



# Draft Statement of International Cataloguing Principles

## Overview

We are here today to give our response to the draft Statement of Principles developed last year by the Europeans and to make recommendations for a possible future international cataloguing code. Our goal is to work together towards a shared statement that we all feel best describes the underlying principles for all of our cataloguing codes.

Let me begin by describing the process to reach agreement on the draft text language.

Table of Sept. 28 text compiled from comments received to date (Nov. 17, 2003)

INSTRUCTIONS: Please "vote" and provide comments in the attached table to reflect your country's response to the Statement.

[Revision includes suggestions from Bülter (1 Sept), De Fankelbörje Phedro (27 Aug., 1 Sept, etc.), Gudrhihi et al. (29 Aug and 22 Sept), Boudaquet et al. (3 Sept), Hengel (22 Sept), Gómpel-Hénel (22 Sept), Ohnisch/Papou (28 Sept).]

Sept. 28, 2003 Text Compiled by Barbara Tillett from comments received to date	Comments from Barbara Tillett 28 Sept. 2003	Vote (Mark beside your opinion on the proposed text for each section of the text below)	Comments (Provide specific comments as you wish)
<p>Principle for Library Cataloguing and Other Bibliographic File Draft from approved by the IFLA Meeting of Experts on an International Cataloguing Code 1<sup>st</sup>, Frankfurt, Germany, 2002 Introduction:</p>	<p>Title page</p>	<p>Agree ■■■■■■■■■■ Disagree   (Please give the alternative wording as soon as you can consider it change the text from this column) Abstain</p>	<p>1 Agree: Russia (Norway, Denmark, Austria, Sweden (Japan), Sweden (Sri Lanka), Netherlands (Iran, Oregon), Greece (Czech Republic), UK, Lebanon, Slovenia, Switzerland, Czech Republic, Cyprus, Estonia (Yib), Portugal, Hungary, Italy (K.A.), AACR2 (Athens, Bremen), France (Brazil, Brazil, Le Bourf, Le Bourf), ISM, Finland, Youcan, Canada (Germany (France, Madrid, Sigis), Germany (Finland), Germany (Hijra), Germany (Mellon), Germany (Mellon), Germany (Paris), Germany (Sofia), Germany (Wichita), Laos, Belgium  Disagree: Italy (Greece) - Title: Principle for Library Cataloguing - Principle for subject bibliographic files, use, but the principle are mainly intended to inform library cataloguing Spain (Wikipedia "Principle for Cataloguing Code")  Abstain:</p>
<p>The Statement of Principles is intended to be used as the basis for the development of a Cataloguing Code 1<sup>st</sup> in 1961. In order to achieve this goal, it is necessary to have a common standard in cataloguing that can be used by all countries in the world. The purpose of this document is to provide a common standard for the development of a Cataloguing Code 1<sup>st</sup> in 1961. In order to achieve this goal, it is necessary to have a common standard in cataloguing that can be used by all countries in the world. The purpose of this document is to provide a common standard for the development of a Cataloguing Code 1<sup>st</sup> in 1961.</p>	<p>No change</p>	<p>Agree ■■■■■■■■■■ Disagree   (Please give the alternative wording as soon as you can consider it change the text from this column) Abstain</p>	<p>2 Agree: Russia (Norway, Denmark, Austria, Sweden (Japan), Sweden (Sri Lanka), Netherlands (Iran, Oregon), Greece (Czech Republic), UK, Lebanon, Slovenia, Switzerland, Czech Republic, Cyprus, Estonia (Yib), Portugal, Hungary, Italy (K.A.), Italy (Greece), AACR2 (Athens, Bremen), France (Brazil, Brazil, Le Bourf, Le Bourf), ISM, Spain, Finland, Youcan, Canada (Germany (France, Madrid, Sigis), Germany (Finland), Germany (Hijra), Germany (Mellon), Germany (Mellon), Germany (Paris), Germany (Sofia), Germany (Wichita), Laos, Belgium</p>

Following last year's Frankfurt meeting, the European participants went through a process of discussion and voting to reach consensus on the draft Statement of International Cataloguing Principles that you see in your packets. And we propose to follow a similar procedure to reach agreement in this part of the world.

