

**A Study of the rules  
for Entry and Heading  
in the Anglo-American  
Cataloguing Rules, 1967  
(British text)**

**Michael Gorman**

**025.3  
G 68 S**

**Library Association**

025.3  
G 68 S



A Study of the rules for Entry  
and Heading in the Anglo-American  
Cataloguing Rules, 1967  
(British text)

*By*  
MICHAEL GORMAN, A.L.A.

LONDON  
THE LIBRARY ASSOCIATION  
1968

CATALOGUED

DATA ENTRY

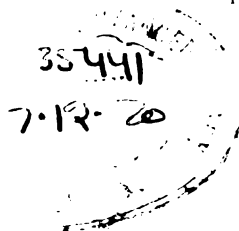
This study of the Anglo-American Cataloguing Rules, 1967 (British text) is confined to chapters 1-5, on entry and heading, and is based very largely on work I did, while a research assistant at the North Western Polytechnic, on the application of the new rules to the British National Bibliography. The study attempts to summarize those conclusions of my work which are of general interest.

My thanks are due to the Council of the British National Bibliography, Ltd., and to the North Western Polytechnic School of Librarianship, for their generosity in allowing me to use the results of my work in this publication.

MICHAEL GORMAN

© Michael Gorman, 1968  
Published by The Library Association  
7 Ridgmount Street, London, W.C.1.  
SBN: 85365 011 X

Reprinted 1969  
Reprinted 1970



Library IAS, Shimla

025.3 G 68 S



Set in 10 on 11pt Garamond. Series No. 156

*Made and printed in England by*  
STAPLES PRINTERS LIMITED  
*at their Rochester, Kent, establishment*

# CONTENTS

<b>I. Principles, structure and methods of application.</b>	5
1. Authorship and choice of heading	5
2. Personal names: form of headings	9
3. Corporate authorship and corporate name problems	11
4. Uniform titles: extension of organization	19
5. Added entries and references.	22
6. Entry and headings and the Paris principles	25
7. Practical application of the new rules	31
8. Major differences between B.N.B. practice up to 1967 and the new rules	34
9. Categories of heading derived from the new rules	38
10. Bibliography	40
<b>II. Summary of B.N.B. cataloguing practice up to 1967</b>	41
<b>III. Matters for further research</b>	65



PRINCIPLES, STRUCTURE AND METHODS  
OF APPLICATION

## 1. AUTHORSHIP AND THE CHOICE OF HEADING

RULE 1 in the revised Anglo-American cataloguing rules is "Enter a work, a collection of works, or selections of works by one author under the person or corporate body that is the author . . .". This rule is the primary instruction on the choice of a main entry heading. It is paralleled by similar rules in all previous cataloguing codes. All subsequent rules on choice of main entry heading in the new code are interpretations of this basic rule.

The first question raised by this rule is "do we need rules on establishing main entry headings when the idea of a main entry has been weakened by the introduction of unit entry catalogues?" Although the main entry is no longer dominant, it seems to me that there are reasons why "choice of heading" rules are necessary. Firstly, the unit entry card and sheaf catalogues are no longer the only type of catalogue in most libraries. Computer printout and other unconventional printing methods have made a revival of the printed book catalogue possible. The most usual structure in a printed book catalogue is of a main entry supported by shorter added entries and/or references. Secondly, a standard method of bibliographic citation has been an aim of many bodies in librarianship for a long time. An emphasis on main entries in catalogues will help to arrive at a standard citation by the author of a work. Thirdly, even in the most advanced mechanized system it is necessary to arrive at a formula for the generation of "labels" or "entry points" for a given work. The traditional consideration of authorship, and its consequent making of headings under other persons or bodies that have a claim to secondary authorship, and the necessary references to support primary and secondary headings, is the best and most widely understood formula in existence at the moment. Fourthly, classified catalogues and reference works, such as B.N.B., need a main entry heading which extends the subject specification of a work to the individualizing of the work by its author.

Having decided that the choice of heading is still a problem that merits serious consideration, two further questions arise: "What is an author?", "Within a satisfactory definition of an author, is authorship a suitable criterion for establishing a catalogue main entry heading?"

An "author" is not satisfactorily defined in the new code, nor in the previous cataloguing codes. No definition is attempted in the International Conference on Cataloguing Principles *Statement of principles* or in Lubetzky's critique *Cataloguing rules and principles*, both of which have had a strong influence on the new code. The definition given in the code is "The person or corporate body chiefly responsible for the creation of the intellectual or artistic content of the work". This more or less agrees with the definitions of Cutter, and the A.L.A. 1949 code. The idea of an author has evolved, therefore, from the simple "person who writes a work" to the complex "chiefly responsible for the creation . . . of the work". This increase in complexity is because of the increasingly complex nature of modern publications, and the growth of awareness of the difficulty of author cataloguing. It is notorious that many cases exist where a Solomon is needed to decide on the chief responsibility for a work. For example, a selection of the works of one author may reflect the idiosyncrasies of the person who did the selection far more than the original intentions of the author. The infinite complexities of corporate authorship are too well known to need comment. One fact needs to be remembered in considering authorship. The work to which one has to assign an author is the *physical* work not the *ideal* work. That is that the author may not necessarily be the person, persons or body in whose mind or minds the work originated, but may on occasions be the person, persons or body responsible for the current material form of the work. For example, a work is the published proceedings of a conference and not the conference itself. We lack an adequate definition of authorship. The idea of the person or body chiefly responsible for a work approaches such a definition but leaves some crucial problems unanswered. Therefore, though the 1967 A.A. cataloguing rules are firmly based on an author main entry heading, they lack an explicit adequate definition of an author.

"Given that one can decide on the author of a work, is the name of that author suitable as a main entry heading?" Cataloguing is concerned with the speedy and correct identification of works. A heading is assigned to a catalogue entry in the hope that this will be a label that will serve to connect the work to most people, most of the time. Historically, up to and including the 1967 A.A. rules, authorship has been used as the means to arrive at a useful heading for a catalogue entry. Though it is questionable whether the author of a work is *always* the most useful label, the fact is that all codes use the author as heading in all but the most intractably difficult cases. In the preface to the 1967 A.A. rules, it is stated that there are some exceptions to the principles of entry under the name of the author. On examination, these exceptions are not relevant. For example, rules 20-23 (Laws) are cited as examples of entry under "special headings denoting type or form of work". The headings given by these rules consist of the conventional name of a



government followed by a form heading. The form headings are unusual but are only the secondary element in a heading in which the first element is the name of a corporate author. The central idea of entry under author is not infringed by the addition of a qualifying form heading. A more relevant example that could have been cited is rule 16 (Nominal author or writer). This rule directs one to make the main entry heading for a ghosted work under the name of the person named as author, with an added entry under the "ghost" when he is openly named in the work. This is a commonsense rule in that a work is more likely to be known, and sought, by the name of the famous nominal author than by the name of the obscure real writer. Nevertheless, it must be recognized that this is an abandonment of authorship as it is indisputable that the person "chiefly responsible for the creation of the intellectual content of the work" is the "ghost" and not the person who puts his name to the work, perhaps without ever having seen it. Another instance that could have been cited is the second part of the directions on corporate authorship, a work issued by or bearing the authority of a corporate body, and describing that body, its function, procedures, facilities, resources, etc. (other than a formal history), is to be entered under the body. Here again the heading is commonsense, but is not necessarily an author heading. These examples would seem to suggest that one should use the name of the author as heading in all cases except those which might be sought by another heading. It is a weakness of the 1967 A.A. rules that they leave this small area, not covered by authorship, undefined. This not only fails to provide for a theory to deal with those cases better entered under a non-author heading, it also weakens the application of the idea of authorship, and makes definition of an "author" more difficult. Authorship is obviously a valuable element in cataloguing, but its usefulness would be increased if it were recognized that a completely author/title catalogue is not possible, and that certain other criteria could be used, in certain defined areas, to provide useful and commonsense catalogue entry headings.

Corporate authorship is only defined in the 1967 A.A. rules as an alternative to personal authorship. It is not defined in itself. This leads to an emphasis on the personal author as heading, as the corporate heading is only used in certain cases where the evidence is overwhelmingly in favour of the corporate author. A work of corporate authorship is defined as one "that is by its nature necessarily the expression of the corporate thought or activity of the body" or one "describing the body, its functions, facilities, procedures, etc." (rule 17). Corporate works have also to be issued by, or bear the authority of a corporate body. None of these attempts at a definition are very helpful, the first being completely subjective, capable of many interpretations. Here again one is forced to consider the sought heading. Will the catalogue user look for this book under the corporate body that issued it, or

the person who wrote it? This problem is obviously very difficult, practically and theoretically, but the inadequacy of the definition of a corporate author, combined with the inadequacy of the definition of an author, is a serious drawback in facing the muddle of corporate and personal authorship.

Accepting the premise that the problem in choosing a heading is the search for the author, the six basic rules in the 1967 A.A. code are an analysis of the various patterns in which authorship responsibility may be distributed. The basic rule on single authorship has already been discussed. The second rule, on anonymous works, is an inevitable adjunct to rule 1. If the author of a work is unknown or uncertain, then the only recourse is to enter it under its title. This probably tends towards a sought heading. Works of shared authorship are to be entered under the principal author, or the first named author, or under *title* if there are more than three authors. These are all the sought headings, but it is interesting to note that authorship is abandoned when it becomes diffuse, or, in other words, when it no longer gives a sought heading. Works produced under the direction of an editor are to be entered under his name, unless he does not appear to be primarily responsible for the work. Collections of works by different authors are entered under their compilers. These last two rules are extensions of the idea of authorship, providing for entry under the persons "chiefly responsible" for the work. Serials are entered under their titles, unless the title contains the name, or abbreviation of the name, of a corporate body. These last are regarded as being of corporate authorship and are entered under the body named in the title.

Guidance is also given on the various problems of mixed authorship. The basic rule of principal responsibility is explained through several examples (adaptor or original author: reviser or original author: corporate or personal author, etc.). These are individually of interest, and provide a systematic and logical approach to these various problems, that were scattered through previous codes. Other cases of mixed authorship that are not dealt with in this section will have to be dealt with as they arise using the idea of "chief responsibility" as a guide.

The final section of the choice of heading chapter contains special rules for some legal and religious publications. These merely give specific applications of the general rule of authorship, providing for entries under the governments (for legal works) or churches (for religious works) which are the corporate authors. In each case these works are followed by form subheadings. These subheadings are designed to bring together material of a particular type within the works of one author. They are rather inefficient collocating devices that have been retained for traditional reasons. If they were needed, they could have formed part of the uniform title. If not needed, they could have been done away with. However, they do collocate some

works and will have to be retained in catalogues for want of anything better. It is to be emphasized that the headings derived from these rules are basically corporate author headings with form subheadings. They are not form or subject headings.

## 2. PERSONAL NAMES: FORM OF HEADING

THE question of *choice* of heading, though still of great importance, does not constitute a critical problem in many cataloguing situations. No matter what type of catalogue may be used, and how many entry points may be provided, the *form* of names used as headings, tags, labels, or entry points is still a matter of concern. In the case of computer stored information, the form of words used to put a question will have to match the form of words that provide access to the answers. This means that an agreed method of citing personal names will be of great value to the future development of cataloguing as well as to the current provision of conventional catalogues. The dual aim of a catalogue entry heading is: (1) to "label" (or identify) a catalogue entry; (2) to collocate that entry with other entries to which it is related. These have been the aims of cataloguing since even before Cutter propounded them as such in 1876. These aims are furthered by the new code. This is in accordance with the I.C.C.P. principle which states that a work should be entered in a catalogue under a *uniform heading*. The uniformity of the heading is desirable for identification and collocation. Where the new code differs from previous codes, but is in agreement with the I.C.C.P. principles, is in the form of heading that is used to achieve these purposes. The previous cataloguing codes founded their form of name used on the "real" name of the person. This could either be the original form of name (as in A.A. 1908) or the current, latest form of name (as in A.L.A. 1949). The new code takes a third choice, the name by which a person is "commonly identified" ordinarily determined from the way that his name appears in his works. This parallels the form of name preferred by the I.C.C.P. principles, "the name by which the author is most frequently identified in his works, in the fullest form commonly appearing there". The hunt for the real name is no longer on. This reflects a utilitarian, commonsense approach to cataloguing, one that is likely to produce a sought heading. The assumption is that a person is likely to be known by the name he uses in his books, rather than the name that appears on his birth certificate. Works by the same author are brought together, only they are brought together at a place where they are likely to be sought. This recognizes that the name is a label to provide access to catalogue entries, to be used for as long as it provides efficient access to the

information; when it no longer does this, another name or form of name should be used. The name used as a catalogue entry heading defines the author in relation to his works; it does not provide a specification of the person as an isolated being. This use of the name as a label probably shows a change in the status of the author. In an individualistic age a man is important as a person as well as an author; the catalogue entry heading had to specify him as a person and as an author. The size and complexity of modern publishing has made the author a useful label for a work, no more than that. Extreme consistency and correctness in the use of names has been given up; acceptance of the commonly used form of name replaces it. This, to me, indicates an increased maturity in cataloguing. To accept the inconsistency of reality is difficult when one is trained to organize, but to impose patterns and order where none exists is to live in a world of fantasy.

The new code elaborates on its basic rule for personal names, to cover most of the problems that occur in dealing with these names. The problem of pseudonyms is dealt with by accepting a pseudonym as a heading. In the case of people who write under a number of names, one can either collocate all their works under one name or, as an *alternative*, enter each work under the pseudonym under which it appears, linking the works of one author by explanatory references. The rule is a product of the concern, as mentioned above, to collocate all works by the one person. This is based on the idea that all works by one person have a relationship which it is of value for the catalogue to show. Here, of course, one abandons the sought heading in favour of the desired collocation. The *alternative* rule retains the sought heading (the name found on the book) and shows the relationship between the works published under various names by means of references. This latter course seems the more reasonable to me. The pseudonyms used by modern popular writers are not devices to obscure the identity of the author; they are intended to categorize the type of work, the type of characters, or the style of writing that is used in the work. A person who writes historical novels under one name will write thrillers under another. No relationship of interest to the catalogue user exists between these books. If necessary, the connection can be traced by using the references. The rules may be suitable for great historic collections (though even in these a distinction must be drawn between scholarship and pedanticism), but the *alternative* rule is more in harmony with the practical nature of the code, and should prove more useful to most libraries of current material.

Other problems, such as the language or fullness of names, and the choice between different names for the same person, are dealt with in the light of the basic rule of the name by which an author is commonly identified. They are, in fact, applications of this general rule to specific problems.

Having chosen a heading and decided on its form, the remaining problem

is "under which element should the name be entered?" The new code analyses this problem structurally, from the point of view of national or linguistic usage. It is emphasized that when it is known to differ from the rule, personal usage takes precedence. The elements that can be used for entry are given as: surname; title of nobility; patronymic; given name or byname. The rules explain the incidence of these elements as entry points, and analyses various cases in some detail. This section shows particularly well the superiority of arrangement and the logicity of the new code. For instance, instead of random rules for saints, popes, etc., one has a general rule on the entry of persons under given names, and various illustrations of particular cases related to that rule. This accomplishes two things. Firstly, it relates the cases that are given to the general rule and to themselves. Secondly, it gives guidance on the form of entry even when a particular case is not cited.

