International Federation of
Library Associations and Institutions

Statement of International Cataloguing Principles (ICP)

by IFLA Cataloguing Section and IFLA Meetings of Experts on an International Cataloguing Code

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0 Introduction

The original 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 have followed the Principles strictly, or at least to a high degree.

More than fifty years later, having a common set of international cataloguing principles is still necessary as cataloguers and users around the world use online catalogues as search and discovery systems. At the beginning of the 21st century, IFLA produced a new statement of principles[2] (published in 2009) applicable to online library catalogues and beyond. The current version has been reviewed and updated in 2014 and 2015 *[, and the final version discussed and approved during the XXst IFLA General Conference and Assembly]*.

The 2009 Statement of principles replaced and broadened the scope of the Paris Principles explicitly from just textual resources to all types of resources and from just the choice and form of entry to all aspects of bibliographic and authority data used in library catalogues. It included 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. The current text takes into consideration new categories of users, the open access issue, the interoperability and the accessibility of data, and features of discovery tools.

This statement covers:

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

This statement builds on the great cataloguing traditions of the world,[3] as well as on the conceptual models in the IFLA Functional Requirements family.[4]

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

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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 & 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] <http://www.ifla.org/publications/ifla-series-on-bibliographic-control-37?og=54>

[3] 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.

[4] <http://www.ifla.org/node/2016>

1 Scope

The principles in this statement are intended to guide the development of cataloguing codes and the decisions that cataloguers make. They apply to bibliographic and authority data, and consequently to current library catalogues, bibliographies and other datasets created by libraries.

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 and the decisions that cataloguers make. Whereas the convenience of the user is most important, principles 2.2 through 2.13 are in no particular order. If there is a conflict between these principles, the principle of interoperability should be rated higher than others.

2.1.   Convenience of the user. Convenience means that all efforts should be made to keep all data comprehensible and suitable for the users. The word "user" embraces anyone who searches the catalogue and uses the bibliographic and/or authority data. 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 points should be in accord with that of the majority of users.

2.3.   Representation. A description should represent a resource as it appears. Controlled forms of names of persons, bodies and families should be based on the way an entity describes itself. Controlled forms of work titles should be based on the form appearing on the first manifestation of the original expression. If this is not feasible, the form commonly used in reference sources should be used.

2.4.   Accuracy. Bibliographic and authority data should be an accurate portrayal of the entity described.

2.5.   Sufficiency and necessity. Only those data elements in descriptions and controlled forms of names that are required to: facilitate access for all types of users, including those with specific needs; fulfill the objectives and functions of the catalogue; and describe or identify, should be included.

2.6.   Significance. Data elements should be relevant and noteworthy to the description and allow for distinctions among entities.

2.7.   Economy. When alternative ways exist to achieve a goal, preference should be given to the way that best furthers overall expediency and practicality (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 to enable consistency.

2.9.   Integration. The descriptions for all types of resources and controlled forms of names of all types of entities should be based on a common set of rules to the extent possible.

2.10.   Interoperability. All efforts should be made to ensure the sharing and reuse of bibliographic and authority data within and outside the library community. For the exchange of data and discovery tools, the use of vocabularies facilitating automatic translation and disambiguation is highly recommended.

2.11.   Openness. Restrictions on data should be minimal in order to foster transparency and conform with Open Access principles, as declared also in the IFLA Statement on Open Access. Any restriction on data access should be fully stated.

2.12.   Accessibility. The access to bibliographic and authority data, as well as searching device functionalities, should comply with international standards for accessibility as recommended in the IFLA Code of Ethics for Librarians and other Information Workers.

2.13.   Rationality. The rules in a cataloguing code should be defensible and not arbitrary. If, in specific situations, it is not possible to respect all the principles, then defensible, practical solutions should be found and the rationale should be explained.

3 Entities, Attributes, and Relationships

The entities are the key objects of interest to users in a particular domain. Each entity can be described by its primary characteristics, called attributes. The attributes of the entity serve also as the means by which users formulate queries and interpret responses when seeking information about a particular entity. The relationships explain the connections between and among entities.

Cataloguing should take into account the entities, attributes, and relationships as defined in conceptual models of the bibliographic universe. The conceptual models taken into consideration are *Functional Requirements for Bibliographic Records* (FRBR), *Functional Requirements for Authority Data* (FRAD) and *Functional Requirements for Subject Authority Data* (FRSAD).[5]

3.1   Entities: The following entities may be represented by bibliographic and authority data:[6]

>   Work
>
>   Expression
>
>   Manifestation
>
>   Item[7]
>
>   Person
>
>   Family
>
>   Corporate Body[8]
>
>   Thema[9] (e.g. Concept, Object, Event and Place[10] and all other entities)
>
>   Nomen.

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.

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[5] <http://www.ifla.org/node/2016>

[6] Since FRBR, FRAD and FRSAD are currently undergoing a consolidation process, here are listed all the entities described in the aforementioned conceptual models, despite some inconsistencies, especially about Group 3.

[7] Work, expression, manifestation, and item are the Group 1 entities described in the FRBR and FRAD models.

[8] Person, family, and corporate body are the Group 2 entities as described in the FRAD model.

