



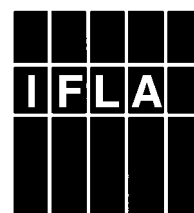
Series on Bibliographic Control
Vol 37

IFLA Cataloguing Principles

Statement of
International Cataloguing Principles (ICP)
and its Glossary

Edited by Barbara Tillett

K · G · Saur



International Federation of Library Associations and Institutions
Fédération Internationale des Associations de Bibliothécaires et des Bibliothèques
Internationaler Verband der bibliothekarischen Vereine und Institutionen
Международная Федерация Библиотечных Ассоциаций и Учреждений
Federación Internacional de Asociaciones de Bibliotecarios y Bibliotecas
国际图书馆协会与机构联合会

الاتحاد الدولي لجمعيات ومؤسسات المكتبات

About IFLA

www.ifla.org

IFLA (The International Federation of Library Associations and Institutions) is the leading international body representing the interests of library and information services and their users. It is the global voice of the library and information profession.

IFLA provides information specialists throughout the world with a forum for exchanging ideas and promoting international cooperation, research, and development in all fields of library activity and information service. IFLA is one of the means through which libraries, information centres, and information professionals worldwide can formulate their goals, exert their influence as a group, protect their interests, and find solutions to global problems.

IFLA's aims, objectives, and professional programme can only be fulfilled with the cooperation and active involvement of its members and affiliates. Currently, approximately 1,600 associations, institutions and individuals, from widely divergent cultural backgrounds, are working together to further the goals of the Federation and to promote librarianship on a global level. Through its formal membership, IFLA directly or indirectly represents some 500,000 library and information professionals worldwide.

IFLA pursues its aims through a variety of channels, including the publication of a major journal, as well as guidelines, reports and monographs on a wide range of topics. IFLA organizes workshops and seminars around the world to enhance professional practice and increase awareness of the growing importance of libraries in the digital age. All this is done in collaboration with a number of other non-governmental organizations, funding bodies and international agencies such as UNESCO and WIPO. IFLANET, the Federation's website, is a prime source of information about IFLA, its policies and activities: www.ifla.org

Library and information professionals gather annually at the IFLA World Library and Information Congress, held in August each year in cities around the world.

IFLA was founded in Edinburgh, Scotland, in 1927 at an international conference of national library directors. IFLA was registered in the Netherlands in 1971. The Koninklijke Bibliotheek (Royal Library), the national library of the Netherlands, in The Hague, generously provides the facilities for our headquarters. Regional offices are located in Rio de Janeiro, Brazil; Pretoria, South Africa; and Singapore.

IFLA Series on Bibliographic Control Vol 37

IFLA Cataloguing Principles: the Statement of International Cataloguing Principles (ICP) and its Glossary

In 20 Languages

Edited by

Barbara B. Tillett and Ana Lupe Cristán

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IFLA Series on Bibliographic Control

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**IFLA Cataloguing Principles :
the Statement of International Cataloguing Principles (ICP) and its Glossary**

بيان مبادئ الفهرسة العالمية

Ustanovení Mezinárodních Principů Katalogizace

Erklärung zu den internationalen Katalogisierungsprinzipien

Declaración de Principios Internacionales de Catalogación

Principes Internationaux de Catalogage

Izjava o Međunarodnim Kataložnim Načelima

Dichiarazione di Principi Internazionali di Catalogazione

国際目録原則覚書

국제목록원칙규범

Starptautiskie Katalogizācijas Principi

Declaração de Princípios Internacionais de Catalogação

Декларация о международных принципах каталогизации

Ustanovenie Medzinárodných Principov Katalogizácie

Izjava o Mednarodnih Katalogizacijskih Načelih

Deklarata e parimeve Ndërkombëtare të Katalogimit

Internationella katalogiseringsprinciper

แถลงการณ์ว่าด้วยหลักเกณฑ์การลงรายการสากล

Báo cáo về Bộ Quy tắc Biên mục Quốc tế

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INTRODUCTION

In 2001, Natalia Kasparova from the Russian State Library in Moscow, who was then a member of the IFLA's Cataloguing Section, reminded us that it had been 40 years since the Paris Principles, and that those principles were in need of updating for today's environment of online catalogues and Web OPACs (online public access catalogues). It took more than two years to start the series of 5 regional meetings of rule makers and cataloging experts of the world.

The five IFLA Meetings of Experts on an International Cataloguing Code (IME ICC) were held as follows:

2003 IME ICC1 – Frankfurt, Germany

2004 IME ICC2 – Buenos Aires, Argentina

2005 IME ICC3 – Cairo, Egypt

2006 IME ICC4 – Seoul, Korea

2007 IME ICC5 – Pretoria, South Africa.

The hosts were Die Deutsche Bibliothek (now Deutsche Nationalbibliothek) for IME ICC1, the Universidad de San Andrés for IME ICC2, the Cairo Field Office of the Library of Congress for IME ICC3, the National Library of Korea for IME ICC4, and the National Library of South Africa for IME ICC5. OCLC provided generous support for all of the meetings. Other sponsoring institutions were K.G. Saur and Swets Blackwell for IME ICC1 and the King Abdulaziz Public Library and the Bibliotheca Alexandrina for IME ICC3. For all of the meetings, IFLA was very supportive financially (especially for covering the simultaneous translation services and administrative expenses) and through Headquarters' staff time, assuring the success of these meetings.

