STATEMENT OF INTERNATIONAL CATALOGUING PRINCIPLES

Introduction

The Statement of Principles – commonly known as the “Paris Principles” – was approved by the International Conference on Cataloguing Principles in 1961. Its goal of serving as a basis for international standardization in cataloguing has certainly been achieved: most of the cataloguing codes that were developed worldwide since that time 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 (Online Public Access Catalogues) around the world. Now, at the beginning of the 21st century, an effort has been made by IFLA to produce a new statement of principles that are applicable to online library catalogues and beyond. The first principle is to serve the convenience of catalogue users.

This statement replaces and broadens the scope of the Paris Principles from just textual works to all types of materials and from just the choice and form of entry to all aspects of bibliographic and authority data used in library catalogues. It includes not only principles and objectives (i.e., functions of the catalogue), but also guiding rules that should be included in cataloguing codes internationally, as well as guidance on search and retrieval capabilities.

This statement covers:

1. Scope
2. General Principles
3. Entities, Attributes, and Relationships
4. Objectives and Functions of the Catalogue
5. Bibliographic Description
6. Access Points
7. Foundations for Search Capabilities

This statement builds on the great cataloguing traditions of the world, and also on the conceptual model in the IFLA Functional Requirements for Bibliographic Records (FRBR).

It is hoped this statement will increase the international sharing of bibliographic and authority data and guide cataloguing rule makers in their efforts to develop an international cataloguing code.

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


The FRBR model will soon be extended through Functional Requirements for Authority Data (FRAD) and Functional Requirements for Subject Authority Data (FRSAD).
1. Scope

The principles stated here are intended to guide the development of cataloguing codes. They apply to bibliographic and authority data and current library catalogues. The principles also can be applied to bibliographies and other data files created by libraries, archives, museums, and other communities.

They aim to provide a consistent approach to descriptive and subject cataloguing of bibliographic resources of all kinds.

2. General Principles

Several principles direct the construction of cataloguing codes.\(^4\) The highest is the convenience of the user.\(^5\)

2.1. Convenience of the user. Decisions taken in the making of descriptions and controlled forms of names for access should be made with the user in mind.

2.2. Common usage. Vocabulary used in descriptions and access should be in accord with that of the majority of users.

2.3. Representation. Descriptions and controlled forms of names should be based on the way an entity describes itself.

2.4. Accuracy. The entity described should be faithfully portrayed.

2.5. Sufficiency and necessity. Only those data elements in descriptions and controlled forms of names for access that are required to fulfil user tasks and are essential to uniquely identify an entity should be included.

2.6. Significance. Data elements should be bibliographically significant.

2.7. Economy. When alternative ways exist to achieve a goal, preference should be given to the way that best furthers overall economy (i.e., the least cost or the simplest approach).

2.8. Consistency and standardization. Descriptions and construction of access points should be standardized as far as possible. This enables greater consistency, which in turn increases the ability to share bibliographic and authority data.

2.9. Integration. The descriptions for all types of materials and controlled forms of names of all types of entities should be based on a common set of rules, insofar as it is relevant.

The rules in a cataloguing code should be defensible and not arbitrary. It is recognized that these principles may contradict each other in specific situations and a defensible, practical solution should be taken.

3. Entities, Attributes, and Relationships

A cataloguing code should take into account the entities, attributes, and relationships as defined in conceptual models of the bibliographic universe.\(^6\)

3.1. Entities

The following entities may be represented by bibliographic and authority data:

- Work
- Expression
- Manifestation

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\(^4\) Based on bibliographic literature, especially that of Ranganathan and Leibniz as described in Svenonius, Elaine. *The Intellectual Foundation of Information Organization*. Cambridge, Mass.: MIT Press, 2000, p. 68. With regard to subject thesauri, there are additional principles that apply but are not yet included in this statement.

\(^5\) Principles 2.2 through 2.9 are in no particular order.

