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ABSTRACT

There is a fairly large body of literature on the 1967 Anglo-American Cataloging Rules (AACR). Much of the adverse criticism which this literature contains is concerned with comparatively unimportant shortcomings of the code. This paper is a discussion of what the author considers to be some of the more serious defects. Several suggestions are made for improving the Code: (1) to avoid ambiguity, the rules in a catalog code must be based on a carefully controlled vocabulary; (2) a code should be based on stated principles; () rules for the selection of main entry headings should be more strictly adhered to; (4) inconsistency in rules determining the structure of main entries must be eliminated; and (5) a catalog code should be as brief as possible. The overall effectiveness of a code depends to a large extent on the effectiveness of its arrangement. The fact that the scope of some rules is not clear makes it difficult to assess the comprehensiveness of the AACR, but it is probably the most comprehensive code for author/title cataloging in existence. (Author/SJ)

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NEW CODE, OLD PROBLEMS

a critical discussion of some aspects of the Anglo-American Cataloguing Rules (1967)

by

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1971

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Introduction

This is the first of a series of occasional papers by the North East London Polytechnic Libraries.

This examination of the Anglo-American code of cataloguing rules is by John Gilbert, Chief Cataloguer at the West Ham Precinct of the Polytechnic and is published for discussion and comment. As a former secretary of the British end of the joint committee which evolved the new code and later a member of the committee, I have more than a passing interest in the subject of Gilbert's monograph which I commend as a thought-provoking and useful contribution to the subject of catalogui .

Philip W. Plumb.
Polytechnic Librarian.

'The rules for cataloguing must be stringent, and should meet, as far as possible, all difficulties of detail. Nothing, as far as can be avoided, should be left to the individual taste or judgement of the cataloguer'

- Charles C. Jewett 'On the construction of catalogues of libraries .....', Washington, 1852.

1. Introduction

There is a fairly large body of literature on the 1967 Anglo-American Cataloguing Rules. Much of the adverse criticism which this literature contains is concerned with comparatively unimportant shortcomings of the code. This paper is a discussion of what I consider to be some of the more serious defects in the code. It was considered that the paper would be more useful if it contained suggestions on methods for correcting the defects. Several such suggestions have been included. In this paper, AACR has been considered only in its capacity as a standard to be used in the production of bibliographical descriptions i.e. descriptions of books and similar printed materials. It was thought that a systematic arrangement would be preferable to a more or less random presentation of problems and suggested solutions. The arrangement is based on that used by Ranganathan in 'Headings and canons' and elsewhere. Except where otherwise indicated, the discussion applies to both texts of AACR.

2. Terminology

The terminology of cataloguing contains many synonyms and homonyms. It follows that if ambiguity is to be avoided, the rules in a catalogue code must be based on a carefully controlled vocabulary i.e. each concept should be represented by only one term, and each term should represent only one concept. The necessary basis for such a vocabulary is a section of the code defining terms used in the code. A definition should accompany each preferred synonym; references should lead to this from unused synonyms. Homonymous terms should be 'labelled' to represent different meanings, and each labelled term should be accompanied by a definition. Labels can either be prefixes, as used by Domanovszky[1], e.g. Class A editor, Class B editor, etc., or suffixes, as used by Ranganathan[2], e.g. Series of kind 1, Series of kind 2, etc. The section of a code dealing with terminology must cover, inter alia, terms and definitions relating to document producers and documents.

21. Document producers. Document producers (subsequently abbreviated to DPs) are persons or corporate bodies responsible in some way for the existence of documents or groups of documents. DPs include authors, editors, compilers, etc. There is no term in general use at present to represent this concept.

211. Corporate bodies. Most catalogue codes recognize corporate bodies as DPs, to some extent. AACR does so, although it is not clear whether this recognition extends to all types of DP (see Section 4221). AACR's definition is discussed in Section 4222.

212. Types of DP. Many terms representing types of DP are homonymous (e.g. editor), so labelling is necessary. AACR gives definitions of most terms representing types of DP, but homonymous terms are not labelled, and this has inevitably led to confusion[3].

213. Corporate body or person. If a code recognizes corporate DPs, it will be necessary, in the case of documents produced by personal members or employees of corporate bodies, to define whether the corporate body or the person is to be regarded as the DP. There may be a general definition for all types of DP, or a definition for each e.g. one for corporate vs. personal authorship, one for corporate vs. personal editorship, etc. Rule 17 of AACR deals with this problem as though it were a matter of choice of main entry heading, rather than a matter of definition[4]. The precise scope of Rule 17 is not clear. The preliminary note states that the rule 'applies to works issued by or bearing the authority of a corporate body, but with authorship or editorship prominently attributed to one or more persons'. It is not clear if this means that the rule can be used for choice between corporate and personal editors, as well as between corporate and personal authors. If Rule 17 only deals with the latter problem, it is obvious that analogous rules are needed for choice between corporate and personal editors, etc.

214. Corporate body or corporate body. If a code recognizes corporate DPs, it will be necessary, in the case of documents by subordinate units of corporate bodies, to define whether the corporate body or its subordinate unit is to be regarded as the DP. There may be a general definition for all types of DP, or different definitions for each type. AACR Rule 18 treats this problem as a matter of choice of main entry heading, rather than as a matter of definition[5]. It is not clear whether Rule 18 applies only to authorship in the narrow sense, or also to other document production functions. In the former case, analogous rules are needed for choice between corporate

body and subordinate unit for other types of DP i.e. editors, compilers, etc.

22. Documents. The term 'document' is used in this paper to mean (i) a publication (ii) a section, which can be regarded as an entity, of a publication.

221. Publications. A bibliographic description is a representation of a publication or part of a publication. It is therefore necessary for a standard for producing bibliographic descriptions (e.g. a catalogue code) to define the sense in which it uses the term 'publication'. As it is axiomatic that some publications consist of more than one volume (in the sense of a physical entity), the definition needs to contain an unequivocal statement of the circumstances under which a set of related volumes is to be considered either one publication or a set of publications. An adequate definition, as well as being needed for cataloguing purposes, is also a prerequisite for work in such fields as library and book trade statistics, bibliometrics, etc. Perhaps the lack of an adequate definition is responsible to some extent for the widely differing estimates of the number of scientific serials.

2211. Named sets of named volumes. Many publications form parts of named aggregations of publications known as series. Many publications consist of several named volumes. Therefore, it is often difficult to decide whether a named set of named volumes is one publication or a series. AACR, like most other codes, gives no explicit guidance on this problem. There are three possible reasons for this: (i) the problem was not considered during the drafting of AACR, (ii) the problem was considered, but no satisfactory definition could be formulated, (iii) the compilers of AACR felt that this problem should not be the concern of a catalogue code, and that each library and bibliographical service should write its own definition. If a code is intended to be a national or international standard, as AACR is, this argument is of course invalid.

Flowchart A is suggested as a tentative basis for a definition. The phrase 'planned whole' must be explained. A set of volumes should be considered to form a planned whole if it has one or more of the following characteristics: (i) the numeration of pages and/or chapters, sections etc. is in one continuous sequence, (ii) the set contains one or more indexes to the whole set, (iii) the contents of the set are arranged in a systematic order (which may be alphabetical).

Ranganathan has formulated a definition containing three criteria[6], and my first two criteria are similar to his. Ranganathan's third criterion is whether the subject matter of the set is distributed in such a way that it is 'not helpful' to treat the set as a series. My third criterion results in more sets being treated as monographs than is the case using Ranganathan's third criterion.

It is recognized that my third criterion, like Ranganathan's, will sometimes be difficult to apply. In doubtful cases, three alternative courses of action are possible: (i) treat as a series (this is what Ranganathan recommends), (ii) treat as a multi-volume monograph (iii) base the decision on the layout of the title pages of the set.