This series of regional meetings worldwide reviewed the 1961 Paris Principles, the International Standard for Bibliographic Description, and the IFLA conceptual models (Functional Requirements for Bibliographic Records and Functional Requirements for Authority Data) to develop a new statement of cataloguing principles with the rule makers and cataloging experts around the world. The meetings provided a wonderful opportunity to get the cataloging experts from the regional countries together, most of them meeting for the first time, to get to know each other and to discuss together the basic principles of cataloguing in today's environment.

Invitations went out to 344 rule makers and cataloging experts and country representatives from 129 countries in Europe, Central America, South America, the Caribbean, the Arabic-speaking Middle East, Asia, and sub-Saharan Africa, as well as the 4 Anglo-American countries (Australia, Canada, United Kingdom, and the United States) represented by the Joint Steering Committee for AACR (later called Joint Steering Committee for Development of RDA). Due to the shortage of travel funds and in some cases visa problems, some participants were not able to attend, but continued to participate in the after-meeting listserv discussions. The list of the represented countries is given later in this text.

IME ICC2 was conducted in Spanish with English simultaneous translation. The other meetings were conducted in English (Europe, and the Russians brought their own translator); with

simultaneous translation in English and Arabic (Middle East); Chinese, English, Japanese, and Korean, (for the Asian meeting); and English and French (sub-Saharan Africa).

The participants actively discussed issues through their own listserv prior to the meeting. Web sites for each of the meetings were established and can be accessed through IFLANET. A few words about the logo – the bottom half represents the major cities of the world and the top half is the upside-down skyline or other symbol of the host city.

The goal of this series of IFLA regional meetings was to increase the ability to share cataloguing information worldwide by promoting standards for the content of bibliographic and authority records used in library catalogues. This goal continued the goal of the 1961 International Conference on Cataloguing Principles (also under the auspices of IFLA) to provide international standardization of cataloguing rules and principles. Objectives for the meetings were to develop, review, and update the draft Statement of International Cataloguing Principles (ICP) and to see if the experts could get closer together in cataloging practices. Another objective was to make recommendations for a possible future International Cataloguing Code. Those recommendations have been forwarded to the IFLA Cataloguing Section.

This Statement of Principles will replace the 1961 Paris Principles and broaden them to cover all types of materials, not just books, and to cover description and access. The Paris principles were limited to choice and form of entry. Like the Paris Principles the current draft principles build on the great cataloging traditions of the world as well as the newly developed conceptual models from IFLA: FRBR (Functional Requirements for Bibliographic Records), FRAD (Functional Requirements for Authority Data), and a future functional requirement expected from IFLA on subject authority records (FRSAD – Functional Requirements for Subject Authority Data). First and foremost the principles are intended to serve the convenience of the users as the primary goal.

The 1961 Paris Principles statement includes: scope, function, structure of the catalogue, kinds of entry, use of multiple entries, choice of uniform heading, single personal author, entry under corporate bodies – very limited situations, multiple authorship, works entered under title, including principles for uniform headings for works and other issues related to serials, and finally the entry word for personal names. The ICP 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.

The IME ICC participants discussed the principles, objectives, and basic rules to reach consensus on the proposed language.

In preparation for the meetings, the participants read the background papers and at the meeting heard presentations on how current cataloguing codes compare to the Paris principles, an update on the International Standards for Bibliographic Description, an overview of FRBR

and Virtual International Authority File (VIAF) concepts, and then discussed the draft Principles. During each meeting, Working Groups met at the end of the first day and for the second morning on 5 topics: Personal names, Corporate names, Seriality, Uniform titles and GMD (General Material Designators), and Multipart structures.

Although this was a long process and represented a great deal of work, we hope that the resulting international agreement on a Statement of International Cataloguing Principles will lead to greater ability to share cataloguing information – bibliographic and authority data – around the world.

Another major outcome of the ICP has been the successful harmonization of versions of ICP in the same language. When preparing for IME ICC2 in Buenos Aires, differences in Spanish terms used in Spain as compared to the same term used in various Latin American countries became apparent and a conscious effort was made to harmonize the versions. Differences also surfaced between the versions of the French ICP translated in France and Canada, between versions of the Portuguese ICP translated in Portugal and Brazil, between Arabic versions translated in different countries, even variations among English speakers in different countries, and between variant choices of Chinese characters used in Korea and Japan. The final versions of the ICP are the result of good will, patience, and understanding of these international colleagues working collaboratively to overcome cultural, traditional, and national differences.

