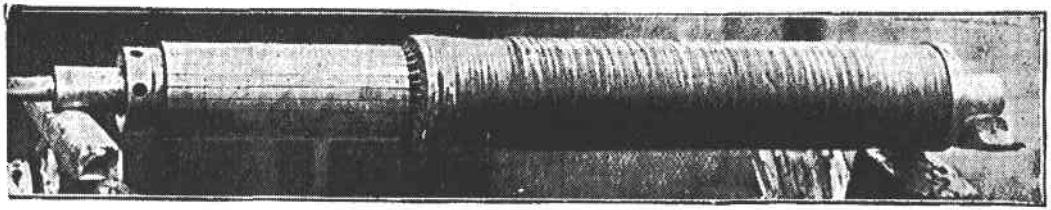

Fig. 23.

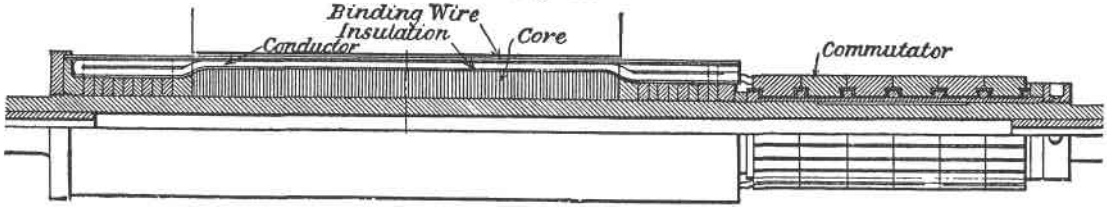

Fig. 24 *a*.

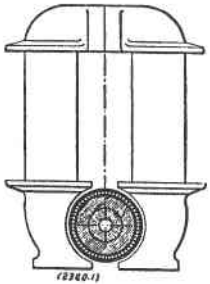

Fig. 24 *b*.

Fig. 25.

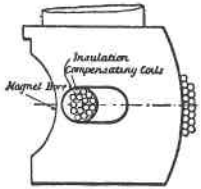

Fig. 26. Compensating Winding made in 1885.

Figs. 23 to 25. Dynamo of 1884, driven by First Turbine.

Figs. 23 to 26. Early Turbine-Driven Electric-Generator.

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from 80,000 to 120,000 or more. With the first figure a loss of efficiency of about 10 per cent. below the highest attainable is accepted, and with the latter figure the deficit is only about 3 per cent.

The construction of a suitable dynamo to run with the turbine involved nearly as much trouble as the turbine itself: the chief features were the adoption of very low magnetic densities in the armature core and small diameters and means to resist the great centrifugal forces as shown in the views on page 18. The dynamo was also mounted in elastic bearings. Now that the turbine has found its most suitable field in large powers to which we always looked forward and as the speed of revolution has been consequently reduced, elasticity in the bearings is less essential, and in large land plants and in marine work rigid bearings are universal.

There are many forms of turbines on the market. It is only necessary, however, for us here to consider the four chief types which are:—

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Book Reviews

Lawrence W. S. Auld, Editor

The Emerging Virtual Research Library. Comp. Nancy Schiller. SPEC Kit 186. Washington, D.C.: Association of Research Libraries, Office of Management Services, 1992. 191p. (ISSN 0160-3582).

"Virtual library," "logical library," "electronic library," "distributed digital library," and "library without walls" are phrases that say something about the aspirations of contemporary information technologists and librarians. When the virtual library is fully realized, the user will have access to universal knowledge without delay and at his or her own desk. The virtual library vision is a reasonable expansion of resource sharing goals that libraries have been pursuing for years.

SPEC Kit 186, *The Emerging Virtual Research Library,* provides a timely assessment on the progress of Association of Research Libraries (ARL) members toward realizing the virtual library. The Systems and Procedures Exchange Center (SPEC) survey shows that 93% of the responding libraries are connected to the Internet, although only 59% are training faculty and students in the use of Internet resources; 49% of the responding libraries subscribe or intend to subscribe to electronic journals; 42% are involved in digitizing text for electronic storage, retrieval, or dissemination; 43% have an e-mail interface allowing users to initiate interlibrary loan and document delivery requests, to suggest purchases, or to ask reference questions from within the online catalog; 85% are using or downloading electronic document delivery services; 81% include the holdings of other libraries in their online catalogs; 81% currently are or were involved in planning and developing a campuswide information system at their institution; 72% provide or intend to provide a gateway from their online catalog to external databases or networks; 66% provide access to full-text databases; 80% were or are developing or implementing policies, services, or reallocations that emphasize access over ownership; 61% are involved in the cooperative development or purchase of electronic files or hardware; and 55% had changed or experimented with staffing patterns or organizational structures to support access to electronic information. A number of libraries noted increased cooperation and coordination between the library and computing services on campus. These survey results suggest that online catalogs are no longer electronic versions of card catalogs but are evolving into one of several components of a larger, integrated, multidimensional information system.

The volume is arranged in the usual ARL SPEC kit format: a flier and documents from selected ARL libraries. The flier provides an excellent overview and a summary of survey results. The accompanying planning documents, goals and mission statements, and descriptions of eight information systems provide readers with a network of institutions moving in this direction for further contact and interaction.

Like many other ARL SPEC kits, internal documents included in the volume make the volume a disjointed and dry reading. This is not a book to read from cover to cover at one sitting, but an excellent reference tool that is informative about the current status of realizing a virtual library

and how ARL directors are identifying and prioritizing issues. I recommend this volume for those involved in planning for the future of our libraries.—*Judy Jeng, Rutgers University, Newark Campus.*

If We Build It: Scholarly Communications and Networking Technologies. Proceedings of the North American Serials Interest Group, Inc., 7th Annual Conference June 18-21, 1992, the University of Illinois at Chicago. Ed. Suzanne McMahon, Miriam Palm, and Pam Dunn. New York: Haworth, 1993. 326p. $24.95; paper, $19.95 (ISBN 1-56024-450-X). LC 93-19928. Also published as *The Serials Librarian* 23, nos.3/4 (1993).