Chapter 2 closes with rules on distinguishing dates and phrases, and special rules for names in various language groups.

### **3. CORPORATE AUTHORSHIP AND CORPORATE NAME PROBLEMS**

ONE of the most vexatious areas of cataloguing is the "corporate complex", as Lubetzky calls it. There are many problems involved in this complex. Many of these could be solved if one had an adequate answer to one basic problem, "What is a corporate body?" and two subsidiary problems, "When can a corporate body be considered to be an author?", "How does one enter a corporate author?"

1. A corporate body is defined, in the new code, as "any organization or group of persons that is identified by a name, and that acts or may act as an entity". This definition is useful in that it requires that a group should have a name before it can be considered to be a corporate body. This implies that a work by an unnamed group may be considered to be anonymous, thus avoiding the construction of such absurd and unsought headings as "Boston. Citizens.". The second part of the definition is not helpful. If a group cannot, or might not, act as an entity, it would scarcely qualify as a group. The action performed by a group that is of interest to the cataloguer is that of being concerned in the issuing of a document. If this elementary action has not been performed, a cataloguer will not be concerned with the group of men. The definition given in the code can therefore be reduced to "a group of persons that is identified by a name". This is what is meant by a corporate body in cataloguing terms.

2. The contingent problem is that of deciding when such a named group has such a close relationship with the initiation and issuing of a work that it might reasonably be described as the author of that work. Cutter's basically sound but general rule "Bodies of men are to be considered as authors of works published in their name or by their authority" has not been bettered in the intervening years as a statement on corporate authorship. The new rules do not distinguish between personal and corporate authorship in their basic rule on choice of heading. This view is, I think, an over-simplification of the problem. It is a fact that the varying degrees of involvement possible between a corporate body and a published work are more numerous and more complex than those between a personal author and a work. The various functions described as those of "author", "sponsor", "issuer", "publisher" or "published for . . ." and others commonly found in books, all involve degrees of responsibility that may or may not imply authorship. Lubetzky defines works of corporate authorship as being "communications purporting to be those of the corporate body and bearing the authority of that body". This definition is clear and adequate up to a point. That point being: what is implied by the words ". . . bearing the authority . . ."? Does this mean an explicit statement of corporate responsibility? or an inference drawn from the wording of the title page? The I.C.C.P. statement of principles (9) says that a work is of corporate authorship when it is "necessarily the expression of the collective thought or activity of the body" *or* "when the wording of the title or title page, taken in conjunction with the nature of the work clearly implies that the corporate body is collectively responsible for the content of the work". These two definitions are an attempt to reconcile two opposing views. First, that a corporate body can be an author; secondly, that a corporate body cannot be an author but may serve as a useful identifying label for a work. The reconciliation is not successful, as the two definitions tend to weaken each other rather than complement each other. The first depends on an application of the idea of corporate authorship, that is, it depends on an analysis of the relationship of the body to the content of the work. The second definition depends, to some extent, on the evidence of the title page and does not imply acceptance of authorship but acceptance of a degree of corporate responsibility that has to be combined with some title page evidence.

3. The only substantial discussion of the problem of corporate authorship in the new rules occurs at rule 17. That is, as a particular problem of mixed authorship named as the problem of distinguishing between a corporate body and personal writer as author. This rule presupposes that there is a class of material that is clearly and unequivocally of corporate authorship and that can be entered under an appropriate heading by applying rule 1. "Enter a book under its author . . .". This is, I feel, an over-simplification. Con-

siderable confusion exists in the practical application of corporate headings. This is a reflection of the lack of theory and theoretical exposition underlying the question of corporate authorship. The new rules do not offer a solution to the basic problem, "What is a corporate author?" The only attempt at a definition occurs in the rule on corporate/personal mixed authorship which says that a work is of corporate authorship when it is "by its nature necessarily the expression of the corporate thought or activity of the body". This is, of course, the same definition as the first definition in the I.C.C.P. principles. It depends on the degree of responsibility for the work which the cataloguer assigns to the corporate body. Later sentences in this rule name various types of work which fall into this category ("official records and reports, and statements, studies and communications dealing with the policies, operations or management of the body"). These named types of work and the definition combine to emphasize personal authorship, and to restrict corporate headings to those works that are obviously of corporate authorship. The next part of rule 17 introduces a different idea ("Enter under the corporate body a work, other than a formal history, describing the body, its functions, procedures, facilities, resources, etc., or an inventory, catalogue directory of personnel, list of members, etc."). This is an attempt to define a certain type of corporate author by the type of work issued. This can be seen as an extension of the first idea ("... necessarily the expression of the corporate thought or activity . . .") to another class of material. It can also be seen, more truly I think, as an attempt to give a sought heading for some classes of material, irrespective of the theoretical validity or otherwise of such headings. In fact, such works may have the corporate body as their *subject* rather than *author* but might well be sought under the name of the body in an author catalogue. These definitions and rules work very well as a guide to practical cataloguing in a situation where personal authorship is preferred for catalogue headings, and a corporate heading is only used for want of anything better. What they do not do is provide a reasoned and explicit definition of corporate authorship, or a comprehensible rationale for its application. Later sections of rule 17 give two classes of work that are not to be considered corporate works, these are "single reports . . . [embodying] the results of scholarly investigation or scientific research" and "all reports and studies prepared by consultants engaged for the particular purpose . . .". These two exclusions could run counter to the general instruction on corporate authorship in that they could well be "necessarily an expression of the corporate thought or activity of the body". The exclusion of single scholarly works is the result of a very common academic circumstance in which work of this nature is sponsored and published by a corporate body such as a university, the connection of the corporate body being less than that of authorship. This is a practical rule, therefore, but, nevertheless, such a single report might well form part of a

body of work relating to one subject area, for which, *as a whole*, the corporate body might be responsible. This over-all responsibility is probably best expressed by a series entry for the sponsoring corporate body, supplementing a personal entry for the individual items. The other exclusion, of reports produced by outside consultants, is not easily justifiable as a blanket exclusion. Many outside consultants' reports are independent and do not involve question of corporate authorship; many others are adopted by the corporate body as something of which they approve and which they intend to incorporate into their policy or corporate thought. A work specifically ascribed to an outside consultant (who could be personal or corporate) and not published as an official communication of the corporate body should be treated as being by the consultant. Other more difficult choices occur when the work is stated to be now the official policy of the corporate body, or when a title page contains some such wording as ". . . prepared with the assistance of X [an outside consultant]". In these cases there could well be good reason for entry under the corporate body, with an added entry under the name of the consultant.

The question "When can a corporate body be considered an author?" is not fully answered in the new rules. One has some generalized statements, some guide lines, and some indications. All these manifestations of the unstated basic theory will probably serve as a more than adequate practice, certainly as good as, probably better than, the same rules in previous codes. What they will not do is clear up the foggy area in most cataloguers' minds, the area that leads to an inconsistent application of half-understood principles.

4. The approach in the new rules, of attempting to define the sort of works that may be considered as being of corporate authorship, could be supplemented by a consideration of the relationship of the person who wrote the book to the corporate body which issued it. What is the purpose of the corporate body which issued the work? Why did the personal writers of the work write it, and in what capacity? How do these two functions interact? This would produce these rules: (1) A work may be considered to be of corporate authorship if (a) it is *clearly* and *unambiguously* an official statement of the body, *or* (b) if the person(s) who wrote the work (whether known or not) were *acting as an agent* of the corporate body in order to further the activity of the body or to express its corporate thought. (2) All other works may be considered to be of personal authorship. These two rules could help to focus the problem in the mind of a cataloguer when the new code rules have proved to be too vague.

5. Having decided on a corporate author, it is necessary to decide a form of heading for that author. In the past, the major expenditure of effort in corporate author cataloguing has been on the various subtle distinctions



between forms of name for corporate authors. This elaboration of rules has stemmed from an initial desire, once corporate authorship was accepted, to distinguish between bodies with distinctive names (to be entered under those names) and bodies with indistinctive names (to be entered under the place in which they were situated). This reasonable distinction later hardened into the two invented categories of: societies (i.e. bodies not identified with a place) and institutions (i.e. bodies identified with a place). These bred exceptions, and the whole edifice became, by 1949, ramshackle and absurd. Added to this were associated, but less difficult, corporate entry problems such as those of conferences, government bodies, and subordinate bodies. This mess of complex and wasteful rules was not dependent on any one consistent principle. This principle was supplied by Lubetzky. In effect he took a fresh look at the problem. One of the principal questions he must have considered was that of what unifying link all corporate bodies shared that would serve as a general principle. The answer lies in the new rules' definition of a corporate body ("An organization or a group of persons that is identified by a name . . ."). The common characteristic is *possession of a name*. The name of the body must therefore be used as the basis for a general rule on the form of entry for all corporate bodies. Lubetzky in his *Cataloguing rules and principles*, the I.C.C.P. principles, and the new rules, all argue for one general principle. In the I.C.C.P. principles this is "The uniform heading for works entered under the name of a corporate body should be the name by which the body is most frequently identified in its publications . . .". The primary rule on corporate entry in the new rules is "Enter a corporate body directly under its name, except when the rules that follow provide for entering it under a higher body of which it is a part, or under the name of the government of which it is an agency." The two exceptions are concerned with subordinate bodies which I shall deal with later. The basic problem that confronts the cataloguer now in dealing with *any* corporate body is "What is its name?", *not* "To what class of body does it belong?" This has the merit of at once being simpler and more practical than the provisions in previous codes. All corporate bodies have a name, by definition. This name serves to isolate, identify and distinguish them one from the other. It is also probable that the name of the body will be more likely to be a sought term than any other method of identification. Once this abolition of the distinctions between various corporate bodies is understood, the rules on bodies with variant names and subordinate bodies can be examined in the light of the basic rule.

6. The name of a corporate body may vary, both between the name as given on its publications and the name as given elsewhere (e.g. in reference works), and also within the publications. The obvious choice of name, in view of the practical approach of the revised rules, is to use the best known,

most common, "sought" form of name. It is accepted that the form of name given in publications of the body should be the first choice, variations of name in the publications are dealt with by establishing a precedence (formally presented name, brief form, official form, predominant form, most recent form). This order of precedence will probably produce a form of name by which the body will be best known. The rules on conventional names, language of names, etc., are consistent with the practical approach and the logicity of the rules. Corporate names do present a bewildering variety of forms. These rules will provide help in specific cases, and also provide a standard of practicality based on one principle which should produce an acceptable heading from the most complex situations.

7. The I.C.C.P. rule on subordinate bodies says "... a corporate body which is subordinate to a superior body should be entered under the name of the subordinate body, except if the name itself implies subordination ... or is insufficient to identify the subordinate body ... [or] if the subordinate body is an administrative judicial or legislative organ of a government. ... " Lubetzky proposed a principle that if a "subdivision has a proper and self-sufficient name of its own ... it should be entered directly under its own name." The two therefore agree that the basis for a decision on the entry of subordinate bodies is the assumption that all corporate bodies should be entered directly, unless a name is undistinctive and would not provide a sought heading. This reverses the decision of previous codes which did not have a unified rule on subordinate bodies and tended to analyse the relationship between the two bodies to arrive at a decision. The new rules follow the I.C.C.P. principle and Lubetzky's proposal in that the initial presumption is that "a corporate body, whether dependent on another or not, is entered under its own name unless, in the case of a subordinate body, that name is not distinctive or productive of a useful heading." This is done by analysing the various forms of name used by subordinate bodies into six types that do not give a useful heading, and to make a rule that enters a body with a name that does not fall into one of these types under its own name directly. The new rules enter governments (*definition*: "the totality of corporate bodies, executive, legislative and judicial exercising the powers of a given jurisdiction"—this includes not only states, but counties, federal divisions, towns, etc.) under their conventional name. This name is the accepted form of the name of the area covered, this is usually the geographic name but can be descriptive (e.g. Union of Soviet Socialist Republics). The new rules have tried to follow the I.C.C.P. principle of presenting the "administrative, judicial and legislative organs of government" as sub-headings to the name of the government, and entering other bodies created or financed by a government as independent bodies. The restriction of a

subordinate heading to a narrowly defined class of bodies intrinsically bound up with government reflects the spread of government influence in this age. Large numbers of corporate bodies have a connection, financial or administrative, with a government. In many cases this connection is not known by a catalogue user. He tends to think of such bodies as independent entities. They should be entered as such. In other cases, bodies which have a well known connection with government nevertheless act independently. No useful purpose is served by collocating such bodies under the name of the government that pays for or administrates them. One is left then with the particular areas of government. Those bodies which, in sum, *are* the government. These bodies are entered under the name of the government for two reasons: (1) because their identity is dependent on the name of the government; (2) because the majority of such bodies do not have unique names. The rule in the new code gives various categories of government bodies that are to be entered independently, other bodies being entered under the name of the government. These categories define the types of government body that are not integral to the basic executive functions of government.

8. The two sections in the code that deal with subordinated corporate headings show, quite plainly, a desire to do away with the complexities brought about by rules for subordinate bodies in the previous codes. This is done in two ways. First, by reducing the number of hierarchical (i.e. subordinated) headings, with a consequent increase in direct headings. Second, by reducing the number of elements in a hierarchical heading to those necessary to identify the body in question.

9. The problems of *ad hoc* corporate bodies (meetings, etc.) is not dealt with as such in the I.C.C.P. Statement and only incidentally mentioned in Lubetzky's work. This probably accounts for the rather sketchy treatment these bodies receive in the new rules. The publication of the proceedings of meetings, and other works brought about by meetings, is increasing greatly. These works are presented in an inconsistent way, usually with variant names, and usually involving one or more corporate bodies and one or more persons (reporters, editors, etc.), all with various degrees of responsibility and various possibilities as a sought heading. The answer to this situation in the new code is that a meeting may be considered as a corporate body. It is therefore to be entered under its name. The North American text gives this as a rule for all but "legislative and governing congresses of . . . a corporate body". This has been amended in the British text to exclude *all* congresses etc. of a corporate body from the rule for meetings. Congresses of an existing corporate body are to be entered under that body. All other meetings, conferences, etc., are to be entered under their names. "Some guidance is given as to which name to chose when the name of a meeting varies". This guidance is not adequate to deal with the practical

problems found in examples of this type of work. A number of references will be required from the variant names of a meeting found in publications. If no satisfactory name can be found for a meeting, the proceedings have to be entered under the title page title, as the work is considered to be by a corporate body lacking a name. In each situation a precedence will have to be established for the choice of name for a meeting, from among various names given in one work. Such a precedence could be: (1) title page; (2) half-title; (3) anywhere in title area; (4) prefatory matter; (5) elsewhere. The choice of a heading also depends on the heading chosen for previous conferences in the same series. The confusion and inconsistency found in the handling of conference proceedings is merely a faithful reflection of the confused and inconsistent way in which the publications themselves are presented. It is doubtful at the present time whether these works are suitable for author/title cataloguing. They seem to be referred to and sought from the subject approach far more than by any one of their numerous names.