I specifically wish to acknowledge the tremendous work on these translations, as follows:

- French version: collaborations between Pat Riva and colleagues at the Library and Archives Canada and later at the Bibliothèque et Archives nationales du Québec working with Françoise Bourdon and her colleagues at the Bibliothèque nationale de France to arrive at a harmonized version
- Korean version: coordinated with the Japanese and Chinese versions through the work of Jaesun Lee at the National Library of Korea
- Arabic version: Saleh Al-Musned of the King Abdulaziz Public Library in Saudi Arabia and Iman Khairy at the Bibliotheca Alexandrina in Egypt, worked together to finalize the Arabic terminology
- Portuguese version: Lidia Alvarenga at the Universidade Federal de Minas Gerais and colleagues at the National Library of Brasil worked with Inês Cordeiro and her colleagues at the National Library of Portugal to assure a harmonized final version of the ICP in Portuguese
- Spanish version: beginning at IME ICC2, Elena Escolano of the Biblioteca Nacional de España provided translations into Spanish of reports issued after each of the IME ICC meetings and provided translations of the recommendations for voting, including the clean and marked up versions of all of the ICP drafts, as well as the resulting comments and summaries of the votes to assure that there would be a transparent process, and to allow for comments on language disparities.

These colleagues have truly manifested the meaning of international cooperation and have made the ICP process fulfill its ultimate goals of achieving international cataloguing principles.

Barbara B. Tillett, Chair, IME ICC Planning Committee

THE DEVELOPMENT OF THE STATEMENT OF INTERNATIONAL CATALOGUING PRINCIPLES

By Laurence S. Creider

The 1961 principles adopted at the International Conference on Cataloging Principles in Paris (better known as the “Paris Principles”) were the result of much preliminary work, ranging from reports to a draft set of principles that emerged from a preliminary conference. That draft was subjected to major changes during the conference itself and adopted point by point at the end of the conference.

The “Statement of International Cataloguing Principles” (ICP) went through a shorter preliminary period but experienced a much longer process of development and adoption. Updated draft versions of the ICP were considered and revisions proposed at each of the succeeding IFLA Meetings of Experts on an International Cataloguing Code (IME ICC). The proposed revisions following each successive regional meeting were sent to all of the participants from the previous meetings for a vote. The result was a document that went through considerably more evolution than the Paris Principles. There were many versions of the Statement during the course of meetings and votes on recommended changes, however this review will follow the changes in the major versions as depicted in Table 1.

The April 2008 draft resulting from comments to ICP5 was sent out for worldwide review in May 2008. The comments received from that worldwide review were discussed by the IME ICC Planning Committee at the August 2008 IFLA conference in Québec, and a September 2008 version was distributed to all of the IME ICC participants. Based on those comments, another revision was distributed on December 18, 2008, to the IME ICC participants and to the IFLA Cataloguing Section, Bibliography Section, and Classification and Indexing Section for final comments and approval to publish. After minor editing, the final version was adopted by IFLA and published on IFLANET in February 2009, as presented in this volume. During that last round of comments, IME ICC participants also agreed to the Resolution found in this text.

The ICP did not develop in a straight line without detours. At times a change was made in one draft only to be reversed by another IME ICC, at other times change seemed to be proceeding in a certain direction only to be replaced by a completely different approach. There are sections of the ICP that underwent very little change for most of the IME ICC sessions but were the objects of attention for a brief period.

TABLE 1 Concordance of Sections in Successive Drafts

Starter Draft 2003	ICP1 2003	ICP2 2004	ICP3 2005	ICP4 2006	ICP5 2007	ICP April 2008	ICP September 2008	Final ICP February 2009
Introduction	Introduction	Introduction	Introduction	Introduction	Introduction	Introduction	Introduction	Introduction
1. Scope	1. Scope	1. Scope	1. Scope	1. Scope	1. Scope	0. General Objectives	1. Scope	1. Scope
2. Entities, Relationship and Attributes ...	2. Entities, Attributes, and Relationships	2. Entities, Attributes, and Relationships	2. Entities, Attributes, and Relationships	2. Entities, Attributes, and Relationships	2. Entities, Attributes, and Relationships	1. Scope	2. General Principles	2. General Principles
3. Functions of an Online Catalogue	3. Functions of the Catalogue	3. Functions of the Catalogue	3. Functions of the Catalogue	3. Functions of the Catalogue	3. Functions of the Catalogue	2. Entities, Attributes, Relationships	3. Objectives, Functions of the Catalogue	3. Entities, Attributes, Relationships
4. Content and Structure of Bibliographic Records	4. Bibliographic Description	4. Bibliographic Description	4. Bibliographic Description	4. Bibliographic Description	4. Bibliographic Description	3. Functions of the Catalogue	4. Entities, Attributes, Relationships	4. Objectives and Functions of the Catalogue
5. Choice and Structure of Authorized Headings	5. Access Points	5. Access Points	5. Access Points	5. Access Points	5. Access Points	4. Bibliographic Description	5. Bibliographic Description	5. Bibliographic Description
6. Authority Records	6. Authority Records	6. Authority Records	6. Authority Records	6. Authority Records	6. Authority Records	5. Access Points	6. Access Points	6. Access Points
7. Search Capabilities	7. Foundations for Search Capabilities	7. Foundations for Search Capabilities	7. Foundations for Search Capabilities	7. Foundations for Search Capabilities	7. Foundations for Search Capabilities	6. Authority Records	7. Authority Data	7. Foundations for Search Capabilities
	Appendix – Objectives	Appendix-- Objectives	Appendix – Objectives	Appendix – Objectives	Appendix – Objectives	7. Foundations for Search Capabilities	8. Foundations for Search Capabilities	
				Glossary	Glossary	Glossary	Glossary	Glossary