Of course, it would be possible to base the decision on a comparatively arbitrary criterion like title page layout in all cases. This has been suggested by Johnson[7], in a discussion limited to cases where all the volumes are by the same author.

2212. Works of changing authorship. Some reference works are frequently published in new editions, and their DPs may change from edition to edition. If the editions are not intended to be published at regular intervals, there is the problem of deciding if the set of editions is to be defined as a serial, or each edition is to be defined as a monograph. Lubetzky's draft code contained a rule[8] devoted to choice of main entry heading for this type of publication, which he called 'works of changing authorship', treating each edition as a monograph. A comparable rule was not included in AACR, and there is no explicit guidance on this problem. There is some explicit guidance, but it is contradictory[9].

222. Categories of documents.

2221. Class A categories. These are categories based on 'form' e.g. dictionary, directory. Such categories will of course only need to be defined if there are rules in the code prescribing different treatment for different Class A categories. The North American Text of AACR contains such a rule (see Section 4), but does not define most class A categories.

2222. Class B categories. These are categories based on the number and types of DP e.g. composite works, collections.

22221. Conference documents. Conference documents are of three types. Type 1 consist of material by the conference as a whole. Assuming a code recognizes corporate authorship and recognizes conferences as corporate bodies, these will be treated as works of single authorship. Type 2 consist of material by the conference as a whole (e.g. resolutions, discussions), and contributions by individual members of the conference. Type 3 consist of a number of contributions presented or to be presented by conference members. Types 2 and 3 must be defined either as works of single corporate authorship or as works by several authors (composite works or collections). Type 3 are defined as composite works in 'Classified catalogue code'[10], and the sixth edition will also include provision for Type 2[11], AACR, like most other codes, gives no explicit guidance on Types 2 and 3[12], but example 3 in Rule 17A1 suggests that Type 2 are to be considered as of single authorship.

2223. Class C categories. These are categories based on whether the identity of DPs eligible for main entry heading is known or unknown.

2224. Class D categories. These are categories based on method of publication i.e. monographs and serials.

3. Principles

A code should be based on stated principles. No code is likely to contain rules dealing with every situation which may be encountered in author-title cataloguing. There are situations where it is necessary for the individual cataloguer to make decisions on problems not explicitly covered by any rule in a published code. These decisions should be recorded to ensure consistency. In effect the cataloguer will be extending the code, so it is important that his approach to code making should be consistent with that of the authors of the published code. This is more likely to be the case if the code is based on stated principles.

It is not easy to define 'principles' in the context of cataloguing. However, Ranganathan's Canons of Cataloguing provide a good example, illustrating the level of generality appropriate to principles. The 'Paris Principles' (on which AACR is to a large extent based) bear more resemblance to an outline catalogue code than a set of principles, as Chaplin has pointed out[13]. It might be thought that even an outline catalogue code would be of some use in extending a code based on the outline. This is unlikely to be the case with AACR, because many of the Paris Principles allow more than one interpretation, and there are many alternatives. Therefore, the statement that AACR is based on the Paris Principles (Introduction, p.2) will be of

limited value to anyone aware of the inadequacies of AACR and trying to extend and/or interpret it.

The Introductory Notes to Chapter 1 of AACR list four 'General principles' for entry. These are not really general principles; they merely constitute a summary of Rules 1-6. The nearest approximation to a genuine set of principles in AACR is the introductory note to Part 2, Description, entitled 'Principles of descriptive cataloguing'.

4. Rules for selection of main entry heading

Main entry headings can be selected (i) arbitrarily, by using the 'alternative headings' method whereby the main entry heading is always the publication's title[14], or (ii) by using a set of rules based on the intellectual responsibility concept, whereby the main entry heading is usually a DP's name, the publication's title being used when an eligible DP is unknown and in certain other exceptional circumstances. Chapter 1 of AACR is such a set of rules. It is obvious that the use of the intellectual responsibility concept makes some types of DP ineligible for choice as main entry heading e.g. a publisher qua publisher is not eligible; a publisher qua author might be considered eligible.

Rules for the selection of main entry headings should be based mainly on Class B categories. Rules based on Class A categories should be kept to a minimum. This, of course, has been generally accepted since 1953, when Lubetzky's critique[15] of the A.L.A. code[16] was published. One of his main criticisms of that code was that there were too many rules based on Class A categories and this made it long and complex. AACR's basic rules (Rules 1-6) are based on categories from Classes B, C and D. Categories from Class A occur only once, in Rule 6 of the North American text. This use of Class A categories is contrary to the general approach of AACR. It is hard to understand why it was found necessary to prescribe different treatment for different types of serials. Osborn[17] mentions one possible factor to account for this decision of the American committee.

41. Omissions. There are two Class B categories which AACR does not provide for.

411. Publications consisting of a mixture of new documents and previously existing documents. It was pointed out at the International Meeting of

Cataloguing Experts that the Paris Principles do not cover this category. The suggested solution was that this category should be treated the same as collections [18]. This solution seems to be equally applicable to AACR. It could be implemented by a slight alteration of the wording of Rule 5.

412. Collections of works and/or parts of works of shared authorship. There are three types of collection (see Diagram 4). Type 1 is covered by Rule 1 of AACR. Type 2 is covered by Rule 5, but there is no provision for Type 3. Rule 5 could be extended to provide for Type 3, and I have suggested Flowchart B (for the selection of main and added entries for Type 3) as a basis for such an extension.

42. Ambiguity. The use of an uncontrolled vocabulary (see Section 2) is not the only possible source of ambiguity in codes. Others are:

421. Structural ambiguity. Catalogue codes can be thought of as possessing a deep structure and a surface structure*. The deep structure consists of a number of questions, to each of which the answer is Yes or No, together with instructions on the course of action to be taken after each question has been answered. A deep structure can be represented in a number of ways: (i) as a flowchart (see Flowcharts A-D as examples), (ii) as a decision logic table [19], (iii) as a question list (see Diagram 5). The term 'algorithm' can be applied to all these modes. The surface structure is the rules of the code in the form in which they are presented to the user. The surface structure can be thought of as the result of a transformation of the deep structure, and a deep structure can be thought of as resulting from a transformation of a surface structure. The surface structure can be an algorithm+, or it can be a sequence of rules, with much of the deep structure only implicit, as in AACR. If the surface structure is not algorithmic, it must be designed in such a way that a transformation into only one deep structure is possible.

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* The syntactic concepts of deep structure and surface structure seem a useful analogy to use in the study of the structure of catalogue codes, and as it is fashionable to borrow (misappropriate?) terms from linguistics for use in the field of information retrieval, it seems permissable to utilise the terms as well as the analogy.

+ It is not a new idea to present codes in algorithm form. Two codes were published in something very similar to question list form in 1886 and 1890 - those of Dziatzko [20] and Linderfelt [21]. Linderfelt's code was based on Dziatzko's; neither made a successful use of the method.

A surface structure which can be transformed into more than one deep structure is ambiguous. If the design of a surface structure is not preceded by the working out of a deep structure, such ambiguity is far more likely, because it is fairly easy to avoid ambiguity when transforming a deep structure into a surface structure. Unfortunately, it appears that the construction of a deep structure did not precede the design of the surface structure of Rules 1-6 of AACR.

If rules are based on categories from more than one class (see Section 222), one of the classes must be given priority. Guidance on the order of priority between Rules 1 and 3-5 (which are based on Class B categories) and Rule 6 (based on a Class D category) is clearly necessary. Rule 1 states that works of single authorship are entered under author. Rule 6 states that serials are entered under title. It is obvious that guidance is needed as to whether a serial by a corporate author is covered by Rule 1 or Rule 6. No explicit guidance is given. Rules 1-6 therefore could be based on two different deep structures; these will be referred to as Interpretations C and D in this discussion (see Flowcharts C and D).

