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A Study of the New Chinese Uniform Cataloging Code: A Possibility for Shared Cataloging

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With the recent publication, by the Peking Library, of a uniform cataloging code to be followed by all libraries in the People's Republic of China, it is now possible to look at the prospect of shared cataloging with China from the point of view of technical or cataloging processes. Questions as to when or whether such a form of cataloging cooperation with China may be truly needed, may be administratively practicable, or may be financially possible, will not be discussed in this writing, so as to enable the author to concentrate on the technical aspects of the matter and to focus his attention on the examination of cataloging norms, concepts, and regulations of the Chinese libraries as contained in the uniform code, in the light of those of the American libraries as embodied in the new edition of the Anglo-American Cataloging Rules (AACR 2). It is the hope of the author that after a comparison of cataloging practices, he will be able to provide some information on whether or not cataloging records produced by the Chinese libraries can be used by the American libraries as a way of library cooperation.

The Chinese uniform cataloging code represents China's recent effort to standardize book cataloging with the purpose of facilitating interlibrary cooperation and the international exchange of information. Entitled 中文普通图书统一著录条例 (Uniform Cataloging rules for ordinary books in the Chinese language), the 76-page rule book was compiled by the Peking Library, published in June 1979 by the Shu mu wen hsien ch'u pan she, and is now being distributed by the Hsin Hua shu tien at its various branch stores throughout China at a price of 0.67 yüan (approximately forty-five cents in U.S. currency).
In the "Foreword" of this manual, it is explained that these rules are for Chinese publications of the "ordinary" kind, and that for classics in the traditional stitch-bound format, maps, microform materials, etc., separate codes will be published later.

It is amazing to find so much similarity between the Chinese and American rules and the similarity of manner in which many of these rules are treated in both codes. This is encouraging, in view of the library trend today toward UBC (Universal Bibliographic Control), and the conception that one of the most important criteria for UBC is standardization of cataloging. Perhaps the best way to bring out the similarities (and also the dissimilarities which do exist) between the Chinese and American rules is to look at the major rules, following the order in which they are presented in the Chinese code.

The Chinese code is divided into five chapters, supplemented by four appendices. Chapter One states in general terms the purpose of these rules and the type of publications they apply to, the primary source of cataloging information, the various areas of description under discussion and their locations on a cataloging record, and the language and symbols which are to be used in cataloging.

Under the heading "General principles" (Tsung tse) in Chapter One, the title page is indicated as the chief source of information; if the title page is incomplete or lacking, other parts of the book such as the colophon, cover, spine, caption, margin, preface, and postface should be consulted. This should sound familiar to those of us who have pored over the AACR 2 statement: "The chief source of information for printed monographs is the title page or, if there is no title page, the source from within the publication that is used as a substitute for it." (2.081)

Under the heading "Catalog Entry" in the same chapter, the Chinese code stipulates that titles be used as the main entry headings in all cases. This is one of the major differences in cataloging between the Chinese and the American librarians. To the Chinese, the use of the title as the main entry is a tradition, because for thousands of years Chinese bibliographies and catalogs have been compiled with the works entered upon their titles. In the West, although recently there has been a tendency to shift toward the title as the main entry, especially for publications of corporate authorship and for serials, the use of personal names and, in limited cases, corporate names as main entry headings is still an important mode of cataloging.

Chapter Two constitutes the main portion of the code. It contains rules for the various areas in descriptive cataloging. These include the title, authorship, imprint, collation, and notes.