From Principles to Statement and the Structure of the Statement

The ICP began as a “starter draft” entitled, “Principles for Library Catalogues and other Bibliographic Files” prepared by Monika Münnich of the Universitätsbibliothek Heidelberg and Hans Popst of the Fachbereich Archiv- und Bibliothekswesen of the Bayerische Beamtenfachhochschule, assisted by Charles Croissant of Saint Louis University.¹ Based on the Paris Principles but adjusted to encompass bibliographic and authority data for all types of things collected by libraries, archives, and museums, that starter draft was revised and served as the basis for the first version of the “Statement of International Cataloguing Principles” approved at the first IFLA Meeting of Experts on an International Cataloguing Code (IME ICC1) held in Frankfurt am Main, Germany in 2003. Much of the structure and some phrases from the starter draft survived intact into the final version of ICP. IME ICC1, however, made significant changes. First, the name became “Statement of International Cataloguing Principles,” which expanded the scope of the principles beyond library catalogs.

Introduction and Scope

Beginning with the starter draft, the ICP’s *Introduction* presents itself as a successor to the Paris Principles. In the final ICP text version, a significant development in the *Introduction* was the shift from the statement to “adapt the Paris Principles” to “produce a new statement” of principles. This change shows a realization that the scope and theoretical background of the ICP are so much larger than the Paris Principles that one cannot speak of an adaptation, but only of a new set of principles.²

The acknowledgement of great cataloguing traditions of the world started as recognition of Cutter and Ranganathan, and in later versions also Lubetzky. The specific works of those great thinkers were moved to a footnote and then to a more general statement in the final ICP. The starter draft also acknowledges the influence of the model of “Functional Requirements for Bibliographic Records” (FRBR) a statement that remains in the final ICP. From the starter draft through the April 2008 version by a statement in the Introduction stated that “The first of these objectives is to serve the convenience of the users of the catalogue.” In September 2008 and the final draft, the sentence became, “The first principle is to serve the convenience of catalogue users.”

There is an explicit statement in the *Introduction* that ICP “replaces and broadens” the scope of the Paris Principles from choice and form of entry for textual works to all types of materials and all aspects of bibliographic and authority data. The language changed from “records” to “data” in response to changes made for the *Functional Requirements for Authority Data* (FRAD) and the evolving recognition that “records” may not be the packages used in the future for this information. In ICP1 the statement of *Scope* indicated this broadening by reference to “bibliographies and data files created by libraries, archives, museums and other communities.” This widened further in the final ICP to stating the principles applied to “bibliogra-

¹ Monika Münnich and Hans Popst, assisted by Charles Croissant, “Principles for Library Catalogues and Other Bibliographic Files” (2003), http://www.d-nb.de/standardisierung/pdf/papers_muennich.pdf, accessed March 24, 2009.

² Laurence Stearns Creider, “A Comparison of the Paris Principles and the International Cataloguing Principles,” forthcoming.

phic and authority data and current library catalogues” and also can be applied to “bibliographies and other data files created by libraries, archives, museums, and other communities”.³

Principles versus Objectives

One of the major contributions of ICP1 was the formulation of a set of “Objectives for the Construction of Cataloguing Codes,” which at first was placed in an appendix. Although called “Objectives” in the early versions of ICP, these are actually “Principles” and were moved to the second section of the ICP by the September 2008 version. The content of these principles remained untouched throughout the adoption process of the ICP. The “principles,” which begin with a reiteration that the highest is the conventions of the user, include common usage, representation, accuracy, sufficiency and necessity, significance, economy, standardization, and integration. The final ICP notes that the principles are “based on bibliographic literature, especially that of Ranganathan and Leibniz as described in Svenonius, Elaine. *The Intellectual Foundation of Information Organization*.”⁴ There is a note in brackets at the end of the ICP1 appendix stating that there were other principles for “subject thesauri” that should be added, and a footnote in the final ICP says subject principles are not yet included in this statement.

There had been some ambiguity about the relationship of the starter draft to cataloging codes and rules, but the draft from IME ICC1 indicates that the ICP is intended to “guide the development of cataloguing codes.” In other words, it is not a substitute for a code. In fact by the final ICP, clarity emerged to recognize the distinctions between 1) principles, 2) objectives or functions of a catalogue, and 3) rules. This clarity was greatly influenced by the categorization described by Elaine Svenonius that, “Bibliographic principles are different from bibliographic objectives and bibliographic rules. Objectives codify what a user can expect of a bibliographic system - to find a document, to find all manifestations of a work contiguously displayed, and so forth. Principles, on the other hand, are directives for the design of the bibliographic language used to create such a system. This language normally takes the form of a code of rules. However, principles themselves are not rules but rather guidelines for the design of a set of rules.”⁵ Indeed, the section on “functions of an online catalogue” from the starter draft was largely taken from Elaine Svenonius’ book. These “functions of the catalogue” (i.e., “Objectives”) may crudely be described as a “FRBR-ized” version of Cutter’s principles with the additional functions of identification, selection, acquisition, and navigation.

