

Notes on Rules 3 and 4 in the Anglo-American
Cataloging Rules

英米目録規則の第3条および第4条に関する覚え書

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要 旨

英米目録規則の第3条、著者の責任が分担されている著作と、第4条、編者の指揮のもとに製作された著作に関する規則は最もひんばんに使われる規則である。それは近年多数著者によって書かれた本や、会議やシンポジウムの論文等が著しく多くなったためである。これらの本は書誌的記述が複雑でむずかしく、規則の方もあいまいなので、目録上の問題が起りやすい。規則は、主記入は著作に対する主たる責任をもつ者の下に記入せよというが、標題紙からはそれがどの人なのかわからない場合が多い。また編者 (editor) という言葉が不正確に使われているために混乱することもある。著者の責任が分担されている場合、主たる著者が示されていればその者のもとに記入するが、主たる著者が示されていない場合、著者3人以内なら最初の著者を取り、3人以上で編者の名が標題紙に明瞭に記載されていれば編者、そうでなければ書名でとると規則は定めている。これらの規則を米国議会図書館ではどのように解釈しているかを知るために、多数著者による同じような条件の本6冊を取りあげ、それらに対するLCの目録カードを比較検討した。あるものは編者、あるものは書名、あるものは団体著者から記入してあって、規則の運用を明確にする助けとはなっていない。ここには6例をあげたにすぎないが、似たような例はたくさんあり、それらに対するLCの目録のとり方の例を見ても規則の適用法をはっきりさせることはできず、むしろこの第3条、4条は英米目録規則の中でも、もっとも混乱をひきおこす不備な部分であることを強調する結果となっている。(I. H.)

In the *Anglo-American Cataloging Rules* perhaps no rules are used more frequently than rules 3 and 4, treating respectively, *Works of shared authorship* and *Works produced under editorial direction*. The heavy use of these particular rules is probably due to the fact that an increasing proportion of the publications flooding into libraries are in the form of conference or symposium papers and works pro-

duced by committees and groups of authors. Problems arise on the one hand because these are difficult materials to describe bibliographically, and on the other, because the rules that have been devised to cover them seem inadequate.

The bibliographical difficulties are due in the first place to a complex author situation, but also, and perhaps primarily, to the vague in-

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formation and ambiguous terms that are generally found on title pages. The rules call for assigning main entry to the person who is chiefly responsible for the work, but that person frequently can not be identified from the title page, and many times not from the book at all. A further complication arises from the common but inexact use of the designation *editor* which has come to be a very ambiguous term. It may be used in its strict sense referring to the person who merely prepares the papers for publication, but it is also used in the other extreme, to refer to the person who has set up the conference or symposium, defined its subject, chosen the participants, and assigned the papers. It may well be that the chief difficulty rests on the uncertain use of the word *editor*, both in the rules and on the title pages of books. Even if this is true, we must look to the rules to produce the remedy, for librarians cannot regiment the practices of authors and publishers.

Rule 3, *Works of shared authorship*, assigns main entry to the principal author when one is indicated. But if no one is shown to be the principal author, the first named is chosen unless more than three authors are named, in which case, "enter the work under its title unless the work is produced under the direction of an editor named on the title page. In this case apply rule 4." Rule 4, concerned with *Works produced under editorial direction*, pro-

vides for entry under editor if "he is named on the title page, the publisher is not named in the title, and the editor appears to be primarily responsible for the existence of the work. In all other cases enter under the title." All three of the above conditions must apply before the editor can be considered for entry, and the third requirement is in most cases impossible to determine. The Library of Congress has evidently discovered this, too, since it has recently issued a long footnote to be added to this rule attempting to help define the conditions under which "the editor appears to be primarily responsible." The footnote, it must admitted, only serves to increase the confusion.

In an attempt to discover more concretely the interpretation of these rules by the Library of Congress, a few recent, pertinent publications were collected for which the main entries as assigned by the Library of Congress were examined. On the basis of these main entries an attempt was made to determine which rule was applied in each case. A copy of the title page of each publication is given.

The publication below presents a situation in which the editors named on the title page are editors in the strict sense of the word. It is obvious from the introduction to the book that they were not responsible for initiating the workshop or planning its content, but for preparing the papers and discussion for publication.

