

Principles for Library Catalogues and other Bibliographic Files

Prepared by Monika Münnich and Hans Popst, assisted by Charles Croissant

Introduction

The Statement of Principles – commonly known as the “Paris Principles” – was approved by the International Conference on Cataloguing Principles in 1961. Their goal of serving as a basis for international standardization in cataloguing has certainly been achieved: most of the cataloguing codes that were developed in the 1970’s and 1980’s followed the Principles strictly, or at least to a high degree.

Over forty years later, having a common set of international cataloguing principles has become even more desirable as cataloguers and their clients use OPACs around the world. Now, on the occasion of the “First IFLA Meeting of Experts on an International Cataloguing Code,” an effort has been made to adapt the Paris Principles to objectives that are applicable to online library catalogues. The first of these objectives is to serve the convenience of the user.

The following draft principles describe

- entities, relationship and attributes of interest in the bibliographic universe,
- the functions of an online catalogue,
- standards for description and access,
- the choice and structure of authorized headings,
- authority files
- search capabilities
- and display functions for lists (work identifier)

The new principles still build on the works of Cutter and Ranganathan, but they include the conceptual model of the IFLA document “Functional Requirements of Bibliographic Records.”

In the part “Display functions,” alternative versions are offered. The discussion of these and other parts of the draft on our email discussion list and at the conference itself certainly will be interesting and hopefully will lead to further ideas.

Principles for Library Catalogues and other Bibliographic Files

Revised Draft July, 2003

1. Scope

The principles stated here determine objectives that are mainly to be applied to online library catalogues. They cover bibliographic resources of all kinds. The principles can be applied to conventional catalogues, conventional bibliographies, and data files as well - with modifications as appropriate.

These principles apply to online catalogues of individual libraries as well as to union catalogues.

The highest principle for the construction of cataloguing codes should be the convenience of the user.

These principles build on the work of Charles A. Cutter¹ and S.R. Ranganathan², as well as on the conceptual model presented in the “Functional Requirements for Bibliographic Records”³ (cited in the following as FRBR).

¹ Cutter, Charles A.: Rules for a dictionary catalog. 4th ed., rewritten. Washington, D.C.: Government Printing office. 1904.

² Ranganathan, S.R.: Heading and canons. Madras [India] : S. Viswanathan, 1955.

³ IFLA Study Group on the Functional Requirements for Bibliographic Records. Functional requirements for bibliographic records: Final report. München : Saur, 1998. ISBN 3-589-11382-X (UBCIM publications ; N.S., vol. 19) – Also available on the IFLA homepage: <http://www.ifla.org/V/saur.htm>.

2. Entities, Relationship, and Attributes of Interest in the Bibliographic Universe

For the creation of bibliographic records the following entities are to be considered according to FRBR:

2.1. Group 1: Products of intellectual or artistic endeavour

2.1.1. Work

2.1.2. Expression

2.1.3. Manifestation

2.1.4. Item

2.2. Group 2: Entities responsible for content, production or custodianship of the products in Group 1

2.2.1. Person

2.2.2. Corporate Body

2.3. Group 3: Entities serving as subjects of intellectual or artistic endeavour

2.3.1. Work

2.3.2. Expression

2.3.3. Manifestation

2.3.4. Item

2.3.5. Person

2.3.6. Corporate Body

2.3.7. Concept

2.3.8. Object

2.3.9. Event

2.3.10. Place

Entities at the aggregate or component levels operate in the same way as entities at the integral unit level (3.3 FRBR).

Each of the entities has associated with it a set of attributes.

Relationships serve as a vehicle for depicting the link between one entity and another.

3. Functions of an Online Catalogue

Functions of an online catalogue are to enable a user⁴

3.1. To find resources in a file or database as the result of a search using attributes or relationships of the resources:

3.1.1. To locate a singular resource

3.1.2. To collocate sets of resources representing

All resources belonging to the same work

All resources belonging to the same expression

All resources belonging to the same manifestation

All resources by a given creator of intellectual or artistic content

All resources on a given subject

All resources defined by “other” criteria

(such as language, country of publication, publication date,
physical format, etc.).

3.2. To identify a resource or agent (that is, to confirm that the entity

described in a record corresponds to the entity sought or to distinguish between two or more entities with similar characteristics);

3.3. To select a manifestation or specific item that is appropriate to the user's needs (that is, to choose a resource that meets the user's requirements with respect to content, physical format, etc. or to reject a resource as being inappropriate to the user's needs);

3.4. To acquire or obtain access to an item described (that is, to acquire an item through purchase, loan, etc. or to access an item electronically through an online connection to a remote source);

3.5. To navigate a bibliographic database (that is, through the logical arrangement of bibliographic information and presentation of clear ways to move about, including presentation of relationships among attributes).

4. Standards for description and access

The descriptive portion of the bibliographic record should be based on the International Standard Bibliographic Description. The bibliographic record must also include access points formulated according to a standard cataloguing code⁵.

⁴ 3.1 – 3.5 according to: Svenonius, Elaine. *The Intellectual Foundation of Information Organization*. Cambridge, MA: MIT Press, 2000. ISBN 0-262-19433-3

5. Choice and Structure of Authorized Headings⁶

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

5.1. Language

When works have been expressed in several languages, preference should be given to a heading based on expressions in the original language; but if the work's original language is one not normally used in the catalogue, the heading may be based on manifestations or references in one of the languages normally used there.