On the whole, there was little change to the section on the “functions of the catalogue”. At the Buenos Aires IME ICC2 meeting the addition was made to the statement of functions of the catalogue that libraries might not make records for components of works because of cata-

³ IFLA Meeting of Experts on an International Cataloguing Code, 1st, Frankfurt, Germany, 2003. *Statement of International Cataloguing Principles, “Final” Draft Based on Responses through 19 Dec. 2003* (Deutsche Nationalbibliothek, Arbeitsstelle für Standardisierung, 2003) http://www.d-nb.de/standardisierung/pdf/statement_draft.pdf, accessed March 24, 2009. This is ICP1.

⁴ Elaine Svenonius, *The Intellectual Foundation of Information Organization* (Cambridge, Mass.: MIT Press, 2000).

⁵ Elaine Svenonius, *The Intellectual Foundation of Information Organization* (Cambridge, Mass.: MIT Press, 2000), p. 67-68.

logging practices in addition to economic restraints (ICP2, section 3.1).⁶ The statement vanished completely in the final version. In September 2008, the “Functions of the Catalogue” became “Objectives—Functions of the Catalogue.” This change was more than simply terminological, because objectives are goals at which the catalog aims. The *select* function was altered to insert “medium” before “content” and “carrier” as ways in which a resource might meet a user’s requirements.

Entities, Attributes, and Relationships

The organization of the ICP1 section on entities, attributes, and relationships changed the starter draft’s use of FRBR Groups 1, 2, and 3 to separate subsections for entities in bibliographic records, entities in authority records, attributes, and relationships. This section changed to listing all the entities in bibliographic and authority data, and very brief descriptions of attributes and relationships. The section was moved to precede the *Objectives and Functions of the Catalogue* in order to state what data is being described before stating the functions of a tool to present such data.

The only change to the *Entities, Attributes, and Relationships* section after ICP1, other than its migrating positions, was in the final text, which states that entities, attributes, and relationships are to be taken into account as defined in “conceptual models of the bibliographic universe.” The specific instances of the IFLA conceptual models (FRBR, FRAD, and FRSAD – *Functional Requirements for Subject Authority Data*) were moved to a footnote, from the body of the text in recognition that the conceptual models could change.

Bibliographic Description

The section on *Bibliographic Description* was largely unchanged from ICP1 through ICP5, focusing on describing a manifestation. However, the order of the statements changed. As a result of comments from the IME ICC participants to the ICP5 draft, the ICP April 2008 draft expanded the section from two to four subsections. A new subsection stated that “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).” This statement allowed for the continued existence of the traditional cataloguing record, which combines elements of all four FRBR Group 1 entities. As a result, the ICP makes possible the usage of the large number of existing bibliographic records while allowing the use of separate records for each of the Group 1 entities. Another new subsection stated that “In general, a separate bibliographic description should be created for each manifestation.” These two subsections had been moved from the discussion of entities in 2.1.1 in ICP5. In ICP September 2008, the section on *Bibliographic Description* (now Section 5) was significantly reordered. The sentence stating that “Descriptive data should be based on an internationally agreed standard,” has become the third sentence (5.3), whereas the former 4.1, which said that descriptions should “typically” be based on an item that represented a manifestation and that it might

⁶ *Statement of International Cataloguing Principles, Draft approved by the IFLA Meeting of Experts on an International Cataloguing Code, 1st, Frankfurt Germany, 2003, “Final Draft Based on Responses through 19 Dec. 2003 with correction, Recommended Changes from Buenos Aires August 2004 (2004) http://www.loc.gov/loc/ifla/imeicc/source/statement_draft04.pdf, accessed March 25, 2009. This is ICP2.*

include attributes “inherited” from “contained work(s) and expression(s),” was changed to affirm that separate bibliographic descriptions should be created for each manifestation. The next sentence says what is used to build that description, namely an item as representative of the manifestation, and that the description “may include attributes that pertain to the embodied work(s) and expression(s).”

In the starter draft, the content of bibliographic records is the subject of a brief section, which states that description should be based on the International Standard Bibliographic Description (ISBD) with access points formulated following a “standard” cataloguing code. ICP1 made a major change from the starter draft that persists through the remainder of the drafts: the prescription of the ISBD as a basis for bibliographic description was changed to a statement that the description should be “based on an internationally agreed standard,” and a footnote was given to declare that for the library community this will be the ISBD. This change is another indication of a resolve to make the ICP serve a constituency beyond that of libraries. The requirement of the draft that access points be formulated following a “standard cataloguing code” is dropped, because this is dealt with in other sections. ICP1 also introduced a subsection stating that “Descriptions may be at several levels of completeness”, which is subsection 5.4 in the final version.

