

Statement of Principles
Adopted by
The International Conference on Cataloguing Principles
Paris, October 1961.

1. *Scope of Statement*

The principles here stated apply only to the choice and form of headings and entry words – i.e. to the principal elements determining the order of entries – in catalogues of printed books¹ in which entries under authors' names and, where these are inappropriate or insufficient, under the titles of works are combined in one alphabetical sequence. They are framed with special reference to catalogues enumerating the contents of large general libraries: but their application to the catalogues of other libraries and to other alphabetical lists of books is also recommended, with such modifications as may be required by the purposes of these catalogues and lists.

2. *Functions of the Catalogue*

The catalogue should be an efficient instrument for ascertaining

2.1 whether the library contains a particular book specified by

- (a) its author and title, *or*
- (b) if the author is not named in the book, its title alone, *or*
- (c) if author and title are inappropriate or insufficient for identification, a suitable substitute for the title; and

2.2 (a) which works by a particular author and

(b) which editions of a particular work are in the library.

3. *Structure of the Catalogue*

To discharge these functions the catalogue should contain

3.1 at least one entry for each book catalogued, and

3.2 more than one entry relating to any book, whenever this is necessary in the interests of the user or because of the characteristics of the book – for example:

3.21 when the author is known by more than one name or form of name, *or*

3.22 when the author's name has been ascertained but is not on the title-page of the book, *or*

3.23 when several authors or collaborators have shared in the creation of the book, *or*

3.24 when the book is attributed to various authors, *or*

3.25 when the book contains a work known by various titles.

4. *Kinds of Entry*

Entries may be of the following kinds: *main entries*, *added entries* and *references*.

¹ In this Statement, the word "book" should be taken to include other library materials having similar characteristics.

4.1 One entry for each book – the *main entry* – must be a full entry, giving all the particulars necessary for identifying the book. Other entries may be either *added entries* (i.e. additional entries, based on the main entry and repeating under other headings information given in it) or *references* (which direct the reader to another place in the catalogue).

5. *Use of Multiple Entries*

The two functions of the catalogue (see 2.1 and 2.2) are most effectively discharged by

5.1 an entry for each book under a heading derived from the author's name or from the title as printed in the book, *and*

5.2 when variant forms of the author's name or of the title occur, an entry for each book under a *uniform heading*, consisting of one particular form of the author's name or one particular title, or, for books not identified by author or title, a uniform heading consisting of a suitable substitute for the title, *and*

5.3 appropriate added entries and/or references.

6. *Function of Different Kinds of Entry*

6.1 The *main entry* for works entered under author's names should normally be made under a *uniform heading*. The main entry for works entered under title may be *either* under the title as printed in the book, with an added entry under a uniform title, *or* under a uniform title, with added entries or references under the other titles. The latter practice is recommended for the cataloguing of well-known works, especially those known by conventional titles (see 11.3)²

6.2 Entries under other names or forms of name for the same author should normally take the form of *references*; but *added entries* may be used in special cases.³

6.3 Entries under other titles for the same work should normally take the form of *added entries*; but *references* may be used when a reference can replace a number of added entries under one heading.⁴

6.4 *Added entries* (or in appropriate cases *references*) should also be made under the names of joint-authors, collaborators, etc., and under the titles of works having their main entry under an author's name, when the title is an important alternative means of identification.

7. *Choice of Uniform Heading*

The *uniform heading* should normally be the most frequently used name (or form of name) or title appearing in editions of the works catalogued or in references to them by accepted authorities.

7.1 When editions have appeared in several languages, preference should in general be given to a heading based on editions in the original language; but if this

² The principles established for treatment of works entered under title may be followed also in arranging entries under any particular author heading.

³ e.g. when a particular group of works is associated with a particular name.

⁴ e.g. when a particular variant title has been used in a number of editions.

language is not normally used in the catalogue, the heading may be derived from editions and references in one of the languages normally used there.

8. *Single Personal Author*

8.1 The *main entry* for every edition of a work ascertained to be by a single personal author should be made under the author's name. An added entry or reference should be made under the title or each edition in which the author's name is not stated on the title-page.

8.2 The *uniform heading* should be the name by which the author is most frequently identified in editions of his works,⁵ in the fullest form commonly appearing there, *except that*

8.21 another name or form of name should be taken as the uniform heading if it has become established in general usage either in references to the author in biographical, historical and literary works, or in relation to his public activities other than authorship;

8.22 a further identifying characteristic should be added, if necessary, to distinguish the author from others of the same name.

9. *Entry under Corporate Bodies*

9.1 The main entry for a work should be made under the name of a *corporate body* (i.e. any institution, organized body or assembly of persons known by a corporate or collective name),

9.11 when the work is by its nature necessarily the expression of the collective thought or activity of the corporate body,⁶ even if signed by a person in the capacity of an officer or servant of the corporate body, *or*

9.12 when the wording of the title or title-page, taken in conjunction with the nature of the work, clearly implies that the corporate body is collectively responsible for the content of the work.⁷

9.2 In other cases, when a corporate body has performed a function (such as that of an editor) subsidiary to the function of the author, an *added entry* should be made under the name of the corporate body.

9.3 In doubtful cases, the main entry may be made *either* under the name of the corporate body *or* under the title or the name of the personal author, with an added entry in either case under the alternative not chosen for the main entry.

9.4 The *uniform heading* for works entered under the name of a corporate body should be the name by which the body is most frequently identified in its publications, *except that*

9.41 if variant forms of the name are frequently found in the publications, the uniform heading should be the official form of the name;

⁵ Subject to section 7.1

⁶ e.g. official reports, rules and regulations, manifestoes, programmes and records of the results of collective work.