\(^6\) IFLA’s conceptual models are FRBR, FRAD, and FRSAD.
3.2. Attributes
The attributes that identify each entity should be used as data elements.

3.3. Relationships
Bibliographically significant relationships among the entities should be identified.

4. Objectives and Functions of the Catalogue
The catalogue should be an effective and efficient instrument that enables a user:

4.1. to find bibliographic resources in a collection as the result of a search using attributes or relationships of the resources:
   4.1.1. to find a single resource
   4.1.2. to find sets of resources representing
   - all resources belonging to the same work
   - all resources embodying the same expression
   - all resources exemplifying the same manifestation
   - all resources associated with a given person, family, or corporate body
   - all resources on a given subject
   - all resources defined by other criteria (language, place of publication, publication date, content type, carrier type, etc.), usually as a secondary limiting of a search result;

4.2. to identify a bibliographic resource or agent (that is, to confirm that the described entity corresponds to the entity sought or to distinguish between two or more entities with similar characteristics);

4.3. to 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 medium, content, carrier, etc., or to reject a resource as being inappropriate to the user's needs);

4.4. to 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 access, acquire, or obtain authority data or bibliographic data;

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7 Work, expression, manifestation, and item are the Group 1 entities described in the FRBR model.
8 Person, family, and corporate body are the Group 2 entities described in the FRBR and FRAD models.
9 Concept, object, event, and place are the Group 3 entities described in the FRBR model. Any of the entities may be involved in a subject relationship with a work.
4.5. **to navigate** within a catalogue and beyond (that is, through the logical arrangement of bibliographic and authority data and presentation of clear ways to move about, including presentation of relationships among works, expressions, manifestations, items, persons, families, corporate bodies, concepts, objects, events, and places).

5. **Bibliographic Description**

5.1. In general, a separate bibliographic description should be created for each manifestation.

5.2. A bibliographic description typically should be based on the item as representative of the manifestation and may include attributes that pertain to the embodied work(s) and expression(s).

5.3. Descriptive data should be based on an internationally agreed standard.\(^\text{11}\)

5.4. Descriptions may be at several levels of completeness, depending on the purpose of the catalogue or bibliographic file. Information about the level of completeness should be conveyed to the user.

6. **Access Points**

6.1. **General**

Access points for retrieving bibliographic and authority data must be formulated following the general principles (see 2. **General Principles**). They may be controlled or uncontrolled.

6.1.1. Controlled access points should be provided for the authorized and variant forms of names for such entities as persons, families, corporate bodies, works, expressions, manifestations, items, concepts, objects, events, and places. Controlled access points provide the consistency needed for collocating the bibliographic records for sets of resources.

6.1.1.1. Authority records should be constructed to control the authorized forms of names, variant forms of name, and identifiers used as access points.

6.1.2. Uncontrolled access points may be provided as bibliographic data for names, titles (e.g., the title proper as found on a manifestation), codes, keywords, etc., not controlled in authority records.

6.2. **Choice of Access Points**

6.2.1. Include as access points to a **bibliographic record** the authorized access points for works and expressions (controlled) embodied in the resource, the title of the manifestation (usually uncontrolled), and the authorized access points for the creators of works.

   6.2.1.1. Corporate body as creator: A corporate body should be considered as the creator of those works that express the collective thought or activity of the corporate body, or when the wording of the title, taken in conjunction with the

\(^{11}\) For the library community, the internationally agreed standard is the *International Standard Bibliographic Description.*
nature of the work clearly implies that the corporate body is collectively responsible for the content of the work. This applies even if a person signs the work in the capacity of an officer or servant of the corporate body.

6.2.2. Additionally, access points should be provided to bibliographic records for the authorized access points for persons, families, corporate bodies, and subjects deemed important for finding and identifying the bibliographic resource being described.

6.2.3. Include the authorized form of name for the entity, as well as the variant forms of name, as access points to an authority record.