[9] Thema (any entity used as a subject of a work) and nomen (any sign or sequence of signs that a thema is known by, referred to, or addressed as) are the entities introduced and described in the FRSAD model.

[10] Concept, object, event, and place are the Group 3 entities described in FRBR and FRAD models.

4 Bibliographic Description

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

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

4.3 Descriptive data should be based on an internationally agreed standard. For the library community, this standard is the International Standard Bibliographic Description (ISBD).[11] When based on a different standard, all efforts should be made to provide open access to published mappings between the standard used and the *International Standard Bibliographic Description* (ISBD), to foster better interoperability and accurate reuse of information.

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

5 Access Points

5.1 General

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

   5.1.1 Controlled access points should be provided for the authorized and variant forms of names for such entities as person, family, corporate body, work, expression, manifestation, item, and other themas. Controlled access points provide the consistency needed for collocating the bibliographic data for sets of resources.

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

   5.1.2 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 data.

5.2 Choice of Access Points

   5.2.1 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, should be included as access points to bibliographic data.

   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 nature of the work, clearly implies that the corporate body is collectively responsible for the content of the work. This applies

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[11] *ISBD : International Standard Bibliographic Description*. Consolidated ed. Berlin, München: De Gruyter Saur, 2011.

even if a person signs the work in the capacity of an officer or servant of the corporate body.

5.2.2   Additional authorized access points for persons, families, corporate bodies, and subjects should be provided to bibliographic data, when deemed important for finding and identifying the bibliographic resource being described.

5.2.3   Include the authorized form of name for the entity, as well as the variant forms of name, as access points to authority data.

5.2.4   Additional access may be provided through names of related entities.

5.3   Authorized Access Points

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

5.3.1   Authorized access points must be constructed following a standard.

5.3.2   Language and Script of Authorized Access Points

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

5.3.2.1.1   However, if the original language and/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 and/or scripts best suited to the users of the catalogue.

5.3.2.1.2   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.

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

5.3.3   Choice of Preferred Name

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.

5.3.3.1   Choice of Preferred Name for Persons, Families, Corporate Bodies

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.

5.3.3.1.1   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 to:

5.3.3.1.1.1   a commonly known (or 'conventional') name rather than the official name, where this is indicated; or

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

5.3.3.1.2   If a corporate body has used different names in successive periods 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.

5.3.3.2   Choice of Preferred Title for Works and Expressions

When a work has multiple titles, one title should be preferred as the basis for the authorized access point for the work/expression.

When variant forms of the work title are found in manifestations, preference should be given to:

5.3.3.2.1   the title appearing in the first manifestation of the original expression of the work, usually in the original language; or

5.3.3.2.2   the title commonly used.

5.3.4   Form of Name for Authorized Access Points

5.3.4.1   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.

5.3.4.2   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.

5.3.4.3   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:

5.3.4.3.1   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;

5.3.4.3.2   when the corporate body's 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.

       5.3.4.4   Form of Name for Works, Expressions, Manifestations, and Items

An authorized access point for a work, expression, manifestation, or item may be created either from a title that can stand alone or from a title combined with the authorized access point for the creator(s) of the work.

       5.3.4.5   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 a part of the variant forms of name.

5.4   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 recorded as authority data for controlled access.

6 Objectives and Functions of the Catalogue

The catalogue should be an effective and efficient instrument that enables a user:

6.1 to find bibliographic resources in a collection as the result of a search using attributes or relationships of the entities:

    6.1.1   to find a single resource

    6.1.2   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 thema

        all resources defined by other criteria (language, place of publication, publication date, content form, media type, carrier type, etc.), usually as a secondary limiting of a search result;

6.2 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);

6.3 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);

6.4 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;

6.5   to navigate

within a catalogue, through the logical arrangement of bibliographic and authority data and the clear presentation of relationships among entities

beyond the catalogue, to other catalogues and in non-library contexts.

7   Foundations for Search Capabilities

7.1   Searching

Access points 1) provide reliable retrieval of bibliographic and authority data and their associated bibliographic resources and 2) collocate and limit search results.

7.1.1   Searching Devices

Names and nomens 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 keywords, by phrases, by truncation, by identifiers, etc.). Data should be open and searchable even by non-library devices in order to increase interoperability and reuse.

7.1.2   Essential Access Points

Essential access points are those based on the main attributes and relationships of each entity in a bibliographic description.

7.1.2.1   Essential access points in bibliographic data 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

dates of publication or issuance of the manifestation

subject access points 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 data include:

authorized name of the entity

variant names and variant forms of name for the entity

identifiers for the entity

controlled nomens (e.g. subject access points and/or classification numbers) for the work.

7.1.3   Additional Access Points

Other attributes from bibliographic data or authority data may serve as optional access points or as filtering or limiting devices for a search.

7.1.3.1   Such attributes in bibliographic data 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 data identifiers

language of the expression embodied in the manifestation

place of publication

content form

media type.

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

names or titles of related entities

authority data identifiers.

7.2 Retrieval

When searching retrieves several bibliographic records with the same access point, results 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. The user should be able to choose among different criteria: date of publication, alphabetical order, relevance ranking, etc.

When possible, preference should be given to a display showing entities and the relationships among them.

8 Glossary

[To be added after the review]