An example of the confusion caused by this ambiguity can be seen in 'British National Bibliography', which started to use AACR in January 1968. A sample of serials by corporate authors was checked in the annual volumes for 1968 and 1969. In the 1968 volume, some have main entry under author and some under title. In the 1969 volume, all have main entry under title. (Cf. entries in 1968 and 1969 volumes for 'Children in care' and 'Passenger transport in Great Britain'). BNB now seems to be accepting Interpretation D.

The evidence supporting Interpretation C in the code itself is as follows: (i) the first general principle (Introductory notes, p.9) states that main entry is under author when known, and does not mention serials as an exception, (ii) the sixth example in Rule 1 is a serial, (iii) Rule 167B4 of the British Text mentions 'serials entered under corporate authors'. The evidence supporting Interpretation D in the code itself is as follows: (i) the fact that serials by personal authors are covered by Rule 6C suggests that Rule 6 takes precedence over Rules 1 and 3, (ii) the first example in Rule 167B6 of the British Text is a serial of corporate authorship entered under title. We can conclude that it is not possible to reach a definite conclusion on which interpretation is correct from the code itself.

The literature on AACR provides evidence to support both interpretations. Tait[22] seems to favour Interpretation C, because he gives a serial as an example of the application of Rule 1. Rajan and Guha[23] are inconsistent. They state 'by implication and design AACR places serials under the category of diffused authorship', but they also seem to regard Rule 6 as the only basic rule which applies to serials. Lubetzky[24] supports Interpretation D (see section 43), and a statement by AACR's editor, C. Sumner Spalding[25], while not totally conclusive, also supports Interpretation D. On the whole, therefore, Interpretation D seems more likely to be correct.

422. Contradictions.

4221. Rules contradicting 'principles'.

42211. Corporate bodies as editors. The second general principle for entry states 'entry should be under editor when there is no author or principal author and when the editor is primarily responsible for the existence of the work'. This 'principle' is really a summary of Rule 4. However, the wording of Rule 4 suggests that corporate bodies are not covered by this rule, and none of the examples are works edited by corporate bodies. The code's definition of 'editor' seems to exclude corporate bodies. One piece of evidence on this question is a sentence in the Preliminary Note which states 'For works involving questions of corporate authorship, see 17'. If this refers to corporate authorship in the wider sense, it would be reasonable to expect Rule 17 to deal with choice of main entry heading for works edited by corporate bodies. This is obviously not the function of Rule 17, pace Guha and Rajan[26]. It must therefore be assumed that the sentence refers to corporate authorship in the narrower sense. Thus, there are still two possible interpretations of the coverage of Rule 4.

Domanovszky[27] examined this problem of corporate editorship in AACR and came to the conclusion that the code 'does not give, either explicitly or implicitly, any guidance for handling the issue of title vs. corporate body'. It would perhaps be more accurate to say that there is some implicit guidance, but it is contradictory. Field[28] has stated 'I do not feel a corporate body can be an editor in the sense intended by Rule 4, unless its responsibility extends to all that is implied by Rule 17A'. This begs the question of the exact scope of Rule 17. If Rule 17 applies to corporate editors (see Section 213), AACR obviously recognizes corporate editorship. If

this is so, Rule 4 should be rewritten to include explicit provision for works edited by corporate bodies, and the definition of 'editor' should be altered accordingly. If AACR does not recognize corporate editorship, the second general principle needs to be altered, as well as Rules 4 and 3B2.

As AACR recognizes corporate authorship, there seems to be no logic in denying the existence of corporate editorship. It is a relevant consideration that the latter concept was recognized by the 1908 and 1949 codes.

42212. Corporate bodies as compilers. A similar situation exists regarding the question of whether AACR allows main entry under a corporate body as compiler of a collection. The third general principle states 'entry should be under a compiler named on the title page in the case of collections of works by various authors'. This 'principle' is really a summary of Rule 5, but an examination of Rule 5 shows that it does not appear to apply to corporate bodies, and none of its examples are works compiled by corporate bodies. The most satisfactory solution for this situation is analogous to that proposed for corporate editorship: Rule 5 should be rewritten to include explicit provision for works compiled by corporate bodies, and there should be a new definition of 'compiler'.

4222. Rules contradicting definitions. In a previous paper[29], I pointed out that Rule 2A contradicts AACR's definition of 'corporate body'. I suggested resolving this problem by means of a new definition. Unfortunately, my definition was not completely satisfactory, because it did not take account of the fact that some corporate bodies consist of other corporate bodies, or consist of a number of corporate bodies and persons. My definition has therefore been revised as follows:

Sense 1. A group of persons which acts as an entity, other than one acting as an entity solely for the purpose of document production.

Sense 2. An aggregation of Sense 1 corporate bodies which acts as an entity, other than one acting as an entity solely for the purpose of document production.

Sense 3. An aggregation of Sense 1 and Sense 2 corporate bodies which acts as an entity, other than one acting as an entity solely for the purpose of document production.

The presence of the phrase 'other ..... production' is necessary in order to exclude groups which only exist to produce documents, which will be referred to as DPGs in this discussion. If this phrase were not included, shared document production (e.g. shared authorship) would be defined as

document production by a corporate body. DPGs can be defined as follows:

Sense 1. A group of persons which acts as an entity solely for the purpose of document production.

Sense 2. A group of corporate bodies which acts as an entity solely for the purpose of document production.

Sense 3. A group of persons and corporate bodies which acts as an entity solely for the purpose of document production.

Some DPGs have names. Type A have pseudonyms, Type B have descriptive names (see Diagrams 1-3). If the new definitions suggested above were adopted, there would therefore need to be rules on choice of main entry heading for documents by named DPGs (see Diagram 2). In fact, AACR already contains a rule for named DPGs of Type A (Rule 3C). This rule is redundant, because AACR's definition of 'corporate body' includes named DPGs of Type A (see Diagram 1); if a separate mention of this type of group was necessary, the logical place for it would therefore have been Rule 1. (Spalding has stated that such a group is 'to some extent a corporate body, although the name is not the name of a corporate body but of a fictitious person'[30]. This may be so; the point is that AACR has defined such groups as corporate bodies). If the new definitions were adopted, the existence of Rule 3C would be justified; it could deal with Type A DPGs, and a new rule 3D could deal with Type B DPGs.

There is an alternative method which could be used to rationalise the present situation. This would involve a definition of 'corporate body' which would include all named DPGs e.g. Sense 1 would become 'A group of persons which acts as an entity, other than an unnamed group acting as an entity solely for the purpose of document production'. This definition would, of course, make Rules 3C and 3D unnecessary.

423. Ambiguous wording of rules. Rule 4A lists three conditions which must apply if a work is to be entered under its editor. The first is that the editor must be 'named on the title page of the work' i.e. on the title page of the publication which embodies the work. This could either mean that the editor has to be named as editor, or that it is sufficient that the person or corporate body which is the editor is named as a DP e.g. as publisher.

43. Inconsistency. Assuming Interpretation D is correct (see Section 421), serials by corporate authors are entered under author in the following circumstances:

British Text

When the serial is 'issued by or under the authority of a corporate body' and (a) the title includes the corporate author's name or

(b) the title includes the corporate author's abbreviations or

(c) the title includes the title of an official of the corporate body which is the author or

(d) the title consists solely of a generic term or phrase, and the issuing body is also the author.

North American Text

When the serial is 'issued by or under the authority of a corporate body' and (a) the serial is not one of the types listed in Rule 6B, and the issuing body is also the author or

(b) the serial is one of the types listed in Rule 6B and the title includes the corporate author's name or

(c) the serial is one of the types listed in Rule 6B and the title includes the corporate author's abbreviations or

(d) the serial is one of the types listed in Rule 6B and the title consists solely of a generic term.