5.2. Persons

5.2.1. When the name of a person consists of several words, the choice of entry word is determined by agreed usage in the country in which the person generally resides. If it is not possible to determine where the person generally resides, choice of entry word is according to agreed usage in the language, which that person generally uses.

5.2.2. Further identifying data should be added, if necessary, to distinguish the person from others of the same name.

5.3. Corporate Bodies

The authorized heading of a corporate body should be the name by which the body is most frequently identified in its publication;

⁵ such as Anglo-American Cataloguing Rules, Nippon Cataloguing Rules, Regeln für die Alphabetische Katalogisierung, Regole Italiane di Catalogazione per Autori, etc.

⁶ According to IFLA's „Guidelines of Authority Records and References“ (GARR) : 2nd ed., rev. by the IFLA Working Group on GARR Revision. München : Saur, 2001. ISBN 3-598-11504-0.
Also available on the IFLA homepage: <http://www.ifla.org/V/saur.htm>.

5.3.1. if there are 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;

5.3.2. for jurisdictions the authorized 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;

5.3.3. if the corporate body has used in successive periods different names which cannot be regarded as minor variations of one name, each significant name change should be considered a new entity and the corresponding authority records for each entity should be linked by see-also (earlier/later) references;

5.3.4. a further identifying characteristic should be added, if necessary, to distinguish the corporate body from others of the same name.

5.4. Uniform Titles

The uniform title should be the original title or the title most frequently found in manifestations of the work. Under certain defined circumstances, a commonly used title in the language of the catalogue may be preferred to the original title as the basis for the authorized heading.

6. Authority Records⁷

Authority files are compilations of authority records. Authority records can be constructed for names of persons, corporate bodies, works, expressions, and concepts, objects, events, and places. The purpose of authority records is to document authorized and variant forms of headings that may be provided as access points. The variant forms recorded in an authority

⁷ According to GARR

record enable a user who may know a variant form of an authorized heading to locate the bibliographic resources that he or she seeks.

If a person or a corporate body uses variant names or variant forms of names, one name or one form of name is chosen as the authorized heading, as prescribed by the appropriate standard cataloguing code. If there are variant titles for one work, one title is chosen as uniform title.

In order to provide control for improved precision of searches in the catalogue, an individual authority record for each entity includes all the names and variant forms of names for that entity as well as links to related entities and records.

7. Search capabilities

7.1. Access points

Access points should be the elements of bibliographic records that provide reliable retrieval of bibliographic resources and limit search results.

7.1.1. Names and titles should be searchable under:

7.1.1.1. full forms,

7.1.1.2. initial elements with the possibility of truncation,

7.1.1.3. key words,

7.1.1.4. phrases.

7.1.2. Indispensable access points are

7.1.2.1. the name of the creator, or of the first-named creator when more than one is named,

7.1.2.2. the title proper or supplied title (followed, optionally by year of publication)

7.1.2.3. the uniform title.

7.1.3. Further access points should be:

7.1.3.1. names of additional persons and corporate bodies that are entered into the bibliographic record according to a standard cataloguing code,

7.1.3.2. further titles like variant titles in the same language, and parallel titles,

7.1.3.3. standard numbers,

7.1.3.4 subject headings and subject terms.

Information from other areas of the bibliographic description could serve as optional access points.

7.2. Direct Search and Browsing an Index

The access points must be searchable both individually and in combination with other access points.

7.2.1 Direct Search

In a direct search (as opposed to browsing an index), it must be possible to search on several access points in combination by means of Boolean operators. It must also be possible to limit the search by using specific search terms.

7.2.2 Browse

The catalogue must be able to produce, for the various classes of access points, browsable lists of terms (in both up and down directions), so that the user can locate search terms whose exact spelling he or she does not know, and so that the user can view terms that occur in the neighbourhood of the terms he or she is seeking. Once a term has been found, it should be possible to move that term into a search field where it can be combined with Boolean operators, and there should be a direct link from the search term to the complete records in which the term occurs.

Future online catalogues may allow further capabilities.

8 Displays

For displays in lists and for filing in conventional catalogues and bibliographies, displays should be organized by the following elements:

8.1. for a work by one to three creators the name of the creator or first-named creator in established form, followed by the uniform title and/or the title proper;

8.2. for a work by more than three creators and for continuing resources the uniform title and/or the title proper;

8.3. In order to provide a quick overview of works by a specific person or corporate body, the catalogue should be able to produce a combined list, indexed by names, with associated titles

listed under each name. Titles could be followed by further elements like the general material designation⁸ and/or the publication year.

Alternative version of 8:

For displays in lists and for filing in conventional catalogues and bibliographies, displays should be organized by the following elements:

8.1. for a work by one personal author the name of the personal author in established form, followed by the uniform title and/or the title proper;

8.2. for all other works, generally the uniform title and/or the title proper;

8.3. in the case of a continuing resource whose title consists of a generic term that can be expanded by some formal attribute, the title proper followed by the name of the associated corporate body, in the form found in the item in hand (i.e. key-title).

8.4. In order to provide a quick overview of works by a specific person or corporate body, the catalogue should be able to produce a combined list, indexed by names, with associated titles listed under each name. Titles could be followed by further elements like the general material designation⁹ and/or the publication year.

⁸ Which might, in the future, be replaced by encoded terms that would identify manifestations (or types of manifestations) and potentially expressions as well.

⁹ Which might, in the future, be replaced by encoded terms that would identify manifestations (or types of manifestations) and potentially expressions as well.