Impact of Technology on Resource Sharing: Experimentation and Maturity. Ed. Thomas C. Wilson. New York: Haworth, 1992. 196p. $32.95; paper, $25.95 (ISBN 1-56024-391-0). LC 92-33112. Also published as *Resource Sharing & Information Networks* 8, no.1 (1992).

Both of these volumes focus on the current preoccupation of North American librarianship: the transforming impact of electronic communications technology on the exchange and distribution of information and documents and, thus, on libraries. *If We Build It,* the proceedings of the 7th Annual Conference of the North American Serials Interest Group (NASIG), presents nine papers from three plenary sessions, including one joint session with the Society for Scholarly Publishing, in which speakers address issues related to the shift of scholarly communication from print publication to electronic transmission. Also included in the volume are reports and some papers from conference breakout sessions and workshops, mostly on the more quotidian topics of 1992 serials management such as claiming. *Impact of Technology on Resource Sharing,* edited by Thomas C. Wilson, consists of ten papers and an annotated bibliography that survey library uses of communications technology in a range of cooperative activities from union catalogs to interlibrary loan to shared Internet access.

As readers might expect, both volumes show characteristics common to theme-compilations: repetition, imperfect integration of material, disparate use of the same vocabulary by different authors, and contradictions among different authors' presentations. They promise more than they deliver. In addition, both show typical characteristics of analyses of ongoing changes: speculation and calls for inspired leadership rather than presentation of specific research findings, uncritical summaries of chronology rather than critical history, and reports on the use of new technologies in old activities juxtaposed with assumptions that the activities themselves are on a fast track out. These facts don't necessarily make the volumes less important reading for librarians. As Clifford Lynch remarks in his address to NASIG, "It is probably impossible to explore fully [the implications of information technology and computer communications networks for transforming scholarly communications] at this time, since the ultimate results of this process have yet to be defined" (p.16).

In his introductory essay in *Impact of Technology*, Wilson argues that "a broader definition of resource sharing [than interlibrary loan] is in order" (p.1). But this isn't new, for as several of the essays in this volume demonstrate, many librarians already use the term in a larger sense to encompass, for example, the sharing of local automated systems or of bibliographic records (and by implication the specialized personnel resources required for their creation). Two papers, by Albert H. Joy and by Charles A. Schwartz, concern use of electronic technology in the longstanding activity of cooperative collection development, particularly in devising and implementing more rigorous methodologies. "A Union Catalog on CD-ROM," by Linda L. Thompson and Keiko Cho Horton, describes the development of the Houston Area Research Library Consortium's union catalog; interestingly, at the time of writing, the only library that had fully implemented the union catalog experienced a reduction rather than an increase of in-consortium interlibrary loan (ILL) activity. Louella V. Wetherbee suggests that libraries' use of shared local au-

tomated systems is moving bibliographical networking in the direction of decentralized databases connected through the Internet—creating a nationwide, rather than a national, bibliographic database. Bernard G. Sloan describes ILLINET Online, and Mark H. Needleman discusses implementation of the Z39.50 information retrieval protocol by the University of California MELVYL system. While much of the information in *Impact of Technology* is available elsewhere (sometimes in other papers by the same authors), this reader was previously unaware of the project described by Janet Meizel in which Davis High School students and teachers gained Internet access through a data link from the University of California–Davis. An annotated bibliography compiled by Patricia A. Kreitz reveals the problems inherent in the library world's use of multiple meanings for the word "networking," and the contents of this bibliography make for instructive reading. Articles listed tend to be descriptive or inspirational, or perhaps strategic, in nature. Though Wilson notes that ILL, still an important form of exchange of bibliographic resources, "as presently conceived and implemented, cannot hope to survive in this information age" (p.1), none of the authors addresses the difficulties inherent in resource sharing among organizations without having ownership rights in the information they propose to share. In this context, Summerhill's contention that the "major barriers hindering the development of networked information resources in academic research libraries . . . are managerial or administrative in nature . . . " (p.123) seems facile.

In "The Transformation of Scholarly Communication and the Role of the Library in the Age of Networked Information," *If We Build It* keynote presenter Clifford Lynch provides a stimulating and—for libraries hoping for immediate fiscal relief through communications technology—somewhat alarming analysis of the current transition period. He flatly states that "we will enter a period where the economics of information access will become much more complex and volatile" (p.11) and that hope for immediate reduction of information costs is "only wishful thinking" (p.10). Lynch identifies problems with the "just-in-time" solution and with proposals for universities to "take back the rights" to faculty members' intellectual property. He doesn't propose any alternative other than major university libraries serving as brokers to smaller libraries. In another plenary paper, Gary J. Brown supports Lynch's economic analysis: "The simple fact is that we don't know what [networked information] will cost" (p.111). In sophistication and admission of uncertainty and volatility, the economic predictions in this volume were more compelling than the comparatively naive discussion of price and charging issues in an essay by James E. Rush in *Impact of Technology* (e.g., Rush's suggestion that "the information industry would establish a uniform price for each distinct form and type of material" [p.154]).