We distributed final documents on the email listserv, using Microsoft Word (Do you all have Word?). In Word there is a tool for "tracking changes." We put the proposed text in one column on a table and left room for the vote in another column and space for comments in a final column. The page you see here is the first page of the summary that documents the responses from one such vote last November.

Each country representative voted and we encouraged each country to discuss a combined response or if there was differing opinion, individual participants could register their separate opinions. In nearly every situation we were able to agree on the wording, but in some few instances we had to go with a majority vote decision.

Results of December 2003 Response on Draft Statement of Principles  
 See also Clean Copy draft for approved text.  
 View a clean copy of the approved text at <http://www.ica.org/working>

Sept. 28 2003 Text Revised as of 7 Nov. 2003	Comments from 25 Feb to 11 Mar 7 Nov. 2003	ET Tillett comments 22 Nov. 2003	1st try of responses received to 22 November draft (by 8 December 2003)	Results of voting on E. Tillett's comments 12 December 2003
<p>Principles for Library Catalogue and Other Bibliographic File Draft from approved by the IFLA Meeting of Experts on an International Cataloguing Code, 18, Frankfurt, Germany, 2003 <i>Introduction</i></p>	<p>The title statement is a key idea. Succinct, simple for libraries and explain the reasons and how we hope it will also be used in other communities or even the broader range in the code.</p> <p>Principles for Library Catalogue</p> <p>Or Principles for Library Catalogue and Other Bibliographic File</p> <p>Or Principles for Cataloguing Code</p> <p>Or Succession of Cataloguing Principles</p> <p>Which do you prefer?</p>	<p>Still need decision</p> <p>The suggestion from Bruce decrease response from you all (I'm not by the way, so will check my list)</p> <p>Statement of International Cataloguing Principles Do you prefer this? Yes _____ No _____</p> <p>Or do you still prefer the code as currently used for libraries (before the new statement was prepared)? Principles for Library Catalogue and Other Bibliographic File Do you prefer this? Yes _____ No _____</p>	<p>Statement of International Cataloguing Principles Yes: AACR2 (Australia), Succession of Principles of "Succession of Principles" and Title description of "Cataloguing Principles" Czech Republic, Estonia, Finland, France, Germany (Frankfurt), Hungary, India, Italy, Latvia, Lithuania, Mexico, Netherlands, Norway, Poland, Portugal, Slovakia, Spain, Sweden, Taiwan</p> <p>Principles for Library Catalogue and Other Bibliographic File Yes: Austria, Germany (Munich), Papua, USA, Netherlands, Portugal</p> <p>No: AACR2, Czech Republic, Estonia, Finland, Greece, Italy (REA), Latvia, Spain</p> <p>Comments: United Kingdom (Prefers "Succession of Cataloguing Principles")</p>	<p>OK (majority agree)</p> <p>Succession of Principles Cataloguing Principles Draft approved by the IFLA Meeting of Experts on an International Cataloguing Code, 18, Frankfurt, Germany, 2003</p>
<p>The Succession of Principles – commonly known as the "Paris Principles" – was approved by the</p>	<p>All agree with Sept. 28 text.</p>	<p>OK</p>	<p>OK</p>	<p>OK</p>

Following the votes, I compiled the responses and re-issued the results with requests for further comments on suggested changes, until we reached final agreement – that occurred in December 2003. This screen shows the first page of the document that recorded the results as of December 12, 2003.

We also distributed a marked up and clean copy of the full statement which could help participants see the full text together rather than only in the table format. Everyone was encouraged to vote.

The draft statement will remain a draft until all of the worldwide regional meetings have been completed – by summer 2007. We also want it to go out for worldwide review more generally to get comments, and that process may occur before our final meeting in Africa in 2007, so we can incorporate and respond to the proposals from other communities.



## DRAFT Introduction

- Serve the convenience of the users
- Broaden Paris Principles
  - All types of materials (not just text)
  - Description
  - Access (not just choice and form of entry, but all access for bibliographic and authority records)
- Build on
  - Great cataloguing traditions of the world
  - FRBR and FRAR and future FR-Subjects

So let's go through the document together. During your Working Group discussions and tomorrow's session, we will work together on any changes you feel would be important to make to the principles themselves.

I know there are differences in terminology for European Spanish and Latin American Spanish that will need to be resolved, hopefully to share the same terms in the end, but for now, we will use the Latin American translation of the draft Principles to focus more on what the principles say (based on the English version) and to adjust that when we feel it is important to do so.