The title proper, subtitle, and other title information are transcribed as they appear in the chief source of information of the book being cataloged. If a book does not have a title, the cataloger may supply a title based on information from the book or from other reference sources, and enclose the supplied title in square brackets. These procedures are done similarly under AACR 2. The Chinese code does not mention uniform titles, and there seems to be no concern of having different manifestations of the same work
Names of personal authors are generally taken from their works in the forms in which they appear. If an author often used a pseudonym in his works, the pseudonym will be chosen as his name and recorded on the cataloging record. The example given is for the famous modern Chinese author, Lu Hsun. The pseudonym Lu Hsun is used in place of his real name Chou Shu-jen. This echoes the AACR 2 rule: "Choose, as the basis of the heading for a person, the name by which he or she is commonly known. This may be the person's real name, pseudonym..." (22.1A)

The number of names to be recorded in cataloging for each single statement of responsibility is limited in the Chinese code to two, instead of three as permitted under AACR 2 (1.1F5). The Chinese seem to be as obsessed with the magic number "two" as much as authors of Western codes are with the magic number "three". For example, besides names of personal authors, there are rules in the Chinese code, stipulating that no more than two corporate authors, translators, places of publication, and publishers be recorded.

In the Chinese code, corporate bodies with distinctive names are entered directly under those names, and there is no need for them to be entered as subordinate units under the higher bodies to which they are related. The example given is "Pei-ching t'u shu kuan" (the Peking Library) which can stand independently and does not need to be entered under China, although it is a national library. This reminds us of the heading for the Library of Congress. Under a similar ruling in AACR 2, the heading for the Library of Congress is now "Library of Congress" and not "United States. Library of Congress" as it was in the past. On the other hand, corporate bodies without distinctive names will be entered as subheadings under the higher bodies. The examples given are the teaching departments of a university, which are entered subordinately under the university. Brief names or acronyms can be used in some rare cases such as "Chung kung" for the fuller name "Chung-kuo kung ch'an tang" and "Kung ch'ing t'uan" for "Chung-kuo kung ch'an chu i ch'ing nien t'uan". Parallel examples under AACR 2 are AFL-CIO, UNESCO, ERIC, etc.

The imprint consists of the place of publication, the publisher, date, edition statement, and type of printing. Information in this area is recorded in a manner similar to the American practice with the following exceptions: (1) The edition statement becomes a part of the imprint (see Example A below) instead of being a separate, independent area following the statement of responsibility, as required by AACR 2; (2) The type of printing (i.e., manuscript, mimeographed edition, photoreproduction, etc.) is indicated at the end of the imprint (see Example B) and not in a note as under AACR 2 (Cf. 1.11 and 4.7B1); (3) For reprint editions, publication details of the original are always given in the body of description, with the information of the reprint followed in parentheses as additional data (see Example C and D), while AACR 2 rules prescribe the opposite, requiring that the data relating to the original be supplied in a note (1.11); and (4) Information on distribution is not given as it would be under AACR 2.
Example A

养猪手册
山东省革命委员会农林局编 济南 山东人民出版社 1976年3月 第2版（修订本）

Example B

鲁迅诗稿
鲁迅著 上海鲁迅纪念馆编辑 北京 文物出版社 1976年8月  expansive

Example C

东周列国志
（明）冯梦龙 （清）袁无让编 北京 人民文学出版社 1955年10月（1978年4月重印）

Example D

敬爱的周总理我们永远怀念您
第一辑
北京 北京人民出版社（农村读物出版社重印） 1977年2月

The area of collation or physical description has paging (or number of volumes), illustration, size, type of binding, and price. Unusual things to be noted here are the size, the binding, and the price. The size is given in terms of quartos, octavos, etc., according to the Chinese definitions of those words. The information is copied from the book, as most Chinese books contain such measurements in the colophon. If the information is not given in the book, it is omitted. The binding of the book, whether it be deluxe hard cover or stitch-bound, is duly described. However, no such information is needed for a book in "ordinary" or paperback binding. The price appears at the end of the collation, in contrast to the American practice of putting it in the note area. The following are two sample Chinese collation statements:

983页 大32开 精装 5.40元

159页 有图 32开 0.37元

Notes are made to provide the following information: (1) Circulation and intended audience, (2) Series, (3) Accompanying materials and supplements, (4) "Bound withs", (5) Other information about the title and author, and (6) Contents. With the exception of (2) Series, all the items are treated similarly under AACR 2. Although AACR 2 allows certain special series information in notes (12.7B12), it does prescribe the location of a regular series statement at the end of the collation, enclosed in parentheses.
While AACR 2 permits catalogers to "give a brief objective summary of the content of an item" in special cases (2.7B17), the Chinese rules go much further to expand the idea and make "Summary" a regular and important item of description in the note area. The summary on a Chinese cataloging record is supposed to convey the cataloger's interpretation and criticism of the work. It should "correctly reflect the political stand, the academic value, the purpose of the writing, and the special audience of the book." (p. 47) It should also point out "reactionary ideas or erroneous political points of view" if these are contained in the book. The summary should be in plain language and, in general, not exceed two hundred words. In cases where summaries cannot easily be written, the tables of contents may be used instead. The catalogers are cautioned to be very careful when preparing summaries for works by Marx, Engels, Lenin, Stalin, and "Chairman Mao". For these works, they should use direct quotations as much as possible in compiling the summaries. If they feel that these quotations are not adequate for doing the job, they may omit the summaries of works by these authors.

The remainder of the chapters deal with added entries, analytics of monographic series and multipart monographs, serials, etc., based on roughly the same concepts as those prevalent in the West. The four appendices give explanations of terminology, punctuation, symbols used in proofreading, and a table of Greek alphabet.

Though much narrower in scope than AACR 2 (in fact, the whole book only measures up to a few chapters in Part I (Description) of AACR 2), the Chinese code has laid down the basic rules needed for descriptive cataloging. An application of these rules results in the following format:

(一) 统一编目缩印卡片格式

<table>
<thead>
<tr>
<th>Title</th>
<th>书名项</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authorship</td>
<td>著者项 (著者姓名及其著作方式 副著者姓名及其著作方式)</td>
</tr>
<tr>
<td>Imprint</td>
<td>出版项 (出版社 出版地 出版年 出版号 版次 版刻)</td>
</tr>
<tr>
<td>Collation</td>
<td>稿校核 (页数 图表 开本 装订 定价)</td>
</tr>
<tr>
<td>Notes</td>
<td>附注项</td>
</tr>
<tr>
<td>Summary</td>
<td>摘要项</td>
</tr>
<tr>
<td>Original title (for translations)</td>
<td>书名原文</td>
</tr>
<tr>
<td>Classification</td>
<td>中国法 科国法 中小型 分类号 分类号 分类号</td>
</tr>
<tr>
<td>Date</td>
<td>颁印日期</td>
</tr>
<tr>
<td>Standard book number</td>
<td>发行号</td>
</tr>
<tr>
<td>Card number</td>
<td>专题号</td>
</tr>
</tbody>
</table>

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Based on this uniform format, Chinese cataloging records are produced. The following are some Chinese sample cards (1-3). Each is accompanied by a Library of Congress card for the same book (la-3a) for the purpose of comparison. (Note: some of the Library of Congress cards have slightly modified to reflect the new rulings of AACR 2)

(1)

tiān gōng kāi wù
天工开物
(明) 宋应星著 钟广言注释 广州 广东人民出版社 1976年10月
462页 大32开 1.16元

本书分十八卷。分别记述三百年来我国劳动人民在纺织、印染、制盐、制碱、车船、建筑、造纸、制茶、冶炼、采矿、武器、农具、水力等方面的成就。其中记载了不少当时居于世界前列的工艺技术和科学创造。本书根据1637年手刻本进行注释。每卷都有说明和注释，各篇都附有译文，初刻本未刻幅图 123 幅。全部复制，并由注释者加附了关于古代工艺和水力结构的说明图。

N002 50 42  N22
1977年5月6日编

Sung, Ying-hsing, fl. 1615–1644.
(T'ien kung k'ui wu)

Sung, Ying-hsing, fl. 1615–1644.
(T'ien kung k'ui wu)

Sung, Ying-hsing, fl. 1615–1644.
(T'ien kung k'ui wu)

1. Title.
zhāo yáng sì huǒ
朝阳似火（短篇小说集）
洛阳市文化局编 郑州 河南人民出版社 1977年
2月
218页 有图 32开 0.42元

本书收集了十一篇短篇小说。这些作品从不同角度看热情地歌颂了无产阶级文化大革命，歌颂了社会主义新生事物，反映了工农业战线上的阶级斗争和路线斗争。

(Chao yang ssu huo)
218 p. : ill. ; 21 cm.