Among other interesting and varied offerings in the NASIG volume, classicist James J. O'Donnell discusses the revolutionary role of the codex in arranging and processing information during the early centuries of the common era; he suggests that, as has been the case with electronic communications, "our non-linear access to information will increase exponentially" (p.33). Librarian Anita Lowry identifies a key difference—one that is economic and contractual, rather than technological—in the distribution of electronic information: Libraries are licensed to access information sources; they do not own them. Hence, they are experiencing new limits on their use and secondary distribution. I was disconcerted by a statement by humanities automation guru Willard McCarty that in the electronics communication forum, "one's institutional status, age, sex, race, corporeal features, and so forth are irrelevant . . . what counts is . . . only what you say" (p.87), when clearly those factors influence what we say and how we say it—a thought that underpins much ongoing work in the humanities. Nevertheless, I was grateful to see the words "technological and moral determinisms"—concepts infrequently encountered in library literature—in McCarty's paper (p.94), albeit in a coda and not the

main body of his discussion. And I was impressed by Karen Schmidt's thoughtful essay, "Professionals or Professionless, Information Engineers or ???," in which she notes both that "librarianship is not solely driven by the marketplace [but] . . . is a service-driven, not-for-profit enterprise" (p.103), and that "embracing new technologies is a positive, realistic, and wholly familiar step for us" (p.106). The combination of Lynch's remarks about the "'purchasing collective' economics that support libraries in their current form" (p.12), his assertion that libraries "are contributing little or no intellectual capital to supporting the networks or networked information" (p.17), and Schmidt's observations about librarianship's service orientation suggest to this reader the possibility that we are having difficulty reconciling our value assumptions with the emerging economic structures of communications.

I would guess that the title for NASIG's 7th Annual Conference comes from the film *Field of Dreams,* in which a character maintains, "If we build it [i.e. a baseball field], he will come." But the concerns of whoever "he" is are almost entirely absent from this volume and, when addressed, are mostly assumed to be narrowly defined as those scholars associated with academic research. And who is the "we"? To what extent do those who comprise this "we" pursue a common purpose? Is it our own dream we are driven by? Are we in control of our field of dreams? Maybe we're not the whole ballpark here. Maybe we need to think about what is happening to the system of communications, not in terms of technology but rather in terms of economics and values. Neither of these volumes does so, but the NASIG volume might provide a few tentative places to start.

Haworth's method of photoreproduction sometimes results in print that is very slightly uneven in size from line to line (see *Impact of Technology*, p. 2, first full paragraph, for an example). Otherwise, both volumes seem attractive and durable. Both titles also appeared as journal numbers. The NASIG volume is longer; but its pages 123–299 consist of interesting but uneven breakout session and workshop reports, so the difference between the volumes in total length of substantial papers presented is less than might appear from comparing numbers of pages. The NASIG volume is less expensive, and only the NASIG volume has an index.

On balance, then, for academic or special libraries that did not receive these titles as part of journal subscriptions, I would recommend purchase of *If We Build It.* While it might hold little information that is unavailable elsewhere and raises more questions than it can answer, it does so through several noteworthy and thought-provoking essays. It also provides a summary of serials librarians' concerns and practices during the past year. Thus, at its moderate price, *If We Build It* is a good continuing-education value. On the other hand, for *Impact of Technology* I would recommend that most libraries use the individual-article approach to access advocated by some of these volumes' contributors.—*Carolynne Myall, Eastern Washington University, Cheney.*

Managing the Economics of Owning, Leasing and Contracting Out Information Services. By Anne Woodsworth and James F. Williams II. Brookfield, Vt.: Ashgate, 1993. 204p. $49.95 (ISBN 1-85742-018-7).

The transformational changes underway in the delivery of information services are perceptively addressed in this important volume by Anne Woodsworth, Dean of the Palmer School of Library and Information Science at Long Island University, and James F. Williams II, Dean of Libraries at the University of Colorado. The book's intent is best described by the authors early in the first chapter:

> To identify and describe the most important factors that must be considered in making decisions about the optional ways to provide access to information—in short, the best way to use the humans, the machines, and the intangible resources known as information, particularly at the organizational level. (p. 2)

The first two chapters describe how information systems work within the organization and the various options for in-house or contracted provision of services. Information resources, services, delivery,

and technology are covered in the next two chapters. Special emphasis is given to the scholarly communication system, the shift from collecting to access, CD-ROM products, delivery systems, turnkey solutions, buying versus leasing, legal issues, electronic libraries, and outsourcing criteria and strategies. Shared or cooperative routes and costs and charging options are each allotted a separate chapter. The concluding chapter offers a tiered-service model that embraces in significant measure a charging strategy to attain the highest level of information performance. Supplementing the narrative furnished by the authors are comments by eighteen library and information specialists that are interspersed throughout the main text. Most of the expert commentary is by management-level personnel, with nominations for most discerning accorded to William Y. Arms, Harold Billings, John Black, Malcolm Getz, Maurice Glicksman, David A. Hoekema, Ward Shaw, and K. Wayne Smith.

At the heart of this book is the clash of values between the primary tenets of many librarians and the imperatives of a rapidly evolving information environment. For the traditional librarian, constancy may be found in the notions that goodness will sell itself, information ought to be free, all information has equal value, and growth is limitless—a perspective focused on the collection of information, not on accountability or measurable service outcomes. In sharp contrast to this conventional image is the dynamic information environment that is forcing a reassessment of first principles and service strategies. The cost of information is rising, new formats appear with numbing frequency, and inflation rates for new containers routinely outstrip average consumer price increases. These factors, together with promising electronic technologies, require new and creative approaches. Outsourcing, privatization, and charge mechanisms are endorsed as the wave of the future.

For the authors, shaping core services in the future will require a tiered model. In this approach, the levels of service begin with "generic" and move upward to "anticipated," "enhanced," and "hallmark." Each service level defines a more comprehensive end-user service. Hallmark service, for example, might call for summaries or abstracts that synthesize materials, electronic transmission of requests, guaranteed delivery time, delivery in a format specified by the client, and STI (scientific and technical information) options. This highest level of service will be possible only as a cost-recovery activity. For such services to materialize, library staff must acquire, in Bill Arms' felicitous phrase, an "altered consciousness about information." Creation, innovation, and candid evaluation must become imbedded in the mindset of librarians before sustained advances can be achieved.

