STATEMENT OF INTERNATIONAL CATALOGUING PRINCIPLES
Draft approved by the
IFLA Meeting of Experts on an International Cataloguing Code,
1st, Frankfurt, Germany, 2003

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 the bibliographic and authority records used in library catalogues.

The following draft principles cover:

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 of Bibliographic Records* (FRBR) and *Functional Requirements and Numbering of Authority Records* (FRANAR), 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.

---

[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, 196.* – 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.

STATEMENT OF INTERNATIONAL CATALOGUING PRINCIPLES

Draft of January 2005

1. Scope

The principles stated here are intended to guide the development of cataloguing codes. They apply to
bibliographic and authority records 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.

2. Entities, Attributes, and Relationships

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

Work
Expression
Manifestation
Item. [3]

2.1.1. Bibliographic records should typically reflect manifestations. These manifestations 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.

In general, a separate bibliographic record should be created for each physical format
(manifestation).

2.2. Entities in Authority Records
Authority records should document controlled forms of names at least for persons, families,
corporate bodies[4], and subjects. Entities that serve as the subjects of works include:
Work
Expression
Manifestation
Item
Person
Family
Corporate Body
Concept
Object
Event
Place. [5]

---

[3] Work, expression, manifestation, and item are the Group 1 entities described in the FRBR/FRANAR model.
[4] Persons, families, and corporate bodies are the Group 2 entities described in the FRBR/FRANAR model.

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[6]:

3.1. to **find** bibliographic resources in a collection (real or virtual) as the result of a search using attributes or relationships of the resources:

    3.1.1. to **locate** a single resource

    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, physical format, etc.) usually as a secondary limiting of a search result.[7]

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 content, physical format, etc. or to reject a resource as being inappropriate to the user's needs);

3.4. to **acquire** or **obtain** access to an item described (that is, to 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** 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).

---

[5] Concept, object, event, and place are the Group 3 entities described in the FRBR/FRANAR model . *[Note: Additional entities may be identified in the future, such as FRANAR's Trademarks, Identifiers, etc. (to update as needed when the FRANAR report is 'final.')]*

[6] 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

[7] 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.

4. Bibliographic Description

4.1. The descriptive portion of the bibliographic record should be based on an internationally agreed standard.[8]

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

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 provide the consistency needed for locating sets of resources and must be normalized following a standard. These **normalized forms** (also called "authorized headings") should be recorded in authority records along with **variant forms used as references**.

5.1.1. Choice of access points
5.1.1.1. 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.

5.1.1.2. 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.

---

[8] For the library community that currently is the *International Standard Bibliographic Descriptions*.

5.1.2. Authorized Headings

The authorized heading for an entity should be the 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').

Further identifying characteristics should be added, if necessary, to distinguish the entity from others of the same name.

5.1.2.1. 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 heading for each distinct persona.

5.1.2.2. If there are variant titles for one work, one title should be chosen as uniform title.

5.1.3. Language

When names have been expressed in several languages, preference should be given to a heading based on 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 heading may be based on forms found on manifestations or in references 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 heading or a reference. If transliterations are desirable, an international standard for script conversion should be followed.

5.2. Forms of Names for Persons

5.2.1. When the name of a person consists of several words, the choice of entry word should ~~be determined by~~ conventions of the country and ~~person's country of citizenship, or~~

5.2.2. ~~when that country of citizenship is not determinable, by agreed usage in the country in which the person generally resides or~~

5.2.3. ~~if it is not possible to determine where the person generally resides, choice of entry word should follow agreed usage in the~~ language most associated with that person ~~generally uses~~, as found in manifestations or ~~general~~ reference sources.

5.3. Forms of Names for Families

5.3.1. When the name of a family consists of several words, the choice of entry word should follow ~~agreed usage in~~ conventions of the country and language most associated with that family ~~generally uses~~, as found in manifestations or general reference sources.

5.4. Forms of Names for Corporate Bodies

5.4.1. The corporate name should be given in direct order, as commonly found on manifestations.

5.4.2. For jurisdictions, the authorized heading 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.

5.4.3. 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 by see-also (earlier/later) references.

5.5. Forms of Uniform Titles

A uniform title may either be a title that can stand alone or it may be a name/title combination or a title qualified by the addition of identifying elements, such as a corporate name, a place, language, date, etc.

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

6. Authority Records

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

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

7.1.2.1. Indispensable access points for **bibliographic records** include:
the name of the creator or first named creator when more than one is named
the title proper or supplied title for the manifestation
the year (s) of publication or issuance
the uniform title for the work/expression
subject headings, subject terms
classification numbers
standard numbers, identifiers, and 'key titles' for the described entity.

7.1.2.2. Indispensable access points for **authority records** include:
the authorized name or title of 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 when large numbers of records are retrieved. 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.
> uniform title of the series
> bibliographic record identifiers
> language
> country of publication
> physical medium.

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

> names or titles of related entities
> authority record identifiers.

APPENDIX
Objectives for the Construction of Cataloguing Codes

There are several objectives that direct the construction of cataloguing codes[9]. The highest is the convenience of the user.

* *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.
* *Common usage.* Normalized vocabulary used in descriptions and access should be in accord with that of the majority of users.
* *Representation.* Entities in descriptions and controlled forms of names for access should be based on the way an entity describes itself.
* *Accuracy.* The entity described should be faithfully portrayed.
* *Sufficiency and necessity.* 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.
* *Significance.* Elements should be bibliographically significant.
* *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).
* *Standardization.* Descriptions and construction of access points should be standardized to the extent and level possible. This enables greater consistency which in turn increases the ability to share bibliographic and authority records.
* *Integration.* The descriptions for all types of materials and controlled forms of names of entities should be based on a common set of rules, to the extent 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 objectives that apply but are not yet included in this statement.]

---

[9] 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.