CONTENTS: 黄人礼 朝阳似火—王秀德 五彩路—侯德振 铁窗—王永来 第一步—刘锋 谷熟花开花又结花—李生和以后—侯德振 罗时新 
新娘面露—王秀德 一面春—姚明河 首次出车—王新成 一个林场—李志安 榜花正红。
P1.2653.C445 1979 79-842764
Library of Congress 79 C
 nao hãi jì

tài hai jì (上)

唐亢双、谢金雄同著 广州 广东人民出版社
1977年5月
570页 32开 1.04元

这是一部反映三十年代我南海港湾渔业合作化过程中，两个阶段、两条道路、两条路线斗争的长篇小说。全书分上、下两篇，作品以一九五四年秋为前苏联渔业合作化运动为背景。故事中的人物围绕着扩社问题，展开了一场尖锐、复杂的斗争。作者热情地歌颂了毛主席指引的合作化道路的无比正确和强大威力；赞扬了南海渔民、贫苦渔民组织起来走社会主义道路的强烈愿望和昂扬斗志，刻画了共产党支部书记罗北海、渔工梁大生父女等党家兄弟的英雄形象。

T'ang, K'ang-shuang.
(Nao hai chi)

(3a)
From this comparison, it is clear that the basic structure of a Chinese cataloging record is not greatly different from that of an American record, and that with the addition of the necessary romanized access points and the Library of Congress classification and subject headings, the cards produced in China could be used by American libraries. The cards thus used may not be ideal, but they should be compatible and serve the purpose of library cooperation. One recalls that during the initial period of Shared Cataloging between Washington and Tokyo, National Diet Library catalog cards, which were not in complete conformity with American cards, were adapted for Library of Congress cards (see the two sample cards below). Improvements can always be made once the cooperative project has been started. As for the Chinese title-as-main-entry approach, this does not seem to be a major problem as long as romanized author or title main entry is added on the Chinese card according to the American cataloging standard. The pinyin romanization at the top of the title on the Chinese card can be either ignored or treated as an added variant title entry.
However, the ideal situation for a shared cataloging program between Washington and Peking would be for the Chinese libraries to tailor their cataloging rules according to world-wide standards. This would involve the adoption of the ISBDs (the various versions of the International Standard Bibliographic Description), developed and published by IFLA (International Federation of Library Associations and Institutions), for cataloging monographs, serials, printed music, sound recordings, etc.

The ISBD principles and prescribed punctuation have provided the libraries of the world a pattern for the standard description of all types of publications. They have been adopted by many national bibliographic agencies and become the foundation of many national and multinational cataloging codes, including AACR 2. They have been used for Chinese materials by librarians in Hong Kong, Singapore, Taiwan, North America, and possibly other areas with large Chinese collections. In recent years, librarians in the United States and Hong Kong have made a series of recommendations to IFLA regarding the use of equivalent Chinese words in the ISBD texts and changes of some of the rulings to fit into, and cover, the special situations in cataloging Chinese publications. Their work and experience should be helpful to other national bibliographic agencies dealing exclusively or largely with materials in the Chinese language.

It has been ten years since the publication of the first provisional edition of ISBD (M) -- International Standard Bibliographic Description for Monographs. During this period, the ISBDs have been firmly established as the world standards for cataloging. It is now almost unthinkable for any national cataloging code to be developed without taking into consideration or adopting the ISBD principles and punctuation. It would be for the benefit of the Chinese libraries in achieving their goal of standardizing cataloging practices to facilitate international exchange of bibliographic information, if they proceeded toward incorporating ISBD rules into their cataloging code. When that happens, the technical
obstacles to shared cataloging by Chinese and American libraries will be greatly reduced.