Williams and Woodsworth know that not everyone will agree with their mixed internal-external economic model. Uneven in parts and with some underdeveloped topics such as legal issues, this book nevertheless crackles with cogent arguments and fearless pronouncements.—*Arthur P. Young, Northern Illinois University, De Kalb.*

Opportunity 2000: Understanding and Serving Users in an Electronic Library; Festschrift in Honour of Herbert S. White. Ed. Ahmed H. Helal and Joachim W. Weiss. Publications of Essen Univ. Library, 15. Essen: Universitätsbibliothek Essen, 1993. 328p. paper (ISSN 0931-7503; ISBN 3-922602-17-7).

Serving a dual purpose as a proceedings volume and a festschrift for Herbert S. White, this book includes twenty-four papers that were delivered at the 15th International Essen Symposium. Speakers from the United States, Canada, Israel, and seven European countries addressed the theme of the electronic library, defined as an integrated network of libraries exchanging all kinds of information in digital as well as other formats. The articles explore the diverse facets of creating the electronic, or virtual, library, including the implementation of continuous change, management and collection issues, the role of the academic library in a networked environment, new roles for librarians, training faculty, service implications, imag-

ing and optical character recognition (OCR) techniques, user interfaces, intelligent gateways, Wide Area Information Services (WAIS), CD-ROMs, and client-server systems. Several case studies highlight the experiences of individual libraries, most notably the creation of an electronic library for a new university at Milton Keynes in the United Kingdom and the development of the ALEPH system.

Although the quality of the papers varies, the topic of each is timely and relevant. There is a fair balance, also, between the practical and the philosophical. In two key articles, for example, White encourages librarians to use vision in developing stronger roles as information intermediaries, and Lancaster warns that technology might actually encourage mediocrity in library and information services. Bertha's proposal for a hypercatalog and Beckman's and Pearson's scenarios for changing to a just-in-time collection model should interest technical services librarians. The global nature of the electronic library is underscored by the international scope of the papers.

Supporting materials include a preface (with biographical information about White), lists of participants and vendors, and a summary by David J. Price. All of the articles are in English, most include a bibliography, and a few have charts and illustrations. One weakness is the lack of a general index.—*Laverna Saunders, University of Nevada, Las Vegas.*

Popular Culture and Acquisitions. Ed. by Allen Ellis. New York: Haworth, 1992. 146p. $26.95; paper, 21.95 (ISBN 1-56024-299-X). LC 92-17522. Also published as *The Acquisitions Librarian,* no. 8 (1992).

Most academic librarians have, until recently, considered public libraries to be the only appropriate possible reservoirs of popular culture. However, with popular culture becoming a viable component of a number of disciplines within the academic curriculum, academic librarians must alter that view. Ellis' volume includes ten articles and a bibliography on the role of popular culture in academic libraries.

The most comprehensive article is Barbara B. Moran's introductory essay, "Going Against the Grain: A Rationale for the Collection of Popular Materials in Academic Libraries." She discusses the gap between "high" culture, the usual realm of academic collecting, and "low" culture, which is rarely represented in academic collection development policies. She outlines the various problems associated with collecting popular culture and the need for immediate attention to these issues. The very mass of material necessitates cooperative collection development. Given the ephemeral nature of the materials, which are after all produced cheaply for the mass market, preservation efforts are required. Because many retrospective collections belong to individuals, donors must be cultivated. She urges librarians to break out of the "cultural ghetto" that narrowly defines culture in our collections.

The authors of the articles that follow address the problems Moran presents. L. S. Caswell discusses working with potential donors. Nena Couch describes the cooperative acquisition of a manuscript collection by two geographically distant university libraries. W. E. Jarvis suggests time capsules as a model for preserving the widest possible variety of representations of popular culture.

The remaining essays are about collections of specific types of popular culture. Gillian M. McCombs uses the Historical Children's Collection at the University of Albany, State University of New York, to illustrate the preacquisition, acquisition, and postacquisition challenges of integrating a specialized collection into a university library. Doug Highsmith proposes the development of "focused" comic book collections to enhance existing collection strengths. In "An Unsuitable Job for a Librarian?" Gina Overcash surveys detective and mystery fiction's role in academic literature collections. N. L. Buchanan defends the inclusion of popular romances in the popular culture collections and discusses the review sources the creative librarian must use to survey this genre. In the only article to examine nonprint media, W. L. Schurk looks at the acquisition of popular recordings.

Most librarians responsible for acquisi-

tions will have already surveyed these articles in *The Acquisitions Librarian*. However, for those who haven't, this volume offers some useful information. The articles are inevitably uneven, both in analysis and quality of writing, but the enthusiasm of the writers is contagious. It is unfortunate there is no index. And, the quality of print, at least in this reviewer's copy, is quite poor.—*Mary Margaret Benson, Linfield College, McMinnville, Oregon.*

Serials Cataloging: Modern Perspectives and International Developments. Ed. by Jim E. Cole and James W. Williams. New York: Haworth, 1992. 415p. $75.00; paper, $59 (ISBN 1-56024-281-7). LC 92-18492. Also published as *The Serials Librarian* 22, nos. 1/2 and 3/4 (1992).

Serials Cataloging: The State of the Art, edited by Jim Cole and Jackie Zajanc and published in *The Serials Librarian* in one issue (vol. 12, nos. 1/2, 1987) is now complemented with another work of basically identical subject and format, which also appeared in *The Serials Librarian* in two separate issues (1992). This new publication is an attempt to provide the serials professional with timely and relevant information applicable to the 1990s. It is intended mainly for catalogers whose responsibilities include the cataloging or recataloging of serials, but also any noncataloger interested in current serials cataloging issues. Because of the changes and new developments in serials cataloging that occurred within five years following the release of the first work, it was appropriate for Haworth Press to publish another similar publication. The focus of this work, however, centers on current cataloging practice and theory, modern developments and future prospects, and greater international serials cataloging perspectives. The editors, Jim E. Cole (Iowa State University) and James W. Williams (University of Illinois at Urbana-Champaign), emphasize that this publication does not replace, but rather updates, the earlier volume: "Together the two works record the advances made in the cataloging of serials since the implementation of the *Anglo-American Cataloguing Rules* more than a decade ago" (p.1). One can, however, read or consult either volume without the other.