10. The North American text of the new rules includes two rules (Nos. 98 & 99) making an exception for entry under place for certain corporate bodies. These are churches, schools, libraries, galleries, and other institutions of a similar, quasi-public type. A footnote in the American edition points out that this has been done "primarily [because] of the economic circumstances obtaining in many American research libraries". This text acknowledges that there is no theoretical basis for this break with the general rule. The British committee have taken the view that this exception is not justified on practical grounds and to make such a drastic break with the basic principle is not called for. The name of a place is reserved therefore (as the first element in a heading) to indicate a jurisdiction, other elements in such a heading being subordinate departments of that jurisdiction. The view of the British committee is that *all* corporate bodies should be entered under their names. Any bodies with the same name can be distinguished adequately by the addition of a geographic or other qualification. Local churches are seen as presenting a problem. A particular rule has been drawn up to give guidance on choice of a name for a church. This decision not to weaken the rules by arbitrary exceptions is a good one and will make the British text more effective, in dealing with corporate bodies, than the North American text.

11. The summary decision on the treatment of corporate authorship in the new code must be that the problem of choice of corporate author is dealt with less than adequately, though still more adequately than in previous codes. The question of form of entry for a corporate body is dealt with consistently and logically and is indubitably the best exposition of this problem available.

#### 4. UNIFORM TITLES: EXTENSION OF ORGANIZATION

LUBETZKY in his *Cataloguing rules and principles* states: "If the work is one which is generally known by a given title . . . it should be entered under that title . . . [to] bring the various editions together. The principle applies to anonymous works as well as those entered under an author". This introduces into Lubetzky's theories the idea that various manifestations of the same work should be collocated not only by being entered under the same author, but more closely by being entered under the same title. The British Museum catalogue has used what they call "filing titles" to collocate different editions of the same work. This filing title is interposed between the author heading and the description. The idea of the uniform title for anonymous works and other works entered under title may be found as long ago as in Cutter's rules. Another practice which bears on this question is the use of quasi-form titles such as "Constitution" and "Laws and statutes". All these rules and practices have been forced on the various libraries and catalogues by the exigencies of arranging a mass of material. In the great library collections such as the British Museum, the author catalogue under, say, Shakespeare would be unusable if it were not for the practice of gathering together the various editions of a given play. The Library of Congress National Author Catalogue does not use this collocating device and entries (over some 20 or 30 pages) can be found, in the Shakespeare section, under Amleta, Gamlet, Hamlet, Tragedia di Amleto, Tragedy of Hamlet, Tragedi Hamlet, Treurspel van Hamlet, these, of course, relate to various editions and translations of the same work. The growth in size, and complexity of modern publishing has made the organization that should be found in the great author/title catalogues necessary for almost all catalogues.

There are various reasons why a work may have more than one title. The titles may refer to various publications over many years of a popular work. The title may differ in various volumes of a work. A work may be known in various places under various titles, as with anonymous classics. A work with no title, such as a manuscript, may be known by various names. Complete, or selected works, of an author may be published in volumes under various titles. A work may be known by one title when its constituent volumes are known by individual titles. Musical works are known by conventional titles, such as "Sonata". This complex situation obviously needs organizing, and the organization should be based on one principle.

This principle is stated, in the new rules, to be "the means for bringing together all catalogue entries for a given work (including collections and compilations) when its editions, translations, etc., have appeared under various titles, and for properly identifying a work when its title is obscured by the wording on the title page". The general rule is ". . . select one title

as the uniform title under which all [the editions] will be catalogued". Guidance is given in later rules on which title to choose. This usually leads to the choice of the title by which the work is best known. Other rules deal with the problems of multi-volumed works, whether they are to be treated as entities or not, and with the detailed problems of scriptural and liturgical works. [In the last it is interesting to note that the "form" subheading *Liturgy and ritual* has been retained, in defiance of the author/title theory of the code and of common sense.] The rules also include provision for adding the language of a translation to the uniform title for the work, thus increasing the preciseness of the heading, and the exactness of the collocation. Conventional titles for collected and selected works are given and for complete or selected works in any one form. The cataloguing theory put forward by J. M. Perreault rests on a division of the organization of knowledge into two areas: "conceptual" and "nominal". These roughly correspond to the present distinction between classification and cataloguing. Perreault's idea is that both these areas are susceptible to the same kind of systematization based on the idea of coterminity. In other words, in the same way as a class number represents, specifically, the subject of a work, the author and uniform title represent specifically the name of the work. One is a conceptual surrogate, the other a nominal surrogate. This theory has two interesting by-products. The first is that it introduces a new demarcation between the two areas of organizing knowledge. This could lead to a new approach to the learning and practice of knowledge organization. The second is the extension of specificity into author/title cataloguing. This gets away from the author/title cataloguing derived from descriptive bibliography and towards a new systematized cataloguing in which the first aim is to name exactly the work, and the descriptive function is secondary. The interaction of this theory and the practice of uniform titles is obvious. The uniform title theory as found in the new rules fulfils two basic requirements. First it says that all manifestations of the same work should be gathered at one place by systematically imposing a specific common title. Secondly, it says that, in certain cases, this uniform title can be added to in order to further specify the title. This means that the process of naming a work can be as precise and as predictable in its results as the conceptual classing of that work.

In a classified catalogue the provision of uniform titles extends the possibilities of organization even further in the "form classes". An entry such as:

822. 3

SHAKESPEARE, WILLIAM

[Hamlet. Russian] Gamlet. . . .

or 224.5

BIBLE. Old Testament. Daniel, 3. English. Authorized. 1965  
The story of Daniel.

shows the blurring of the distinction between the classification and the cataloguing, and the way in which the two interact to produce a complete specification of the individual work, the individualizing random element (i.e. the title page title) being the last element in specifying and organizing the entry. The second example also shows the rethinking of the distinction between "conceptual" and "nominal" bibliography that will be necessary, in that the class number and the title description overlap in three particulars. This means that one can no longer treat the classified catalogue as being a series of unit dictionary catalogue entries arranged by class number, but will have to see the classified catalogue as an integrated entity. This view has been argued strongly by Ranganathan, but his idea of the classified catalogue did not extend to the systematization of author/title cataloguing. The application of the full uniform title concept to a large classified catalogue will show the potentialities this system has in organizing large quantities of material.

The British Museum catalogue has used, for some time, formalized sub-headings under the headings for prolific authors. These organize an author's works into sections such as "Works", "Selections", "Individual works". The new rules propose that these and other formal uniform titles should be adopted for such authors. This is a logical extension of the original systematic idea, and will lead to the complete arrangement of an author's works.

The introduction of formalized uniform titles will mean that the resulting entries cannot, in all cases, be filed simply by the alphabetic order of the words in the title. For example, a file under Shakespeare would be Works. Selected works. Selections. Plays. Individual plays [Hamlet]. The various entries under Bible may have to be arranged in book order rather than alphabetic order and ultimately [for versions in the same language published in different years] in chronological order. This means that the establishment of any formal or complex uniform titles will have to be accompanied by the establishment of a predetermined filing order for all similar titles.

The uniform title rules are a useful means to achieving a high degree of systematization in author/title catalogues. They also provide a means of integrating author/title cataloguing with classified subject cataloguing. Once the general principle of uniform titles is understood and accepted, it will be possible to fit their application into the requirements of an individual catalogue. Over-organization is as harmful as under-organization, and the use of uniform titles is not to be considered mandatory. Areas which require this type of systematization (prolific authors; special collections, etc.) are easily discovered and an individual policy towards these can be laid down by the cataloguer.

[See: PERREAULT (Jean M.). Cotermious or specific: a rejoinder to Headings and Canons. *Journal of Documentation*. December 1966.]

THE standard structure of an author/title catalogue is of a main entry; that entry containing the most information and filed under the most "sought" heading (usually the author's name), supplemented by added entries; those entries, sometimes abbreviated, which are filed under other possibly "sought" headings. In addition to these two principal types of entry, there are references from various forms of headings to the form of heading chosen for a main or added entry. The form of heading chosen for a main or added entry is the most "sought" form, reference being made from other "sought" forms. Reference can also be made from one entry heading to another entry heading of related significance. Added entries may be made under headings relating to parts of works (analytical entries). The heading on an entry, of whichever type, or a reference to a heading are different in the way they are arrived at and from the theoretical vantage point of the constructor of the catalogue. From the point of view of a catalogue user, they are equal as labels attached to the entry or as directions to those labels. The only difference lies in their effectiveness in connecting the reader with the book, that is, they are either effective or ineffective, sought or unsought. They are entry points, direct or indirect, to the description of the book.

What is needed therefore is a general principle for the making of entry points (headings and references) together with general and specific rules for the making of these different type of entry point. Ideally, all entry points would be direct (i.e. they would be headings on entries) but economics and space make the use of references necessary. In a computerized catalogue, any entry point would give, theoretically, equal results. The distinction between added entries and references is, therefore, just one of convenience.

The underlying principle in the making of all added entries and references is that of the "sought" heading. Is anyone going to look for this heading? Is anyone going to look for this form of this heading? This is a good general principle but, if carried out completely, would lead to enormous expense in making all the possible variations of entry points that could be looked for by *some* user of the catalogue. The principle of the "sought" heading has to be tempered by commonsense and a reasonable idea of the level of understanding of the average user of one's catalogue.

In a classified catalogue the added entries and the main author entry are both author index entries; references can be supplementary author index entries or references to author index entries. The I.C.C.P. statement of principles says "the catalogue should contain at least one entry for each book catalogued and more than one entry relating to any book whenever this is necessary in the interests of the user or because of the characteristics of the book . . .". It then goes on to enumerate specific instances when the supple-



mentary entries may be necessary. The entries prescribed by the I.C.C.P. may relate to one book (added entries) or may contain information about more than one book (usually references). This does not differ greatly from the much older British Museum rules which ask for "Supplementary entries in the form of Cross References in which part of this [main entry] information is repeated. . . . Cross References are also used to point from variant forms of a Heading to the form adopted." The idea of multiple access to a catalogue is not new, and the new rules do not add to the theory of making these entry points. What they do is to present a recommended practice for the making of added entries and references in a systematic and useful way.

The section on added entries comes at the end of Chapter 1 (choice of heading). This is a natural result of the code being based on the idea of a main author entry, the principal task of the cataloguer being to assign an author main entry heading and to supplement it by making appropriate added entries. Throughout the first chapter direction is given on the making of added entries in the situations typically covered by each rule. The rules on added entries lay down the general principle for any case of doubt or case not covered by the preceding main entry rules. "Make an added entry under any person or corporate body associated with the publication if it is believed that some catalogue users might reasonably consider the person or body to be primarily responsible for it. . . ." This is an adequate rule in spirit but the wording leaves something to be desired. The question of primary responsibility (i.e. authorship) is not usually in a reader's mind, and if it were would not give a useful criterion for making added entries. There are many useful added entry headings that might be sought but that no one would consider to be the person or body "primarily responsible". This qualification is not helpful and could be deleted in favour of some phrase such as ". . . some catalogue users might reasonably look under that person or body for the publication." Cases are cited to support the general principle. These give a detailed breakdown of the types of added entry normally required. None of these types can be taken as being mandatory, nor do they give exact guidance in a particular situation. The cataloguer has always to make judgments. For example, the rule for illustrators prescribes added entry under the illustrator when "his contribution is considered to be an important feature of the publication". Most of the common situations in which a person can be associated with a work are covered, and there is a catch-all rule for "Other related persons or bodies". Title and series added entries are called for in certain cases.

The chapter on references stands in the same relation to the chapters on forms of heading as the added entry section does to the chapter on choice of heading. That is, it gathers in one place a general principle and specific

guidance on problems within the framework of that principle. The individual rules in the chapters on forms of heading give guidance on the particular types of reference that are required in specific situations. The references rules summarize the principle and relate the specific references to it.

The general principle on references, as given in the new rules, is "Whenever the name of a corporate body or person or of the title of a work is, or may reasonably be, known under a form that is not the one used as heading or as uniform title, refer from that form to the one that has been used". This is, as a general principle, much closer to the idea of the sought heading than the general principle in the section on added entries. The sole criterion is whether one might expect a reasonable catalogue user to look under this form of a heading. The specific instances illustrating the general rule are exhaustive and logically arranged. Again they are not, and must not be taken to be, compulsory or complete in any given situation. Discretion must be used in all cases not to overload the catalogue with unsought references, nor to omit a useful way in to a publication.

Variations, in a specific situation, in the numbers of persons or bodies associated with a work or in the names of a given person or body, are almost limitless, and impossible to define exactly in a set of rules. The rules on added entries and references are guidelines, not rigid and unalterable instructions.

There are some interesting specific points raised by these rules which are worth considering:

(i) *Analytical entries*. The rule on added analytical entries says, "When warranted by the circumstances, make analytical author, or author-title, added entries, beyond those specified in the rules . . .". The use of analytical entries must be made more widespread by the complex nature of many modern publications, typical instances are volumes that include excerpts from the proceedings of more than one meeting, and ecumenical works which include liturgical works of more than one faith. The analytical entries for such material may seem to be cumbersome and time-wasting but have to be accepted as an essential part of their exploitation.

(ii) *Explanatory references*. "When adequate direction to the user cannot be given by simple reference, an explanatory reference, giving more detailed guidance, is made." The rules for references that follow this introduction contain many instances where explanatory references are called for. These can be to show the scope of an entry, to explain the method of entry of a name, to relate scattered material, etc. This device, though it can be time-saving, can also be very wasteful. One does not want to build a cataloguing code, or reference book, into one's catalogue, especially when such tools can be easily made available to the catalogue user by the staff. It is very difficult to know where explanatory references are to be filed; they can easily be lost to the user by being filed in an unsought place. Their application is

fraught with difficulty and though, in the event of a conflict, it is always better to include an entry rather than to exclude it, care should be taken not to make a mass of complex and wasteful explanatory references.

(iii) *Series*. The making, or otherwise, of series added entries is not easy. A proliferation of series has come about in recent years, many of which seem to be unsought and meaningless as collocating terms. The series which the new rules do not think worth an added entry are "series with titles that include the name of a trade publisher, or that do not have a subject limitation but have only a format in common" and series that appear to be numbered for stock control or to benefit from lower postage rates. Though the type of series that is intended to be excluded by these provisions is liable to be unsought, it would be unwise to assume that all such series are useless for added entries, or that all other series are useful for added entries. I feel that this rule could have been fuller in this respect, also that it needs to be supplemented by an understanding of what are, or are not, sought headings in a given catalogue. Another series problem that is not dealt with here is the problem of the complex series with one or two sub-series, how to enter them, and what references to make. This is a growing tendency among some publishers and can present a serious problem.

Under the heading of series added entries, one might consider the made up series. When one has a number of books without series title, published by a non-commercial publisher or "published for" a non-commercial publisher, these can be adequately collocated by the making of a "series" entry with the heading of the name of the corporate body and a subheading *Publications*. Thus one can achieve a useful collocation by the use of the pseudo-series entry.

## 6. ENTRY AND HEADINGS AND THE PARIS PRINCIPLES

IN the introduction to the new rules this statement appears: "The present rules are based on the *Statement of principles* adopted by the International Conference on Cataloguing Principles in 1961 (the Paris principles). These Principles, in turn, derive in great part from the rationalization of cataloguing rules that was made by Seymour Lubetzky . . .". The contribution of Lubetzky to author title cataloguing in general, and to these rules in particular, is unchallengeable. His reassessment of author title cataloguing has led to radical and permanent changes in the way in which we look at our books in relation to our catalogues. His achievement must be ranked with that of Panizzi and Cutter, hitherto the only men of genius to have applied themselves to the Anglo-American tradition of author title cata-

loguing. Lubetzky's virtues are those of radical simplicity and directness. To break outmoded patterns one needs to see a problem as for the first time. This was what Lubetzky did. In doing so he made new patterns which have been tested and codified by the Paris Principles, and now by the revised Anglo-American rules.

