THE ANGLO-AMERICAN CATALOGING RULES
WITH EMPHASIS ON RULE 6 (SERIALS)

The rules relating to the choice of heading for serials in the Anglo-American Cataloging Rules, 1967 are discussed. The principle behind corporate entry for some serials is also discussed in the context of the Paris Principles and practice in the union catalogues.

Introduction

Examining the rules relating to 'Works of Shared Authorship' in the new cataloguing code, and the principles governing them, we have observed that rationalisation and simplification in the rules have been effected successfully, exemplifying the claim that the new code has been built on well thought-out principles [6]. In this paper, we are turning our attention to rules relating to cataloguing of serials to see if the same rational approaches are equally effective here also. The scope of this paper also includes a consideration of the cataloguing practices of union catalogues vis-a-vis the publication of this new code. The desirability of standard practice for union catalogues of serials cannot be exaggerated and this aspect is also stressed at the end of the paper.

Rule 6 of the Code

A fundamental approach that has largely guided the framing of new rules for entry and heading in the Anglo-American Cataloguing Code — as has often been observed — has been the focussing of attention on types of authorship of works rather than types of works. Indeed a correct lead had already been given by Lubetzky's Draft Code, followed by the guiding principles laid down by the Paris Conference. As a natural consequence of this sensible approach, a great number of rules dealing with specific types of documents in the American Association Code of 1949, have been brought together into a fewer number of rules, and this point was illustrated in our discussion on the treatment of 'Works of Shared Authorship' [6].

'Serials' is another area where such a reduction of rules has been possible. In the new code, Rule 6 with its sub-divisions take care of serials of all varieties, as against the thirteen rules prescribed by the American Library Association Code 5C(1) - (4), 5D, 5E(1) - (4) and 5F(1) - (2) [2]. An examination of these rules makes it clear that there is little justification for the prescription of separate rules for periodicals, newspapers, almanacs, yearbooks, directories, series, etc., as all of these represent a single category, requiring perhaps, a unique but all the same uniform treatment. Commenting on this "fine distinction between the various kinds of serials with special rules for each", Professor Dunkin dismisses this as "pedantic and superfluous" [4]. Endorsing this view in toto, the new code has abandoned separate rules for the entry for serials under title, under corporate author or under personal author. Mention may be made here of a dissenting view also, expressed by Porter, editor of the British Union Catalogue of Periodicals, who regrets that the Paris Conference unfortunately do not treat serials as a 'distinct' category and has comparatively very little to say about them [11].

For purposes of easy reference, Rule 6 and its sub-divisions are quoted below [2]:

6A Enter a serial that is not issued by or under the authority of a corporate body and is not of personal authorship under its title.

6B1 Enter a periodical, monographic series, or a serially published bibliography, index, directory, biographical dictionary, almanac, or yearbook, issued by or under the authority of a corporate body, under its title with an added entry under the corporate body.
Exception: If the title (exclusive of the subtitle) includes the name or the abbreviations of the name of the corporate body or consists solely of a generic term that requires the name of the body for adequate identification of the serial, enter it under the body.

6B2 Enter any other serial issued by or under the authority of a corporate body under the body. In case of doubt that the serial is covered by 1 above enter under the body.

6C Enter a serial by a personal author under his name.

6D1 If the title of a serial changes, if the corporate body under which it is entered changes or undergoes a change of name, or if the person under whom it is entered ceases to be its author, make a separate entry for the issues appearing after the change.

6D2 If the corporate body accorded an added entry for a serial changes or undergoes a change of name, make an added entry under the new body or on the new name of the body.

Clarity in the Rules

Apart from the welcome reduction in the number of rules, introducing rationalisation in them and with comprehensiveness, the new code is unequivocal in the drafting of the rules which was conspicuously absent in the American Library Association Code of 1949. The liberal interpretation of the word 'distinctive' used in the American Library Association Code rules for 'Periodicals and Serials', combined with the cataloguers enthusiasm for corporate entry, a great deal of inconsistencies have crept in many catalogues. There are numerous instances to prove this point, but to mention only a few, in the Library of Congress Catalogue, the Library Association Record has been accorded a title entry whereas the Library Association Yearbook has been catalogued under the corporate name. Another interesting instance is given by Professor Dunkin, where a user finds some of his scholarly journals entered under title and some under corporate body. "Papers of the Bibliographical Society of America, for instance, he will find under Bibliographical Society of America, while the Library of the Bibliographical Society (London) he will find under Library. If he is a reasoning and reasonable man he may decide that this is because one journal has a distinctive title. What will he then think when he finds that Studies in Bibliography of the Bibliographical Society of the University of Virginia is entered under Virginia University, Bibliographical Society? Yet this is precisely what ALA rules stipulate" [4]. Now in the new code, no such scope is given for varying interpretations. The title mentioned above will go under Studies in Bibliography, papers of the Bibliographical Society of the University of Virginia. The rules are thus perfectly clear and if they are applied understandingly, along with the footnotes which give proper guidance, there is hardly any chance for inconsistencies.