Serials Cataloging: Modern Perspectives and International Developments is a good-sized document (more than double the size of the first work), suitably organized into four sections with a total of twenty-three enlightening articles, most with bibliographical references, and an index. A brief summary appears at the beginning of each article. Charts, forms, or facsimiles are included in selected articles. Serials catalogers using the NOTIS system in their libraries can instantly relate to—and perhaps apply—one article's facsimiles of the NOTIS technical services and online catalog screens showing the retrieval, description, and status of a serial. Mary H. Monson (University of Iowa) provides excellent examples from the OASIS online catalog, depicting the index screen and bibliographic, copy holdings, volume holdings, and order pay receipt records. Nearly all of the articles are well written and thought provoking. A couple of articles, however, are slow reading due to writing and organizational style. Diversity of viewpoints from different people is essential for an outstanding collection of articles on a subject; the inclusion of two authors who wrote two articles each slightly diminishes the value of this work.

To accentuate the variety of perspectives, the first section, "Education and Training," contains two articles covering the formal and informal education for serials catalogers. Kathryn Luther Henderson (University of Illinois at Urbana-Champaign) describes the essence of her twenty-five years of teaching the fundamentals of serials cataloging to library school students. Professional catalogers dealing with the complex and challenging nature of serials, no doubt, will agree with her "personality of their own" assessment of serials (p.3). Jeanne M. K. Boydston (Iowa State University) gives a unique overview in her survey of the amount of involvement—or in some cases, limited involvement due to lack of interest or lack of moral or financial support from the employing library—in continuing education

and staff development activities among serials catalogers.

The second section, "Cataloging Practice, Theory and Current Developments," includes twelve articles covering the many facets of serials cataloging today. Several articles are case studies, others are discussions of current cataloging practice or theory, and yet others are focused on a specific concern of interest to serials catalogers. To show the section's mixture, high points of articles follow. One of the editors, Williams, gives an informative overview of serials cataloging from 1985 to 1990; some of the highlights of that period are also mentioned or featured in individual articles. Rhoda R. Engel (University of Illinois at Urbana-Champaign) explains the UIUC Library's copy-cataloging procedures and workflow for serials. Lori L. Osmus (Iowa State University) outlines the complex steps catalogers usually take in the recataloging of serials, based on a decision-making model from the business world. John J. Riemer (University of Georgia) details the results of a subject analysis survey of the full participants of the CONSER program and also lists the recommendations of the CONSER Subject Analysis and Classification Task Force for eventual inclusion in the *CONSER Editing Guide.* The next two articles are about the controversial usage of uniform titles for serials: in one we are told that the *Anglo-American Cataloguing Rules,* second edition (*AACR2*) would not have worked for serials without the uniform title, and in the other the impact of uniform titles in connection with the multiple-versions dilemma and the union listing of serials is discussed. Todd Butler (formerly with the Library of Congress Serial Record Division) and Beverley Geer-Butler (formerly with Ohio State University) both describe one component of serials cataloging usually forgotten or ignored, newspaper cataloging. Butler explains the essence of newspaper cataloging and the development of the *Newspaper Cataloging and Union Listing Manual.* Geer-Butler, on the other hand, describes her unique experience as the main cataloger during the cataloging and inventory phase of the Maryland Newspaper Project. The multiple-versions question, once again, appears in the next two articles, Canadian and U.S. perspectives on microform reproductions. The last article is a report on a time and cost study comparing the Serials Cataloging Section with monographic cataloging at Iowa State University.

"International Aspects," the third section of this work, contains six articles covering the diverse outlooks of serials cataloging abroad. Some might wonder why the article on the microform reproduction cataloging at the National Library of Canada was not included in this section. Canadian colleagues might prefer to be part of the international sphere. Patrick F. Callahan (Ball State University) gives a detailed comparison of *AACR2,* 1988 revision, and the new version of the International Standard Bibliographic Description for Serials (ISBD(S)). The next article also describes *AACR2R* and ISBD(S), but specifically with the *International Serials Data System Manual.* Albert A. Mullis (British Library) provides a perspective from the United Kingdom. The seeming lack of interest among British catalogers for following certain aspects of *AACR2* is noted. Jasmine Cameron (National Library of Australia) explains the successful application of the National Bibliographic Database for cooperative collection and control of serials in Australia. The next article, from Italy, gives the past and current trends in serials cataloging in that country. Finally, Kremena Zotova (Cyril and Methodius National Library at Sofia, Bulgaria) emphasizes the importance of serials registration in the current national bibliography.

The last section, "Options for Change," includes three reflective articles, all dealing with the revolving concerns of serials catalogers: the perplexing issue of whether to resort to latest-entry cataloging, the importance of the Linked Systems Project for universal authority and bibliographic access and the avoidance of unnecessary duplication of records among different databases, and the significance of the name main-entry heading in the online catalog. Mary M. Case and Kevin M. Randall (Northwestern University) report on their library's decision to return to latest-entry

cataloging for selected title changes and, also, detail the results of an informal survey among Association of Research Libraries members regarding their preference for either latest-entry or successive-entry cataloging. Mary Ann Sheble (University of Alabama) and Carolyn Havens (Auburn University) give an update on the Linked Systems Project's current and projective applications and the relationship those applications have to serials cataloging. Olivia M. A. Madison (Iowa State University) discusses the history and current usage of the name main-entry heading and stresses its important role in today's automated environment.

