

PREFACE TO THE ANGLO-AMERICAN CATALOGUING RULES, SECOND EDITION (1978)

The first edition of the *Anglo-American Cataloguing Rules*, in its separately published North American and British texts, was the product of the inspired editorship successively of Seymour Lubetzky and C. Sumner Spalding and the culmination of many years' activity by a large number of individuals, to whom credit and acknowledgment were given in that edition. This second edition does not supersede their work, but continues it: for, in spite of the changes in presentation and content which it introduces, these are still the *Anglo-American Cataloguing Rules*, having the same principles and underlying objectives as the first edition, and being firmly based on the achievement of those who created the work, first published in 1967.

The starting point for this new edition is, indeed, the very clear success of the 1967 texts in meeting the needs of large numbers—and many different kinds—of libraries during a period in which there have been considerable growth in libraries and extensions of catalogue processes, bibliographic services, and national library services; not only in the three "Anglo-American" countries for which AACR was established, but throughout the world. AACR has been adopted by major libraries and agencies in most English-speaking countries, and has had a considerable influence on the formation or revision of local and national cataloguing rules in a number of others. For ten years it has thus been subjected to the critical test of application over a very wide range of professional practice across the world.

During this time mechanization, the growth of centralized and cooperative bibliographic services and networks, the development and unification of services in the national libraries (especially, in the AACR context, those of the United Kingdom and Canada)—all these have had, as they continue to have, significant effects on the assembly, transmission, and catalogue exploitation of bibliographic information, both within libraries and between libraries. And, the introduction into most libraries of increasing numbers of the new media that have established themselves in the same period as having a parallel importance, for many library users, with the paper-based and printed documents traditionally the staple of the processing and cataloguing department, has created or intensified integrative problems on a scale unpredictable by those who wrought the 1967 texts.

A "memorandum of agreement" of 1966 between the American Library Association (ALA) and the [British] Library Association provided a means of continuing review by these two bodies of the 1967 texts after publication, so that appropriate action by amendment and addition might be taken to deal with any problems encountered by users on account either of errors and ambiguities or of changing circumstances. The forum for that review was the Descriptive Cataloging Committee (DCC) of the ALA Resources and Technical Services Division; and from 1969 to 1974 regular meetings of DCC were attended by representatives of the Cataloguing Rules Committee established by the Library Association, with formal representation also of the Library of Congress and the Canadian Library Association. At these meetings a number of amendments and changes of the 1967 texts were agreed and promulgated; and some of the problems arising from changing circumstances were addressed for the first time, particularly those of the

treatment of nonbook materials. However, the memorandum did not stipulate agreement among all parties as a condition of amendment to either text and, while in one or two important respects the differences between the two texts were diminished, there were some not unimportant issues on which they seemed in some danger of moving further apart. Furthermore, some significant problems were identified on which, although all parties were agreed on the line of development needed, the procedural mechanisms provided by the memorandum were not wholly adequate for thorough examination and effective action.

At this stage, two new factors made it both propitious and desirable to find a new means of consolidating development since 1967 and of providing for the ascertainable requirements of bibliographic control in the 1980s and beyond. These were, first, the proposed conclusion by the Library of Congress of the policy of "superimposition" by which its adoption of AACR had been limited; and, second, the establishment by the newly formed British Library of its policies of working alongside the Library of Congress, the National Library of Canada, and other libraries and agencies, in the framework of national and international networks and standards for bibliographic records. Another contributory factor was the emergence, from the International Meeting of Cataloguing Experts held in Copenhagen in 1969, of a programme of International Standard Bibliographic Description (ISBD) under the aegis of the International Federation of Library Associations and Institutions (IFLA). This programme commenced with a standard for monographs, ISBD(M), which was incorporated into the two texts of AACR in 1974 by means of separately published revisions of chapter 6.

For these reasons, and on the initiatives of ALA and the British Library, there took place at ALA headquarters in Chicago, in March 1974, a tripartite meeting—consisting of one delegate each from the three "Anglo-American" countries, representing in each case both the library association and the national library—to draw up a new memorandum of agreement and to complete the planning of the project for a second edition of AACR.

OBJECTIVES AND POLICIES

The objectives established in the memorandum of the tripartite meeting may be briefly stated as follows:

- 1) to reconcile in a single text the North American and British texts of 1967
- 2) to incorporate in the single text all amendments and changes already agreed and implemented under the previous mechanisms
- 3) to consider for inclusion in AACR all proposals for amendment currently under discussion between the American Library Association, the Library Association, the Library of Congress, and the Canadian Library Association; any new proposals put forward by these bodies and the British Library; and any proposals of national committees of other countries in which AACR is in use
- 4) to provide for international interest in AACR by facilitating its use in countries other than the United States, Canada, and the United Kingdom. This final objective was later intensified, as a condition of funding by the Council on Library Resources, to one of making a contribution to the development of an international cataloguing code.