Both texts therefore enter some serials by corporate bodies under title, but enter some serials merely issued by corporate bodies under the corporate body. This apparently anomalous situtation is justifiable from a practical point of view, as Lubetzky has shown[31]. Basically, the reason why serials by corporate authors cannot generally be entered under author is because the author may change, without a simultaneous change in the title. This reasoning applies equally to serials by personal authors (Rule 6C). It is hard to see any logic in AACR's practice of entering serials by corporate authors under title, and serials by personal authors under author.

5. Inconsistency in rules determining structure of main entries

Some publications consist of a collection of extracts from a serial. These will be referred to in this discussion as extract collections. The structure of the main entry for such a publication is determined by rules for choice of main entry headings and rules for uniform titles. There are two basic methods by which main entries for extract collections can be constructed:
(a) The collocative method. Using this method, the heading is the same as the main entry heading for the source serial, which can of course be either a title or the name of a DP. If the heading is a DP's name, the source serial's title is the next element in the entry. In either case, the source serial's title is followed by the word 'Selections' and then the extract

collection's title. (b) The direct method. Using this method, the heading is either the compiler's name or the extract collection's title. In the former case, the extract collection's title is the next element in the entry.

If the collocative method is used, most main entries for publications consisting of extracts from a serial will file immediately after the main entry for the serial. If the direct method is used, the main entries will be scattered by title or compiler's name. This would be the case even in the unlikely (but possible) event of two extract collections containing the same selection of material. Choice between the two methods should, in my opinion, depend on whether the extract collection is a monograph or a serial.

51. Monographs. The collocative method should be used for monographs. AACR is inconsistent (see Table 1). The collocative method has been prescribed in cases where all the extracts are by one author, and the direct method when they are of varying authorship. In the latter case, the collocative method is traditional, and also the better from a theoretical point of view[32,33], and it is hard to find any valid reason why it has been dropped by AACR. (See also Section 64).

52. Serials. The direct form should be used for serials. This is because a change in the source serial's name and/or the name of the DP used as its main entry heading will not necessarily be reflected in the name of the extract collection. The use of the collocative method would therefore involve recataloguing by the direct method in many cases after such a change. However, it should be noted that there is one situation where such changes in the source serial will almost certainly be reflected by a change in the extract collection's title: when an extract collection's title includes the source serial's title. In this situation, it would be possible to use the collocative method, if the source serial has title main entry. Despite this exception, it seems simpler to use the direct method for all serial extract collections.

AACR uses both methods for serials. As there seems to be no logic in its use of the two methods (see Table 2), one must assume that the inconsistencies in provision for serial extract collections are inadvertent.

6. Arrangement

The overall effectiveness of a code depends to a large extent on the effectiveness of its arrangement.

61. Overall arrangement. Overall arrangement (i.e. of groups of rules dealing with related problems) should be based on the sequence of cataloguing decisions i.e. choice of main entry heading and added entry headings, choice between different names and different forms of names to be used in headings, choice between possible entry words in names, etc. AACR is arranged in this way, and its overall arrangement is better than that of any other code.

62. Classification of rules and definitions. It is important to ensure that individual rules and definitions are not classified in the wrong group, as this will tend to lower the effectiveness of the overall arrangement.

Most of AACR's definitions are in the Glossary, which is an appendix, not part of the rules proper. Whether the definitions are treated as part of the rules or not is unimportant, but it is reasonable to expect consistency. AACR is inconsistent; some of its 'rules' are in fact definitions (see Sections 213 and 214). Some of the definitions are scattered through the rules as footnotes e.g. the footnote to Rule 87 is a discussion of the circumstances under which a conference can be considered a corporate body. This is the wrong part of the code in which to present such a discussion. Chapter 3, which includes Rule 87, is concerned with names of corporate bodies. Logically, therefore, it should only be necessary to consult this chapter if it has already been decided that a conference is named, and is therefore a corporate body according to AACR's definition.

Rules for the construction of headings should not appear in the group of rules concerned with choice of main and added entry headings. The only cases of this in AACR are in the Special Rules (Rules 20-3 , where form subheadings are involved. This is a legitimate exception. Conversely, rules for choice of main and added entry headings should not appear in the group of rules dealing with the construction of headings. This does not occur in AACR.

63. Arrangement of rules within groups. As well as the overall arrangement of groups of rules, arrangement of rules within the groups is also important. This has generally been handled very well in AACR.

64. Classification of cataloguing problems. It is important to ensure that individual cataloguing problems are not classified in the wrong rule, as this will tend to lower the effectiveness of the arrangement of the rules. Rule 19 of AACR includes extract collections. This category of publications

has nothing in common with the other categories in Rule 19, which are nearly all 'dependent works'. Provision for extract collections should be removed to Rules 1 and 5, which both implicitly cover this category of publications already. A reference would be needed from Rule 5 to Rule 106B3. (See also Section 51).

7. Brevity and comprehensiveness

A catalogue code should be as brief as possible. AACR is not notable for its brevity. The group of rules dealing with choice of main and added entry headings is about the same length as that in the 1949 A.L.A. code. However, it is obvious that it is not length as such which is a fault, but redundancy. AACR does not appear to be very redundant.

The fact that the scope of some rules is not clear (e.g. Rule 17) makes it difficult to assess the comprehensiveness of AACR, but it is probably the most comprehensive code for author/title cataloguing in existence.