The Paris Principles were successful in that they applied Lubetzky's insights consistently, and yet managed to get international agreement to these principles. Here their very simplicity may have been taken as a convenient cover for a studied vagueness. However one looks at the Paris Principles, they do lay down in outline certain basic rules which, although debatable in certain particulars, are fundamentally consistent with Lubetzky's original ideas.

The introduction claims that the new rules are "based" on the Paris Principles. Certain "noteworthy departures" from the Principles are examined in the introduction. A reason is given, briefly, for departing from the principle. These noteworthy departures are (in the order given):

9.12 (footnote 7). This section of the Paris Principles allows for the entering of a work under the name of a corporate body when the wording of the title or title page when taken in conjunction with the nature of the work implies that the corporate body is responsible for the work. Footnote 7 gives, as an example of this type of work, serials whose name begins with a generic title and is followed by the name of a corporate body, and which include some account of the activities of a body. The general principle here is accepted by the new rules; what they do not accept is the illustration. A serial, by rule 6B, is entered under a corporate body if its short title contains the name or abbreviation of the name of a corporate body. This presence in the title is held to be sufficient, without having to judge the nature of a work, as to whether it contains some account of the activities of the body. This is an exception in a specific case (serials); it does not extend to any other types of work. The exception has been made for fairly obvious practical reasons. The name of the corporate body being found in the title of a serial leads to an identification, in the mind of the catalogue user, between the name of the corporate body and the serial. The corporate name becomes, therefore, the sought heading, irrespective of the actual nature of the serial. As the "sought" heading is the primary consideration, this exception to the Paris Principles is justifiable.

9.4. This section of the Paris Principles states that the heading for a corporate body's works should be the name of the corporate body. This rule has not been observed consistently in the American text of the new rules. They have made an exception for entry under place for churches and certain other bodies with undistinctive names. It is stated in the American text

that these exceptions are “required primarily by the economic circumstances obtaining in many American research libraries,”. These exceptions are certainly theoretically indefensible and probably not practically useful. They are not made in the British text which is, therefore, more in harmony with the Paris Principles over the question of corporate names.

9.5. This section of the Paris Principles states “Constitutions, laws and treaties, and certain other works having similar characteristics, should be entered under the name of the appropriate state . . . with formal or conventional titles indicating the nature of the material . . .”. This is an ambiguous and difficult section to follow. It implies, in one interpretation, an abandonment of author entry in favour of a quasi-subject entry (i.e. if the appropriate state for a constitution to be entered under is interpreted as being the state to which a constitution is granted.) Another difficulty is what do they mean by “formal or conventional titles”? Such titles as *Treaty* or *Constitution* may qualify, but the common usage *Laws, statutes, etc.*, cannot be called a formal or conventional title; it is merely a grouping phrase, a form subheading. One would expect a title to be given as an imposed title in square brackets, and not as a subheading as is common usage. The new rules have interpreted this ambiguity to stretch to the retention of such form and other subheadings as *Treaties: Constitution: Laws, statutes, etc.: Court rules*. This is a generous interpretation of the principle, as the distinction between a subheading and a title is quite clear, and the use of such form groupings is inconsistent with the intention, if not the letter of the Paris Principles. The phrase in the statement “. . . certain other works having similar characteristics . . .” has been taken to include church liturgies, and to sanction the use of the form subheading *Liturgy and ritual*. This would seem to be very far from what was intended in this section, and also to be a product of irrational clinging to outdated usage. This subheading is not part of an author/title catalogue, nor does it appear to have much practical virtue. The other form subheadings are brought about by the need for an adequate grouping. The *Liturgy and ritual* subheading is unnecessary in that the uniform title mechanism quite adequately specifies and groups liturgical works, without making it necessary for them to be grouped under a form subheading.

10.3. The principle accepted at this number called for the entry of a collection with a collective title under that title. A minority of the persons at the I.C.C.P. were opposed to this and preferred an alternative rule allowing entry under the compiler when named on the title page of a collection with a collective title. This alternative was the one accepted for the revised rules, and extended to include works where the compiler was not named on the title page but was known to have been so named in another edition of the collection. This type of alteration, though inconsistent with Lubetzky's

original idea and with the recommended Paris principle, is defensible theoretically and practically. One would undoubtedly need an added entry under the compiler anyway, so that provided the two access points of title and compiler are covered, it does not really matter which alternative is chosen. They have equal merits and demerits.

12. The Paris principle at this number states. "When the name of a personal author consists of several words, the choice of entry is determined so far as is possible by agreed usage in the country of which the author is a citizen . . .". This provision has not been accepted by the new rules. They prefer to enter persons with complex names under the element used as entry point in the usage of the language in which an author writes. This is an eminently sensible decision. The forces tending towards emigration and population movement in this century make the determining of citizenship very difficult and not a reliable guide when found. One has only to think of the numerous Chinese writing in English in the U.S.A. How can one tell of which country they are a citizen? What does it tell you about their name if one finds that they are citizens of, say, Nationalist China? It seems obvious that a man will almost always tailor the usage of his name to the language in which he writes. This is something that is easily found out, and is a useful pointer to the usage of the person concerned.

The above are the cases in which the new rules differ from the Paris Principles and say that they do so. There are other instances where the Principles and the code cannot be said to be in complete agreement. These are of varying importance, though they are not considered to be noteworthy by the editors of the code. Some of the unstated differences are (in Paris Principle enumeration and order):

5.2. & 6.2. These two sections, in conjunction, say " . . . when variant forms of an author's name . . . occur [make] an entry for each book under a uniform heading, consisting of one particular form of the author's name . . . entries under other names or forms of name for the same author should normally take the form of references, but added entries may be used in special cases." This instruction has been followed by the new rules. An exception is made, however, in the *Alternative rule* for pseudonyms (rule 42B). This alternative allows for the entry of any one author who writes under several pseudonyms, or under his real name and one or more pseudonyms, under the name he has used for the work in hand. These entries are then related to each other by explanatory cross-references. This alternative rule is not in conformity with the I.C.C.P. principle of assembling all works by a given author at one place. It is in conformity with the principle of the "sought" heading - i.e. enter a work at the place in which it is most likely to be looked for by most people. It also reflects the current situation in popular publishing of pseudonyms being used to identify the context of a

novel (a man may write thrillers under one name, romances under another, westerns under a third); the connection between various names is often not known, or only apparent after much research by the cataloguer. The name used on the book goes on being the "sought" heading. This alternative rule has much to commend it to the cataloguer of current books, and will probably be the rule adopted in many cases. It must be understood, if this alternative is adopted, that it is not sanctioned by the Paris Principles, nor by the established custom of collocating the works of one author.

8.2. This section of the Paris Principles states that the uniform heading for an author with more than one name or form of name should be "the name by which the author is most frequently identified in editions of his works, in the fullest form commonly appearing there." The first part of this principle is followed by the new rules (rule 41), where precedence is given to the form of name by which an author is generally identified in reference sources, and the name by which an author is most frequently identified in his works is subordinated to this. In fact these two instructions will rarely clash and are a restatement, with a changed emphasis, of the Paris Principle. The second part of the instruction is not followed by the new rules. In place of the "fullest form [of name] commonly appearing" in an author's works, the rules state that the form used should be the "fullest form that has appeared in a prominent position (e.g. a title page, half title, or cover) except that a rarely used initial of an unused or non-existent forename, or a forename used by the author only on his dissertation, may be ignored." The Paris Principle here is capable of only one interpretation: given a number of names varying in fullness for one person, choose the most common form of name, i.e. the name the author has used most often. With minor exceptions, the new rules say the opposite of this. One is told to use the fullest form ever used by the author. In simple terms this means that if one has an author who calls himself Charles Maurice Smith on his first two books and Maurice Smith on his next thirty, all thirty-two must be entered under Charles Maurice Smith. The Paris Principle would, equally obviously, enter them under Smith, Maurice. It is hard to see why the new rules do not follow the Paris Principles in this respect as the principles would tend towards a "sought" heading, whereas the rule is inflexible and tends towards unsought headings. By the provisions of this rule, a full name, once established, could never be altered in favour of a less full name, no matter how often the latter was used on the author's books. It is possible that the rule is loosely worded and that the intention was to follow the Paris Principles. As it stands, however, the rule is a bad one and the cataloguer would do well to consider substituting the Paris Principle for it in his own catalogue.

9.41. This section is concerned with uniform headings for corporate

bodies. The first choice among variant names for a body is stated: "if variant forms of the name are frequently found in the publications, the uniform heading should be the official form of the name." No mention is made of the first choice of name advocated by the new rules. These state (rule 62A): "If one of the variant forms found in formal presentations is a brief form that provides adequate identification for cataloguing purposes, use the brief form." A brief form is later defined as being an acronym or as being made up of syllables of the body's official name. In a world of complex corporate bodies, known increasingly by acronyms and abbreviations, it is obvious that many bodies will be better known by, and sought under, the brief form rather than the official form of their name. The substitution, as first choice, of this form by the new rules is understandable and useful. The Paris Principles make no mention of the brief form, presumably because the whole question of corporate authorship was complex and new to many of the delegates without the introduction of such finesses as brief forms. The brief forms are sought headings with undeniable status as names. The new rules, therefore, are in agreement with the basic principles when introducing the brief form of corporate names, although not in agreement on the specific point.

11.6. This section of the Paris Principles says "Multilateral international treaties and conventions and certain other categories of publications issued with non-distinctive titles may be entered under a uniform conventional heading chosen to reflect the form of the work." This sentence is difficult to understand; it appears to advocate form headings for treaties and conventions between more than three parties. Also "certain other categories of publication issued with non-distinctive titles" can be entered under form headings. No definition is offered of any of these certain other categories, nor is a non-distinctive title defined. This seems to be an afterthought designed to meet some delegates' objections to the previous rules. It is deliberately obscure in wording (Why ". . . chosen to reflect the form of the work" when they mean form headings?). It is also, of course, completely at variance with the whole spirit of the preceding principles. Fortunately, none of these coyly hinted-at headings have been adopted by the new rules—not even in the rules on treaties where there is considerable divergence between the British and American texts. The British Museum catalogue uses such form headings, but they have no place in any soundly based author title cataloguing rules.

The Paris Principles have been followed by the new rules in broad outline. They have also been followed in detail in all but a few stated and unstated cases. One would expect changes due to the differing nature of the two documents. The important thing is that they should both add something to the strengthening of the cataloguing tradition that Lubetzky rejuvenated.



THE adoption of the 1967 Anglo-American cataloguing rules is a major administrative step for a library to take. The organization of the material owned by a library, and of the tools necessary for the exploitation of this material, is one of the central parts of the total library operation. The effects of cataloguing or classification are felt far beyond their immediate purpose. They impose patterns of thought on the library users and staff, and influence almost every library activity. These wider implications must be taken into account when the considering of a change of cataloguing code is being done. Any change of such a nature will involve considerable expenditure in time, thought and money. Every eventuality should be thought of, and allowance made for inevitable delays and mistakes. Only when one is quite aware of the possibilities and potential drawbacks in the situation should the change be set in motion.

The first essential is to study the code. In this context an awareness of the development of cataloguing history and the basis of modern cataloguing theory is useful. The code cannot be studied in a vacuum; like all such works it is the product of its age. The code should be understood in its wider aspects; the questions that one asks are: "What are its aims?"; "What are its limitations?"; "What guiding principles underly this code?" I have tried to establish the answers to these questions in previous sections of this study. These underlying aims and principles must be understood before one attempts to match them with the corresponding aims and principles of one's own catalogue. In almost all cases the change of principle will produce great quantitative and qualitative changes in the catalogue. Having looked at the code in its broader aspects, it is then necessary to examine the code minutely to discover how specific rules relate to the present practice of the catalogue. The new code has a logical structure; the relationships between the whole and its parts are readily discernible. Clear principles run through each section. This structure makes it possible for one to relate the theory and the practice of the code to the specific practical problems of one's catalogue. Two decisions have now to be taken: (1) Is it possible to relate the theory of the new code to one's catalogue?; (2) Within an acceptance of the broad outlines of the code, what specific rules are not acceptable because of special circumstances in a catalogue? I think that the first question would always produce a positive answer. Any system of cataloguing in use in current catalogues is likely to be inferior to the new code both in outline and in particular. Also, the new code is a codification of the new cataloguing theories in a form which may be revised but is unlikely to be fundamentally changed for many years. This means that a library that does not adopt the new code will not only have an outdated

system of cataloguing but one that will inevitably be rendered more and more obsolete by the passing of time. When considering the merits, or otherwise, of particular rules, it is permissible to take exception on two grounds: (1) That a particular rule is not applicable to the special circumstances of one's own catalogue; (2) That a particular rule is not consistent with the basic principles of the code. The first depends on special circumstances, the second on the validity of a general interpretation. These exceptions should be kept to a minimum and, when made, must be carefully recorded and understood. What is not permissible is the ignoring of a rule merely because it does not accord with one's present practice. This type of traditionalism is dangerous; the catalogue must be flexible enough to accommodate necessary change if it is to serve its users adequately. In this context, a decision must be taken on whether to integrate the new rules with one's present catalogue, or whether to seal off the old catalogue and start a new one. Each of these methods has its merits in a given situation; probably the crucial factors are the speed of turnover of material and the use that is made of old stock by the catalogue users. The implications of such a change must be understood and analysed before a decision is taken.

The adoption of the new code will have an impact beyond the catalogue itself. One of the most important of the side effects is the influence a change may have on the organization of the cataloguing process. A change in the code is a good time to evaluate the methods and structure of the cataloguing operation. Such an evaluation is good in itself and may be made inevitable by changes brought about by the code. The cataloguing of even a small number of books is a complex operation; it can be done as a whole by people acting individually, or it can be organized on a "production line" basis with the operation split up among many people and a checking mechanism built in at the end of the line. The second method becomes inevitable when more than a certain number of books and staff are concerned in the cataloguing. The divisions of labour in a department may be logical and useful, or may have evolved because of the personalities involved. If it is the latter, then it is a good thing to re-shape the cataloguing round the new code; changes in organization could well be timed to coincide with changes in the cataloguing. A factor that may be of importance here is the interrelationship of the cataloguing and classification. The most common instance of this will be in the uniform title area. The organization of knowledge is seen, increasingly, as a totality. The interactions of classification, subject headings, and author title cataloguing influence the way in which the cataloguing operation is split up; the three should be seen as aspects of the same problem.