Swerve from the Paris Principles

While effecting the desirable changes mentioned in the foregoing paragraphs, the Anglo-American Cataloguing Rules has significantly maintained the traditional stand of recognising the twin principle of author and title entry for serials also. But the Paris Conference categorically recommended title entry for serials and periodicals. This swerve of the new code from the Paris Principles, while it is possible to justify by logical argument, would unfortunately perpetuate the present divergent cataloguing practice, contrary to the result that was sought to be achieved by the Paris Conference.

At this point, it may be useful to recapi- tulate in brief, the deliberations that went on at the Paris Conference on this area of cataloguing. Professor Dunkin, in addition to contributing a working paper on serials for the Conference, circulated a questionnaire on the subject to elicit the opinions of the participating countries. The replies to this questionnaire reveal some interesting points. In regard to accepting corporate authorship for serials, nearly twelve of the twenty-six countries gave replies in the affirmative, but limited to certain categories of serial publications. An interesting idea that emerged from the comments, supporting this particular stand, was that the main entry under the corporate body need not imply that the corporate body was the author of the publication.
American thinking in this respect also corresponds to this view as reflected in the new code. Professor Dunkin's own proposals which obviously had considerable effect on the new code were: 1) If the serial was the official statement of the corporate body's policy, or a statement of its business, it should be entered under the body; and 2) All other serials should be entered under titles. The new code follows these proposals, more or less, a discussion of which follows [4].

Principles underlying Rule 6

By implication and design, the Anglo-American Cataloguing Rules places serials under the category of works of diffused authorship. In accordance with the general principle 4 (Entry should be under title in the case of other works whose authorship is diffuse, indeterminate or unknown), Rule 6A and 6B1 prescribe title entry for serials that are serially published bibliography, index, directory, biographical dictionary, almanac or yearbook, whether or not these are issued by or under the authority of a corporate body. This is in conformity with the general belief that the most natural entry for serials is the title entry which is, according to Jolley, "the almost universally accepted method" [8]. But the subsequent Rules 6B1( Exception), and 6B2 prescribe entry under the corporate body for (1) serials that include the name or abbreviations of the name of the corporate body for adequate identification and (2) other categories of serials such as annual reports and others that give an account of the activities of the body. As pointed out earlier, the new code depart from the Paris Principle in this respect. The Catalog Code Revision Committee, after a good deal of deliberations on this point, maintains that "the inclusion in the title of a serial of the name or part of the name of issuing body is too powerful a criterion to be nullified when, in unusual cases, no account of the activities of the body is included in the publication" [2]. It also holds that "known primarily or conventionally by title" as given in the Paris Principle "is too vague a criterion" [2]. But what is the principle that should guide cataloguers in fixing the entry for serials of this type?

In searching for a new principle that should assist cataloguers in their practice, Jolley's pragmatic criteria for authorship comes in very handy. He holds that the term authorship implies the concept of both intellectual responsibility and of the name most permanently associated with a work. Therefore when a serial is sponsored by or "issued by or under the authority of a corporate body", there is every justification to give a corporate entry for this serial, although the intellectual responsibility for the work is diffused. This is exactly the idea that emerged out at the Paris Conference on this issue, a reference to which has already been made. This has been developed as a counter-principle for works, the intellectual responsibility of which is diffuse but yet entered under the corporate body that is closely associated with it. Sumner Spalding the general editor of the Anglo-American Cataloguing Rules, has introduced two more principles, apart from the two 'great principles', to justify some of the decisions taken in relation to the rules of entry in the new code. They are the principle of 'Category' which is applied to certain types of works in law, and the principle of 'Name most strongly associated with the work', which is followed for serials with titles that contain the name or abbreviation of the name of the corporate body even if the authorship of the content of the work is diffuse [14].