For today, let's take a look at the current draft Statement – starting with the Introductory page. I hope you have taken time to look at this document before you arrived here today, but let's go through it together to refresh your memory of what it covers.

Here are the main points in the Introduction (see slide)



## Scope

- Guide development of cataloguing codes
- Bibliographic and authority records
- Current library catalogues
  - Also can be applied to bibliographies and data files created by libraries, archives, museums, etc.
- Consistent approach to descriptive and subject cataloguing
  - “Descriptive” includes description and non-subject access



## Scope, continued

- Highest principle for constructing cataloguing codes =  
convenience of the users of the catalogue

We realize that it is not always possible to meet every user need, but we always want to keep the user as the primary focus of what we do.



## 2.1 Entities in Bibliographic Records

- Work
- Expression
- Manifestation
- Item

The statement then identifies the entities – these look familiar, because they are the basic bibliographic entities from FRBR:

Work

Expression

Manifestation

And

Item.



## 2.1 Entities in Bibliographic Records

- Bibliographic records typically reflect manifestations
  - Discussion: exact reproductions on same bibliographic record

The European group that looked at multipart structures, highly recommended that we follow the basic principle of creating a bibliographic record to reflect each manifestation. In that way future systems would be more easily able to combine records for user displays.

There was a study conducted for the Joint Steering Committee for AACR that looked at creating bibliographic records at the expression level and they found it was usually not practical. So we retain this principle to usually create a bibliographic record for each manifestation.

There was also discussion to record exact reproductions on the same bibliographic record, and I would like your opinions about that when we discuss this tomorrow.





## 2.2 Entities in Authority Records

- Controlled forms of names for
  - Persons
  - Families
  - Corporate bodies
  - Subjects
- Identifies the FRBR subject entities



## 2.3 Attributes

- Data elements to identify the entity in bibliographic and authority records



## 2.4 Relationships

- Identify bibliographically significant relationships through the catalogue



### 3. Functions of the Catalogue

- Enable a user to
  - Find
    - Locate a single resource
    - Locate sets of resources representing
      - All the resources belonging to the same work
      - All the resources belonging to the same expression
      - All the resources belonging to the same manifestation

Find bibliographic resources in a collection (real or virtual) as the result of a search using attributes or relationships of the resources



### 3. Functions of the Catalogue

- Locate sets of resources representing
  - All works & expressions of a given person, family, or corporate body
  - All resources on a given subject
  - All resources defined by other criteria (such as language, country of publication, publication date, physical format, etc.) usually as a secondary limiting of a search result
  
- Recognize, due to economic restraints, some library catalogues will lack records for components of works or individual works within works



### 3. Functions of the Catalogue

- Identify
- Select
- Acquire or obtain
- Navigate

Identify a bibliographic 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)

Select a bibliographic resource 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)

Acquire or obtain access to an item described (that is, to provide information that will enable the user to acquire an item through purchase, loan, etc. or to access an item electronically through an online connection to a remote source); or to acquire or obtain an authority record or bibliographic record.

Navigate a catalogue (that is, through the logical arrangement of bibliographic information and presentation of clear ways to move about, including presentation of relationships among works, expressions, manifestations, and items).



## 4. Bibliographic Description

- Description based on an internationally agreed standard
  - ISBDs for library community
- May be several levels of completeness, based on purpose of the catalogue or bibliographic file



## 5. Access Points

- 5.1 General
  - Formulate following principles
  - Controlled or uncontrolled
  - Controlled provide consistency for locating sets of resources
    - Normalize following a standard
    - Normalized forms (“authorized headings”) recorded in authority records with
      - Variant forms used as references





## 5.1.1 Choice of access points

- Bibliographic record
  - Titles
    - Controlled titles of works and expressions
    - Titles of manifestations (usually uncontrolled)
  - Names (controlled) of creators of works
    - Corporate bodies as creators
      - limited to expressions of the collective thought or activity of the corporate body, even if signed by a person in capacity of officer or servant of the corporate body, or
      - When the wording of the title, taken in conjunction with the nature of the work, clearly implies that the corporate body is collectively responsible for the content of the work



## 5.1.1 Choice of access points

- Bibliographic record, continued
    - Additionally, access points for controlled forms of names of other persons, families, corporate bodies, and subjects deemed important for
      - Finding
      - Identifying
      - Selecting
- the bibliographic resource described



## 5.1.1 Choice of access points

- Authority record
  - Authorized form of name for the entity
  - Variant forms of name
  - Related names



## 5.1.2 Authorized Headings

- Name that identifies the entity in a consistent manner, either as
  - Predominantly found on manifestations or
  - Well-accepted name suited to the users of the catalogue (e.g., “conventional name”)
- Further identifying characteristics added, if necessary, to distinguish the entity from others of the same name.