The re-education of cataloguing, and other library staff, is a most important element in the changeover. Some cataloguers, through personal interest, or recent attendance at a school of librarianship, will have a knowledge of

modern cataloguing theory, others will not. In either case, it is unlikely that any member of the staff will be conversant with the detailed practical problems of the new code. This will have to be altered in a comparatively short time. To this end, there are four methods which can be used either singly, or, better, as part of a complete education programme: (1) The general education approach. By means of lectures and written instructions it is possible to make all staff aware of the broad outline theory and practice of the new code. This should be related to a short list of recommended reading. Some difficulty may be found in assembling the staff at one point, but co-operation with other departments or other libraries should enable this important educational process to take place; (2) By direct personal re-education. This can take the form of direct introduction to the code by getting individuals to study certain aspects of the code and to help in the change in files, etc., that is a necessary prelude to the change in cataloguing practice. This can provide valuable practical experience for individuals, and, depending on the size of the department, can be worked into a deliberate phased programme of re-education; (3) Feedback. When the change to the code has been made, it is essential that, for a time at least, a complete checking mechanism should be set up. This should discover all errors and difficulties that occur in applying the code. It is imperative that these errors should be identified and discussed with the person or persons responsible, before an error or, more likely, an erroneous interpretation hardens into a tradition. This sanctification of errors is a fatally easy and quick process. The staff should participate in the understanding of certain applications of the rules, and it is here that the feedback from the checking mechanism is invaluable. Thus mistakes can be prevented and the staff's understanding of the code enhanced; (4) Recording of decisions and interpretations. Cataloguing is to a great extent a process of the interpretation of rules and precedents. It is important that such decision and interpretations should be consistent. To this end it is necessary to record all decisions clearly and unambiguously, and for these to be illustrated with contemporary practical examples. This authority should be added to whenever a new decision is made and when it has reached a certain size should be used as a background work to the code, the secondary authority when the code is unclear or unhelpful. If this is not done, inconsistency within the catalogue is an inevitable result, and the risks of dependence on one person's whim is increased.

Such a programme of education is complex but very necessary. It would obviously have to be adapted to the particular circumstances of the library. It should be extended, where possible, to members of the staff not directly concerned with cataloguing, particularly reference and enquiries staff who have to use the catalogue a great deal. The change in cataloguing will affect almost all staff, and they should be made aware of it, at least to the extent to

which they are affected. The next extension of this is to take steps to inform the non-staff users of the catalogue. Such information should be given with the minimum of technicalities, other changes should also be mentioned (e.g. if one catalogue is to be closed and a new one started). This informing of the catalogue users can be a useful exercise in public relations leading to an increased awareness of available facilities.

The other major area of the cataloguing process that will be affected by the change in the cataloguing code is the authority file. This file can take many forms, but in every cataloguing department of any size there is usually a file of, for example, complex corporate author headings which have been established in the past. The catalogue itself, together with the main entry tracings may serve as a record of cataloguing decisions. It is obvious that such a file will have to be altered in one of two ways. It can either be altered as a whole before the adoption of the new code, or it can be altered gradually by the replacing of existing entries as they occur once the code is being used in the cataloguing. A good solution to this problem, one that is economical with staff-time, is to alter certain complex areas of the file (e.g. prolific authors, Bible, government bodies). This operation will be useful in itself and as a help in the staff education programme outline above. These areas should be carefully selected, both because of frequency of occurrence and to serve as models for other similar headings. Once this preliminary work is done, other headings in the authority file can be amended as and when they come up in the normal course of the cataloguing process. They can then be re-incorporated into the file, or be used as the beginnings of a new file. One advantage of this method is that one does not waste time altering entries that are no longer relevant, the alteration only being carried out when and where necessary.

It is apparent that a change in cataloguing practice is the beginning of a major administrative change. This change can be beneficial to a library, in making it necessary for the staff to examine their processes in a new light. The period over which the change is made will probably be kept to a minimum, but even a lengthy operation can be of indirect as well as direct benefit to the library. The library is a growing organism; once its processes become too rigid it has started to die. No librarian should be afraid of the advent of new processes or the prospect of learning new ways of thought.

## **8. DIFFERENCES BETWEEN B.N.B. PRACTICE UP TO 1967 AND A.A. 1967.**

This is a summary of the important differences between B.N.B. cataloguing practice up to 1967 and the new rules. Almost all of the new rules may

have some effect on B.N.B. headings but in many cases this effect is slight, or difficult to estimate; such differences are not included here. The rule order is that of the new rules.

- Rule 3: A.A. 1967 calls for entry under the principal or first named author when there are two or three authors, and under principal author or title when there are more than three authors. B.N.B. practice was to enter works by three or more authors under the principal or first-named author with the suffix "*and others*", other works of joint authorship were entered under the two authors jointly.
- Rule 4: Certain publications (i.e. directories, encyclopaedias, atlases and language dictionaries) which also include the name of their publisher in their title were entered under the publisher. Under the provisions of the new rules these will be entered under their editors or titles.
- Rule 7: Adaptations in the same literary form were entered under the name of the original author. The new rules will enter them under the adapting author. This change is theoretically sound but it is felt that it may lead to unsought headings.
- Rule 8A: A collaborative work between a writer and an illustrator was entered under the name of the writer. The new rules provide for entry under the person first named on the title page.
- Rule 8D & 8E: Works consisting mainly of reproductions of artistic works with only minimal text, and exhibition catalogues with only a small amount of text were entered under the writer of the text. The new rules cause these to be entered under the artist. The structure of B.N.B., together with its featuring allows for a person who looks under the name of an artist to find works about him.
- Rule 11: When a work is published together with a commentary, it was entered under the heading appropriate to the work if it were a complete text, and under the name of the commentator if it were incomplete. The new rules incorporate a different criterion. Such works are entered according to the way they are presented. If it is presented as a commentary it is entered as such, if as an edition, it is entered as an edition.
- Rule 17: The new rules contain a new interpretation of the personal or corporate author problem. This interpretation will be easier to evaluate when it has been in use over some period. It will undoubtedly lead to changes, but the extent of these is difficult to estimate.

- Rule 19: Certain dependent works, notably supplements to serials, will be entered, under the provisions of the new rules, as independent works.
- Rule 20: The form subheading for laws, in the new rules, is *Laws, Statutes, etc.* The subheading used by B.N.B. up to 1967 was *Statutes*. Though the change to the word *Laws* is acceptable, it is difficult to see why the subheading should not be simply *Laws, etc.*, which is short, comprehensive and accurate.
- Rule 40: According to the basic principles of the new rules, *all* persons are to be entered under the name by which they are known. This has been generally the practice in B.N.B. but the application of the new code will result in the extension of this general rule to all personal headings.
- Rule 43A: The practice in B.N.B. was to give an author's name in the fullest form in which it commonly appears. The new rules state that an author's name should be given in the fullest form that has appeared in a prominent position in his books.
- Rule 43B: The current practice in B.N.B. was to fill out all initials used by a personal author. The new rules direct one to fill out used initials in the case of authors with common surnames or other cases of potential or actual conflict with other persons having the same name.
- Rules 46G1 & 47C: These rules in the new code do not provide for the inclusion of the sequential numbering in the names of English peers. This numbering is useful for distinguishing between two persons of similar name and in giving a useful order to an assembly of peers in a file.
- Rule 52: The new rules provide for distinguishing two persons of the same name by adding their dates of birth and death. At present B.N.B. adds only the birth date.
- Rule 60: In the new rules corporate bodies are to be entered under the name by which they are known. This abolishes the A.A. 1908 practice of entering certain bodies under the place in which they are situated. This change will affect the headings for many bodies.
- Rule 62: The new rules allow certain bodies known by acronyms or other brief forms of their names to be entered under those brief forms.
- Rule 67A: The new rules provide that a corporate body with a name beginning with initials should be partly inverted to make the word following the initials the entry point; names beginning

with a forename are not so inverted. B.N.B.'s practice was to invert all corporate names that begin with initials or forename. Each of these practices has certain advantages and disadvantages.

- Rule 69: The approach of the new rules will lead to many subordinate bodies being entered independently of their superior bodies. This will cause many headings used in B.N.B. to be altered, but the change should prove acceptable. A typical instance of this is the various colleges and departments of a university. These were entered as subordinate to the name of the university; in many cases the new code will cause them to be entered under their own names.
- Rule 71B: An instance of the change previously mentioned is the treatment of joint committees of two or more corporate bodies. These have hitherto been entered under their parent bodies.
- Rule 78: The change in rule 69 for subordinate bodies is paralleled by a similar change in the method of entering government bodies. Many of these, which have previously been entered as sub-headings to the names of their governments, will now be entered as independent bodies under their own names.
- Rule 101: The uniform title method was used by B.N.B. for works first published before 1900. The new rules allow its use for all works including contemporary ones.
- Rule 102B: The uniform title for ancient Greek works in B.N.B. was the Latin title. The new code allows the use of English titles when these are available. This is acceptable. The code then states that the transliterated Greek title is to be used when there is no English title available.
- Rule 107: The new rules introduce the idea of the collective formal uniform title for prolific authors. These titles, such as "Selections", "Poems", are a useful addition.
- Rule 108: The new rules increase the detail in which one can specify a Biblical work. Such works are to be specified by Bible [part] [language] [versions] [date].
- Rule 119: Many liturgical works have been named by B.N.B. as a sub-heading to the name of the church. The new rules require that these should be named as a uniform title. This is a logical change.

*Qualifications* such as *joint authors*, *editor*, *translator*, are not made obligatory by the new code.

## 9. CATEGORIES OF HEADING DERIVED FROM THE A.A. (1967) RULES

THE categories given below are a systematization of the type of heading, and the probable typographical variations, which one would expect to result from an application of chapters 2, 3 and 4 of the new rules. The list is, in a sense, self explanatory. One of the unresolved problems in cataloguing is the combination of the minimum typographical usage with the maximum expressiveness of heading. This list is a brief attempt to express the variations in heading that occur while using a standard range of typographical units. The categorization can also be used to evolve a method of filing. If it is accepted that the examples exhaust the possibilities of types of heading, it should be possible to use it as the basis for a filing procedure. The list is made with special reference to B.N.B.

### 1. Personal names

- 1A. Surname as entry point  
SHAKESPEARE, William
- 1A (i) Surname as entry point plus date(s)  
SMITH, John, 1924–
- (ii) Surname as entry point plus phrase  
BROWN, George, *Captain*  
BYRON, George Gordon Noel, *Baron Byron*
- 1B. Forename as entry point  
ALEXANDER OF APHRODISIAS
- 1B (i) Forename as entry point plus phrase  
CHARLES, *Duke of Burgundy*  
AUGUSTINE, *Saint, Archbp. of Canterbury*
- (ii) Forename as entry point plus date(s)  
JOANNES DE CUBA, *fl.* 1484–1503
- 1C. Title of nobility as entry point  
CAVOUR, Camillo Benso, *conte di*  
BEAVERBROOK, Maxwell Aitken, *Baron*
- 1D. Phrase as entry point  
BROTHER BONES  
CATHODE RAY

[With all surname, forename headings I would much prefer the B.M. practice of (e.g.) SHAKESPEARE (William); BROWN (George), *Captain* as it is unambiguous and easier to file.]



## 2. Corporate names

### 2A. General corporate names

UNESCO

EURATOM

CHURCH OF ENGLAND

#### 2A, 1 (i) Corporate names plus place

LOYOLA UNIVERSITY, *Chicago*

#### (ii) Corporate names plus date(s)

SCIENTIFIC SOCIETY OF SAN ANTONIO (1892-1894)

#### (iii) Corporate names plus qualification

SOCIETY OF FRIENDS (*Hicksite*)

#### (iv) Corporate names plus form subheading

ROMAN CATHOLIC CHURCH. *Liturgy and ritual*

#### 2A, 2. Corporate name as initials

N.A.T.O. [usually only as reference]

#### 2A, 3. Corporate name inverted

GOMBERG (M. ROBERT) MEMORIAL COMMITTEE

#### 2A, 4. Corporate name plus subordinate body

INDIANA UNIVERSITY. *Audio-Visual Center*

SAVEZ KOMUNISTA JUGOSLAVIJE. *Kongres, 6th., Zagreb, 1952.*

AMERICAN LIBRARY ASSOCIATION. *Reference Services Division. History Section. Conference Program Committee*

### 2B. Governments and government agencies

#### 2B, 1. Governments

FRANCE

UNION OF SOVIET SOCIALIST REPUBLICS

NOTTINGHAMSHIRE

#### 2B, 2. Governments plus qualifications

GERMANY (*Democratic Republic*)

ALGERIA (*Provisional Government, 1958-1962*)

#### 2B, 3. Governments plus subordinate agencies

MISSOURI. *Industrial Education Section*

GREAT BRITAIN. *Sovereign. 1952-* (*Elizabeth II*)

UNITED STATES. *Army. 37th Infantry Division*

GREAT BRITAIN. *Embassy (United States)*

#### 2B, 4. Governments plus form subheading

GREAT BRITAIN. *Laws, Statutes, etc.*

NEW YORK (*City*). *Charter, 1901*

- 2C. Conferences, congresses, etc.  
 SYMPOSIUM ON PROTEIN METABOLISM, *University of Toronto, 1953*  
 PARIS SYMPOSIUM ON RADIOASTRONOMY, *1958*  
 WORLD PEACE CONGRESS, *1st, Paris and Prague, 1919*

### 3. Title Entry

- 3A. Title page title  
 AVIATION equipment red book. . . .  
 INDISCRETIONS of Dr. Carstairs. . .
- 3B. Uniform title heading  
 TRIAL OF TREASURE  
 BOOK OF THE DEAD  
 ARABIAN NIGHTS
- 3B, 1. Uniform title plus qualification  
 SEVEN SAGES OF ROME (*Northen Version*)
- 3B, 2. Uniform title plus subheading  
 BIBLE. *German. Luther. 1534.*  
 KORAN. *English. Selections*  
 TALMUD. Minor tractates. Semahot. *German.*

## 10. BIBLIOGRAPHY

### BIBLIOGRAPHY

1. ANGLO-American cataloging rules (North American text). Chicago, American Library Association, 1967.
2. A.L.A. Cataloging rules for author and title entries. 2nd ed. Chicago, American Library Association, 1949.
3. LUBETZKY (Seymour). Cataloging rules and principles. Washington, Library of Congress, 1953.
4. LUBETZKY (Seymour). Code of cataloging rules: author and title entry. Chicago, American Library Association, 1960.
5. INTERNATIONAL CONFERENCE ON CATALOGUING PRINCIPLES, *1961, Paris*. Statement of principles. Annotated edition with commentary and examples by A. H. Chaplin, assisted by Dorothy Anderson. (Provisional ed.) Sevenoaks, IFLA Secretariat, 1966.
6. BRITISH MUSEUM. *Department of Printed Books*. Rules for compiling the catalogues . . . Rev. ed. London, British Museum, 1936.
7. CUTTER (Charles A.). Rules for a dictionary catalog. Fourth ed., rewritten. Washington. Government Printing Office, 1904.
8. RANGANATHAN (S. R.). Classified cataloguing code. 5th ed. London, Asia Publishing House, 1964.
9. CATALOGUING rules: author and title entries; compiled by committees of the Library Association and of the American Library Association. English ed. London, Library Association, 1908.
10. ANGLO-American cataloguing rules (British text). London, Library Association, 1967.

## SUMMARY OF B.N.B. CATALOGUING PRACTICE UP TO 1967

THIS summary shows, in the order and numbering of the 1967 Anglo-American rules, the practical solutions evolved by B.N.B., to the problems of the 1908 A.A. rules. These excerpts are included for their historical interest as a point of comparison between the 1908 and 1967 rules, and between practical and theoretical solutions to the same problems. Only those rule differing materially from A.A. 1908 are included here.