Serials Cataloging: Modern Perspectives and International Developments is recommended for any serials cataloging professional who wants to be aware of current national and international developments in the field. This is especially true for anyone who has not had the opportunity to read the earlier work, *Serials Cataloging: The State of the Art.* One might question the uniqueness of the latest title on serials cataloging given the previous, similar work; perhaps a different focus or format for a future collection of articles might be in order. This work, however, still serves as a notable addition to the professional or personal collection of the practicing serials cataloger.—*Margaret Prentice Hecker, Kentucky State University, Frankfort.*

Training Paraprofessionals for Reference Service: A How-To-Do-It Manual for Librarians. By Julie Ann McDaniel and Judith K. Ohles. How-To-Do-It Manuals for Libraries, no.30. New York: Neal-Schuman, 1993. 180p. paper, $39.95 (ISBN 1-55570-084-5). LC 93-9883.

Training manuals are difficult to write, so it was with pleasure that I read and inspected the work of Julie Ann McDaniel and Judith K. Ohles. The authors begin by discussing the use of paraprofessionals in reference service. They recognize and describe the circumstances that have made employment of paraprofessionals necessary (e.g., inclusion of paraprofessionals allows the library to increase service hours). They also give equal space to the reasons for not employing them (e.g., their presence might imply that reference service isn't taken seriously enough to be staffed full-time by librarians). The authors, assuming the employment of paraprofessionals, devote the remainder of the manual to presenting a well-organized and carefully developed training program.

The manual begins with a section on planning that includes writing job descriptions, outlining goals and objectives, and compiling orientation and training needs for each of the tasks in the job description. This could possibly be the most important section in the book, because it forms the foundation that is often missing for employees: an adequate job description upon which all training and evaluation can be anchored.

The trainer is not left out of the equation, for also included in the planning section are guidelines for choosing a trainer and a list of the trainer's responsibilities. The trainer is addressed again in the last section, evaluation and revision.

The bulk of the manual is devoted to the reference interview and training modules that include use of the catalog, encyclopedias, book reviews, periodical indexes, online resources such as InfoTrac and PsycLIT, business information, and government information. As a cataloger, I was especially interested in the section on using the catalog. The authors clearly state that there are a variety of catalogs in libraries and that the catalog section is "intended to help you consider some of the topics that might be covered in a discussion about using a catalog whether the format is cards, microfilm, microfiche, or online" (p.94). There is an emphasis on subject searching that pleased my cataloger's heart, and that is adaptable to any catalog environment. The last section describes the evaluation and revision process, providing guidelines and tests for performance evaluation. The manual concludes with an extensive bibliography and an index.

Two features of the manual enhance its usefulness: the typography is easy to read, and the margins are put to good use to present tips, references, overviews, etc.

The sections that caused me concern were ones that could easily become outdated. For example, the InfoTrac and PsycLIT training is specific to the current structures of these tools (e.g., current searching techniques, location of function keys, and other keyboard-specific information). The entire manual contains references to current topics and tools, but the modules generally lend themselves to easy adaptation as reference tools and hot topics come and go. The two modules mentioned above could require extensive modification as technology and searching techniques evolve.

While McDaniel and Ohles have written this excellent manual to help train paraprofessionals, it would be useful in planning for the orientation and training of any new reference department employee, whether professional or paraprofessional.—*Beverley Geer-Butler, Trinity University, San Antonio, Texas.*

University Libraries and Scholarly Communication. By Anthony M. Cummings and others. Washington, D.C.: Published by The Association of Research Libraries for the Andrew W. Mellon Foundation, 1992. 205p. (ISBN 9-918006-22-8). LC 92-44941.

This report is based on research initiated by the Andrew W. Mellon Foundation to study the future place of libraries and scholarly publications in the context of the research library. Using as their source information gained from twenty-four research libraries ranging in size from moderate to large, the researchers were able to extrapolate data for the period 1912–1991.

The introduction states clearly that this study was undertaken to verify two basic points: (1) continually increasing numbers of desirable publications and their spiraling prices are jeopardizing traditional research libraries' mission of creating and maintaining large, self-sufficient collections, and (2) development of new technologies creates new ways of organizing collections and providing services, which might offer new ways to resolve price increases.

The subsequent six chapters illustrate the first point in great detail. Trends in library acquisitions, salaries, and pricing are described. The percentage of money allocated for salaries has actually decreased as it has been shifted to cover the cost of serials, internal automated systems and their support, and external database access. This shift has been slow, but constant. The number of librarians per volume in each collection has decreased, creating a further problem: fewer librarians are responsible for maintaining significantly larger collections and providing access to increasing amounts of external information, such as commercial information retrieval databases.

In addition, these libraries have consistently funneled a larger percentage of their yearly budgets into paying for basically the same number of materials. They have in return received a lower proportion of the general and educational expenditures from their university administrations. Meanwhile, the prices for library materials, especially serials, increased as the budgets of libraries decreased. The serials that have increased in price most dramatically are technical journals and foreign-based science titles. Even taking into account the inflationary figures, the prices have increased steadily beyond reasonable amounts. Libraries have been faced with some serious decision making to find ways to compensate for these facts. As monographic collections are sacrificed to pay for ever-increasing serials prices, primary collections have changed.

Another factor considered within the context of this report concerns the sharp fluctuations in the number of volumes added per annum. There has always been a close correspondence between trends in higher education in general and the number of library volumes added. There was a leveling off in the increase in the rate of volumes added in university libraries during the 1970s and 1980s. However, there was a tremendous increase in the total number of items published during the same period, which created a large gap in the information available for purchase versus the information acquired by the sample group. Some general discussion is included of the pressures existing at universities to publish, which has further increased the quantity of information.

Salaries have historically accounted for at least 50% of the budget in most libraries. Other than a brief period in the 1960s, when staffing nearly doubled, libraries have consistently decreased numbers of staff to shift monies to other functions. In the last two decades, there has been a large increase in the outlay of money for computers and automation. Most of these funds have been reallocated from salaries and monographic material budgets.

