The International Cataloguing Principles and their future

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The Statement of International Cataloguing Principles (ICP) was published in February 2009 on the International Federation of Library Association (IFLA) website. The printed version of the ICP was published in August 2009. It includes the original text of the Statement and translations in nineteen languages.

From the IME ICC to the ICP

The ICP are the result of eight years work by the IME ICC, IFLA Meeting of Experts on an International Cataloguing Code. The idea for the IME ICC was born in 2001, forty years after the publication of the Paris Principles, the statement of principles adopted by the International Conference on Cataloguing Principles held in Paris in 1961. Natalia N. Kasparova, IFLA Cataloguing Section, proposed the convening of an international conference to discuss the Principles in the light of the significant changes which had taken place in the cataloguing environment. The idea was taken up by the IFLA Cataloguing Section, the IFLA National Libraries Section and the Deutsche Bibliothek, which decided to organize a series of meetings between 2003 and 2007. The purpose of the IME ICC was to formulate a set of principles to facilitate the international exchange
of bibliographic data and to promote standards for bibliographic records. This was based on three goals:

1. to develop a statement of international cataloguing principles designed for the current cataloging environment;

2. to harmonize national cataloguing codes;

3. to suggest a set of guiding rules for an international cataloguing code (ICC).

The first meeting (IME ICC1) was held in Frankfurt am Main 28 to 30 July 2003. It was attended by 52 cataloguing experts from 26 European countries, plus some representatives from the United States and Australia. The meeting opened with a comparative survey of the European codes aimed at verifying their degree of adherence to the Paris Principles. The comparison revealed general adherence to the Principles, with a few exceptions.\(^1\) Several background papers on important cataloguing issues were presented at the meeting.\(^2\) Other noteworthy papers dealt with the International Standard Bibliographic Description (ISBD), Functional Requirements for Bibliographic Records (FRBR) and Virtual International Authority File (VIAF). An entire day was devoted to discussions from the working groups on specific cataloging issues: personal names (Group one), corporate names (Group two), serials (Group three), multipart resources (Group four), uniform titles and general material designation (Group five). The objective was to determine whether and to what extent it was possible to harmonize the different national cataloguing rules and possibly make recommendations

\(^1\)E.g., rules for the choice and form of headings for corporate bodies, and headings for multipart resources.

\(^2\)Access points, general material designation, uniform titles, corporate bodies, main heading, bibliographic units in the digital context, language of bibliographic records, multipart resources, serials and continuing resources.
for the future ICC. During the Frankfurt meeting the first draft of the principles, *Principles for Library Catalogs and Other Bibliographic Files* (PLC), written by Monika Münnich, Hans Popst and Charles Croissantant, was also presented. The PLC were designed for the online environment, taking into consideration the distinctive features of OPACs: navigation, browsing, Boolean search, access points, authority records. These issues were addressed from both the cataloguing and the information retrieval perspective. The *Principles for Library Catalogs* were a transition text: they were intended to replace the *Paris Principles*, which they still reflected in terms of structure, and they constituted the first textual basis of the ICP. The IME ICC1 was the most important meeting of the series, both because it laid the foundations for the *Statement of International Cataloguing Principles*, and because some European and U.S. experts (Barbara B. Tillett, chair of the IME ICC Planning Committee, Mauro Guerrini and Elena Escolano Rodríguez) who participated in IME ICC1 also participated in all the subsequent meetings. The revision of the draft principles began immediately after the IME ICC1, leading to the first official draft of the *Statement of International Cataloguing Principles* (ICP2003 or *Frankfurt Principles*) in December 2003. The new title refers more directly to the *Paris Principles*. The transition from catalogue to cataloguing principles indicated a change of identity of the draft principles. Unlike the PLC, the 2003 *Statement* is addressed to the entire information community (archives, museums, etc., in addition to libraries). The 2003 *Statement* no longer refers to cataloging codes, and deletes the section on OPAC displays. Further meetings were held as follows: the IME ICC2 (Buenos Aires, August 2004, 45 participants) – the *Recommendations from the IME ICC2 for the International Cataloguing Code rules and Glossary*, a document which was intended to form the basis of the future ICC, emerged from this meeting; the IME ICC3 (Cairo, December 2005, 59 participants); the
IME ICC4 (Seoul, August 2006, 56 participants); the IME ICC5 (Pretoria, August 2007, 28 participants). An informal meeting was then held in Quebec City in August 2008. The Statement of International Cataloguing Principles assumed its final form in December 2008. It was published online in February 2009 and presented at the 75th IFLA Congress in Milan.