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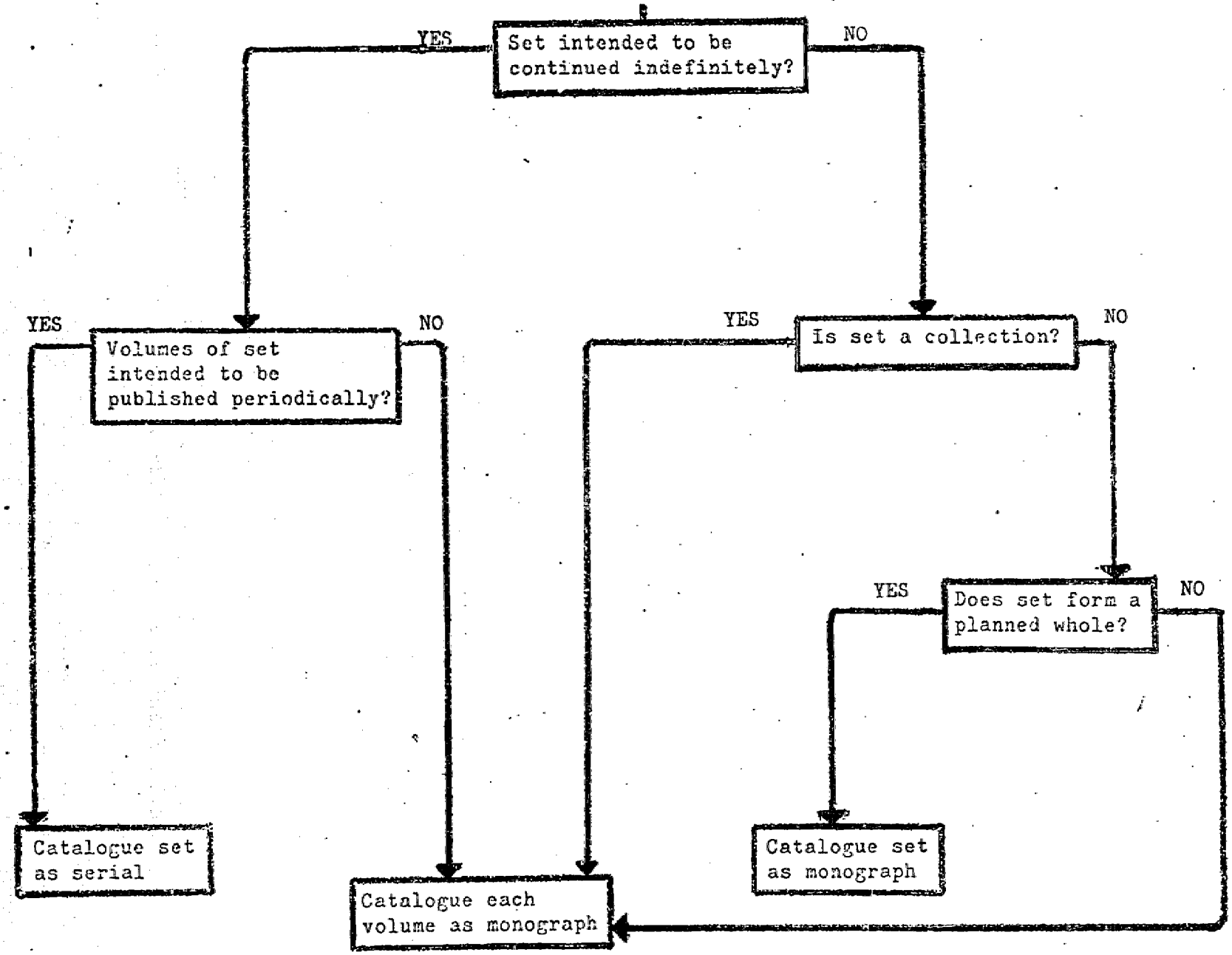
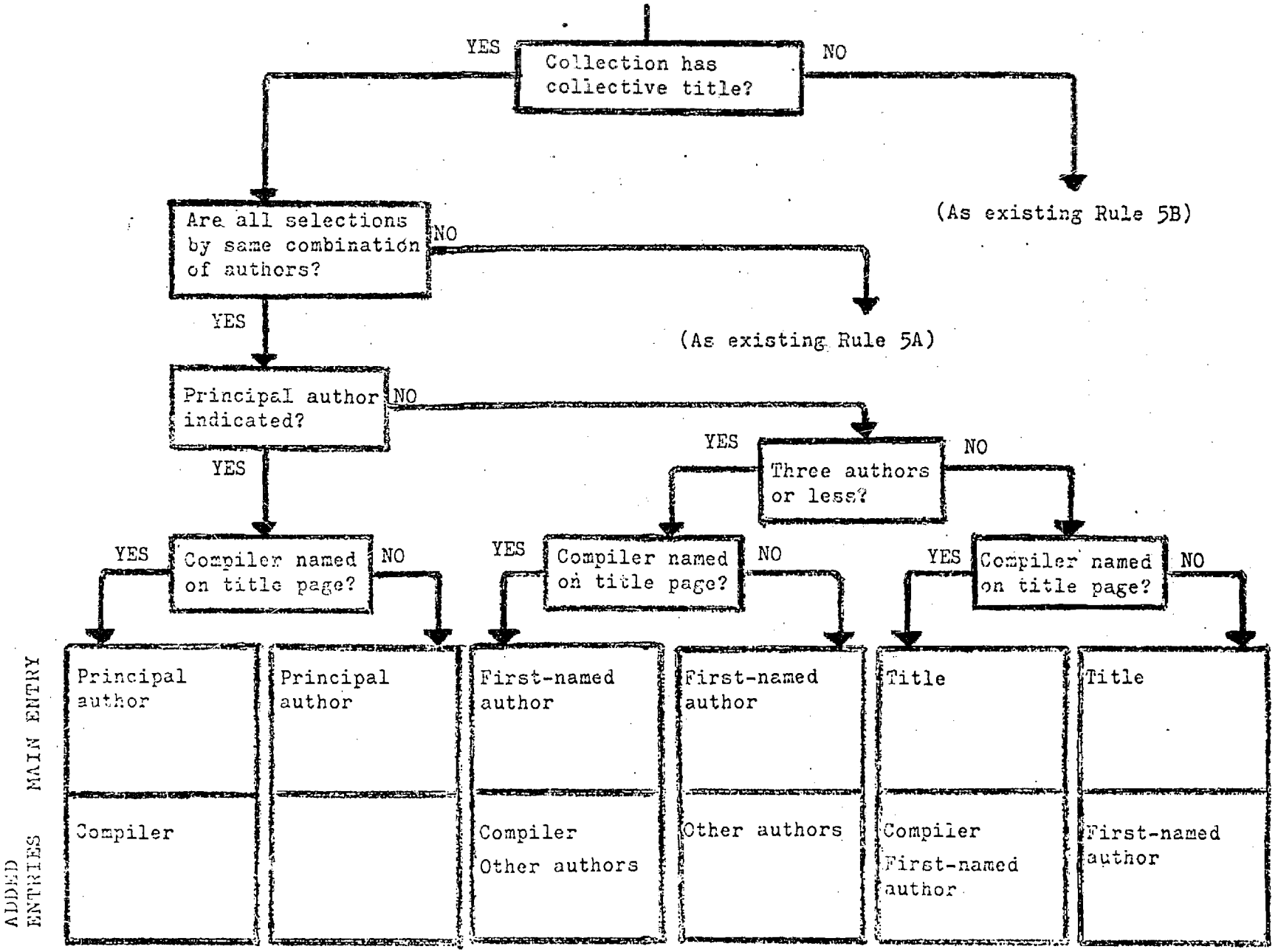
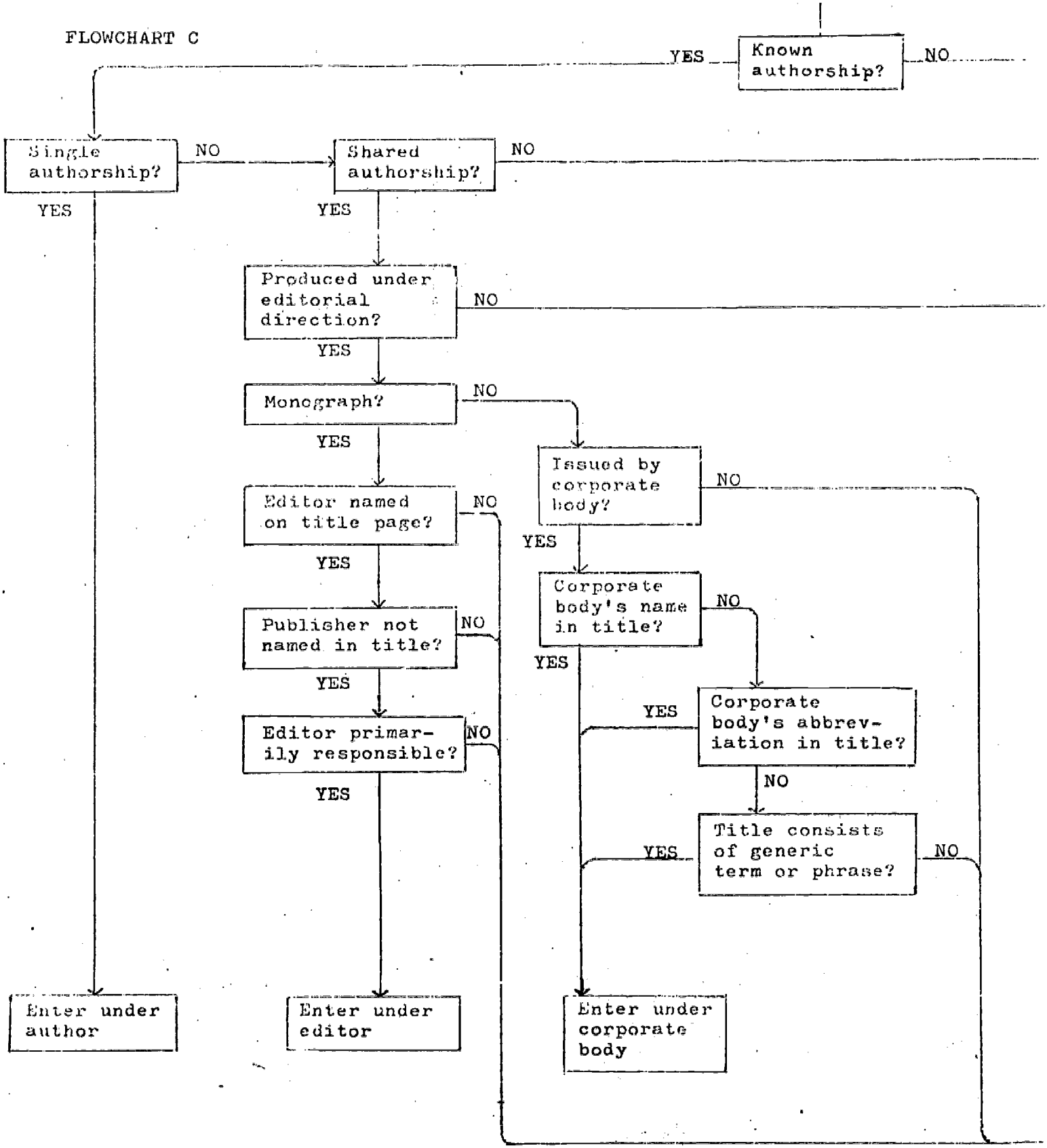
FLOWCHART A