From Choice and Structure of Authorized Headings and Authority Records to Access Points

The next section of the starter draft dealt with *Choice and Structure of Authorized Headings* for persons, corporate bodies, and uniform titles. That was followed by a section devoted to authority records. These sections from the starter draft were changed significantly in ICP1 and reflect “rules” governing choice and form of *Access Points*. The term “author” in the starter draft became “creator” in ICP onwards to be more general and less centered on texts. By ICP4 the title, “Authorized Headings,” became “Choice of Names for Authorized Headings.” A new subsection, “Forms of Controlled Access Points,” grouped the different categories of names together under one label. The major change made to “Access Points” at IME ICC5 was that much of the subsection on “Choice of Access Points,” was moved to the section on *Authority Records*. Specifically, the subsections “Choice of Name for Authorized Headings” (rules on variant names and titles for authorized headings), “Language of Authorized Heading,” and the entire “Forms of Names for Authorized Headings” (persons, families, corporate bodies and uniform titles) were moved. This massive shift of the principles for “choosing a form of heading” to *Access Points* and the “Choice of Access Points” makes sense, although it was not the end of the process of restructuring Section 6 *Authority Records*. The April 2008 draft, however, was when the term “Heading” was dropped from the Glossary and the word used in subsections was changed from “Headings” to “Access Points.”

The change from headings to access points is not verbal only, but conceptual. The old term “headings” is linked closely to catalogues, particularly those in book or card format. It was replaced by “access points” that may or may not be controlled and may consist of many elements that can be pre- or post-coordinated. Subsections on the choice and the form of names migrated between these two sections and significant changes occurred in the text of the statements on these issues.

The discussion of authority files in the starter draft vanished, and authority records were given a purpose in ICP1: to “control the authorized forms of names and references used as access points” for FRBR entities. In later drafts, the sections on controlled access points spoke of the purpose for controlled access points to provide the “consistency needed for collocating the bibliographic records for sets of resources.” The earlier version of this sentence said that “Controlled access points provide the consistency needed for locating sets of resources.” Collocation reappeared as a function provided by authorized access points. The authority records that provide this control were described in a new subsection of the ICP September 2008 draft and largely remained unchanged in the final version.

The ICP September 2008 draft made some small but significant changes on names and authority records besides renumbering the sections. One such change was the statement that “variant forms used as references” should be included with authorized forms became “authorized access points should be recorded in authority records along with identifiers for the entity and variant forms of name.” The introduction of identifiers means that machine manipulation of such authority records should become more possible and that the makers of ICP are thinking beyond text-string links between machine-readable authority records and bibliographic records to use identifiers for chosen names or variants. In the section on *Access Points* of the ICP September 2008 draft, the uncontrolled access points were no longer limited to bibliographic records but expanded to include authority records. A clause was added that authorized access points “may be needed as a default display form.” Section 6 on *Authority Records* became Section 7 *Authority Data* in the ICP September 2008 draft, a broader concept. However, the section starts off repeating the sentence of the former section 6 that begins, “Authority record” This may change in the future as records evolve to future structures. In the ICP September 2008 draft, “Language of Authorized Access Points” became “Language and Script of Authorized Form Access Point,” [sic] and by the final ICP, the phrase “and/or scripts” was added to the phrase “When names have been expressed in several languages.”

Names for Persons

ICP1, Section 6.2 said that if there are variant names or forms of names, one name or form of name should be chosen as the authorized heading “for each distinct persona.” This allows for the existence of one person with different bibliographic personas, something the starter draft version did not. ICP2 asked to change this to each “entity,” but it was changed back in ICP3 to “persona.” However, there was always difficulty in grasping the concept of “persona,” and it was replaced in the final ICP to provide a name for each “distinct identity.”

One of the more contentious issues at the Paris Conference had been the choice of “entry word” for names containing prefixes, because it had been a major problem in ensuring uniformity of main entry for exchanging cataloguing.⁷ The term “entry word,” in the ICP drafts was changed to “first word,” in the ICP September 2008 version, recognizing that this was no longer an issue of “entry” but of access point and, indeed, the order of characters in the textual string of a controlled access point. The subsection on names for persons in the starter draft stated the choice of entry word for persons whose name consists of several words should be determined first by the practice of the country in which the person resides, and, if that is inconclusive, by the language the person uses. ICP1 added the statement that choice of entry

⁷ International Conference on Cataloguing Principles, Paris, October, 1961, *Report* (London: International Federation of Library Associations, 1963), p. 81-85.

word should be determined first of all by the person's country of citizenship, repeating the decision of the Paris Principles.⁸ In the final ICP the choice of the first word for the authorized access point reflects the conventions of the country and language most associated with that person, as found in manifestations or reference sources.

Names for Families

In recognition of the importance of naming families in descriptions for accessing archival resources, a subsection on forms of names for families was added in ICP1 to those for persons, corporate bodies, and uniform titles in the starter draft.

Names for Corporate Bodies

For corporate bodies, the subsection dealing with different names speaks not about the "entry" of works but about treating each "significant name change" as a "new entity."

In section 5.4 on corporate names, a new statement was made in ICP2 that "The corporate name should be given in direct order, as commonly found on manifestations." The latter part of the statement specifically applies the change from the preference for the official name that was given in the starter draft (section 5.3) and replaced in ICP1 by the overall rule that all headings are based on what is found in manifestations (5.1.2). A slightly later version of ICP2 showing "further recommended changes from IME ICC2" was made in a September 20, 2005 draft, in which the statement on direct order in corporate names in ICP2 was refined by new subsections 5.4.1.1 and 5.4.1.2 that allowed for subordinate entry of corporate bodies.