**The text of the Statement**

There is a line of continuity between the Paris Principles and the 2009 Statement of International Cataloguing Principles – this is testified by some passages which have remained substantially identical. However, there are also significant differences between the two texts. The ICP are designed for electronic and online catalogues. They aim to apply to any type of bibliographic resource, to any kind of library (not just research libraries, as was the case for the Paris Principles) and even to other information communities. The Paris Principles and their theoretical bases (Charles A. Cutter, Seymour Lubetzky, Eva Verona) remain an important reference for the ICP, but they are complemented by new references: the IFLA’s conceptual models Functional Requirements for Bibliographic Records (FRBR) and Functional Requirements for Authority Data (FRAD), the work of Elaine Svenonius and the ISBD. The ICP extend the Paris Principles, which only concerned the choice and form of the heading, to every aspect of descriptive cataloging. They include directions for authority records and express their intention to apply to subject indexing. The ICP extend the finding (to find a book of which either the author, title or subject is known) and collocation (to find all books by a particular author, on a particular subject or kind of literature) functions of the Paris Principles with the functions of FRBR (Find, Identify, Select and Obtain a bibliographic resource), in a perspective that
emphasizes the centrality of the user. The ICP combine guiding rules for cataloguing codes, already present in the Paris Principles, with some directions for OPAC search capabilities. Finally, the ICP update the terminology: they drop the term “heading” in favour of “access point”. Wherever possible, they prefer the term “bibliographic data” to “bibliographic records”, in line with the trend of current catalogs, that focus on individual data rather than on bibliographic records. Let us look more closely at the text. After the Introduction and the Scope, the 2009 Statement introduces a set of General Principles derived from the work of Svenonius. The principles represent a synthesis of Anglo-American cataloguing theory and S.R. Ranganathan’s thought, in addition to some general logical principles derived from Gottfried Wilhelm Leibniz. The most important principle is the convenience of the user. The section Entities, Attributes and Relationships, based on FRBR and FRAD, summarizes the different aspects of the object of cataloguing. It therefore constitutes an important change from the Paris Principles, which only spoke of “book” and “work”. The section Objectives and Functions of the Catalogue is also derived from Svenonius, who merges FRBR functions with those of the Paris Principles, adding the navigation function: “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” entities. As for the Bibliographic Description, the ICP state that each manifestation should have a separate description. The bibliographic description should be based on the item (copy) as representative of the manifestation (publication) and should conform to an international standard (ISBD, as explained in a note). Access Points is the central and largest section of the ICP. It includes directions for the choice and form of access points, as well as for authority records. The 2009 Statement no longer speaks of headings: neither
the term "main heading", conceptually and technically obsolete, nor the term "uniform heading" are used. Uniform headings are replaced by "authorized access points", which can be expressed in the original language or not – uniformity is retained locally but not internationally, in line with the course inaugurated by MLAR, Minimal Level Authority Records, and VIAF. The basis for access points for personal names is no longer the person, but the bibliographic identity (persona) assumed by the author in one or more resources (e.g. "Charles Lutwidge Dodgson" for the mathematical works but "Lewis Carroll" for Alice). The Foundations for Search Capabilities section provides guidance on what to include in OPAC interfaces and records. The 2009 Statement includes a Glossary, whose first version was published separately in 2004. The Glossary defines all the terms used in a specific way within the ICP. In addition to preferred and non-preferred entries, it includes a section of terms no longer in use, i.e. terms used in earlier versions of the Statement but then deleted.