6.2.4. Additional access may be made through names of related entities.

6.3. Authorized Access Points

The authorized access point for the name of an entity should be recorded in an authority record along with identifiers for the entity and variant forms of name. An authorized access point may be needed as a default display form.

6.3.1. Authorized access points must be constructed following a standard.

6.3.2. Language and Script of Authorized Access Points

6.3.2.1. When names have been expressed in several languages and/or scripts, preference for an authorized access point for the name should be given to information found on manifestations of the work expressed in the original language and script;

6.3.2.1.1. but if the original language or script is not normally used in the catalogue, the authorized access point may be based on forms found on manifestations or in reference sources in one of the languages or scripts best suited to the users of the catalogue.

6.3.2.1.2. Access should be provided in the original language and script whenever possible, through a controlled access point, either the authorized form of name or a variant form of name.

6.3.2.2. If transliterations are desirable, an international standard for script conversion should be followed.

6.3.3. Choice of Authorized Access Point

The name preferred as the authorized access point for an entity should be based on the name that identifies the entity in a consistent manner, either as most frequently found on manifestations or a well-accepted name suited to the users of the catalogue (e.g., ‘conventional name’) as found in reference sources.

6.3.3.1. Choice of Authorized Access Point for Person, Family, Corporate Body

If a person, family, or a corporate body uses variant names or variant forms of names, one name or one form of name should be chosen as the basis for the authorized access point for each distinct identity.
6.3.3.1. When variant forms of the name are found in manifestations and/or reference sources, and this variation is not based on different presentations of the same name (e.g., full and brief forms), preference should be given to

6.3.3.1.1. a commonly known (or ‘conventional’) name rather than the official name, where this is indicated; or

6.3.3.1.2. the official name, where there is no indication of a commonly known or conventional name.

6.3.3.2. If a corporate body has used in successive periods different names that cannot be regarded as minor variations of one name, each entity identified by a significant name change should be considered a new entity. The corresponding authority data for each entity should be linked, usually by relating the earlier and later authorized forms of names for the corporate body.

6.3.3.2. Choice of Authorized Access Point for Work and Expression
When a work has multiple titles, one title should be preferred as the basis for the authorized access point for the work/expression.

6.3.4. Form of Name for Authorized Access Points

6.3.4.1. Form of Name for Persons
When the name of a person consists of several words, the choice of first word for the authorized access point should follow conventions of the country and language most associated with that person, as found in manifestations or reference sources.

6.3.4.2. Form of Name for Families
When the name of a family consists of several words, the choice of first word for the authorized access point should follow conventions of the country and language most associated with that family, as found in manifestations or reference sources.

6.3.4.3. Form of Name for Corporate Bodies
For the authorized access point for a corporate body, the name should be given in direct order, as found in manifestations or reference sources, except

6.3.4.3.1. when the corporate body is part of a jurisdiction or territorial authority, the authorized access point should include the currently used form of the name of the territory concerned in the language and script best suited to the needs of the users of the catalogue;

6.3.4.3.2. when the corporate name implies subordination, or subordinate function, or is insufficient to identify the subordinate body, the authorized access point should begin with the name of the superior body.

6.3.4.4. Form of Name for Works/Expressions
An authorized access point for a work, expression, manifestation, or item may either be a title that can stand alone or it may be a title combined with the authorized access point for the creator(s) of the work.
6.3.4.5. Distinguishing among Names
If necessary, to distinguish an entity from others of the same name, further identifying characteristics should be included as part of the authorized access point for an entity. If desirable, the same identifying characteristics may be included as part of the variant forms of name.

6.4. Variant Names and Variant Forms of Name
Whatever name is chosen for the authorized access point, the variant names and variant forms of name should also be included for controlled access.

7. Foundations for Search Capabilities
7.1. Searching
Access points are the elements of bibliographic and authority records that 1) provide reliable retrieval of bibliographic and authority records and their associated bibliographic resources and 2) limit search results.