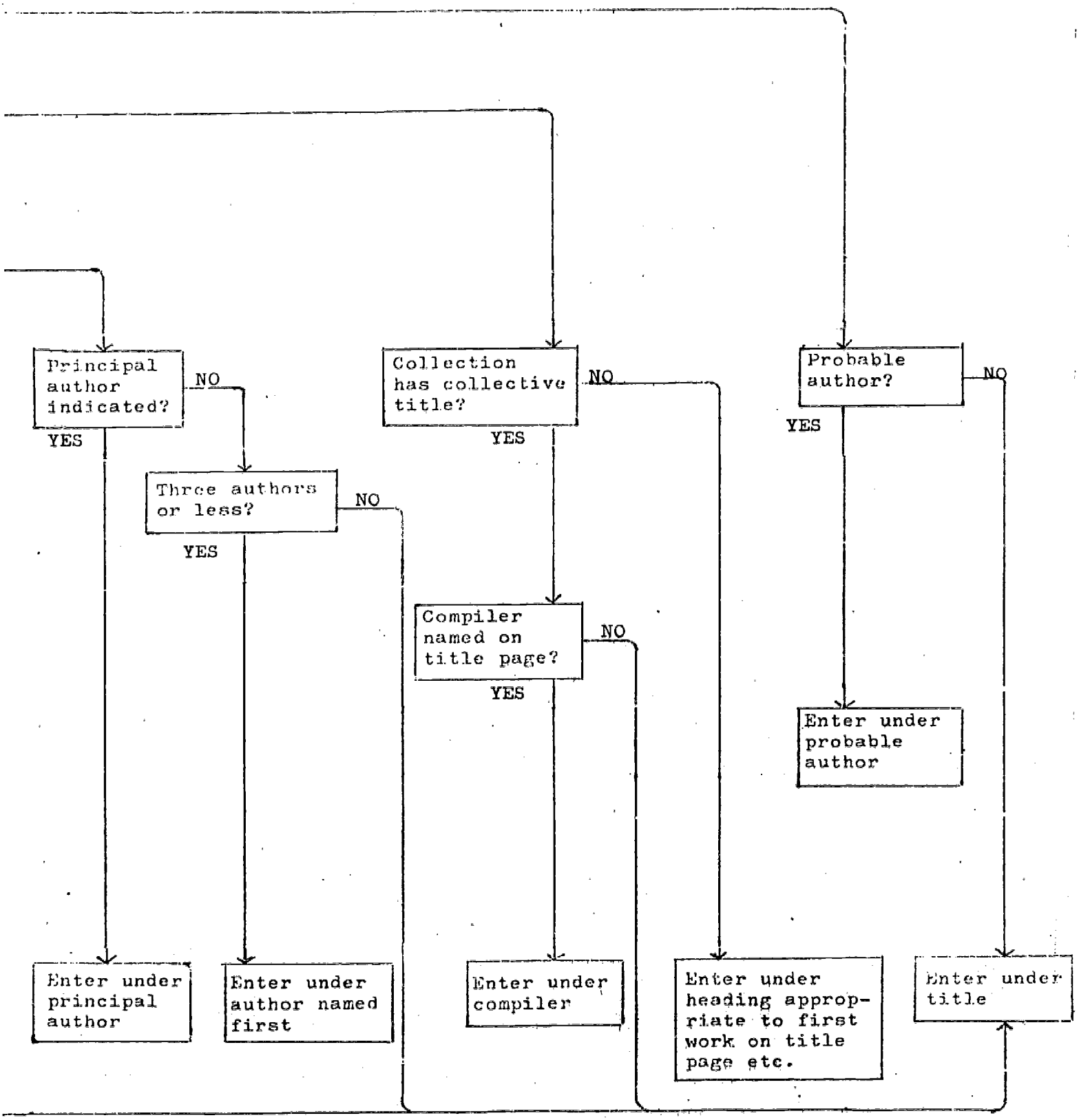

Set intended to be continued indefinitely?
YES
NO
Volumes of set intended to be published periodically?
YES
NO
Catalogue set as serial
Is set a collection?
YES
NO
Does set form a planned whole?
YES
NO
Catalogue set as monograph
Catalogue each volume as monograph