From Uniform Titles to Names for Works/Expressions

Uniform titles have always been something of a problem in cataloging theory and practice.⁹ Cataloguing codes used them for special materials such as legal, musical, and religious works, and to organize large files under certain authors. The ICP shows great progress towards a clearer understanding of uniform titles with a few detours along the way.

Uniform titles were understood in ICP1 to apply to works only, not to the other FRBR levels of expression, manifestation, and item. "If there are variant titles for one work, one title should be chosen as uniform title," was finally changed to "When a work has multiple titles, one should be preferred as the basis for the authorized access point for the work/expression" in the April 2008 version (6.1.2).

ICP1 called for the use of the "original title of a work" in uniform titles. In ICP2, section 5.5.1, the provision was made that language and date should always be included as elements in uniform titles. ICP2 also stated, "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," a vague sentence that probably satisfied no one. This statement was transformed in ICP3 into "when there is a commonly used title in the language and script of the catalogue, preference should be given it." While the phrase "under certain defined circumstances" (which are not defined) is better replaced by a clear statement of what to

⁸ International Conference on Cataloguing Principles, Paris, October, 1961, *Report* (London: International Federation of Library Associations, 1963), Principle 12 and related discussion.

⁹ Jean Weihs and Lynne C. Howarth, "Uniform Titles from AACR to RDA," *Cataloging & Classification Quarterly*, v. 46 (2008), p. 362-384.

do, versions would certainly create difficulties in sharing international data if the commonly used title in the language and script of the catalogue always replaced the original title in the original language and script. The confusion would be made worse because the ICP3 version omitted the statement “Always add language and date.” ICP4 stated that uniform titles should be in the language and script of the catalogue and that they could be made for all four FRBR Group 1 entities: work, expression, manifestation, and item.¹⁰ By the final ICP guidance on language and script was generalized for authorized access points to prefer information found on manifestations of the work expressed in the original language and script. When that was not a language normally used in the catalogue, one should prefer the languages or scripts best suited to the users of the catalogue, and additionally access should be provided in the original language and script whenever possible.

What became a major clarification in the final ICP can begin to be traced in the ICP April 2008 version which replaced the heading of 6.3.4 “Forms of Uniform Titles” with “Forms of Names for Works/Expressions” as the thinking through of the changes required by the replacement of “uniform titles” by “authorized name” continued in the draft process. The Glossary attached to the April 2008 version says, “Uniform title—No longer used in the Principles. **See Authorized access point for the work/expression.**” The recognition that a uniform title names a work and by extension can name an expression, manifestation, or item, allowed such names to be treated in a manner more consistent with the names for other entities in the FRBR groups 1 and 2. These changes also meant that the treatment of access points for works in the final text is bound up with the larger changes with access points and names.

A major change from the September 2008 ICP draft occurred in the final ICP concerning names for works or expressions. Namely, the order of preferred names (formerly preferred titles) was deleted from the section on forms of names, because choice of names was covered earlier by general subsections.

The subsection on uniform titles in ICP1-ICP5 was prefaced by the statement that uniform titles can stand alone or be a name/title combination and may be qualified by the addition of elements such as “corporate name, place, language, date, etc.” The wording, “a name/title combination with the name of the creator of the work” was added in the April 2008 ICP and further clarified following the worldwide review to state “the authorized form of the name of the creator(s) of the work”.

Variant Names

The section in the ICP September 2008 draft, which required that variant titles should be included for access along with the authorized access point, was expanded to become a major subsection of its own, saying that variant forms of names and, indeed, all variant names should be included for controlled access.

¹⁰ *Statement of International Cataloguing Principles, Draft approved by the IFLA Meeting of Experts on an International Cataloguing Code, 1st, Frankfurt, Germany, 2003 with agreed changes from the IME ICC2 meeting, Buenos Aires, Argentina, 2004 from the IME ICC3 meeting, Cairo, Egypt, 2005 from IME ICC4 meeting, Seoul, Korea, 2006 (those not yet approved and needing further discussion from IME ICC4 shown in red.), Approved Draft Based on Responses through February 2007 showing further recommended changes from IME ICC4 participants, Seoul, Korea (2007), 5.5.2.4* <http://www.nl.go.kr/icc/download/0703071.pdf>, accessed March 25, 2009. This is ICP4.

Search Capabilities

The starter draft included a final section on search capabilities with “indispensable” and “further” access points and discussion of direct searches, browse searches, and displays. This last section was the most tentative in the starter draft and alternative versions of the subsections on indispensable access points and displays (sections 7.1.2 and 7.3) were given. The indispensable access points included “the name of the creator, or of the first-named creator,” the title proper or supplied title, and the uniform title.¹¹ The revised Section 7 of ICP1, “Foundations for Search Capabilities,” started off with a statement on the purpose of access points and continued with a statement of indispensable access points for bibliographic records and (new) for authority records. Instead of prescribing various search methods (browse, “direct,” combinations of access points) as the starter draft had done, ICP1 section 7.1.1 simply said that names, titles, and subjects (therefore fewer elements than the starter draft) should be searchable “by means of any device available in the ... catalogue or bibliographic file.” The statements on the display of bibliographic information were removed, a wise recognition that the matter of display even when limited to online is still entirely too variable and too volatile for any useful principles to be prescribed.