7.1.1. Searching Devices
Names, titles, and subjects should be searchable and retrievable by means of any device available in the given library catalogue or bibliographic file (by full forms of names, by key words, by phrases, by truncation, by identifiers, etc.).

7.1.2. Essential Access Points
Essential access points are those based on the main attributes and relationships of each entity in the bibliographic or authority record.

7.1.2.1. Essential access points in bibliographic records include:
- authorized access point for the name of the creator or first named creator of the work when more than one is named
- authorized access point for the work/expression (this may include the authorized access point for the creator)
- title proper or supplied title for the manifestation
- year(s) of publication or issuance of the manifestation
- controlled subject terms and/or classification numbers for the work
- standard numbers, identifiers, and ‘key titles’ for the described entity.

7.1.2.2. Essential access points in authority records include:
- authorized name or title of the entity
- identifiers for the entity
- variant names and variant forms of name or title for the entity.

7.1.3. Additional Access Points
Attributes from other areas of the bibliographic description or the authority record may serve as optional access points or as filtering or limiting devices for a search.

7.1.3.1. Such attributes in bibliographic records include, but are not limited to:
- names of creators beyond the first
- names of persons, families, or corporate bodies in roles other than creator (e.g., performers)
- variant titles (e.g., parallel titles, caption titles)
- authorized access point for the series
- bibliographic record identifiers
- language of the expression embodied in the manifestation
place of publication
ccontent type
carrier type.

7.1.3.2. Such attributes in authority records include, but are not limited to:

names or titles of related entities

authority record identifiers.

7.2. Retrieval

When searching retrieves several records with the same access point, records should be displayed in some logical order convenient to the catalogue user, preferably according to a standard relevant to the language and script of the access point.
ICP GLOSSARY

This Glossary includes terms found in the Statement of International Cataloguing Principles (ICP) that are being used in a specific way (not simply the usual dictionary definition). At the end are terms used in the Paris Principles or other early cataloguing rules that the IME ICC participants wished to note were no longer being used in ICP.

BT = Broader term; NT = Narrower term; RT = Related term

Access point – A name, term, code, etc., through which bibliographic or authority data is searched and identified.
[Source: GARR modified per FRAD and IME ICC]
See also Additional access point [NT], Authorized access point [NT], Controlled access point [NT], Essential access point [NT], Name [RT], Uncontrolled access point [NT], Variant form of name [NT]

Additional access point – An access point that may be used in addition to the essential access points to enhance the retrieval of bibliographic or authority data.
[Source: IME ICC]
See also Access point [BT], Essential access point [RT]

Agent – A person (author, publisher, sculptor, editor, director, composer, etc.) or a group (family, organization, corporation, library, orchestra, country, federation, etc.) or an automaton (weather recording device, software translation program, etc.) that has a role in the lifecycle of a resource.
[Source: DCMI Agents Working Group, working definition, modified]
See also Creator [NT]

Attribute – Characteristic of an entity. An attribute can be inherent in an entity or externally imputed.
[Source: FRBR]

Authority record – A set of data elements that identifies an entity and can be used to facilitate access to the authorized access point for that entity or the display of any access point for the entity.
[Source: IME ICC]

Authorized access point – The preferred controlled access point for an entity, established and constructed according to rules or standards.
[Source: IME ICC]
See also Access point [BT], Authorized form of name [RT], Controlled access point [BT], Preferred name [RT], Variant form of name [RT]

Authorized form of name – The form of name chosen as the authorized access point for an entity.
See also Authorized access point [RT], Conventional name [RT], Name [BT], Preferred name [RT], Variant form of name [RT]

Bibliographic description – A set of bibliographic data identifying a bibliographic resource.
[Source: ISBD modified]
See also Descriptive cataloguing [RT]
Bibliographic record – A set of data elements that describes and provides access to a bibliographic resource and identifies related works and expressions.
[Source: IME ICC]