Much of what is contained within the chapters of Part II has been extensively covered within the library literature but is rarely read outside of this closed community. The report cites most of the current information on serials pricing and the publishing controversy, and while it offers no new insights on what is being discussed, it provides a good encapsulated version of the current discussions within the library field. It takes into consideration the future possibilities available through the use of new technology, including the redefined library offering more than the traditional services, while remembering its basic mission in the midst of constant change. The authors raise the question of whether libraries and researchers can take back control of the information contained within their publications through these new technologies, or whether they will only forfeit more. Can they maintain the integrity of the knowledge, while continuing to guarantee basic access? The main thrust of the total report comes down to one major issue: libraries need more money.

The report is written in dense, heavy prose, which makes for difficult reading at best. Given that a partial intent of the report is to foster monetary support for libraries, this choice of style is unfortunate, because it could hamper the report's potential for a larger audience. The charts and graphs liberally sprinkled throughout Part I help to make the text less intimidating. Additionally, the appendixes include several pieces of useful information: details of the criteria for inclusion of data from the chosen research libraries; a copy of the questionnaire used in the sampling and its instructions; and tables of volumes added per library, library expenditures, numbers of titles published by country, and the average book prices. The data and research detailed in the report validate opinions that have been widely held by librarians for many years, but this is the first such study of its kind done by those outside the library world. Providing that those who handle the money do actually take the time to read it and use the data, the information contained in the report has the potential to be extremely helpful to the library community.—*Pamela Burton, East Carolina University, Greenville, North Carolina.*

Letters

From Carolyn O. Frost, Associate Dean and Professor, School of Information and Library Studies, University of Michigan:

The review of Arlene Taylor's eighth edition of *Introduction to Cataloging and Classification* (Jan. 1993) suggests some strengths of the edition, but takes issue with the extent of material included on the *Anglo-American Cataloguing Rules* (*AACR2*). I would like to present an alternative opinion, as well as suggest some additional strengths of the new edition.

A significant criticism leveled at the book is that almost half of it is focused on the 1988 revision of *AACR2*. While some might argue that this bibliographic standard has received disproportionate balance, it might also be said that *AACR2*, with all its shortcomings, embodies our most exhaustive and ongoing attempt to codify bibliographic practice. There is a strong case to be made for incorporating *AACR2* into classroom instruction for beginning students, and this includes students in all areas of the profession, not just catalogers-to-be. It can be argued that organization and access are at the core of what we do as a profession, and standards such as *AACR2* deserve careful examination as prospective, although not necessarily inevitable, models for nontraditional as well as traditional environments and applications. In grappling with the teaching of this standard, I have found that self-instruction in this regard, as suggested by the reviewer, can be immensely frustrating. My twenty years of teaching experience in this area argue strongly against Thomas' assumption that *AACR2* is "suitable for private study." While "logically structured," it is in many ways as intellectually inaccessible as a legal code. For those who expect students to have a working familiarity with this basic tool, a selection of rules, LC interpretations, and examples remains immensely helpful. In particular, if *AACR2* itself is not to be used as a required text, a textbook containing a substantive selection of excerpts is invaluable.

The reviewer notes the reflection of new editions in standards such as *DDC*, *LCC*, *LCSH*, Sears, and *AACR2*. It should be added that Taylor's chapters on *LCSH* and *DDC* not only reflect new material, but also evidence a fresh approach in terms of their organization and articulation. The first chapter provides a framework for bibliographic control, and then places into that framework a discussion of catalogs and the cataloging process. In the chapter on subject arrangement of library materials there is a new discussion of the process of determining what an item is about. In the section on *LCSH*, there is a representation of LC authority records for subject headings, which is useful in introducing the concept of authority control procedures in the context of subject headings.

The criticism that the book failed to include *Bliss' Bibliographic Classification* in the bibliography overlooks the fact that *Bliss* does appear in the notes, which list extensively the completed volumes of the second edition of *Bliss*. It should also be mentioned that, in this regard, *Bliss* received treatment consistent with schemes such as *UDC*, Colon, NLM, and INSPECT.

Taylor's newest edition continues to offer a solid underpinning for the study of the bibliographic standards that have formed the foundation of bibliographic organization and access and that merit consideration in the development of new models for a changing information environment.

From Marvin H. Scilken:

I commend Professor William C. Robinson for researching book pricing, a subject of great interest to me ("The Page Price of Popular Fiction and Nonfiction

Books: An Exploratory Study," *LRTS,* October 1993).

Readers of Professor Robinson's article may be interested in the hearings ("The Alleged Price Fixing of Library Books") before the U.S. Senate Anti-Trust & Monopoly Subcommittee, chaired by Senator Philip Hart in March of 1966.

Because it would have added a great deal of complexity to the research, Professor Robinson did not include discounts in his computations. I hope future research will be able to include this factor. My gut feeling is that figuring in discounts will raise the actual relative cost per page to libraries for many scholarly and publishers' library editions of children's books.

I want to thank Professor Robinson again for validating my interest in book pricing.

As budgets get tighter I hope more of us will follow Professor Robinson's lead and seek the best value when buying books.

It may be of interest to *LRTS* readers to know that a history of the price fixing of library books in the 1950s and 1960s has yet to be written. It would make an ideal dissertation topic. Some of the people involved are still alive.

From Peter S. Graham:

James D. LeBlanc has made a useful contribution to the discussion of more effective cataloging ("Cataloging in the 1990s: Managing the Crisis (Mentality)," *LRTS,* October 1993, p. 423–33). His most concrete points are his most useful, as when he speaks for the need for more simplified rules, good training, and proper use of good paraprofessionals at high levels.

However, when LeBlanc's discussion is more abstract it seems founded upon semantics rather than reality. He takes issue with the idea of a "crisis" in cataloging that is fifty years old, and he's right; fifty years of cataloging intake overwhelming output is too long to be a crisis. So let's just call it a continuing problem. But apparently that isn't good enough either, for he proposes wishing the problem away: "the idea of reducing the priority of the backlog problem bears investigation" (p. 431). LeBlanc doesn't take sufficiently into account the real world of faculty complaints, congressional concern, the publication explosion, electronic formats, and the increasing cost of cataloging.