**Introductory note**

This summary was prepared as the first stage in a research project. It is, therefore, not a definitive statement of B.N.B. practice. It was initially conceived as working notes for myself that would act as a basis for my subsequent research. It was realized, however, that such a statement of B.N.B. cataloguing practice would be of wider interest, and it is being included here as an item of interest to those concerned with the theoretical and practical aspects of cataloguing a national output. Within these limits, however, this summary may be taken as being accurate as to the state of B.N.B. practice up to 1968.

The examples appended to certain rules were chosen to illustrate certain points to help me in my work, and, therefore, are not as full in form, or as wide in coverage, as would be necessary in a full code of cataloguing rules.

**Main and added entries**

As B.N.B. is a printed classified catalogue, the problem of the main entry (in other situations a somewhat unreal distinction) is an important one. The form of B.N.B. necessitates the choice of *one* main entry heading, which is supplemented by index references of the "see" type. In addition to this B.N.B. cards have only one heading, and do not carry tracings indicating possible added entries. The choice of heading for the main entry is, therefore, of great importance to B.N.B. The emphasis placed on the main entry heading by the major cataloguing codes will, therefore, be followed in this summary. It is to be appreciated, however, that the multiplicity of entry points provided by the B.N.B. index is a feature of great importance to B.N.B. users, therefore this summary contains provision and direction for the making of index references. The classification number and featuring are an integral part of the B.N.B. main entry; this fact may influence the choice of author/title heading – as in the cases of constitutions and works by artists.

## Sources for determining entry

B.N.B., as with other catalogues, derives the primary and major part of its information from the title page – though it extends the definitions of title page to that of the “title area” (the page preceding, and the reverse of, the title page). Beyond this, recourse is had to other parts of the book, or to other sources of information, when this is required by reason of inconsistency or insufficient information in the title area. The criteria here are those of common sense and usefulness; B.N.B. has a function of describing material as it stands, but it also seeks to aid its users in finding material quickly and efficiently. Within these aims the primacy of the title area is recognized, but other sources are regarded as important. Conflicts of information in the book – as, for example, between the title page and the cover – can be covered by notes in the entry, and by index references from conflicting information.

## General principles for determining entry

1. Entry is made under the author, corporate or personal, when this can be determined. Authors are defined as those persons or bodies chiefly responsible for the existence of the work – thus including composers, artists, photographers, etc.

2. Entry is made under editors, compilers, publishers, etc., when necessary.

3. Entry is made under title when the authorship is insignificant, indeterminate or unknown.

4. Other entries are made when necessary.

Designations of functions are given in the heading where appropriate, e.g. compilers, editors, photographers. Such designations are italicised, and given in an abbreviated form in the index.

## GENERAL RULES

### 1. Works of Single Authorship

A. Works, collections of works by, or selections of works from a single author are entered under the author, personal or corporate, whether he is named in the work or not.

ADAMS, John

Diary and autobiography; editor in chief L. H. Butterfield  
(reference from Butterfield, L. H. *ed.*)

SHAKESPEARE, William

The Tempest; edited by J. H. Walter  
(reference from Walter, J. H. *ed.*)

Electrophonetic deposition

[HOYE, Reginald George]

St. Saviour's Nottingham: centenary 1864-1964

(author's name does not appear in the title-area)

CHIANG YEE

The silent traveller in San Francisco

**B.** Works wrongly or fictitiously attributed to a person or body who is not the author are entered under the real author, with reference from the supposed author if necessary.

STEIN, Gertrude

The autobiography of Alice G. Toklas

(this book is presented as if written by A. B. T. but is in fact by Gertrude Stein)

QUIROULE, Pierre, *pseud.* [i.e. W' W' Sayer]The case of the Bismarck memoirs, [by] Desmond Reid (*sic*)

(the wrong author appears on the title page by mistake; reference from Reid, Desmond)

## 2. Anonymous Works, Works of Uncertain Authorship, or by Un-named Groups

**A.** Anonymous works (i.e. works of unknown or unascertainable authorship) are entered under their title, as are works by groups not having a name or bearing an indistinctive name.

ORFORD Ness: a selection of maps mainly by John Norden presented to James Alfred Steers

(the authorship (i.e. editorship) is unknown)

ECONOMIC stagnation: an approach to a solution

(by a well known economist)

THESE women all: a medieval ballad newly decorated

The CHRISTIAN social conscience, by a group of laymen

**B.** With works of uncertain authorship B.N.B. practice is to follow the form of heading and references adopted by the British Museum catalogue. As most examples of these works are pre-20th century, the B.M. is strong on its coverage. The general tendency will be to opt for the author recognized by the literary consensus, and to refer from any other supposed author. In cases of genuine doubt a work is entered under its title with reference from the supposed author(s).

**C.** If the clue to authorship is non-alphabetic, entry is under title. If the description of the author is in the form of "author of . . .", entry is under

title, with reference from the title referred to. Where the authorship is hidden by a generic description, entry is under the title.

### 3. Works of Shared Authorship

These are divisible into three categories: (i) collaborations between two or more authors; (ii) works for which different authors have prepared different and distinct contributions; (iii) works consisting of an exchange, correspondence, etc., between two or more persons. As far as the heading is concerned, no distinction is made by B.N.B. between these classes of material (except in certain cases in class (ii) where the works are produced under editorial direction – *see* rule 4 below).

A. If there are two authors concerned, entry is made under both of them – these include works of joint corporate authorship. If one of the authors is clearly the principal author, entry is made under him, with reference from the other.

GEL'FOND, A. O. *and* LINNIK, Yu. K.

Elementary methods in analytic number theory

(reference from Linnik, Yu. K.)

BEAUMONT, Francis, *and* FLETCHER, John, (*b.* 1579)

A king and no king

(reference from Fletcher, John, (*b.* 1579))

B. If there are more than two authors, entry is under the first named with the suffix “. . . , *and others*”, with references from the others if there are not more than two other authors.

HOWARD, A. E., *and others*

Longman's mathematics, (*by*) A. E. Howard, W. Farmer, R. A. Blackman

(reference from Farmer, W., *and others*; and Blackman, R. A. *and others*)

LUDER, William Fay, *and others*

General chemistry

*Contributors:* W. F. Luder, Robert A. Shepart, Arthur A. Vernon, Saverio Zuffauti

(no references from the other authors)

JONES, R A Y , *and others*

The techniques of N. M. R. and E. S. R., *by* R. A. Y. Jones et al.

(more than 4 authors, therefore no note of other authors, nor reference from them)

C. If a multivolumed work of shared authorship gives the names of the authors in a different order in each volume, entry is under the heading appropriate to the first volume.

D. If a joint pseudonym is used, entry is under the pseudonym, suffixed by an explanatory note, references are made from the two real names.

GOLON, Sergeanne, *pseud.* (i.e. *Anne Golon and Serge Golon*)  
Angelique  
(references from Golon, Anne: and Golon, Serge)

#### 4. Works Produced under Editorial Direction

By this is to be understood works, not serials, in which the editorship is a primary function; that is that the person or body acting as editor (as distinct from compiler) is chiefly responsible for the existence of the work.

A. Enter under the name of the editor, with the qualification *editor*.

IAKOVLEV, K. P., *editor*

Handbook for engineers

LEVITT, Walter Montague, *editor*

Short encyclopaedia of medicine for lawyers

UNWIN, George, *editor*

What I believe, [by] A. J. Ayer and others: edited and with an introduction by George Unwin

B. If the title of the work includes the name of the publisher:

- (i) in some cases (atlases, directories, encyclopaedias, language dictionaries) entry is under the publisher as author, with references from the editor(s)

PHILIP, George, and Son, Ltd.

Commercial course atlas; cartographic editor Harold Fullard  
(reference from Fullard, Harold, *ed.*)

PRIEST'S PUBLICATIONS

Fakenham almanack and directory

DUNLOP RUBBER CO., LTD.

Book of facts: textbook for general knowledge; editors  
Norris D. McWhirter, A. Ross McWhirter  
(references from McWhirter Norris D., *ed.* and McWhirter, A. Ross, *ed.*)

NELSON, Thomas, & Sons, Ltd.

Junior English dictionary; compiled by Fr. Witty  
(reference from Witty, Fr.)

- (ii) in other cases entry is made under the editor, with reference from the publisher.

PLUMB, John Harold, *editor*

The Penguin book of the renaissance  
(reference from Penguin Books, Ltd.)

## 5. Collections

Collections of previously existing works by different authors.

A. If the collection has a title, entry is under the person named as, or known to be, the compiler, qualified by the description "*compiler*". If there are three or less authors represented, or three, or less works, added entries and references are made for these.

SEYMOUR-SMITH, Martin, *compiler*

A cupful of tears: sixteen Victorian novelettes; selected by Martin Seymour-Smith

HEATH-STUBBS, John, and WRIGHT, David [John Murray], *compilers*

The Faber book of twentieth-century verse

(references from Wright, David *comp.* and Faber and Faber, Ltd.)

FALLE, George G., *compiler*

Three Restoration comedies, edited by G. G. Falle

*Contents:* The country wife, by William Wycherley – The way of the world, by William Congreve – The rehearsal, by George Villiers

B. If the collection lacks a title, entry is under the heading appropriate to the first work named on the title page, or if there is no title page under the heading for the first work in the book. References and added entries are the same as in above.

STORM, Theodore

Immensee, [by] Theodore Storm. Lenz, [by] Georg Büchner.

A village Romeo and Juliet, [by] Gottfried Keller.

(Analytical references from Büchner, George, and title; and from Keller, Gottfried, and title)

C. Works with an unnamed compiler are entered under title.

NEW English dramatists

8: introduced by John Russell Taylor

BLACK tales: an anthology

## 6. Serials

A. Serials are entered under their title, *except* (i) those of personal authorship, (ii) those that contain the name of a corporate body in their short title.  
How. No. 1



DIRECTORY of newspaper and magazine personnel and data. 1965  
ORPINGTON News Shopper. No. 1

B. If the short title of a serial contains the name of a corporate body, or is of a generic nature requiring the name of the body for identification, entry is made under the name of the body concerned.

INSTITUTE OF JOURNALISTS

Newsletter. No. 1

PONY CLUB

Annual. (1965)

EDUCATIONAL INSTITUTE OF SCOTLAND

List of members

C. If a serial is by a personal author, enter under the author.

COURTENAY, Ashley

Let's halt awhile

32nd ed. (1965)

D. If the title of a serial, or name of a body used as a heading for a serial, changes, the first issue showing the change is entered in B.N.B. under the new heading, with a note referring to its previous title or heading.

EXPRESSION: the journal/anthology of the New Richmond Poetry Group (formerly the Whitton Poetry Group) No. 4

Annual. Previous issues published as *Collections*, by the Whitton Poetry Group

## WORKS WITH AUTHORSHIP OF MIXED CHARACTER

These rules are to apply only in cases of doubt, where one has two or more persons or bodies contributing to a work in two or more capacities. Primacy is given to the general rules of authorship.

### 7. Adaptor of Original Author

A. Paraphrases, epitomes, versions for children or other rewritings in the same literary form are entered under the heading for the original work, with reference from the adaptor.

ANDERSEN, Hans Christian

Fairy tales; retold by E. Jean Robertson, from the original English version by Caroline Peachey

(references from Robertson, E. Jean: and Peachey, Caroline)

IRVING, Washington

Rip Van Winkle; retold by Shirley Goulden

(reference from Goulden, Shirley)

DICKENS, Charles

[Pickwick papers.] The posthumous papers of the Pickwick Club; abridged by Winifred W. Donald  
(reference from Donald, Winifred W.)

B. Adaptations to a different literary form (dramatizations, etc.), are entered under the adaptor, with a reference from the original author.

e.g. BURTON, Brian John

East Lynne, or, Lady Isabel's shame; based on the novel by Mrs. Henry Wood (a play)  
(reference from Wood, *Mrs.* Henry)

C. Distinct versions of early anonymous literary works are entered under the heading appropriate to that work (these include national epics, folk tales, etc.). B.M. practice is important in this respect as it is the basis for decision in cases of doubt.

NIBELUNGENLIED

The Nibelungenlied; a new translation by A. T. Hatto  
(reference from Hatto, A. T. *tr.*)

GRETTIS SAGA

The saga of Grettis the strong; edited by Peter Foote  
(reference from Foote, Peter, *ed.*)

### 13. Reporter or Person Reported

A. Talks, interviews, table talk, etc., are entered under the person interviewed or reported with an added entry under the reporter.

BEN- GURION, David

Ben- Gurion looks back in talks with Moishe Pearlman  
(reference from Pearlman, Moishe)

B. If the work consists of interviews with more than one person, or if the work contains a preponderant amount of material by the reporter, entry is made under the reporter, with appropriate references.

DUNN, Nell

Talking to women  
(this book consists of tape-recordings of conversations with many women)

WILLIAMS, Francis (*b.* 1908)

A Prime Minister remembers: the war and post-war memoirs of the Rt. Hon. Earl Attlee, based on his private papers and on a series of recorded conversations  
(reference from Attlee, Clement Richard, *1st Earl Attlee*)

C. If the work consists of interviews for a radio or TV programme, it is

entered under the name of the programme. If it consists of interviews made for publication in a periodical, it is entered under the name of the periodical, with appropriate references.

PARIS REVIEW

Writers at work: the "Paris Review" interviews; edited by Malcolm Cowley

(reference from Cowley, Malcolm, *ed.*)

FACE TO FACE (Television programme)

Face to face; edited and introduced by Hugh Burnett

(reference from Burnett, Hugh, *ed.*)

**D.** Communications received from a supernatural source, through a medium or other person, are entered under the name of the medium. Reference is made from the name of the spirit or other source.

[HARTSHORN, Elsie]

The universes of God: revelations of the great solar teaching, the truths of God since the beginning of time, given by the Lord Mikaal

(reference from Mikaal, *The Lord*: E. H. is the medium, her name does not appear on the book)

**16. Writer or Nominal Author (i.e. "Ghosted" Works)**

Works, in the first person, purporting to be by a real person, but in fact written by another person, are entered under the nominal author, with a reference from the actual author. A distinction must be made between these works and work of shared authorship (*see* rule 3).

LARWOOD, Harold

The Larwood story, by Harold Larwood with Kevin Perkins  
(reference from Perkins, Kevin)

**17. Corporate Author or Personal Author**

This applies to works issued by a corporate author (not merely published), but with authorship ascribed to one or more persons by name or title.

**A.** Works of corporate authorship are taken to be those that are an expression of the corporate thought or activity of the body concerned (e.g. official reports and studies). These are entered under the body, with a reference from the personal author(s) named. Many reasons may affect the choice of heading in this area (e.g. the existence of an acknowledgement or a disclaimer of corporate authorship responsibility: whether the work is concerned with a collection held, or a function pursued, by the body) but the presumption is that the case for corporate authorship is one that has to be

proved. Single works of persons employed by the corporate body may be excluded, though partly for reasons of convenience, a report forming part of a corpus of work expressing, as a whole, the corporate thought or activity of the body, may be treated as such and entered under the heading for the body. Works describing a body, its procedures, functions, etc. (other than a history written by a person not an employee of the corporate body) are normally entered under the body.