Bibliographic resource – An entity within the realm of library and similar collections consisting of the products of intellectual or artistic endeavour. Bibliographic resources in the FRBR model are the Group 1 entities: work, expression, manifestation, and item.
[Source: IME ICC]

Bibliographic universe – The realm related to the collections of libraries, archives, museums, and other information communities.
[Source: IME ICC]

Bibliographically significant – A quality of an entity or attribute or relationship that has special meaning or value in the context of bibliographic resources.
[Source: IME ICC]

Carrier type – A designation that reflects the format of the storage medium and housing of a carrier in combination with the type of intermediation device required to view, play, run, etc., the content of a resource. Carrier type reflects attributes of a manifestation.
[Source: modified from Jan. 2008 Glossary for RDA]

Collection – 1. A real or virtual set of two or more works or parts of works combined or issued together. 2. A real or virtual set of bibliographic resources held or created by a given institution.
[Source: IME ICC]

Concept – An abstract notion or idea.
[Source: FRAD (associated with subjects), FRBR]

Content type – A designation that reflects the fundamental form of communication in which the content is expressed and the human sense through which it is intended to be perceived. Content type reflects attributes of both work and expression.
[Source: modified from Jan. 2008 Glossary for RDA]

Controlled access point – An access point recorded in an authority record.
[Source: GARR modified]

Controlled access points include authorized forms of names as well as those designated as variant forms. They may be:
- based on personal, family, and corporate names,
- based on names (i.e., titles) for works, expressions, manifestations, and items,
- a combination of two names, as in the case of a name/title access point representing a work that combines the name of the creator with the title of the work,
- based on the terms for events, objects, concepts, and places,
- based on identifiers, such as standard numbers, classification indices, etc.
Other elements (such as dates) may be added to the name per se for the purpose of distinguishing between entities with identical or similar names.
[Source: FRAD – goes on to note the focus of the model is on names and terms controlled through an authority file.]

See also Access point [BT], Authorized access point [NT], Name [RT], Uncontrolled access point [RT], Variant form of name [NT]
Conventional name – A name, other than the official name, by which a corporate body, place, or thing has come to be known.

[Source: modified from AACR2 Revision 2002, Glossary]
See also Authorized form of name [RT], Name [BT], Variant form of name [RT]

Corporate body – An organisation or group of persons and/or organisations that is identified by a particular name and that acts, or may act, as a unit.

[Source: modified from FRAD, FRBR]

Creator – A person, family, or corporate body responsible for the intellectual or artistic content of a work.

[Source: IME ICC]
See also Agent [BT]

Descriptive cataloguing – The part of cataloguing that provides both descriptive data and non-subject access points.

[Source: IME ICC]
See also Bibliographic description [RT], Subject cataloguing [RT]

Entity – Something that has a unitary and self-contained character; something that has independent or separate existence; an abstraction, ideal concept, object of thought, or transcendental object.

[Source: Webster’s 3rd]
Examples of types of entities in FRBR and FRAD include the products of intellectual or artistic endeavour (work, expression, manifestation and item); the agents (i.e., persons, families, corporate bodies) responsible for creating that intellectual or artistic content, for producing and disseminating the content in physical form, or for maintaining the custody of the product; or the subject of a work (work, expression, manifestation, item, person, family, corporate body, concept, object, event, place).

[Source: IME ICC]

Essential access point – An access point based on a main attribute or relationship of an entity in a bibliographic or authority record that ensures retrieval and identification of that record.

[Source: IME ICC]
See also Access point [BT], Additional access point [RT]

Event – An action or occurrence.

[Source: FRAD (those not acting as corporate bodies are considered subjects), FRBR]

Expression – The intellectual or artistic realisation of a work.

