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[1]. 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 adapt the Paris Principles to objectives that are applicable to online library catalogues and beyond. The first of these objectives is to serve the convenience of the users of the catalogue.

These new principles replace and broaden 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.

The following draft principles cover:
    0. General Objectives
    1. Scope
    2. Entities, Attributes, and Relationships
    3. Functions of the Catalogue
    4. Bibliographic Description
    5. Access Points
    6. Authority Records
    7. Foundations for Search Capabilities

These new principles build on the great cataloguing traditions of the world,[2] and also on the conceptual models of the IFLA documents *Functional Requirements for Bibliographic Records* (FRBR) and *Functional Requirements for Authority Data* (FRAD), which extend the Paris Principles to the realm of subject cataloguing.

It is hoped these principles 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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[1] International Conference on Cataloguing Principles (Paris : 1961). *Report*. – London : International Federation of Library Associations, 1963, p. 91-96. Also available in: *Library Resources and Technical Services*, v.6 (1962), p. 162-167; and *Statement of principles adopted at the International Conference on Cataloguing Principles, Paris, October, 1961*. – Annotated edition / with commentary and examples by Eva Verona . – London : IFLA Committee on Cataloguing, 1971.

[2] Cutter, Charles A.: *Rules for a dictionary catalog*. 4th ed., rewritten. Washington, D.C.: Government Printing office. 1904,
Ranganathan, S.R.: *Heading and canons*. Madras [India]: S. Viswanathan, 1955, and
Lubetzky, Seymour. *Principles of Cataloging. Final Report. Phase I: Descriptive Cataloging*. Los Angeles, Calif.: University of California, Institute of Library Research, 1969.

0. General Objectives

There are several objectives that direct the construction of cataloguing codes[3]. The highest is the convenience of the user.

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

0.2. *Common usage.* Normalized vocabulary used in descriptions and access should be in accord with that of the majority of users.

0.3. *Representation.* Entities in descriptions and controlled forms of names for access should be based on the way an entity describes itself.

0.4. *Accuracy.* The entity described should be faithfully portrayed.

0.5. *Sufficiency and necessit*y. Only those elements in descriptions and controlled forms of names for access that are required to fulfill user tasks and are essential to uniquely identify an entity should be included.

0.6. *Significance.* Elements should be bibliographically significant.

0.7. *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).

0.8. *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.

0.9. *Integration.* The descriptions for all types of materials and controlled forms of names of entities should be based on a common set of rules, as far as possible.

The rules in a cataloguing code should be *defensible* and *not arbitrary*.

It is recognized that at times these objectives may contradict each other and a defensible, practical solution will be taken.

[With regard to subject thesauri, there are other directives that apply but are not yet included in this statement.]

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 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.

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

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[3] Based on bibliographic literature, especially that of Ranganathan and Leibniz as described in Svenonius, E. *The Intellectual Foundation of Information Organization*. Cambridge, Mass.: MIT Press, 2000, p. 68.

2. Entities, Attributes, and Relationships

2.1. Entities in Bibliographic Records
For the creation of bibliographic records the following entities[4], covering products of intellectual or artistic endeavour, are to be considered:

> Work
> Expression
> Manifestation
> Item.

2.2. Entities in Authority Records
Authority records should document controlled forms of names for persons, families, corporate bodies[5], and subjects. Entities that serve as the subjects of works include:
> Work
> Expression
> Manifestation
> Item
> Person
> Family
> Corporate Body
> Concept
> Object
> Event
> Place.[6]

2.3. Attributes
The attributes that identify each entity should be used as data elements in bibliographic and authority records.

2.4. Relationships
Bibliographically significant relationships among the entities should be identified through the catalogue.

3. Functions of the Catalogue

The functions of the catalogue are to enable a user[7]:

3.1. to **find** bibliographic resources in a collection as the result of a search using attributes or relationships of the resources:
> **3.1.1.** to **locate** a single resource

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[4] Work, expression, manifestation, and item are the Group 1 entities described in the FRBR/FRAD model.
[5] Persons, families, and corporate bodies are the Group 2 entities described in the FRBR/FRAD model.
[6] Concept, object, event, and place are the Group 3 entities described in the FRBR/FRAD model. *[Note: Additional entities may be identified in the future, such as FRAD's Trademarks, Identifiers, etc. (to update as needed when the FRAD report is 'final.')]*
[7] 3.1-3.5 are based on: Svenonius, Elaine. *The Intellectual Foundation of Information Organization*. Cambridge, MA: MIT Press, 2000. ISBN 0-262-19433-3

3.1.2. to **locate** 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 works and 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, content type, carrier type, etc.)
        usually as a secondary limiting of a search result.[8]

3.2. to **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);

3.3. 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);

3.4. 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 acquire or obtain an authority record or bibliographic record.

3.5. to **navigate** within a catalogue and beyond (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

4.1. A bibliographic description typically is based on the item as representative of the manifestation and may include attributes inherited from the contained work(s) and expression(s).