Change of title

The questionnaire circulated by Professor Dunkin prior to the Paris Conference, referred to earlier, brought out an overwhelmingly favourable opinion in the matter of an important aspect of serial cataloguing, which has given rise to varying practices. This refers to serials that change their titles or the corporate body that issues a serial, changes its name. The Paris Conference recommended entry under successive titles for a serial publication issued successively under different titles, with indication of at least the immediately preceding and succeeding titles. In the new code also, Rule 6D and its subdivisions provide for entry under successive titles for this category of serials. The only question here is whether or not this provision satisfied the twin objectives viz. to facilitate the location of a particular publication and to relate together the works of a given author and the editions of a given work. But this apparent clash between the two objectives could be easily overcome by providing a history section in the entry which would give the complete history of the serial. This serves both
the objectives, but does so only by having an
indefinite number of repetitious entries for
each serial. This is what is prescribed by
Dr Ranganathan in his Classified Catalogue
Code, and is also followed by union catalogues
of scientific serials published by Inspec. The
Library of Congress, however, allowed to
continue its old practice of cataloguing such
serials under the latest title and the latest
name of the issuing body which is the old
practice of the ALA Code. The reason for
this is "that libraries depend on the bibliogra-
phical information which the LC cards provide
when a serial is catalogued as one entry under
its latest title or corporate author, which is
too valuable to lose" [5].

Standardisation in union catalogues

The ostensible purpose of the Interna-
tional Conference on Cataloguing Principles
was to foster the movement towards uniformity
- both national and international - in library
catalogues and similar lists. But a code, that
has come out five years after this historic
conference, will be widely used and
which will influence greatly cataloguing prac-
tice, has departed from the Principle on a very
important area of cataloguing. As against the
practice suggested by new code, the BUCOP
always makes its main entry under the pub-
lished title reflecting the Paris Principle. The
Classified Catalogue Code also prescribes
title entry for serials, rejecting the corporate
author principle outright. Dr Ranganathan is
of the strong view that a mere sponsor could
never be deemed an author under any circum-
stances. The extension of the definition of
author suggested by Jolley or the new principle
given by Sumner Spalding, is obviously not
acceptable to him. In these circumstances,
therefore, divergent practices in the prepara-
tion of union catalogues in serials will be
perpetuated much to the chagrin of users.

Finding that standardisation in this res-
pect could not possibly be achieved, as both
the American version and the British version
of the new code have departed from the Paris
Principle, Porter suggests the solution by
tackling this problem at the source. He cites
the British Standard (2509:1959) for the layout
of periodicals, conforming to the main recom-
mandations of the International Standard (ISO/
R 8) for introducing standardisation in the
publications of serials. In view of the intrinsic
value of these suggestions, they are quoted
verbatim here: "Primarily a serial ought to
have a clear-cut and self-explanatory title.
Great care should be taken in selecting it, so
that there should be no urgent need to change
it, at least for a few years. The title should
be printed clearly on the title page or its
equivalent, without typographical variations
that might suggest that a particular phrase is
not an essential part of the title but merely an
embellishment. On no account should a cover
title or running title differ from the one on the
title page — except, perhaps, for an adequate
and recognizable abbreviation. Scholarly
serials should avoid 'cute' titles especially if
they include a more informative subtitle. The
use of initials in, or as, a title should be care-
fully pondered. Multiplicity of titles should be
avoided, unless there is a good reason for
them, as in the case of multilingual serials.
Preferably, a serial should have a single title;
or if it is felt to be necessary to include a
more general series title, or a subseries
title, one should be given clear priority over
the others, typographically and by numbering.
It is inadvisable to include a word denoting
frequency in a title, if it is adequate without
it, both because it could be embarrassing if the
publication programme had to be altered and
because, if it appears to be superfluous, it
might be dropped by cataloguers or overlooked
by catalogue users". For serials published by
corporate bodies, he suggests, "if the serial
comprises papers submitted by members, for
which the body is not disposed to accept col-
lective responsibility, it might be advisable to
omit the body's name from the title. The
topic phrase from the body's name could serve
as an alternative, however, or such a phrase
preceded by 'Journal of... ' or 'Australian
journal of... ' as appropriate. Assuming,
however, that the name of the body is to be
included in the title, should be genius of the
language decide the way it is to appear?
Oriental languages, and European languages
of an oriental bent, appear to employ a word
order which would find favour with those who
prefer corporate entry" [11]. These sugges-
tions are worth pondering, which sometime in
the future may lead to some standard practice,
which eventually may reduce the problems of
serials cataloguing.

Schematic chart

A schematic chart is given summarising
the rules relating to serial cataloguing. Not-
withstanding the fact that there are departures
from the recommendations of the Paris Conference, a conscious effort is made to base every rule on principles. Undoubtedly this is a better way than what had been.

REFERENCES


SERIALS

1. Serials whether or not issued by or under the authority of a Corporate body

2. Change of titles

1. Entry under title [Rule 6A, 6B1]

2. Entry under successive title [Rule 6D1]

1. Other serials issued by or under the authority of a Corporate body

2. Titles that include the name or the abbreviation of the Corporate body

3. Titles issued by or under the authority of a Corporate body which changes its name

1 & 2. Entry under Corporate body [Rule 6B2, 6B1 Exception]

3. Entry under successive Corporate body [Rule 6D1]

Entry under the name of the author [Rule 6C]