[Source: FRAD, FRBR]

Family – Two or more persons related by birth, marriage, adoption, or similar legal status, or otherwise presenting themselves as a family.

[Source: FRAD, as modified by IME ICC]

Identifier – A number, code, word, phrase, logo, device, etc., that is associated with an entity, and serves to differentiate that entity from other entities within the domain in which the identifier is assigned.

[Source: FRAD]
**Item** – A single exemplar of a manifestation.
[Source: FRAD, FRBR]

**Key title** – The unique name assigned to a continuing resource by the ISSN Network and inseparably linked with its ISSN. The key title may be the same as the title proper; or, in order to achieve uniqueness, it can be constructed by the addition of identifying and/or qualifying elements, such as name of issuing body, place of publication, edition statement.
[Source: ISBD]

**Manifestation** – The physical embodiment of an expression of a work.
[Source: FRAD, FRBR]
A manifestation may embody a collection of works, an individual work, or a component part of a work. Manifestations may appear in one or more physical units.
[Source: IME ICC]

**Name** – A character, word, or group of words and/or characters by which an entity is known. Includes the words/characters designating a person, family, corporate body; includes the terms by which concepts, objects, events, or places are known; includes the title given to a work, expression, manifestation, or item. Used as the basis for an access point.
[Source: FRBR as modified in FRAD]

*See also* Access point [RT], Authorized form of name [NT], Controlled access point [RT], Conventional name [NT], Preferred name [NT], Variant form of name [NT]

**Normalized access point**
*See Authorized access point*

**Object** – A material thing.
[Source: FRBR]

**Person** – An individual or a single identity established or adopted by an individual or group.
[Source: FRBR as modified in FRAD, modified by IME ICC]

**Place** – A location.
[Source: FRBR]

**Preferred name** – The name for an entity chosen according to rules or standards, used as the basis for constructing an authorized access point for the entity.
*See also* Authorized access point [RT], Authorized form of name [RT], Conventional name [RT], Name [BT]
[Source: IME ICC]

**Relationship** – A specific connection between entities or their instances.
[Source: based on FRBR]

**Subject cataloguing** – The part of cataloguing that provides controlled subject terms and/or classification numbers.
[Source: IME ICC]
*See also* Descriptive cataloguing [RT]
Type of carrier
  See Carrier type

Type of content
  See Content type

Uncontrolled access point – An access point that is not controlled by an authority record.
  [Source: IME ICC]
  See also Access point [BT], Controlled access point [RT]

Variant form of name – A form of name not chosen as the authorized access point for an entity. It may be used to access the authority record for the entity or be presented as a link to the authorized access point.
  [Source: IME ICC]
  See also Access point [BT], Authorized access point [RT], Authorized form of name [RT], Controlled access point [BT], Conventional name [RT], Name [BT]

Work – A distinct intellectual or artistic creation (i.e., the intellectual or artistic content).
  [Source FRAD, FRBR, as modified by IME ICC]

Sources


IME ICC – IFLA Meeting of Experts on an International Cataloguing Code (1st-5th : 2003-2007), recommendations from the participants


Terms no longer used

Bibliographical unit See Manifestation

Heading See Authorized access point, Controlled access point

Reference See Variant form of name

Uniform title See Authorized access point, Authorized form of name, Name
IME ICC Resolution
2008

The IME ICC Participants hereby resolve to

- make editorial corrections where necessary to the texts adopted by the IME ICC participants

- distribute the text to all relevant rule making bodies and IFLA organizations as well as to the professional press

- edit and publish the ICP statement and Glossary and make them available freely on the Web

- ensure continuation of the work to make adjustments once FRAD and FRSAR are completed and as models and schema for cataloging data evolve, and

- preserve the IME ICC documentation and share information about the process and results of IME ICC.

We further recommend that the IFLA Cataloguing Section be charged to maintain the texts and to conduct a review of them at approximately 5 year intervals to update as needed in consultation with the larger information community.