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

4.3. The descriptive portion of the bibliographic record should be based on an internationally agreed standard.[9]

4.4. Descriptions may be at several levels of completeness, based on the purpose of the catalogue or bibliographic file.

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[8] It is recognized that, due to economic restraints and cataloguing practices, some library catalogues will lack bibliographic records for components of works or individual works within works.
[9] For the library community that currently is the *International Standard Bibliographic Description*.

5. Access Points

5.1. General
Access points for retrieving bibliographic and authority records must be formulated following the general principles (see 1. Scope). They may be controlled or uncontrolled.

Uncontrolled access points may include such things as the title proper as found on a manifestation or keywords added to or found anywhere in a bibliographic record.

Controlled access points include the authorized and variant forms of names and subjects given to entities in order to provide access to bibliographic and authority records. Controlled access points provide the consistency needed for locating sets of resources. Authorized access points must be constructed following a standard. These authorized access points should be recorded in authority records along with identifiers for the entity and variant forms of name.

5.2. Choice of Access Points
5.2.1. Include as access points to a **bibliographic record** the titles of works and expressions (controlled) and titles of manifestations (usually uncontrolled) and the controlled forms of names of the creators of works.

In the case of corporate bodies as creators, access by corporate name is limited to works that are by their nature necessarily the expression of the collective thought or activity of the corporate body, even if signed by a person in the capacity of an 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.

Additionally provide access points to bibliographic records for the controlled forms of names of other persons, families, corporate bodies, and subjects deemed to be important for finding, identifying, and selecting the bibliographic resource being described.

5.2.2. Include as access points to an **authority record**, the authorized form of name for the entity, as well as the variant forms of name. Additional access may be made through related names.

6. Authority Records
Authority records should be constructed to control the authorized forms of names and variant forms of name used as access points for such entities as persons, families, corporate bodies, works, expressions, manifestations, items, concepts, objects, events, and places.

6.1. Choice of Names for Authorized Access Points
The authorized access point for an entity should be based on the preferred form of name that identifies the entity in a consistent manner, either as predominantly found on manifestations or a well-accepted name suited to the users of the catalogue (e.g., 'conventional name').

6.1.1. 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 authorized access point for each distinct identity.

6.1.1.1. 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
6.1.1.1.1. to a commonly known (or conventional) name rather than the official name, where this is indicated; or
6.1.1.1.2. to the official name, where there is no indication of a commonly known or conventional name.

6.1.1.2. If the corporate body has used in successive periods different names that 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 relating the earlier and later authorized forms of names for the corporate body.

6.1.2. If there are variant titles for one work, one title should be chosen as the basis for the preferred title of the work/expression.

6.1.3. The variant forms of names and titles not selected as the authorized access point for an entity should be included in the authority record for that entity to be used as variant form access points or alternate display forms.

6.2. Language of Authorized Access Point
When names have been expressed in several languages, preference for an authorized access point should be given to information found on manifestations of the expression in the original language and script; but if the original language and script is one 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 and scripts best suited to the users of the catalogue.

Access should be provided in the original language and script whenever possible, through either the authorized access point or a variant form access point. If transliterations are desirable, an international standard for script conversion should be followed.

6.3. Forms of Names for Authorized Access Points
When forming an authorized access point, further identifying characteristics should be added to the preferred name for an entity and its variants, if necessary, to distinguish the entity from others of the same name.

6.3.1. Forms of Names for Persons
When the name of a person consists of several words, the choice of entry 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.

6.3.2. Forms of Names for Families

When the name of a family consists of several words, the choice of entry 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.

6.3.3. Forms of Names 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

6.3.3.1. when the corporate body is part of a jurisdiction or territorial authority, the authorized access point should begin with or 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;

6.3.3.2. 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. Forms of Names 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 name/title combination with the name of the creator of the work. The title element may be qualified by the addition of identifying elements, such as a corporate name, a place, language, date, etc., to distinguish it from other names.

6.3.4.1. The preferred title for the work/expression should be (in this order of preference):

6.3.4.1.1. the title most frequently found in manifestations of the work in its original language,

6.3.4.1.2. the title as found in reference sources, or

6.3.4.1.3. the title most frequently found on manifestations.

6.3.4.2. Whatever title is chosen for the authorized access point, the variant titles should also be included for access.

7. Foundations for Search Capabilities

7.1. Search and Retrieval

Access points are the elements of bibliographic 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, for example by full forms of names, by key words, by phrases, by truncation, 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:
   the name of the creator or first named creator when more than one is named
   the preferred title for the work/expression
   the title proper or supplied title for the manifestation
   the year (s) of publication or issuance
   subject headings, subject terms
   classification numbers
   standard numbers, identifiers, and 'key titles' for the described entity.