The tripartite meeting set up a Joint Steering Committee for Revision of AACR (JSCAACR), consisting of one voting and one nonvoting representative of each of the

five participating organizations, and provided for two editors, one from either side of the Atlantic. JSCAACR's function has been to appoint the editors, to consider all proposals and determine questions of policy with the editors, to assess for approval the rules framed by the editors, and to present the final text for publication; and thus to be the ultimate authority for the content and presentation of this second edition.

An early result of JSCAACR's consideration of the objectives and its own terms of reference was its declaration of the guidelines by which policy questions and new proposals were to be determined. These guidelines were stated publicly at the commencement of the project; they have been sustained throughout the two and a half years of its completion, and they may be summarized as follows:

- 1) maintenance of general conformity with the Paris Principles of 1961, as manifested in the first edition
- 2) particular attention to developments in the machine processing of bibliographic records
- 3) continuance of conformity with the ISBD(M) as a basis for the bibliographic description of monographs, and commitment to the principle of standardization in the bibliographic description of all types of materials
- 4) determination of the treatment of nonbook materials primarily from a consideration of the published cataloguing rules of the Canadian Library Association, the Library Association, and the Association for Educational Communications and Technology; and of the ALA revision of chapter 12 of the 1967 text.¹

With regard to the first of the guidelines, the second edition continues to reflect the tendency to closer conformity with the Paris Principles that was already embodied in amendments to the 1967 texts promulgated before work on the edition began, specifically the abandonment of entry under the name of a place of certain institutional bodies, as related to section 9.4 of the Paris Principles²; and some other shortfalls in conformity have been made good during the course of approving new proposals, notably by the substitution of uniform titles for form subheadings in relation to section 9.5.

With regard to the second guideline, the single most important contribution of this edition to meeting the needs of machine processing resides, in the submission of the authors, in the achievement of an integrated and standardized framework for the systematic description of all library materials, as presented by part I. This achievement, being also the first such comprehensive systematization to be related to the goals of international standardization, is also presented by the authors as the principal fulfilment of the undertaking (in objective 4 above) to make a contribution to the development of an international cataloguing code, and as a major development in its own right.

It is also the principal means by which the third and fourth guidelines have been sustained, and by which resolution has been achieved of the conflict that was soon

¹ See Sources on page xxx for full citations.

² See the Introduction to the 1967 edition of AACR (pp. 2–4 North American text; pp. 2–3 British text) for a summary statement on the initial relationship with the Paris Principles; and *Statement of Principles ... Paris ... 1961. Annotated Edition* (full citation at Sources, below, p. xxx) for an extensive commentary with texts of the *Principles*.

apparent between them and the programme initiated by IFLA, under the general heading of Universal Bibliographical Control (UBC), for the development of separate ISBDs for such materials as serials, maps, and nonbook materials.

Seeking to establish means of uniform description for all materials, JSCAACR could not easily reconcile AACR users' needs with those of the UBC programme on two counts: (1) the timetables of AACR revision and UBC were not in phase with each other; and (2) although harmonized in general terms with ISBD(M), the available drafts from the new ISBD working groups contained indications that in their final forms they would be insufficiently uniform in their relations with ISBD(M) and with each other; and thus they might be neither anticipated nor utilized in AACR as an integrated code.

Mindful of its undertaking to the Council on Library Resources, JSCAACR took the initiative of proposing to the IFLA Committee on Cataloguing that a standardized general framework, drawn up by joint editor Michael Gorman after scrutiny of the four main sources for nonbook materials and of other sources, should be developed jointly by JSCAACR and IFLA as a constraint within which both AACR and the evolving special-material ISBDs should be held; so that the fullest uniformity might be achieved within AACR, within ISBDs, and between ISBDs and AACR. The first meeting between JSCAACR (represented by all but one of its voting members and by both editors) and the IFLA committee with the chairpersons of all the then established ISBD working groups was held in Paris in October 1975, and substantial agreement was reached on the implementation of a general framework, to be known as ISBD(G). Further agreement on some modifications was reached at subsequent meetings, and part I of this edition is based on the ISBD(G) framework determined by these agreements.

STRUCTURE AND WORKING METHODS

In each of the three participating countries the Joint Steering Committee's work has been supported and stimulated by a national committee, which initiated and/or screened very many of the proposals for revision and then reviewed and commented on the draft texts before their final form in this edition was settled.