FLOWCHART B

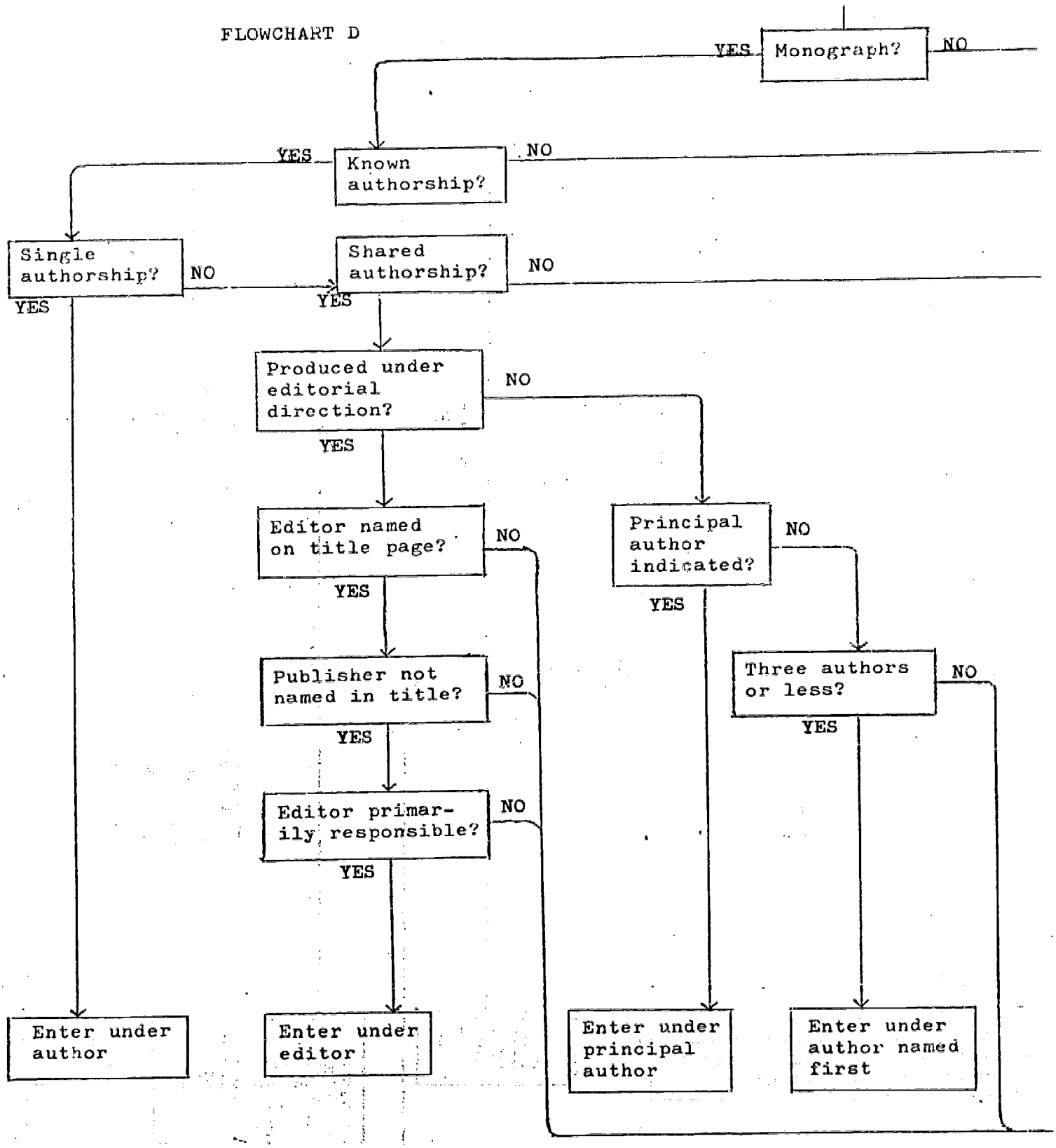

Collection has collective title?
YES
NO
(As existing Rule 5B)
Are all selections by same combination of authors?
NO
(As existing Rule 5A)
YES
Principal author indicated?
NO
YES
Three authors or less?
YES
NO
Compiler named on title page?
YES
NO
Compiler named on title page?
YES
NO
Compiler named on title page?
YES
NO
MAIN ENTRY
ADDED ENTRIES
Principal author
Compiler
Principal author
First-named author
Compiler
Other authors
First-named author
Other authors
Title
Compiler
First-named author
Title
First-named author

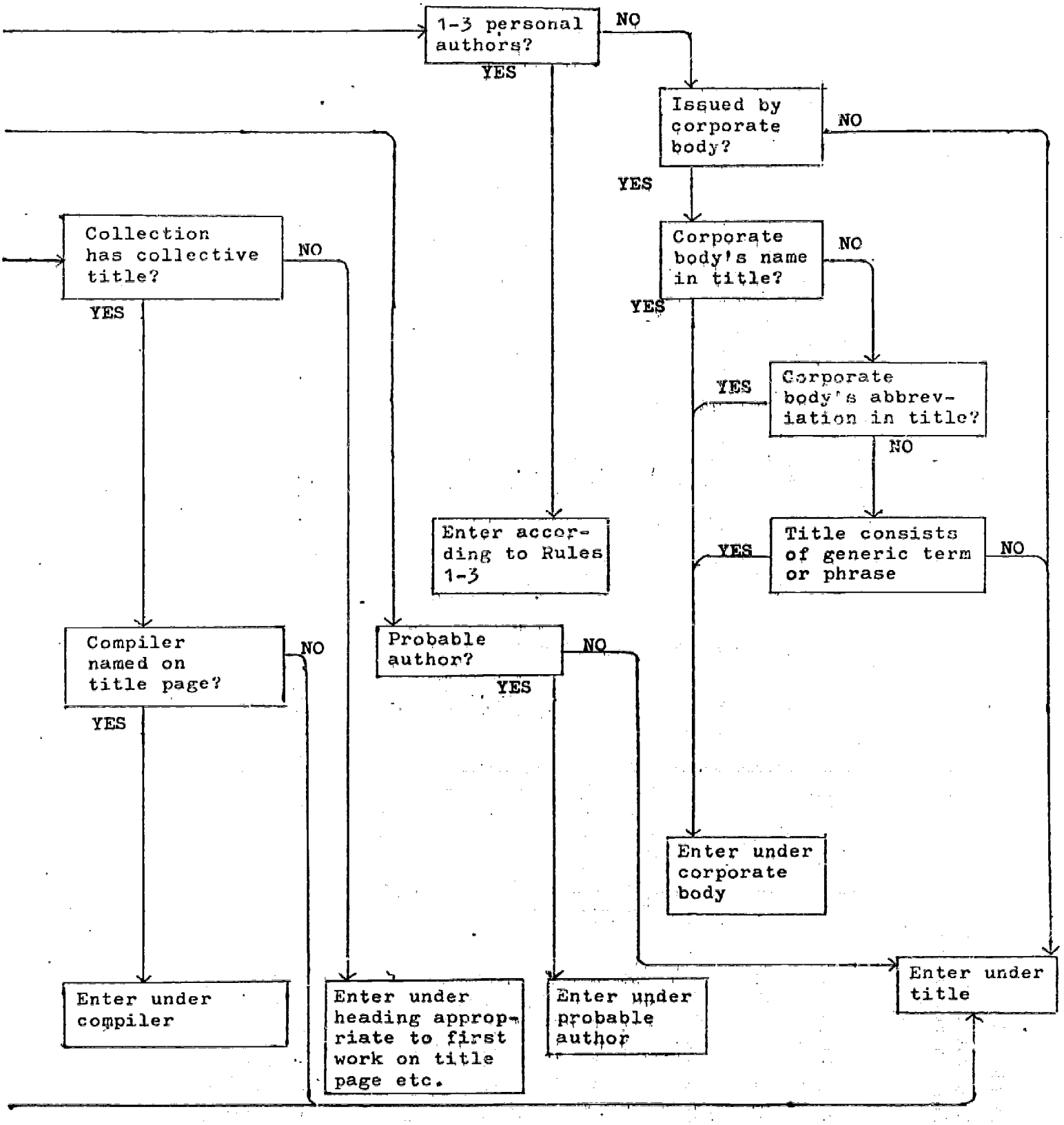
FLOWCHART C


Known authorship?
YES
NO
Single authorship?
NO
Shared authorship?
NO
YES
YES
Produced under editorial direction?
NO
YES
Monograph?
NO
YES
Issued by corporate body?
NO
Editor named on title page?
NO
YES
YES
Corporate body's name in title?
NO
Publisher not named in title?
NO
YES
YES
Corporate body's abbreviation in title?
YES
Editor primarily responsible?
NO
NO
YES
Title consists of generic term or phrase?
YES
NO
Enter under author
Enter under editor
Enter under corporate body


Principal author indicated?
NO
YES
Three authors or less?
NO
YES
Collection has collective title?
NO
YES
Compiler named on title page?
NO
YES
Probable author?
NO
YES
Enter under principal author
Enter under author named first
Enter under compiler
Enter under heading appropriate to first work on title page etc.
Enter under probable author
Enter under title

FLOWCHART D


Monograph?
YES
NO
Known authorship?
YES
NO
Single authorship?
NO
YES
Shared authorship?
NO
YES
Produced under editorial direction?
NO
YES
Editor named on title page?
NO
YES
Publisher not named in title?
NO
YES
Editor primarily responsible?
NO
YES
Principal author indicated?
NO
YES
Three authors or less?
NO
YES
Enter under author
Enter under editor
Enter under principal author
Enter under author named first


1-3 personal authors?
NO
YES
Issued by corporate body?
NO
YES
Collection has collective title?
NO
YES
Corporate body's name in title?
NO
YES
Corporate body's abbreviation in title?
YES
NO
Enter according to Rules 1-3
Title consists of generic term or phrase
YES
NO
Compiler named on title page?
NO
YES
Probable author?
NO
YES
Enter under corporate body
Enter under compiler
Enter under heading appropriate to first work on title page etc.
Enter under probable author
Enter under title

DIAGRAMS 1-3

Shading shows groups defined as corporate body.