7.1.2.2. Essential access points in **authority records** include:
   the authorized name or title of the entity
   identifiers for the entity
   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 additional creators beyond the first
   names of performers or persons, families, or corporate bodies in other roles
         than creator
   parallel titles, caption titles, etc.
   authorized access point for the series
   bibliographic record identifiers
   language
   country of publication
   content 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.

GLOSSARY

This Glossary includes terms found in the Statement of International Cataloguing Principles that are being used in a specific way (not simply the usual dictionary definition). BT = Broader term; NT = Narrower term; RT = Related term

Access point – A name, term, code, etc., through which a bibliographic or authority record or reference is searched and identified.
> [Source: GARR modified per FRAD and IME ICC]

See also **Authorized access point [NT], Controlled access point [NT], Name [RT], Uncontrolled access point [NT], Variant form access point [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 records.
> [Source: IME ICC]

See also **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 **Author [NT], Creator [NT]**

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

Author – A creator responsible for the intellectual or artistic content of a textual work.
> [Source: IME ICC]

See also **Agent [BT], Creator [BT]**

Authority record – A record that identifies an entity (agent, work/expression, or subject) 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], Controlled access point [BT]**

Authorized access point for the work/expression – The preferred form of name for a work/expression, with or without the name of the creator(s) or other identifying elements, through which its manifestations are linked/grouped together for searching/access purposes.
> [Source: variation of GARR (uniform title)]

See also **Name of the work/expression [BT]**

Bibliographic description – A set of bibliographic data identifying a bibliographic resource.
> [Source: ISBD]

Bibliographic record – The set of data elements that describe and provide access to manifestations and identify related works and expressions.
> [Source: IME ICC]

Bibliographic resource – A manifestation or item.
> [Source: IME ICC]

Bibliographical unit – No longer used in the Principles. *See* **Manifestation**

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.
> [Source: modified from Jan. 2008 Glossary for RDA]

Collection – 1. A real or virtual set of two or more 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 to control the different names, forms of names, terms, or codes for the same entity and to clearly identify it.
> [Source: GARR modified]

Controlled access points include authorized or preferred forms 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,
- consisting of 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 preferred title of the work,
- based on the terms for events, objects, concepts, and places,
- based on identifiers such as standard numbers, classification indicia, etc.

Other elements may be added to the name *per se* (e.g., dates) 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 access point [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]

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], Author [NT]**

Descriptive cataloguing – The part of cataloguing that provides both descriptive data and non-subject access points.
[Source: IME ICC]
See also **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 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 (person, family, corporate body); or the subject of intellectual or artistic expression (work, expression, manifestation, item, person, family, corporate body, concept, object, event, place).
[Source: IME ICC]

Essential access point – An access point based on the main attributes and relationships of each entity in bibliographic or authority records, which ensures retrieval and identification of those records.
[Source: IME ICC]
See also **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 present themselves as a family.
[Source: FRAD, as modified by IME ICC]

Heading – No longer used in the Principles. *See* **Authorized access point, Controlled access point**

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, etc. (see ISSN Manual).
[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 or group of words and/or characters by which an entity is known; includes the words/characters designating a person, family, corporate body; the terms by which concepts, objects, events, or places are known; as well as 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 **Authorized access point [RT]**, **Controlled access point [RT], Variant form access point [RT]**

Name of the work/expression –A title of a work/expression, with or without the name of the creator(s), with or without identifying elements added, recorded to control variant titles of different manifestations of he same work/expression.
[Source: variation of GARR (uniform title)]
See also **Authorized access point for the work/expression [NT]**

Normalized …
See **Authorized …**

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]

Reference – No longer used in the Principles. *See* **Variant form access point**

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

Subject cataloguing – The part of cataloguing that provides subject heading/terms and/or classification.
[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]**

Uniform title – No longer used in the Principles. *See* **Authorized access point for the work/expression**

Variant form access point – A form of name not chosen as the authorized access point for an entity that may be used to access the authority record for the entity or be presented as a reference or link to the authorized access point.
> [Source: IME ICC]

See also **Access point [RT], Controlled access point [BT], Name [RT]**

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

Sources

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FRAD – *Functional requirements for authority data: a conceptual model – draft 2006-12-20.* (Working definitions, report is not yet final)

FRBR – *Functional requirements for bibliographic records: Final report.* – Munich : Saur, 1998. (IFLA UBCIM publications new series; v. 19)

GARR – *Guidelines for authority records and references.* 2nd ed., rev. – Munich : Saur, 2001. (IFLA UBCIM publications new series; v. 23)

IME ICC – IFLA Meeting of Experts on an International Cataloguing Code recommendations from the participants, 2001-2008.

ISBD – *International standard bibliographic description : consolidated edition.* – Munich : Saur, 2007. (IFLA Series on Bibliographic Control, v. 31)

RDA: *Resource description and access.* Glossary draft. 5JSC/Chair/11/Rev (Jan. 2008, Table 1) Available online at: http://www.collectionscanada.gc.ca/jsc/rda.html#drafts

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