RAMBLER'S ASSOCIATION

Map reading for the countrygoer; prepared for the Rambler's Association, by S. F. Marriott

(reference from Marriott, S. F.)

GREAT BRITAIN. *Forestry Commission*

Glen More: Cairngorms; edited by John Walton

(reference from Walton, John)

COMMONWEALTH EDUCATION LIAISON COMMITTEE

Correspondence courses in the training of teachers: a survey of current practice in the United Kingdom, by J. L. Ewing

(reference from Ewing, J. L.)

LONDON. SCIENCE MUSEUM

The machine tool collection: catalogue of exhibits with historical introduction, by K. R. Gilbert

(reference from Gilbert, K. R.)

UNITED KINGDOM ATOMIC ENERGY AUTHORITY. *Health and Safety Branch*

A review of the toxicology and potential hazards of natural, depleted and enriched uranium, by E. J. Bennelick

(reference from Bennelick, E. J.)

**B.** Works not covered by A above, are normally entered under the personal author(s) – these include individual scholarly works, consultant's reports, and other publications of the corporate body. Again, many factors may affect the choice of heading – but, in general, B.N.B. has a tendency to enter under the personal author, unless the provisions of A above can be shown to be of overwhelming importance to the work in hand. The case for personal authorship is one that can be assumed, unless there is strong evidence to the contrary.

A distinction must be made between works in which the corporate body may figure as author, and works merely published or sponsored by the body.

JACQUES, John

Management accounting for retail cooperative societies.

London, Cooperative Union Ltd.

(series entry under Cooperative Union. Publications)

FODOR, Michael

The East: books in Western languages on Asian and Arabic countries, compiled by Michael Fodor. London, International Federation of Library Associations

(reference from International Federation of Library Associations)

BEWLEY, Simon

Steel: performance of some U.K. manufacturers compared.

London, Aims of Industry

(series entry under Aims of Industry. Studies)

C. Communications by a head of state, or similar person, when of an official nature are entered under the heading for the office he holds. Other speeches or writings are entered under the name of such a person, as a personal author. Collections of speeches or writings can be either personal or official as above.

GREAT BRITAIN. *Prime Minister, 1961-* (Wilson)

Immigration and the Commonwealth

(reference from Wilson, Harold)

ROMAN CATHOLIC CHURCH. *Pope, 1963-* (Paul VI)

Ecclesiam suam. The church in the modern world

(reference from Paul VI, *Pope*: and from Montini, Giovanni to Paul VI, *Pope*)

WILSON, Harold (b. 1916) [*i.e. James Harold Wilson*]

Text of a speech made to the Labour Party conference, 1964

## HEADINGS FOR PERSONS

### GENERAL RULES

#### 40. Basic Rule

A. In general, B.N.B. follows A.A. 1908 practice, and enters a person under his family name followed by his given name(s). Exceptions such as saints, early writers, etc., are dealt with as directed by A.A. 1908. Two main variations from this practice are noted below; these are in the treatment of pseudonyms and in the treatment of persons who change their names.

The form of name adopted reflects national usage to some extent; to a greater extent it reflects the way in which names are given in books.

Where the coverage of the names of a particular country is inadequate in the A.A. 1908 code, recourse is had to the specific rules for names in A.L.A. 1949.

B. If a name appears wholly or partly in the form of initials, and the

whole name is known or ascertainable, entry is made under the filled out form of the name.

DOOLITTLE, Hilda

(reference from H. D.; and D., H.)

ELIOT, Thomas Stearns

CLARKE, Arthur Charles

#### 41. Choice among Different Names

Where authors are identified in their works by more than one name, B.N.B. diverges from the practice laid down by A.A. 1908. The rule in A.A. 1908 is to enter such a person under the earliest form of name, or names, under which he wrote. B.N.B. practice is to enter such a person under the name, or form of name, used in the majority of his works. This practice demands flexibility, and a 5-yearly revision is made of such authors; if it is found that the name most commonly used has changed, the name used by B.N.B. is changed to fit this situation.

DISRAELI, Benjamin, *1st Earl Beaconsfield*

(reference from Beaconsfield, Benjamin Disraeli, *1st Earl*)

HAILSHAM, Quintin McGarel Hogg, *2nd Viscount*

(reference from Hogg, Quintin McGarel, *2nd Viscount Hailsham*)

#### 42. Pseudonyms

A. If all the works of an author appear under a pseudonym, entry is made under the pseudonym, followed by an explanatory note if the author's real name is known.

Reference is made from the author's real name.

CAILLOU, Alan, *pseud.* [*i.e.* *Alan Lyle-Smith*]

(reference from Lyle-Smith, Alan)

B. If the works of an author appear under more than one pseudonym, entry is made under the name used in the book in hand, with a linking note in the index.

BURGESS, Anthony, *pseud.* [*i.e.* *John Burgess Wilson*]

(reference from Wilson, John Burgess, and note; Burgess, Anthony, *pseud.* [*i.e.* *John Burgess Wilson*]. *For works of this author published under other names see* Kell, Joseph, *pseud.*)

#### 43. Fullness of Names

A. If the forms of name used by an author vary in fullness, entry is made under the form of name used in the majority of his works, with reference from other forms if necessary. If the form of name used in the heading

contains names not identified by initials in the book in hand, the form of name used in the book is entered as part of the title statement.

HEIMER, Mel [*i.e. Melvin Leighton Heimer*]

DUNN, Leslie Clarence, and DOBZHANSKY, Theodosius Grigorievich  
Heredity and race and society, by L. C. Dunn and Th. Dobzhansky.

B. If the form of name used includes names identified in the work by initials, these names are spelled out in full. Second or subsequent given names, not indicated by initials, are put in brackets after the name. First given names, not indicated by initials, are put in brackets after the name, together with all other names.

HERBERT, *Sir* Alan Patrick

HERSEY, John [Richard]

WILSON, Harold [*i.e. James Harold Wilson*]

C. If differentiation is required between authors with the same name, the year of birth is given after the name in parentheses.

JOHNSON, Albert (*b.* 1895)

JOHNSON, Albert (*b.* 1899)

## 52. Dates

The birth dates of authors are added to their names where two or more authors have the same name, exclusive of forenames that may be given in brackets (these do not appear in the index). The year of birth is added to the name in parentheses. If the year is not distinctive, the month and, in some cases, the actual date, of birth are added. If the birth date is not known, the death date, or floreat date may be added.

JOHNSON, Samuel (*b.* 1709)

JOHNSON, Samuel [Arthur] (*b.* 1927)

JOHNSON, Samuel (*d.* 1901)

EDWARDS, Paul [Geoffrey] (*b.* July 1926)

EDWARDS, Paul (*b.* March 1926)

## CORPORATE BODIES

### 71. Related Bodies

A. A society, association or other body that is related, rather than directly subordinate, to another body, is entered under the latter, if

a. its name includes the name of the related body, *and*

b. its name is insufficiently distinct without the name of the related body

OXFORD UNIVERSITY. *Dante Society*

WELLS CATHEDRAL. *Friends of Wells Cathedral*

If such a body has an independent existence and name, it is entered direct under its name.

B. Joint committees, commissions, etc., of corporate bodies are normally entered as a subheading to the names of the corporate bodies given as joint authors. Reference is made from the second named corporate body and from the name of the joint body.

GREAT BRITAIN. *Ministry of Aviation, and Ministry of Defence.*

*Joint Services Non-Metallic Materials Advisory Board*

(references from Great Britain. *Defence, Ministry of, and, Aviation, Ministry of: and, Joint Services Non-Metallic Materials Advisory Board*)

FOOD AND AGRICULTURE ORGANIZATION, and WORLD HEALTH ORGANIZATION. *Joint Expert Group on Protein Requirements, 1961, Geneva*

(references as in the previous example)

If such a joint body is

a. a permanent body of considerable independent standing, or

b. made up of a large number of bodies pursuing similar objectives, entry is made under the name of the joint body direct, with reference from its parent bodies if there are not more than four of these; if there are more than four parent bodies, with reference from the first named or principal body.

JOINT COKE CONSULTATIVE COMMITTEE

(References from

British Coking Industries Association, and others

British Iron and Steel Federation, and others

Council of Iron Producers, and others)

## 87. General Rule

An independent conference or congress is entered under its name, qualified by its number, date and place. If such a meeting lacks a name, the provisions of rules 2A, 5 or 6A apply. Unnamed diplomatic conferences are entered under their conventional names. Reference is made from editors of the proceedings of conferences, etc., and from permanent corporate bodies involved in the organizing of such conferences, etc.; these last may be in the form of series entries for the publishers of conference proceedings.

INTERNATIONAL PHOTOBIOLOGY CONGRESS, *4th, 1964, Oxford*

JOINT CONVENTION ON MACHINES FOR MATERIAL AND ENVIRONMENTAL TESTING, *1965, Manchester*

A. If the formal presentation of the name of a conference varies, and one form includes the name of a sponsoring or organizing body, prefer this form.



B. If a conference has a specific name and is part of a series of conferences with a specific name, enter under the name of the individual conference with reference from the broader name.

C. Initial words denoting the number or frequency of the conference (e.g. second, biennial) are omitted from the name of the conference in the heading.

## 88. Number

If a conference is one of a numbered series, the number is given after the name in an English abbreviated form (1st, 2nd, 3rd, etc.). If the numbering has to be inferred, it is omitted from the heading.

## 90. Date (New code rule 91)

The year of the conference is given after the number and before the place. A more precise date may be required in the case of two conferences with the same name held in the same year.

## 91. Place (New code rule 90)

A. The place at which the conference is held is given after the date.

B. If the place at which the conference is held is an institution, the name of the institution is given as the place.

CONFERENCE ON MATHEMATICS, 1959, *University of Liverpool*  
SYMPOSIUM ON INFLAMMATION AND DISEASE OF CONNECTIVE TISSUE,  
1960, *Hahnemann Medical College & Hospital, Philadelphia*

C. If the conference is held in two places, these are given. If they are held in more than two places, the most important or first named is given.

INTERNATIONAL CONFERENCE ON CO-ORDINATION CHEMISTRY, 7th,  
1962, *Stockholm & Uppsala*

## UNIFORM TITLES

The use of uniform titles as headings, or interposed between the heading and the title statement, has a practical purpose, that of bringing together editions or translations of works that have been published under variant titles. Certain areas where this is likely to occur have been defined (e.g. scriptures, anonymous classics, works written before 1900). Within these areas a uniform title is adopted, and made the heading, or interposed between the heading and the title statement in brackets.

## 100. General Rule

A. Where editions (other than revisions) of works, or translations of works, written before 1900, have variant titles, a uniform title is adopted. For works written since 1900 a note is made in the entry indicating previous publication under another title.

B. Where such works are entered under title (e.g. scriptures, anonymous classics), the uniform title is made the heading.

C. Where such works are not entered under title, the uniform title is interposed between the heading and the title statement; the uniform title is enclosed by brackets. If the title of the work as given in the work in hand is the same as the uniform title, the uniform title is omitted from the entry.

D. A uniform title is not used when works purport to be revisions of a previous work, even though the works may have different titles. Such works are linked by notes in the entries relating to them.

E. Epitomes and adaptations are entered under the heading appropriate to the original work (*see* rule 7), a uniform title is used where necessary.

## BIBLES

### 108. General Rule

The uniform title Bible is used for the Bible and any of its parts. To this heading is added the designation of a part, the language of a text, and an indication of whether it is a paraphrase, selection, harmony, etc. Reference is made from the names of revisers, editors, compilers, etc., and from the name of specific editions.

### 109. Parts of the Bible

A. Testaments and books; the New Testament and Old Testament are so designated. The names of books that are part of the Protestant canon are taken from the Authorized Version.

B. Groups of books are entered under their names as a subheading to the appropriate Testament.

BIBLE. *New Testament. Gospels*

BIBLE. *Old Testament. Pentateuch*

C. Apocryphal books of the Old Testament, accepted as part of the Protestant canon, are entered under the subheading *Apocrypha*, with the names of specific books added where necessary.

BIBLE. *Old Testament. Apocrypha. Maccabees*

D. References are made from the names of books, or groups of books

(though subject index entries are made direct to the relevant classification number).

E. Single selections from the Bible are entered under the correct biblical citation.

BIBLE. *Old Testament. Psalms. Miserere*

BIBLE. *Old Testament. Exodus. Ten Commandments*

Selections of two or more pieces from the Bible are entered under the narrowest selection of the Bible that includes all the selected pieces, with the subheading *Selections*.

BIBLE. *New Testament. Selections*

BIBLE. *Old Testament. Psalms. Selections*

## 110. Language

A. The name of the language of a biblical text (other than English) is added to the heading appropriate to the text.

BIBLE. *Welsh*

BIBLE. *New Testament. St. Mark. Cornish*

B. If the text appears in two languages of which one is English, the name of the non-English language is added.

BIBLE. *New Testament. St. Mark. Greek*

Mark: a Greek-English diglott

C. If the text is in more than two languages the designation *Polyglot* is used.

BIBLE. *Old Testament. Polyglot*

## ORTHODOX REFERENCES

### 120. Basic Rule

Where the name of a person or body is, or may be, known in a form that is not the form used in the heading, reference is made from that form, or forms, to the form used in the heading.

### 121. Names of Persons

#### A. Different names:

- a. Refer from a name by which an author may be known to the name used in the heading.

*Real Names:* Mordvinoff, Nicolas. *See* Nicolas, *pseud.*

Moss, Thelma. *See* Newland, Constance A., *pseud.*

*Secular names:* Roncalli, Angelo Guiseppe. *See* John XXIII, *Pope.*

Groues, Henri A. *See* Pierre, *Abbe*

- b. Refer from a form of name used by the author when it differs significantly from the form of name used in the heading.
  - Unused first forenames:* Matthews, Derek Patrick Lloyd. *See* Matthews, Patrick
  - Different language form:* Plinius Secundus, Caius. *See* Pliny Morgagni, John Baptist. *See* Morgagni, Giovanni Battista
- c. Refer from different elements of a name that may be sought as an entry word.
  - Title of nobility different from a heading*  
Mountcashel, Justin MacCarthy, *Viscount*. *See* MacCarthy, Justin, *Viscount Mountcashel*
  - Surname different from title of nobility used as heading*  
Motier, Marie Adrienne Francoise du, *Marquise de Lafayette*. *See* Lafayette, Marie Adrienne Francoise du Motier, *Marquise de Lafayette*
  - Different element of a compound surname*  
Moore, Zelma Bramley-. *See* Bramley-Moore, Zelma
  - Part of surname following a prefix*  
Mordaunt, Walter Julius de. *See* De Mordaunt, Walter Julius
  - Last element when it is not the entry element*  
Tung, Mao Tse. *See* Mao Tse-Tung  
Tse-Tung, Mao. *See* Mao Tse-Tung
  - Honorary title if sometimes sought as an entry element*  
U Ba. *See*, Ba, U

B. Explanatory references are made for persons writing under their name and one or more pseudonyms, or under a number of pseudonyms.