"Some access is better than none" he labels as "the motto of those who align themselves on the quantity side of the quality versus quantity dispute" (p. 426). LeBlanc has created a dispute where there is none. I know of no one, certainly not the people he cites critically such as Carol Mandel, who wants lower quality in cataloging records. What we want is access in the face of great odds.

LeBlanc doesn't engage the motto he quotes with arguments that might show why letting materials await full cataloging is better than making them available now. His main point is that if less is done now, it won't be good enough and will never be done right (this doesn't stop him from very reasonably proposing that in-process records be made a kind of minimal cataloging, another example of his semantic approach). His proposals to do it right presume increases in funding from sources he doesn't name.

Speaking for myself: LeBlanc manages in two places to distort what I have written as though I favor extraordinarily minimal cataloging. In fact I only advocated analysis of what the most minimal record might be in order to determine what is really needed in varying circumstances. I may have laid myself open to such misinterpretation. However, I suspect he was seeing only what he wanted to see—a "dispute"—for he mis-cited my article in *JAL* as "Quantity in cataloging" when its title was actually "Quality in cataloging."

From Jim LeBlanc:

Peter Graham presents some valid points in his critique of my essay, "Cataloging in the 1990s." I have perhaps delineated too exclusively two legitimate, though not always compatible, concerns regarding current trends in cataloging attitude. Phrases such as "the quality versus quantity dispute" do indeed tend to paint black and white what is, in reality, a more variegated debate. Insofar as my text may represent other commentators' current

positions in an overly reductive or even somewhat misleading way, I apologize for any weak reading of their arguments on my part. There are, however, a few points of rebuttal I'd like to make in regard to Mr. Graham's analysis of my piece.

First of all, I'm a bit uneasy about Graham's rather cavalier cleaving of "semantics" from "reality." There is a significant difference, I think, between a dilemma that is perceived as a "continuing problem" and one that is thought to be a "crisis." Regardless of the "reality" of a situation, it is our attitude towards it that dictates our plan of action. Moreover, "reducing the priority of the backlog problem" is hardly tantamount to "wishing the problem away." Reprioritizing reflects a change of attitude towards the arrearage, not a repression of its very nature as problem-to-be-solved.

If access to certain categories of material is demanded by a given clientele, then by all means, let's move that material to the head of the line for *full access* cataloging. If that same clientele is less interested in access to other materials, then there is little harm done in parking these items in an in-process collection where they are likely to have as much bibliographic access as MLC would render them anyway, and at little or no extra cost. I grant that such indefinite-term backlogging temporarily reduces physical access to these items, but in the end, their bibliographic access will be greatly enhanced with full cataloging, thus permitting their discovery by future generations of catalog users.

As far as Graham's article is concerned ("Quality in Cataloging: Making Distinctions" *JAL* 16: 213–18), his distinction between what is "essential" in a catalog record and what is "useful" appears to be heavily oriented towards a bare-boned, stripped-down essentialism that requires only that data be input correctly. Graham suggests that such frills as authority control are to a catalog user what a Mercedes-Benz is to one in need of a car: a luxury. True enough, Graham might be hypothesizing here, suggesting bottom-line elements in a "most minimal record," but his value-laden, dichotomous characterization of data elements as either essential or *merely* useful stretches the significance of his argument beyond that of a simple hypothesis.

Finally, with regard to my incorrect citation of his article, touché! You got me there, Mr. Graham. Sorry about the (obviously Freudian) slip.

Erratum

A version of "The Hidden Classification in Library of Congress Subject Headings for Judaica," by Bella Hass Weinberg, which was published in *LRTS* vol. 37, no. 4 (Oct. 1993), pp. 369–79, was originally presented at the convention of the Association of Jewish Libraries in June 1992.

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The purpose of *LRTS* is to support the theoretical, intellectual, practical, and scholarly aspects of the profession of collection management and development, acquisitions, and technical services by publishing articles (subject to double-blind peer review) and book reviews, and editorials and correspondence in response to the same.

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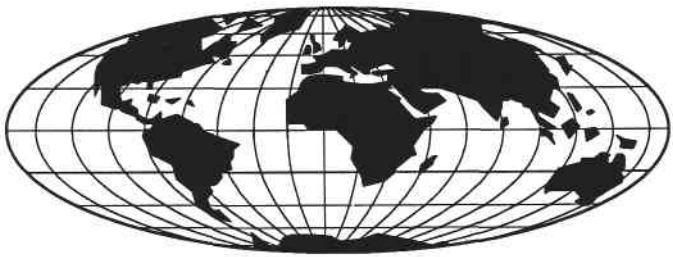

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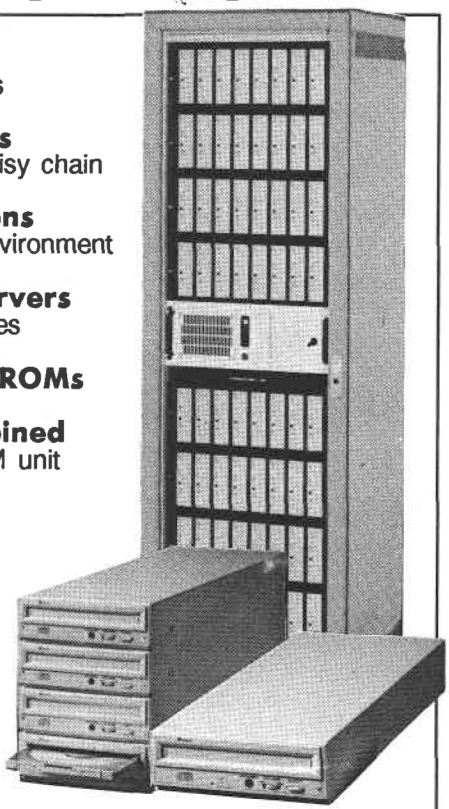

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