⁷ e.g. serials whose titles consist of a generic term (Bulletin, Transactions, etc.) preceded or followed by the name of a corporate body, and which include some account of the activities of the body.

- 9.42 if there are official names in several languages, the heading should be the name in whichever of these languages is best adapted to the needs of the users of the catalogue;
- 9.43 if the corporate body is generally known by a conventional name, this conventional name (in one of the languages normally used in the catalogue) should be the uniform heading;
- 9.44 for states and other territorial authorities the uniform heading should be the currently used form of the name of the territory concerned in the language best adapted to the needs of the users of the catalogue;
- 9.45 if the corporate body has used in successive periods different names which cannot be regarded as minor variations of one name, the heading for each work should be the name at the time of its publication, the different names being connected by references;⁸
- 9.46 a further identifying characteristic should be added, if necessary, to distinguish the corporate body from others of the same name.
- 9.5 Constitutions, laws and treaties, and certain other works having similar characteristics, should be entered under the name of the appropriate state or other territorial authority, with formal or conventional titles indicating the nature of the material. Added entries for the actual titles should be made as needed.
- 9.6 A work of a corporate body which is subordinate to a superior body should be entered under the name of the subordinate body, *except that*
 - 9.61 if this name itself implies subordination or subordinate function, or is insufficient to identify the subordinate body, the heading should be the name of the superior body with the name of the subordinate body as a subheading;
 - 9.62 if the subordinate body is an administrative, judicial or legislative organ of a government, the heading should be the name of the appropriate state or other territorial authority with the name of the organ as a subheading.

10. *Multiple Authorship*

When two or more authors⁹ have shared in the creation of a work,

- 10.1 if one author is represented in the book as the *principal author*, the others playing a subordinate or auxiliary role, the *main entry* for the work should be made under the name of the *principal author*;
- 10.2 if no author is represented as the principal author, the *main entry* should be made under
 - 10.21 *the author named first on the title-page*, if the number of authors is two or three, *added entries* being made under the name(s) of the other author(s);
 - 10.22 *the title of the work*, if the number of authors is more than three, *added entries* being made under the author named first in the book and under as many other authors as may appear necessary.
- 10.3 Collections¹⁰

⁸ It is a permissible alternative, when it is certain that the successive names denote the same body, to assemble all the entries under the latest name with references from the other names.

⁹ In this section the word "author" is used to include a corporate body under whose name entries are made (see section 9).

- The *main entry* for a collection consisting of independent works or parts of works by different authors should be made
- 10.31 under *the title of the collection*, if it has a collective title;
 - 10.32 under *the name of the author*, or under *the title, of the first work in the collection*, if there is no collective title
 - 10.33 in both cases, an *added entry* should be made under the name of the *compiler* (i.e. the person responsible for assembling from various sources the material in the collection) if known.
 - 10.34 *Exception*: if the name of the compiler appears prominently on the title-page, the main entry may be made under the name of the compiler, with an added entry under the title.
- 10.4 If successive parts of a work are attributed to different authors, the *main entry* should be made under the author of the first part.

11. Works Entered under Title

- 11.1 Works having their *main entry* under the title are
 - 11.11 works whose authors have not been ascertained;
 - 11.12 works by more than three authors, none of whom is principal author (see 10.22);
 - 11.13 collections of independent works or parts of works, by different authors, published with a collective title;
 - 11.14 works (including serials and periodicals) known primarily or conventionally by title rather than by the name of the author.
- 11.2 An *added entry* or *reference* should be made under the title for
 - 11.21 anonymous editions of works whose authors have been ascertained;
 - 11.22 works having their main entry under the name of the author, when the title is an important alternative means of identification;
 - 11.23 works whose main entry is made under the name of a corporate body, but which have distinctive titles not including the name of the corporate body;
 - 11.24 collections whose main entry is made exceptionally under the compiler.
- 11.3 The *uniform heading* (for main or added entries, see 6.1) for works entered under title should be the original title or the title most frequently used in editions of the work,¹¹ *except that*

¹⁰ A large minority of the Conference did not accept the text of 10.3 but favoured the following alternative text:

10.3 The *main entry* for a collection consisting of independent works or parts of works by different authors should be made

- 10.31 when the collection has a collective title
 - 10.311 under the name of the *compiler* (i.e. the person responsible for assembling from various sources the material in the collection) if he is named on the title-page;
 - 10.312 under the title of the collection if the compiler is not named on the title-page;
- 10.32 when the collection has no collective title, under *the name of the author*, or under *the title, of the first work in the collection*.
- 10.33 An added entry should always be made under the *name of the compiler* (if known), when not chosen as heading for the main entry; and under the *title*, if the main entry is under the compiler.

¹¹ Subject to Section 7.1

- 11.31 if the work is generally known by a conventional title, the uniform heading should be the conventional title.
- 11.4 The *uniform heading* for works of which successive parts or volumes bear different titles should be the title of the first part, unless the majority of the parts of volumes bear another title.
- 11.5 When a *serial publication* is issued successively under different titles, a *main entry* should be made under each title for the series of issues bearing that title, with indication of at least the immediately preceding and succeeding titles. For each such series of issues, an added entry may be made under one selected title.¹² If however, the variations in title are only slight, the most frequently used form may be adopted as a uniform heading for all issues.
- 11.6 Multi-lateral international treaties and conventions and certain other categories of publications issued with non-distinctive titles may be entered under a uniform conventional heading chosen to reflect the form of the work.¹³

12. *Entry Word for Personal Names*

When the name of a personal author consists of several words, the choice of entry word is determined so far as possible by agreed usage in the country of which the author is a citizen, or, if this is not possible, by agreed usage in the language which he generally uses.

¹² If it is desired to collect information about the serial publication as a whole in one place in the catalogue.

¹³ If it is desired to group these publications in one place in the catalogue.