Martin, Reginald Alex. *For works of this author published under other names see*

Dixon, Rex, *pseud.*

Elliott, E. C., *pseud.*

Martin, Robert

(Similar references are made from the other names)

### References Used by B.N.B. in Place of Added Entries, etc.

Reference is made from any person or corporate body associated with a publication, if it is believed that a user of B.N.B. might consider that person or body to be identified with the work. An example of this is in the vexed area of corporate versus personal authorship (*see* rule 17) where it is important that a reference should be made from the person or body not used as the heading. In general, any person or body that has been considered as a heading should be the subject of a reference. This also applies in the cases where B.N.B. practice differs from the A.A. 1908 rules, a reference is made

from the person or body that would be the heading if the A.A. 1908 rule were followed (e.g. festschriften).

**A. Reference is made from collaborators, where there are not more than four of these.**

Moore, Charles Kenneth, & Codlin, Ellen Mabel. *See* Codlin, Ellen Mabel, & Moore, Charles Kenneth  
Moore, Clement Henry, & others. *See* Micaud, Charles Antoine, & others

**B. Writers.** Reference is made from the person to whom a work is ascribed, when another person or body is used as the heading.

Moore, W. C. Cereal diseases. *See* Great Britain. *Agriculture, Fisheries & Food, Ministry of*  
Moore, E. W. *rev.* Chemistry. *See* Wellings, Alfred William

**C. Editors and compilers.** Reference is made from the persons named as editors or compilers, when the heading is something other than their names. Reference is not made from the editors of periodicals.

Moran, James, *ed.* *See* Fortsas hoax  
Moore, H. I., *ed.* The agricultural notebook. *See* McConnell, Primrose

**D. Translators.** Reference is made from the translator of a work to the heading of that work.

Morgan, Edwin, *tr.* *See* Beowulf  
Moreau, Jean F., *tr.* *See* France. *Statutes*  
Moore, David, *tr.* *See* Gilson, Etienne

**E. Illustrators.** Reference is not normally made from the illustrator of a work.

**F. Corporate bodies.** Reference is made from a corporate body:

- a. If the body has not been used as a heading under the provisions of rule 17.

GREAT BRITAIN. *Colonial Office. Ceylon. Hambantota District. Assistant Government Agent. Diaries.* *See* Woolf, Leonard. *Diaries in Ceylon.*

Institution of the Rubber Industry. The applied science of rubber. *See* Nauton, William Johnson Smith, *ed.*  
or

- b. In the form of a "series" entry if the body is a non-trade publisher.

London. University. *Warburg Institute. Studies:*

*Boas, George. The cult of childhood*

Metallurgical Society. *Conferences (Gordon & Breach):*

**G. Other related persons and bodies.** Reference should be made from all persons or bodies that may be sought by a user in connection with a specific book, even though they are not authors or publishers.

*Dedictees of festschriften*

Steers, James Alfred. *See* Orford Ness (a book presented to J. A. Steers)

*Bishops of dioceses, when the work is a register of the diocese during his episcopate*

Wolstan de Bransford, *Bp. of Worcester*. A calendar of the register of Wolstan de Bransford, Bishop of Worcester. *See* Haines, Roy Martin.

**H. Persons or bodies featured by the classification.** Certain persons or bodies associated with a work will be featured by the classification (e.g. artists) and will therefore figure as a subject index entry. No reference need be made from them.

759.6 r19m Velasquez, Diego Roderiguez de Silva y

TROUTMAN, Philip

Velasquez (this book contains numerous illustrations by Velasquez)

no reference from Velasquez to the author index entry, *but*  
Velasquez, Diego Roderiguez de Silva y: Painting 759.6 r19m

**I. Cryptic and allusive identifications:**

- a. **Persons identified by initials.** Reference is made from the initials in the order given in the book to the inverted form of the initials, and from the inverted form to the heading used in the book.

C. D. *See* D., C.

D., C., *tr.* *See* Steiner, Rudolf

W. D. V. *See* V., W. D.

V., W. D. *See* Short history of St. Mary's Hadlow

- b. Reference is not normally made from persons identified by a phrase, preceded by the indefinite article (e.g. "a doctor").

If the phrase used as a pseudonym is not intended to be taken as a name, no reference is made from the inverted form (e.g. Bon Viveur).

Persons identified by a generic title and a name, initial, or nickname, have a reference from the direct form of the name.

Dr. X, *pseud.* *See* X, Dr. *pseud.*

Uncle Ray, *pseud.* *See* Ray, Uncle, *pseud.*

c. Persons identified by the phrase "by the author of . . .".

Reference is made in accordance with A.A. 1908 (A.A. rule 114).

**J. Related works.** A work treated as an independent work may, nevertheless, have a relationship to a previously published work (e.g. an exposition of the ideas in another book, a concordance, index, etc., to another book, a reply to another book – see rule 19). This relationship is normally disclosed by a subject index entry.

"For Christ's sake!: an answer to 'Honest to God' by the Bishop of Woolwich"

The connection in this case is made by the subject index entry:

Robinson, John Arthur Thomas. *Bp. of Woolwich*. Honest to God: Exposition, criticism 230

(230 being the classification number allocated to "For Christ's sake!")

In some cases this connection may be made by use of an index reference.

Union complete. *See* McLaren Moray

Union complete, by M. A reply. *See* Scott, Tom.

**K. Names associated with a work.** Names, such as those of art galleries, collections, museums, libraries, may be associated with a work without figuring as author, title or subject. Reference should be made from such names where they constitute a possible sought heading.

Walker Art Gallery, *Liverpool*. Liverpool Academy of Arts 150th anniversary exhibition. *See* Liverpool. Academy of Arts

**L. Analytical references.** Analytical references (author or author/title or title) are made when not more than three authors or three works are present in one publication (*see* rule 5A).

Morant, Harry Harbord. Selected verses of the "Breaker". *In* Cutlack, Frederick Morley. Breaker Morant

Moravia, Alberto, *pseud.* (*i.e.* *Albert Pincherle*). Agostino. *In* Moravia, Alberto. Two adolescents

More, Sir Thomas, *Saint*. Treatise on the holy Eucharist. *Bound with* More, Sir Thomas, *Saint*. English prayers

Sir Gawain and the Green Knight. *Bound with* Pearl

Sir Gawain and the Green Knight; *tr.* by T. H. Banks. *In* Chaucer, Geoffrey. The age of Chaucer

**M. Series.** The series entries in the B.N.B. index take the form of the name of the series, with the name of the publisher in parentheses, with a list of the books published in that series in the B.N.B. cumulation.

(i) Ordinary series entry; these are made under the name of the series.

Moorhen books (*Friday P.*):  
*Beresford, Elizabeth. Holiday for Slippy*  
 Mechanical age library (*Muller*)  
*Day, John Robert, & Cooper, Basil Knowlman.*  
*Railway locomotives*  
*Dean, Frederick Ernest. Steel*

- (ii) The series entry is also used by B.N.B. to provide a way of finding a book via the name of a corporate body, not the author, associated with the book. The most usual form of this type of series entry is in the case of a work published by a corporate body, where the exact nature of that body's function is not clear, though another body or person has been used as the heading. In this case a series entry is made under the name of the body, with the suffix *Publications*. This category is used for all corporate bodies which are non-trade publishers.

National Milk Publicity Council. Publications:

*Dawson, Don. Report on the dairy industry.*  
*Joint Committee for Technical Education in the Dairy Industry.*  
*Careers in a £1,000,000-a-day industry.*

British Museum, London. Publications:

*Bailey, Donald Michael. Greek and Roman pottery lamps*  
*Higgins, Reynole Alleyne. Greek terracotta figures*

- (iii) Series published by a non-trade publisher:

- A. Series with a non-distinctive name; entry is under the name of the corporate body, with the non-distinctive name attached

London. North Western Polytechnic. *Department of Librarianship*. Occasional papers:

Institute of Electrical Engineers. Conference Reports

Historical Association. General series

Historical Association. *Bristol Branch*. Local history publications

- B. Series with distinctive names; entry is under the name of the corporate body (*except see below*) with reference to the series entry from the name.

California University *Institute of East Asiatic Studies*

Chinese dynastic histories translations series (*California U.P.: C.U.P.*):

Chinese dynastic histories translations series, *see . . .*

Historical Association. Helps for students of history series:

Helps for students of history series, *see . . .*



This rule is not an inflexible or a permanent one. There is a tendency in more recent B.N.B. cataloguing to enter series with distinctive titles under their names with reference from any bodies that may be responsible. This last is more in accordance with the general usage for series and reflects two important facts of modern publishing: first, the number of non-trade publisher organizations who bring out publications in association with trade publishers; second, the growing number of university lectures series, with distinctive names, that are published (*see below*).

- (iv) Lectures series. A series of lectures, whether published by a trade or non-trade publishers, is entered under its name.

Morison lectures, (*Royal College of Physicians of Edinburgh*)

Sir Stephen Tallents memorial lectures (*Institute of Public Relations*)

Reference is made to such names from: (1) variations of the names;

- (2) institutions associated with the lectures.

Tallents, *Sir* Stephen. *See* Sir Stephen Tallents memorial lectures

Glasgow. University. Maurice Bloch lectures. *See* Maurice Bloch lectures

Selly Oak Colleges. *See* George Cadbury memorial lectures

- (v) Where a series includes or is prefaced by the name of a trade publisher, this is omitted as the name of the publisher is given in parenthesis after the name of the series.

Mathematics series (*Harper & R.*): *not* Harper and Row mathematics series

Mathematics series. (*Prentice-H*): *not* Prentice-Hall mathematics series

If the name of the series is prefaced by the name of a trade publisher and the word series, a series note is made in the body of the entry, but the name is *not* indexed.

(*McGraw Hill series in poetry*)

(no entry in index)

(*Longmans series in astronomy*)

(no entry in index)

- (vi) If the name of the series is considered to be so vague as to be unsought, or if the series itself is merely a publisher's stock control device, *no* entry is made.

## N. Titles

- (i) Title references are made for all works (for exceptions *see below*).

Moonlight & magic. *See* Lindsay, Rachel

More cake recipes. *See* "Good Housekeeping"

V. *See* Pynchon, Thomas

- (ii) Articles are normally omitted when they precede a title.

If the title consists of one word prefaced by an article the title is inverted and the article italicized.

Square, *The*. *See* Duras, Marguerite

Mouches, *Les*. *See* Sartre, Jean Paul

Mormons, *The*. *See* Donnes, J. Cyril

Other one-word titles are suffixed by (in order of preference): the subtitle, the name of the series, the name of the publisher.

Morality, old and new. *See* Smith, E. P.

China! All about it! *See* Freehill, Norman

China (*Art of the World series*). *See* Speiser, Werner

Morocco (*Vista books*). *See* Monteil, Vincent

Sex (*Eyre and S.*). *See* Michelmore, Susan

- (iii) Exceptions: no references are made from

A. Works with common or meaningless titles (e.g. Poems; Collected letters; Bulletins)

B. Subtitles are not normally indexed (but *see* (ii) *above*)

C. Where the title is the same as the heading (e.g. "Bank of England", by the Bank of England)

- (iv) Reference is made from a title other than the main title, when it is significantly different (e.g. cover titles, half titles).

## MATTERS FOR FURTHER RESEARCH

IN the course of my year's investigation of the new cataloguing rules, various projects have suggested themselves as being useful offshoots of my main work. I have been unable to carry them out because of a lack of time. I have thought it best, therefore, to list these projects and to explain, briefly, the lines along which I would have worked on each. The projects are not listed in an order of importance, nor do I think that all of them are of equal and pressing urgency. I hope that it may be possible for someone to work on, at least, some of these projects in the future. Cataloguing research is, broadly speaking, haphazard and uncoordinated. The necessity for better management of increasingly large and complex catalogues will undoubtedly lead to an increase in research in this area. It would be unfortunate if this were to take the form of individual sporadic effort. The ideal would be a planned unitary programme. New research should evolve from the inadequacies of previous work.

### 1. Liturgical Works, Religious Orders, and Other Problems in cataloguing Religious Works

Between 1962 and 1965, Theodore A. Mueller, an American cataloguer, prepared a wide ranging and detailed analysis of the problems involved in cataloguing religious works in various types. This analysis was, quite justifiably, called "encyclopaedic" by Sumner Spalding, the editor of the new rules. In addition to his analysis of the various problems, Mueller made recommendations on rules to cover these problems. Not all of his recommendations were incorporated in the new rules. One has got, therefore, on the one hand, a set of rules detailed enough for a general library, and on the other hand, an analysis containing detail enough for the most specialized collections. Although many of Mueller's conclusions are not acceptable in the context of the new rules, his analysis is too valuable to be wasted. An attempt should be made to relate the new rules and Mueller's work to produce a result that would be both in harmony with the new rules and exhaustive in detail.

### 2. Corporate Authorship. Symposia

As I have said in my report, I consider the new rules to be inadequate in some respects in their treatment of corporate authorship, and of the complexities of conference reports, symposia, etc. If the new rules are to be fully

effective, it is apparent that they will have to be supplemented, in these areas, by an individual working practice. In the absence of effective guidance by the rules themselves, individual, incorrect, and differing practices will arise. I consider it to be very important that a detailed analysis should be made of these problems, and that this analysis should serve as the basis for proposals to be put to the Cataloguing Rules Committees for incorporation in future editions of the rules.

### **3. Cataloguing and Classification**

In modern library teaching, cataloguing and classification are seen as aspects of the same process – the organization of knowledge. This unity is easily seen in a classified catalogue. Cataloguing and classification have evolved separately. No detailed work has been done to isolate areas in which they interact, or to distinguish areas in which one or the other are not useful. I think that a study leading to an integrated theory of subject description and nominal description would be of the highest use, practically and theoretically. It would lead to a greater understanding of each, and a greater understanding of the unity of the organization of knowledge.

### **4. Index to the Rules**

The index to the new rules is a straightforward alphabetical list of the cases and principles found in the rules. While it is very full and accurate, I feel that the radical differences between the new code and its predecessors warrant a new approach to the methods of obtaining access to the rules. The index given is very similar in approach to that in, for example, the 1949 A.L.A. rules. I think that this approach will not be successful in working practice. Various alternatives suggest themselves. One could have two indexes—one of principles and one of applications—both to be constructed on chain indexing principles. The chain index approach would seem to be appropriate because of the general to special, classificatory, way the rules are presented. Another possible way of dealing with this problem would be to analyse each rule and to categorize the type of problem it deals with and the type of answer it gives. These categories could then be listed in an index form. It may be that an entirely new method is needed and that the usual type of index is not useful.

What seems certain is that practical use of the rules will be helped by the provision of useful ancillary aids, and that absence of these aids will inhibit the full use of the rules that seems desirable.

### **5. Cataloguing and Catalogue Use**

The most vital aspect of cataloguing theory and practice which remains unexamined is the use made of the catalogue. Until the aim of catalogue

construction has been clearly stated on the basis of objective and accurate surveys of catalogue use, all cataloguing theory will remain unscientific and open to doubt. In this respect an analysis of the use made of the cataloguing information supplied by B.N.B. would be useful in determining the content and form of any change in that information. It would be very helpful if it were possible to relate any survey of the use of B.N.B., or any other source of cataloguing information, to the principles and methods of the new A.A. rules. This would be an expensive and lengthy project, but one which would lead cataloguing theory to the solid ground of fact, and away from the variable elements of dogma and prejudice.

3541

7-12-70

111

111





Library IAS, Shimla

025.3 G 68 S



35441