## 5.1.3 Language

- When name in several languages, prefer
  - Found on manifestations of expression in original language and script; but
  - If that is not language/script normally used in the catalogue, may base form found on manifestations or in references in one of the languages and scripts best suited to users of the catalogue
- Provide access in original language and scripts whenever possible
  - Either as authorized heading or reference
  - If transliterate, follow international standard for script conversion



## 5.2 Forms of Names for Persons

- Name consists of several words, entry word
  - Determined by conventions in person's country of citizenship, or
  - When not determinable, by agreed usage in country in which person generally resides, or
  - When not determinable, follow agreed usage in language generally used, as found in manifestations or general reference sources



## 5.3 Forms of Names for Families

- Name consists of several words, entry word
  - Determined by conventions in person's country most associated with that family, or
  - When not determinable, by agreed usage in language the family generally uses, as found in manifestations or general reference sources



## 5.4 Forms of Names for Corporate Bodies

- For jurisdictions, include currently used form of name of territory
  - In language and script best suited to needs of users of the catalogue
- If used different names in successive periods (not minor variations), consider each significant name change a new entity
  - Link corresponding authority records for each entity by see-also (earlier/later) references





## 5.5 Forms of Uniform Titles

- Title that can stand alone or
- Name/title combination or
- Title qualified by addition of identifying elements, e.g., corporate name, place, language, date, etc.



## 5.5 Forms of Uniform Titles

- Original title or
- Title most frequently found in manifestations of the work
- Under certain defined circumstances, prefer commonly used title in language and script of catalogue



## 6. Authority Records

- Control the authorized forms of names and references used as access points
  - Persons, families, corporate bodies, works, expressions, manifestations, items, concepts, objects, events, and places
- If variant names or variant forms of names
  - Choose one as authorized heading for each distinct persona
- If variant titles for one work
  - Choose one as uniform title



## 7. Foundations for Search Capabilities

- 7.1 Search and Retrieval – by access points
  - Reliable retrieval of bibliographic and authority records and associated bibliographic resources
  - Limit search results
- 7.1.1 Searching devices
  - Full forms of names
  - Keywords
  - Phrases
  - Truncation
  - Etc.



## 7.1.2 Indispensable Access Points

- Main attributes and relationships of each entity
  - For bibliographic records
    - Name of creator or first named creator when >1
    - Title proper or supplied title for manifestation
    - Year(s) of publication or issuance
    - Uniform title of work/expression
    - Subject headings, subject terms
    - Classification numbers
    - Standard numbers, identifiers, 'key titles' for described entity



## 7.1.2 Indispensable Access Points

- For authority records
  - Authorized name or title of entity
  - Variant forms of name or title for the entity



### 7.1.3 Additional Access Points

- Attributes from other areas of bibliographic description or authority record may serve as
  - optional access points or
  - filtering or limiting devices when large numbers of records are retrieved



## 7.1.3 Additional Access Points

- For bibliographic records include (not limited to):
  - Names of additional creators beyond the first
  - Names of performers or persons, families, or corporate bodies in other roles than creator
  - Parallel titles, caption titles, etc.
  - Uniform title of the series
  - Bibliographic record identifiers
  - Language
  - Country of publication
  - Physical medium





### 7.1.3 Additional Access Points

- For authority records include (not limited to):
  - Names or titles of related entities
  - Authority record identifiers

In our initial draft we also had a section 8 for displays, but that was removed after discussion about it being too oriented towards system applications. However, the participants agreed it would be useful for IFLA to issue guidance to system designers about the desirable features of displays that would meet the objectives of library catalogs as stated at the stated of these principles. There is also another IFLA Working Group that just completed a report on OPAC Displays and they will be reporting at the Buenos Aires IFLA meeting next week.

So now (if time for questions?)