DIAGRAM 1
Definition in AACR

DIAGRAM 2
Suggested new definition

DIAGRAM 3
Suggested new definition, modified to include all named groups

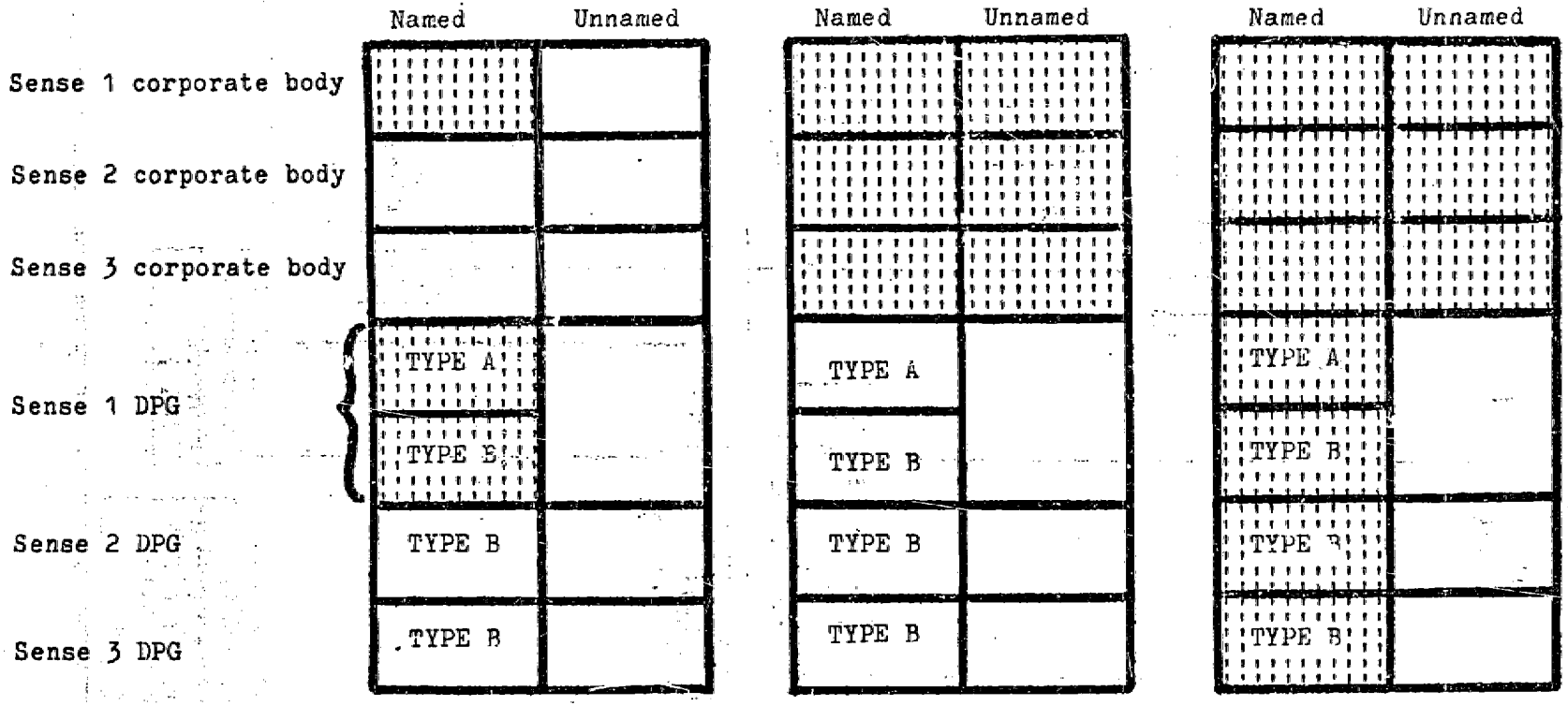


DIAGRAM 4

Each box represents a work or part of a work in a collection. Letters represent authors.

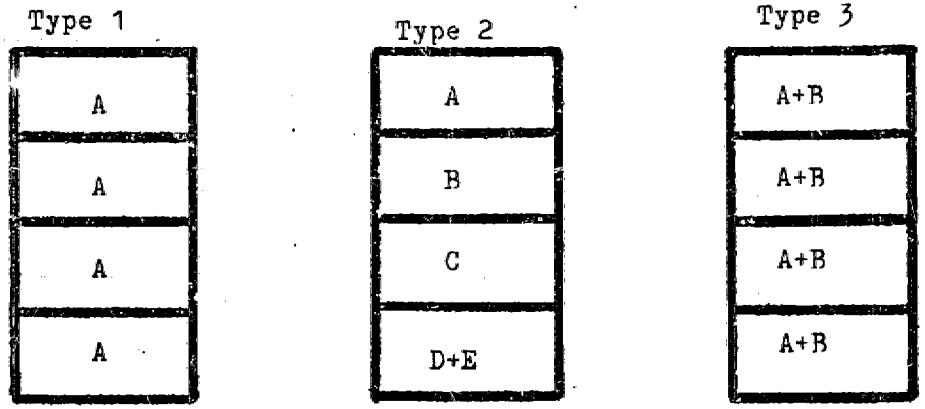


DIAGRAM 5: QUESTION LIST EQUIVALENT OF FLOWCHART A

1. Is the set intended to be continued indefinitely?	YES	Go to 2
	NO	Go to 3
2. Are the volumes of the set intended to be published periodically?	YES	Catalogue the set as a serial
	NO	Catalogue each volume as as a monograph
3. Is the set a collection?	YES	Catalogue each volume as a monograph
	NO	Go to 4
4. Does the set form a planned whole?	YES	Catalogue the set as a monograph
	NO	Catalogue each volume as a monograph

Structure of entry for source serial	Relevant rule	Title of extract collection	Structure of entry for extract collection according to AACR	Relevant rules	Suggested structure (when different from AACR)	Suggested rules (when different from AACR)
Ad	6C	e	A[d.S]e	1 & 106B3		
Bd	6B	e	B[d.S]e	1 & 106B3		
Cd	6B	e	Fe or E	5A & 19B	C[d.S]e	5A & 106B3
D	6A	e	Fe or E	5A & 19B	[D.S]e	5A & 106B3
Ad	6C	*	A[d.S]t	1 & 106B3		
Bd	6B	*	B[d.S]t	1 & 106B3		
Cd	6B	*	Gt or T	5B & 19B	C[d.S]t	5B & 106B3
D	6A	*	Gt or T	5B & 19B	[D.S]t	5B & 106B3

TABLE 1: MONOGRAPH EXTRACT COLLECTIONS

Headings:

A Personal author of source serial
B Corporate author of source serial
C Non-author corporate heading of source serial
D Title of source serial
E Title of extract collection
F Compiler of extract collection
G DP of work listed first on title page of unnamed extract collection, or DP of first work in collection
T Title of work listed first on title page of unnamed extract collection, or title of first work in collection

(B) Corporate author's name etc. as part of title of extract collection
(C) Non-author corporate body's name as part of title of extract collection
d title of source serial
e title of extract collection
S subheading 'Selections'
* unnamed extract collection
t title of work listed first on title page of unnamed extract collection, or title of first work in collection

Structure of entry for source serial	Relevant rule	Title of extract collection	Structure of entry for extract collection according to AACR	Relevant rules	Suggested structure (when different from AACR)	Suggested rules (when different from AACR)
Ad	6C	e	A[d.S]e	6C & 106B3	E	6C
Bd	6B	e	E	6A		
Cd	6B	e	E	6A		
D	6A	e	E	6A		
Bd	6B	e(B)	B[d.S]e	6B & 106B3	E	6A
D	6A	e(B)	Be	6B	E	6A
Cd	6B	e(C)	C[d.S]e	6B & 106B3	E	6A
D	6A	e(C)	Ce	6B	E	6A

TABLE 2: SERIAL EXTRACT COLLECTIONS