In the United States the ALA/RTSD Catalog Code Revision Committee (CCRC) organized rule review and revision proposal teams to identify systematically the rules needing attention and to make their own proposals in respect of them, as well as to process those of other bodies. CCRC established working relations with other ALA/RTSD groups, notably the Serials Section's AACR Revision Study Committee, the Filing Committee, and with the Interdivisional Committee on Representation in Machine-Readable Form of Bibliographic Information (MARBI); and the entire membership of the Descriptive Cataloging Committee also participated in its work. Thirty organizations outside ALA were invited either to designate representatives to CCRC or to receive and comment on the Committee's documents.

In the United Kingdom a joint Library Association/British Library Committee on Revision of AACR, having equal representation from both organizations, performed a similar task in respect of the British text. A close relationship was maintained with the Library Association Cataloguing and Indexing Group, under whose aegis consultations and meetings with representatives of numerous other interest groups and organizations

were held; and a joint conference was convened with AACR-oriented library representatives of the Nordic countries of Europe. The formal input of comments and proposals from these and other countries outside the "Anglo-American" triangle was processed for JSCAACR by its Library of Congress representative; but the British committee was responsible for arranging and monitoring the review of final drafts by those other English-speaking countries who contributed to the input. This wider input and review were greatly assisted by the good offices of the Director of the IFLA International Office for UBC.

In Canada the Canadian Committee on Cataloguing/Comité canadien de catalogage (CCC) expressed the interests of the three national bodies that appoint its members: L'Association pour l'avancement des sciences et des techniques de la documentation, the Canadian Library Association, and the National Library of Canada. The committee called on the Canadian Association of Law Libraries, the Association of Canadian Map Libraries, and the Joint Advisory Committee for Nonbook Materials throughout the revision project for assistance in formulating its positions.

The input from these sources, from the Library of Congress's discussions among its own staff, and from the editors, was considered by JSCAACR at seven meetings between January 1975 and December 1976; five in the United States (New York, Washington (2), Chicago, and Princeton University), and one each in Canada (Toronto) and the United Kingdom (London). In January 1977 a draft of the emergent text of part I was distributed for review to the national committees and by them to a wide range of outside organizations. This draft was followed by drafts of part II in April 1977, in which month a special meeting of JSCAACR in Washington planned the concluding stages of drafting and copy preparation. The ninth and final meeting, to consider all proposals and comments of reviewers, to approve the whole text, and to authorize its presentation for publication, was held in Washington in August 1977.

ADOPTION STRATEGIES

In fulfilling their brief the Joint Steering Committee and the editors have striven to maintain as conservative an approach to revision as the demands of text reconciliation and closer uniformity, and the evidence of new needs from new circumstances, will allow. Most of what is here was already in the first edition, only made (if the attempt has been successful in this respect) more accessible to cataloguers and bibliographers in language and articulation, and more nearly related to what are seen as the normal sequences of cataloguing decision making in current practice, than before.

Some of the contents of the first edition (AACR 1) are not now included. They are those in which were provided options or alternatives inappropriate to the objectives of reconciliation and uniformity and those that treated of matters at a level of detail more appropriate to the interpretations and in-house rules of a single institution than to a code for all types and sizes of institutions. The absence of such details does not necessarily mean that observances of them by particular libraries should be abandoned.

Some of what is new does no more than extend the coverage of AACR to the newer categories of library materials with which cataloguers and bibliographers nowadays have to deal; and in this respect there should be little difficulty in adopting the new text.

There are also some areas in which—looking ahead from current developments and seeking resolution of problems that, for all its excellence, AACR 1 did not entirely resolve—AACR 2 has introduced some changes and new directions that will lead to differences in the bibliographic record and in the types and forms of heading at which it is displayed. The treatment of description, corporate headings, uniform titles, and fullness of names are instanced.

Such changes have not been introduced without awareness of the difficulties that they raise for libraries with large retrospective files. Indeed, these difficulties were acknowledged to be at the heart of the compromises and occasional inconsistencies in AACR 1 of which, from the sheer weight of evidence of the need for better resolution, JSCAACR has felt most strongly impelled to attempt amelioration for the sake of future practice. It has also been felt that, with the increased flexibility of modern systems for processing bibliographic data and of catalogue formats, the inertia of the retrospective file is much less than it has been in the past. Many of the larger research libraries have, or may expect soon to have, the capability of relatively inexpensive conversion of at least part of their catalogues to more flexible forms of storage; and, too, there appears generally a much wider acceptance in libraries of the propriety and utility of simply closing old catalogues when they become too large to respond easily to new requirements of their users and starting new ones alongside them.