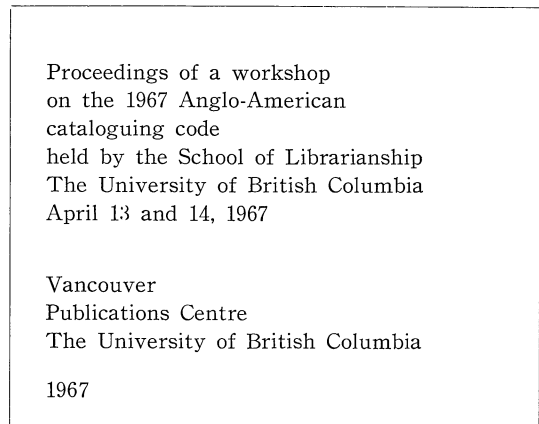
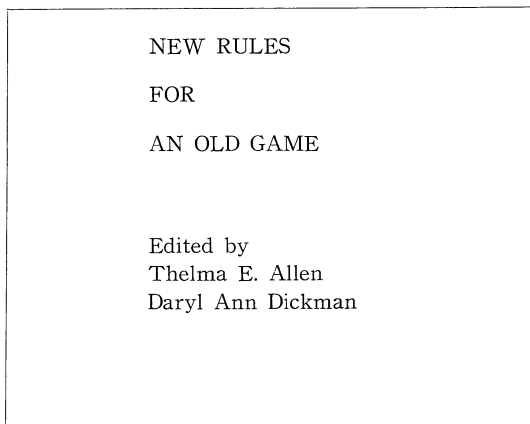


Figure 1

The Library of Congress chose as main entry the title, "New rules for an old game," in hanging indention form.

In attempting to determine what rule was applied, we look first at rule 3 since the specifications for applying that rule cover exactly this type of work. Since no principal author is indicated in this book we pass over rule 3A, as well as rule 3B1, and come to rule 3B2 which states, "If no one is represented as principal author and there are more than three authors, enter the work under its title." One hesitates to apply that rule to this work since no authors at all are named on the title page although of course more than three authors are listed in the table of contents. The only further direction given under rule 3 is to go to rule 4 when "the work is produced under the direction of an editor named on the title page." This work is not produced under the direction of an editor although one is named on the title page. This, while neither rule 3 nor 4 literally can be applied to this work, yet surely the sense underlying both rules points to the main entry under title.

The next example (Figure 2) appears to be an identical case. It seems exactly like the first example in every respect except the detail of its being called a colloquium instead of a workshop, certainly not a difference that would affect the choice of entry. Yet, the Library of Congress chose as main entry for this work, "Colloquium on the Anglo-American Cataloging Rules, University of Toronto, 1967," as a corporate body, in fact, a corporate author, since it is in author position on the card, not in hanging indention form as if it were a title. It seems impossible to fix on any rule that accounts for this choice of entry.

An examination of these two works shows that the only difference between them is that in the second publication a greater responsibility was carried by the editors, especially the supervising editor who is named in the foreword as playing a large part in planning and organizing the colloquium. But this difference obviously had no effect on the choice of entry. If the main entry had been Katharine L. Ball, it would have been less surprising than the entry that was chosen. However, why it was not treated

