Draft Statement of International Cataloguing Principles

Overview

We are here today to give our response to the draft Statement of Principles developed first by the Europeans in 2003 and then updated through a discussion among the IME ICC, IME ICC2, and IME ICC3 participants. The result of voting on suggested changes is the April 2006 draft that we are examining here in Seoul. Our goal is to work together towards a shared statement that we all feel best describes the underlying principles for all of our cataloguing codes worldwide.

We are also here to suggest recommendations for a possible future international cataloguing code – a set of rules for rule makers that we find we can all agree to.

Let me begin by describing the process to reach agreement on the draft text language for the Statement of Principles.
Following the 2003 meeting in Frankfurt, the European participants went through a process of discussion and voting to reach consensus on the draft Statement of International Cataloguing Principles. We followed a similar procedure following the Buenos Aires meeting in 2004 and used a Web ballot for decision making following the IME ICC3 meeting in Cairo. We hope to use a similar Web ballot for the process following this meeting.

The Web ballot form showed the proposed text as marked up text and provided a place to vote yes or no to the proposed change and also left space for comments. We distributed a marked up version of the Statement, using Microsoft Word. In Word there is a tool for "tracking changes." So you see the original text along with the proposed change. We also provided a "clean" version of the text without the markup. The page you see here is from the first ballots done in Europe for one such vote.

Each country representative voted and we encouraged each country to discuss a combined response or if there was differing opinion, individual participants could register their separate opinions. In nearly every situation we were able to agree on the wording, but in some few instances we had to go with a majority vote decision.
Following the votes, I compiled the responses and re-issued the results with requests for further comments on suggested changes, until we reach final agreement – that occurred in March 2006 for this latest round of review.

Everyone is encouraged to vote and participate in the discussions about the recommended changes – we want help in translating to be sure people understand what is being proposed. We include all former participants of the IME ICC meetings in these discussions once your IME ICC4 group has agreed on the recommendations you wish to propose.

The draft statement will remain a draft until all of the worldwide regional meetings have been completed – by the summer of 2007. We also want it to go out for worldwide review more generally to get comments, following a model used by ISO (rather than the usual worldwide review of IFLA) in order to reach more communities. That process may occur before our final meeting in Africa in 2007, so we can incorporate and respond to the proposals from other communities at that final meeting.
Introduction

• Serve the convenience of the users
• Broaden Paris Principles
  – All types of materials (not just text)
  – Description
  – Access (not just choice and form of entry, but all access for bibliographic and authority records)
• Build on
  – Great cataloguing traditions of the world
  – FRBR and FRAR and future FR-Subjects

So let’s go through the document together. During your Working Group discussions and tomorrow’s session, we will work together on any changes you feel would be important to make to the principles themselves.

I know there are differences in terminology among various languages using Arabic script, so that will need to be resolved, hopefully to share the same terms whenever possible.

For today, let’s take a look at the current draft Statement in your packet – starting with the Introductory page. I hope you have taken time to look at this document before you arrived here today, but let’s go through it together to refresh your memory of what it covers.

Here are the main points in the Introduction (see slide).

Right off there is a correction to make on this Introductory page, as the FRANAR report will be out this year and has changed its name and scope to just be for authority records in general and a follow-on group “FRSAR” (Functional Requirements for Subject Authority Records) is looking at Subject Authority Records, so that is one change we should propose, to update that information.
Scope

• Guide development of cataloguing codes
• Bibliographic and authority records
• Current library catalogues
  – Also can be applied to bibliographies and data files created by libraries, archives, museums, etc.
• Consistent approach to descriptive and subject cataloguing
  – “Descriptive” includes description and non-subject access

Involve other communities
Scope, continued

- Highest principle for constructing cataloguing codes = convenience of the users of the catalogue

We realize that it is not always possible to meet every user need, but we always want to keep the user as the primary focus of what we do.

And there are many users – from researchers or the primary audience our libraries’ serve to the library staff who use our records for various purposes from acquiring materials, to cataloging other materials, and even serving materials through interlibrary loan.
2.1 Entities in Bibliographic Records

- Work
- Expression
- Manifestation
- Item

The statement then identifies the entities – these look familiar, because they are the basic bibliographic entities from FRBR:

Work
Expression
Manifestation and
Item.
2.1 Entities in Bibliographic Records

- Bibliographic records typically reflect manifestations
  – Discussion: exact reproductions on same bibliographic record

The European group that looked at multipart structures highly recommended that we follow the basic principle of creating a bibliographic record to reflect each manifestation. In that way future systems would be more easily able to combine records for user displays. It is more difficult to pull out the components when all manifestations are put into the same record.

There was a study conducted for the Joint Steering Committee for Revision of AACR that looked at creating bibliographic records at the expression level, and they found it was usually not practical. So we retain this principle to usually create a bibliographic record for each manifestation.

There was also discussion to record exact reproductions on the same bibliographic record, and I would like you opinions about that when we discuss this tomorrow.
2.2 Entities in Authority Records

• Controlled forms of names for
  – Persons
  – Families
  – Corporate bodies
  – Subjects

• Identifies the FRBR subject entities
2.3 Attributes

• Data elements to **identify** the entity in bibliographic and authority records
2.4 Relationships

• Identify bibliographically significant relationships through the catalogue
3. Functions of the Catalogue

• Enable a user to
  – Find
    • Locate a single resource
    • Locate sets of resources representing
      – All the resources belonging to the same work
      – All the resources belonging to the same expression
      – All the resources belonging to the same manifestation

Find bibliographic resources in a collection (real or virtual) as the result of a search using attributes or relationships of the resources

This relates to the FRBR user tasks:
find
Identify
select
obtain
3. Functions of the Catalogue

- Locate sets of resources representing
  - All works & 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

- Footnote: Recognize, due to economic restraints, some library catalogues will lack records for components of works or individual works within works
3. Functions of the Catalogue

- Identify
- Select
- Acquire or obtain
- Navigate

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)

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)

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.