After the first version of ICP, the section on *Foundations of Search Capabilities* was unchanged until IME ICC4 in Seoul, where the *year of publication or issuance* was removed from the “indispensable access points” for bibliographic records and made an “additional access point.” However, in ICP5, *publication dates* were restored to the list of what were then called “Essential Access Points”. ICP5 also moved *classification numbers* from the “Indispensable” list where they had been since IME ICC 1 to the “Additional points” (7.1.3.1), but these were returned to an indispensable status in ICP April 2008 in response to further comments from the IME ICC participants.

A few other shifts in terminology in the ICP April 2008 draft indicate a broader conceptual framework for the ICP. The first is the addition of “identifiers for the entity” in the section on essential access points in authority records. Perhaps more significantly, “physical medium” was split into “content type” and “carrier type,” terms, which reflect vocabulary introduced in discussions with the publishing community and the developers for *RDA: Resource Description and Access*.

In ICP September 2008 the subsection on *Search and Retrieval* was renamed *Searching* based on comments from the worldwide review. Also in response to the worldwide comments, the *need to search by identifiers* was added to the list of searching devices. Also in the ICP September 2008, *Retrieval* became a new subsection, stating, “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 of the language and script of the access point.” The sentence calls for the ability of a catalogue to fulfill its collocating functions and to be able to express FRBR relationships. The sentence also allows for different arrangements under subject terms (such as in chronological order), series (in numerical

¹¹ Monika Münnich and Hans Popst, “Principles for Library Catalogues and Other Bibliographic Files” (2003).

order), formats, etc. All too frequently, the displays in online catalogues are not convenient to the user, and this principle is welcomed.

Conclusions

The development of the principles concerning names and their construction was a long and undoubtedly challenging process, extending past the IME ICC sessions. In the end, the makers of the ICP opted for simpler and more abstract principles rather than the prescription of details. The level of detail apparent in such issues as the entry word for names in the Paris Principles is not appropriate for the ICP, largely because its writers have recognized that it is not intended to be a cataloguing code and that control of access points in the digital world does not mean prescribing one particular sequence of words in that access point. By clustering together all the names for an entity, any controlled form can be used for display and the benefits of precision of searches can be achieved. Similarly, the recognition that uniform titles are necessary and name works/expressions/manifestations/items is a large achievement towards a unified theory of cataloging and bibliographic control.

The development of the text of the ICP was clearly not linear and clearly involved tremendous amounts of thinking and rethinking concepts by all of the IME ICC participants and worldwide commenters, as basic ideas, such as the realization that uniform titles are names, began to affect the rest of the principles. What is also clear is that this lengthy process has resulted in a set of principles that basically accomplish what the introduction says they will.

There are certainly individual points that can and will be discussed and perhaps modified. Still, the new ICP fits the needs of a world that has changed a great deal since 1961. The ICP accommodates new resources that need to be described, it uses the more abstract terminology that is needed to describe those resources, it recognizes the advances that have taken place in bibliographic control and theory since the Paris Principles, it employs a conceptual framework that is widely adaptable, and it resolutely refuses to be limited to the world of the library catalogue while providing for that world to advance. Most of all, the makers of the ICP have employed the tremendous diversity of the library and information worlds, both physical and digital, as a tool to make the Statement of International Cataloguing Principles more complete and more useful than the Paris Principles. Process is hardly product, but in this case, a more inclusive process led to a better product.

Note: An overview of the start of the ICP process is also available in Italian: Carlo Bianchini, Pino Buizza e Mauro Guerrini, "Verso nuovi principi di catalogazione : riflessioni sull'IMEICC di Francoforte," *Bollettino AIB*, v. 44, n. 2, (giugno 2004), p. [133-152]; and: Mauro Guerrini. *Verso nuovi principi e nuovi codici di catalogazione* (Milano: Sylvestre Bonnard, c2005).

Section A

**ICP –
STATEMENT OF
INTERNATIONAL CATALOGUING PRINCIPLES,
GLOSSARY,
AND
RESOLUTION**

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 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,² and also on the conceptual model in the IFLA *Functional Requirements for Bibliographic Records* (FRBR).³

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.

³ *Functional Requirements for Bibliographic Records: Final report*. – Munich : Saur, 1998. (IFLA UBCIM publications new series; v. 19) Available on the IFLA Web site: <http://www.ifla.org/VII/s13/frbr/> (Sept. 1997, as amended and corrected through February 2008)

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

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.

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.

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.

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
- Item⁷
- Person
- Family
- Corporate Body⁸
- Concept
- Object
- Event
- Place.⁹

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 Catalogue¹⁰

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;

⁶ IFLA's conceptual models are FRBR, FRAD, and FRSAD.

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.

¹⁰ 4.1-4.5 are based on: Svenonius, Elaine. *The Intellectual Foundation of Information Organization*. Cambridge, Mass.: MIT Press, 2000.

- 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;
- 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.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.

¹¹ For the library community, the internationally agreed standard is the *International Standard Bibliographic Description*.