JSCAACR therefore envisions libraries and bibliographic agencies adopting first those rules (principally in part I) the application of which has no significant effect on the arrangement and collocation of existing bibliographic records, even though some differences of style and content may occur between one record and another. The remaining provisions, where they differ from AACR 1 or from previous local practice, may then be most easily adopted at the time when newly designed cataloguing and bibliographic systems allow earlier records to be converted or reconciled or when a new sequence or catalogue is to come into being. In this connection there is a chronological checkpoint in the announced intention, earlier in 1978, of the Library of Congress, the National Library of Canada, the British Library, and the Australian National Library to adopt AACR 2 as of January 1981, so that cumulations of their published bibliographic records from that date will reflect the new rules.

SOURCES

The principal published sources for this edition include, in addition to the texts for the first edition itself, the amendments and changes to the North American text published in the Library of Congress *Cataloging Service* and to the British text published in the Library Association *Anglo-American Cataloguing Rules Amendment Bulletin*, 1969 through 1975; the two revised texts of chapter 6 published respectively by ALA and the Library Association in 1974; and the North American text revision of chapter 12 (ALA, 1975).

The other three primary sources for the development of rules for nonbook materials are *Non-book Materials Cataloguing Rules* / prepared by the Library Association Media Cataloguing Rules Committee. — London : National Council for Educational Technology, 1973. — (Working paper ; no. 11); *Nonbook Materials : the Organization of Integrated Collections* / by Jean Riddle Weihs, Shirley Lewis, Janet Macdonald. — 1st

ed. — Ottawa : Canadian Library Association, 1973; and *Standards for Cataloging Nonprint Materials : an Interpretation and Practical Application* / by Alma Tillin and William J. Quinly. — 4th ed. — Washington : Association for Educational Communications and Technology, 1976.

Relevant sections of part I, as of the revised chapter 6 above, are based on *ISBD(M) : International Standard Bibliographic Description for Monographic Publications*. — 1st standard ed. — London : IFLA Committee on Cataloguing, 1974; and, as noted above, part I as a whole is closely related to *ISBD(G) : General International Standard Bibliographic Description : Annotated Text* / prepared by the Working Group on the General International Standard Bibliographic Description set up by the IFLA Committee on Cataloguing. — London : IFLA International Office for UBC, 1977.

In consideration of part II, a principal reference source has been *Statement of Principles Adopted at the International Conference on Cataloguing Principles, Paris, October 1961*. — Annotated ed. with commentary and examples / by Eva Verona, assisted by ... [others]. — London : IFLA Committee on Cataloguing, 1971. JSCAACR and the editors also acknowledge their debt to Eva Verona's *Corporate Headings : Their Use in Library Catalogues and National Bibliographies : a Comparative and Critical Study*. — London : IFLA Committee on Cataloguing, 1975.

ACKNOWLEDGMENTS

In his prefatorial acknowledgment of all those who contributed to the first edition, the chairman of the then Catalog Code Revision Committee observed that "rules are not lightly made or changed." Working on this edition, though with more limited objectives and occupying fewer years of their lives, has proved no less arduous for the many individuals who have been engaged in it. The members of the ALA Catalog Code Revision Committee, the Library Association/British Library Committee on Revision of AACR, and the Canadian Committee on Cataloguing, and the senior staff of the Library of Congress deserve very special thanks for the formidable accomplishment of their contributions: and their names are on the following pages. Our thanks extend to the many organizations and committees in several countries whose members are not listed in the following pages, but who have devoted time and trouble to assist in this, a truly international enterprise; and, of course, to the members of the Joint Steering Committee for Revision of AACR themselves, with an admirable record of 100 percent attendance through all the long and often weary meetings at which this edition has taken shape.

Our debt to the editors, for the commitment and inspiration they brought to their task, is obvious; but to the acknowledgment they will surely receive from those who discover the merits of their work by applying it, an addition of particular gratitude from those for whom they toiled is commanded for their achievement in meeting the very onerous deadlines that the schedule of the project required of them. A similar encomium is deserved by Carol Kelm, then executive secretary of ALA/RTSD, who acted as secretary to the Joint Steering Committee and without whose organizational, documentary, and administrative talents the committee's work could scarcely have been accomplished in this time. Mention must also be made of the special documentary contributions of Helen Schmierer and Robert M. Hiatt, both being important factors in the completion on schedule of the review of draft texts.

Finally, grateful acknowledgment is made to the American Library Association, the British Library, the Library Association, the Library of Congress, and the National Library of Canada for the financial and other supportive resources with which they sustained the project at both national and international levels; and to the Council on Library Resources, without whose generous financial support of the Joint Steering Committee and the editors this edition could not have been undertaken.

Peter R. Lewis, *Chair*

Joint Steering Committee for Revision of AACR