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).
4. Bibliographic Description

• Description based on an internationally agreed standard
  – ISBDs for library community

• May be several levels of completeness, based on purpose of the catalogue or bibliographic file
5. Access Points

• 5.1 General
  – Formulate following principles
  – Controlled or uncontrolled
  – Controlled provide consistency for locating sets of resources
    • Normalize following a standard
    • Normalized forms ("authorized headings") recorded in authority records with
      – Variant forms used as references
5.1.1 Choice of access points

• 5.1.1.1. Bibliographic record
  – Titles
    • Controlled titles of works and expressions
    • Titles of manifestations (usually uncontrolled)
  – Names (controlled) of creators of works
    • Corporate bodies as creators
      – limited to expressions of the collective thought or activity of the corporate body, even if signed by a person in capacity of 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
5.1.1 Choice of access points

- 5.1.1.1. Bibliographic record, continued
  - Additionally, access points for controlled forms of names of other persons, families, corporate bodies, and subjects deemed important for
    - Finding
    - Identifying
    - Selecting
  the bibliographic resource described
5.1.1 Choice of access points

• 5.1.1.2. Authority record
  – Authorized form of name for the entity
  – Variant forms of name
  – Related names
5.1.2 Authorized Headings

• Name that identifies the entity in a consistent manner, either as
  – Predominantly found on manifestations or
  – Well-accepted name suited to the users of the catalogue (e.g., “conventional name”)

• Further identifying characteristics added, if necessary, to distinguish the entity from others of the same name.
5.1.2.1 Authorized Headings

• If entity uses variant names or variant forms of name, choose one as the authorized heading for each distinct persona
  – Prefer commonly known name over official
  – Or use official name when there is no commonly known or conventional name

• If corporate body used different names in successive periods (not just minor variations) consider each a new entity and link authority records with see-also (earlier/later) references
5.1.2.2 Authorized Headings - Works

- If variant titles for one work, one title should be chosen as the uniform title.
5.1.2.3 References

• Variant forms not selected as authorized heading should be included in the authority record to be used as references or alternate display forms.
5.1.3 Language

• When name in several languages, prefer
  – Found on manifestations of expression in original language and script; but
  – If that is not language/script normally used in the catalogue, may base form found on manifestations or in references in one of the languages and scripts best suited to users of the catalogue

• Provide access in original language and scripts whenever possible
  – Either as authorized heading or reference
  – If transliterate, follow international standard for script conversion
5.2 Forms of Names for Persons

- Name consists of several words, entry word
  - follow conventions of the country and language most associated with that person, as found in manifestations or reference sources
5.3 Forms of Names for Families

• Name consists of several words, entry word
  – follow conventions of the country and language most associated with the family, as found in manifestations or reference sources
5.4 Forms of Names for Corporate Bodies

• Direct order, as found in manifestations or reference sources, except
  – Part of jurisdiction or territorial authority, heading should begin with or include the currently used form of name of the territory concerned in the language and script best suited to the needs of the users
  – Subordinate body or subordinate function or name is insufficient to identify, begin with name of superior body
5.5 Forms of Uniform Titles

• Title that can stand alone or
• Name/title combination or
• Title qualified by addition of identifying elements, e.g., corporate name, place, language, date, etc.
5.5 Forms of Uniform Titles

- Original title or
- Title most frequently found in manifestations of the work
- When there is a commonly used title in language and script of the catalogue found in manifestations or reference sources, prefer that commonly used title
6. Authority Records

• Control the authorized forms of names and references used as access points
  – Persons, families, corporate bodies, works, expressions, manifestations, items, concepts, objects, events, and places
7. Foundations for Search Capabilities

• 7.1 Search and Retrieval – by access points
  – Reliable retrieval of bibliographic and authority records and associated bibliographic resources
  – Limit search results

• 7.1.1 Searching devices
  – Full forms of names
  – Keywords
  – Phrases
  – Truncation
  – Etc.
7.1.2 Indispensable Access Points

• Main attributes and relationships of each entity
  – For bibliographic records
    • Name of creator or first named creator when >1
    • Title proper or supplied title for manifestation
    • Year(s) of publication or issuance
    • Uniform title of work/expression
    • General material designation
    • Subject headings, subject terms
    • Classification numbers
    • Standard numbers, identifiers, ‘key titles’ for described entity
7.1.2 Indispensable Access Points

- For authority records
  - Authorized name or title of entity
  - Variant forms of name or title for the entity
7.1.3 Additional Access Points

- Attributes from other areas of bibliographic description or authority record may serve as
  - optional access points or
  - filtering or limiting devices when large numbers of records are retrieved
7.1.3 Additional Access Points

• For bibliographic records include (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
7.1.3 Additional Access Points

- For authority records include (not limited to):
  - Names or titles of related entities
  - Authority record identifiers

In our initial draft we also had a section 8 for displays, but that was removed after discussion about it being too oriented towards system applications. However, the participants agreed it would be useful for IFLA to issue guidance to system designers about the desirable features of displays that would meet the objectives of library catalogs as stated at the start of these principles. There is also another IFLA Working Group that just completed a report on OPAC Displays and their report is available on IFLANET.
A very important list in the Appendix to the principles is the objectives to keep in mind when constructing cataloguing rules for cataloguing codes (see slide).

There is also a Glossary that accompanies this draft Statement of International Cataloguing Principles to help translators understand the concepts expressed in the terminology used in this statement. Hopefully you will be able to agree in terms for your various languages.

So now (if time) questions?