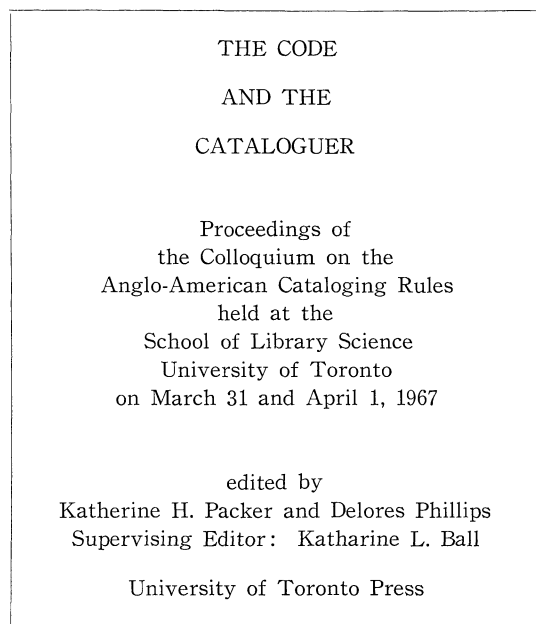


Figure 2

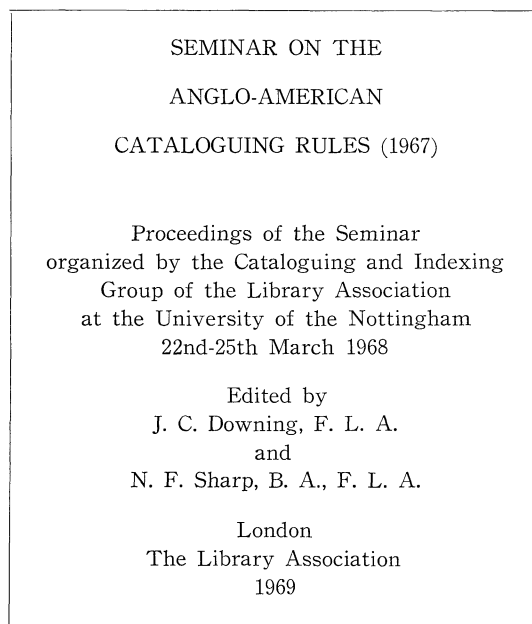


Figure 3

like the first example, with entry under, "The code and the cataloguer," is hard to determine. It is impossible to suggest which rule the Library of Congress used for this work.

The next example (Figure 3) is a similar sort of publication with a title page identical to those of the two preceding examples. It consists of a title followed by a "proceedings" statement, and names of editors. This work was treated by the Library of Congress in the same way as was Figure 2, the second example. The main entry is, "Seminar on the Anglo-American Cataloguing Rules (1967), University of Nottingham, 1969." This heading is in author position on the card and is obviously an author entry using the seminar as a corporate body. Again, as with the second example, no suggestion can be made as to which rule provided authority. It is exactly the type of publication described in rule 3, but this rule was obviously not followed.

As was the case with the second example, the editors named on the title page were active in organizing the seminar and in fact were participants in it.

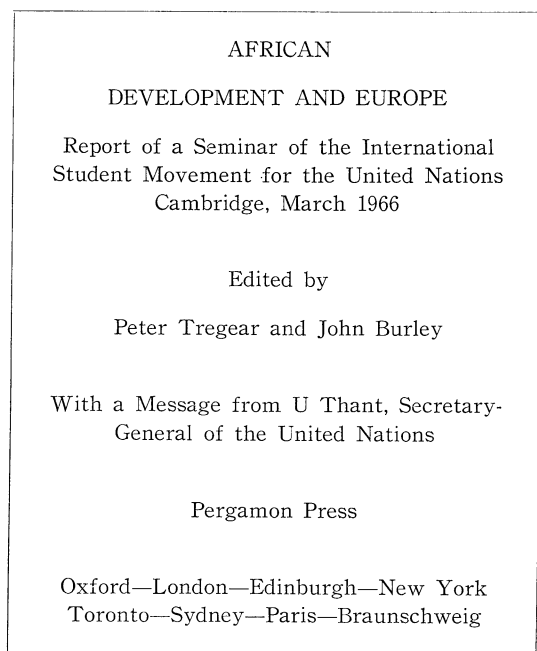


Figure 4

The fact that the title was not chosen for main entry in the last two examples is even more surprising in view of the conclusion reached by the Library of Congress in its recent footnote mentioned above: "In case of doubt the entry should be under the title."

Another example, again with a title page identical to those already cited, is shown in Figure 4. The introduction to this work indicates that Mr. Tregear was not only, or primarily, editor but was chairman of the Advisory Committee "to advise and guide the programme." In this, as in the preceding examples, the title page carries a title, a proceedings or report statement, and the names of editors. For this Library of Congress chose main entry under title, "African development and Europe," in hanging indention form.

The example shown in Figure 5 is the same

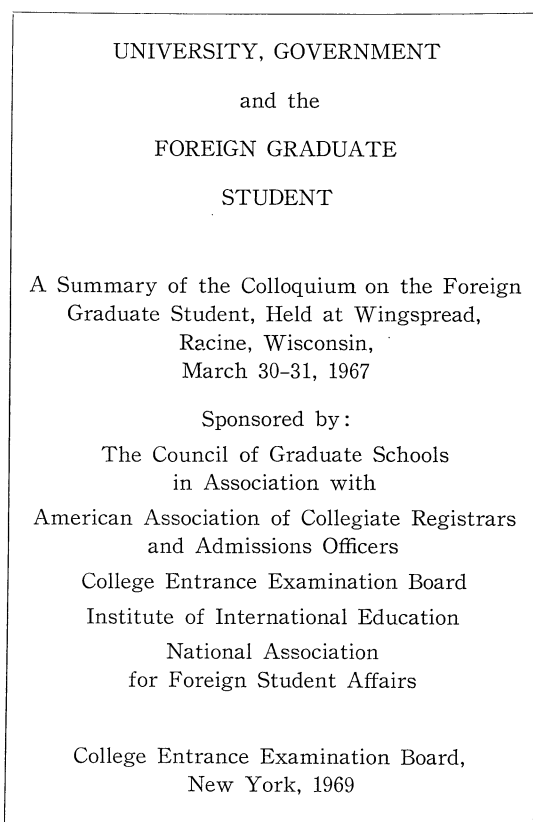


Figure 5

sort of work as the preceding examples, the only variation being the inclusion of three sponsoring organizations and the omission of editors' names, variations that have no effect on the choice of main entry. The Library of Congress assigned as main entry, "Colloquium on the Foreign Graduate Student, Wingspread, 1967," again, as in Figure 2 and 3, using a corporate author entry where the rules would seem to indicate entry under title.

The collection of papers shown in Figure 6, contributed by ten different authors, was entered by the Library of Congress under its title, "Library networks," in hanging indention form. It is difficult to see how this work differs from the publications shown above in Figures 2, 3 and 5 which were not entered under their titles.

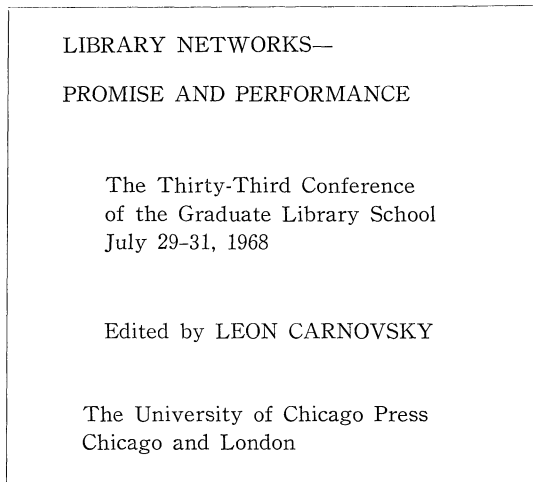


Figure 6

Through the years the Library of Congress has vacillated in choosing the main entry for these conferences, taking at times as author entry, "Chicago. University. Graduate Library School"; at other times, an author entry under the editor's name, and now since the new code has been published, entry under title.

The person named as editor on the title page of a Graduate Library School conference is in fact the director of the conference, and on him has rested the chief responsibility for initiating the subject and assigning the papers to authors of his choice so that a main entry under his name is not an unreasonable choice of entry. It could be said to answer all the conditions required in rule 4. Yet, with the publication of the new rules, the Library of Congress changed from its long-term alternation between entry under The Graduate Library School and the editor, to entry under title. This would seem to be due to the influence of the new rules, and only leads one more emphatically to question the non-title entries chosen for the works shown above in Figures 2, 3 and 5.

Numerous examples are included under rule 4 in the *American Cataloging Rules*, one group whose entry should be under editor, and another group for which title entry was chosen. One rightfully looks to these examples to help clarify the intent of the rules, but they, too, only serve to emphasize that this place in the code is one of confusion. It is shown, too, from the few publication gathered for this study (out of dozens of such available examples) that no further clarification can come from examining Library of Congress practice.