**Unsatisfactory aspects of the ICP**

Some aspects of the 2009 Statement are not entirely satisfactory. The first is the ambiguity of the ICP objectives, which derives directly from the duality of goals of the IME ICC. The ICP are presented as a set of cataloguing principles on the one hand and as a set of directions for the construction of an international cataloguing code on the other. This is connected to the second unsatisfactory aspect of the Statement – the apparent absence of an overall theoretical vision. Several completely different levels coexist within the ICP: principles of a general nature (General Principles); conceptual models (Entities, Attributes and Relationships, Objectives and Functions of the Catalogue); cataloguing rules (Bibliographic Description, Access Points); and directions for OPAC interfaces and displays (Foundations for Search
Capabilities). Furthermore, a significant part of the ICP is derived from other authors or texts – Svenonius (General Principles, Objectives and Functions of the Catalogue), FRBR (Entities, Attributes and relationships, Objectives and Functions of the Catalogue), ISBD (Bibliographic Description) – without the reworking that this operation requires. The decision to base the IME ICC working groups – whose work has in some cases (seriality, multipart resources, general material designation) been absent from the final version of the Statement – on particular cataloguing issues has perhaps contributed to the lack of an overall theoretical vision. Other areas for improvement in the Statement are: the lack of directions for the management of local variants; the treatment of bibliographic description, which is only hinted at in the text; the emphasis on the convenience of the user, which is too vague to be useful: if nothing else the identity of the user should have been specified – the local or remote user, the final or professional user (catalogers, reference librarians, etc.). Finally, a number of points are underdeveloped. The Statement declares its intention:

1. to apply to all kinds of bibliographic resources;
2. to apply to all aspects of cataloguing, including subject cataloguing;
3. to be suitable for archives, museums, and other communities.

But these statements do not result in anything specific. The first point is pursued only through the adoption of a more generic terminology – "resource" instead of "book", "creator" instead of "author", etc. The second point remains a mere aspiration: potentially important reference texts, such as the SHLs issued by the IFLA in 1999, have been neglected. As for the third point, the language and conceptual references of the ICP are still cataloguing-specific, not archival or museum-specific.
The future of the ICP

The IFLA Cataloguing Section has announced its intention to continue the work on the ICP through the revision of the 2009 *Statement* and further development of the ICC. The IFLA Cataloguing Section has produced several documents that provide information about the future of the ICP. The *IME ICC 2008 Resolution* is a declaration included in the final part of the *Statement*. The *Resolution* stated its intention to continue to revise the ICP in relation to the developments in cataloguing and in the IFLA’s conceptual models. Other important information on the future of the ICP came from the IFLA Cataloguing Section *Strategic Plan 2009/2011*, whose first goal was to ”promote the development and maintenance of the Statement of International Cataloguing Principles”. The *Strategic Plan 2009/2011* confirmed the need to revise the ICP on a five-year basis. This intention is also confirmed by the *Strategic plan 2011/2013*, which states its intention to form a working group to assess the expediency of clearly separating the specific cataloguing rules from the principles and of expanding ”the statement further towards becoming” a complete cataloguing code. These objectives were confirmed by the IFLA Cataloguing Section *Annual Report 2011* and by the *Minutes* of the Cataloguing Section meeting at the 77th IFLA Congress in Puerto Rico. During the Congress, the working group for the revision of the ICP was formed (members: Agnese Galeffi, Dorothy McGarry, and David Reser). The revision should begin in 2014. How should these statements be evaluated? The proposal to revise the ICP and, in particular, the idea of separating the principles from the cataloguing rules, is sound and desirable, given that some aspects of the Statement are unsatisfactory. The idea of creating the ICC requires more caution. While it is remarkable, this idea runs into several difficulties: the preparation of the RDA, *Resource Description and Access*, the new international cataloguing standard, and, in Italy, of the REICAT,
Regole italiane di catalogazione, the new Italian cataloguing rules, had already started by the time IME ICC’s work began. Who therefore were the ICP directions for the construction of cataloguing codes directed at? The authors of the new rules (already underway)? Or a working group with the task of drawing up another international cataloguing code? Despite the RDA mentioning the ICP as one of their sources, which might suggest that the RDA are themselves the desired ICC, the recent documents from the IFLA Cataloguing Section support the second hypothesis (an international cataloguing code drawn up by an IFLA working group). The drafting of an international code is a challenging undertaking, hardly achievable by an IFLA working group without outside help and international consensus. A first attempt to draw up the ICC, started with the IME ICC2 Recommendations, has not been followed up. It is currently difficult to obtain an international consensus, since the RDA have the support of some of the most important libraries (the Library of Congress, U.S. National Agricultural Library, National Library of Medicine, British Library, Libraries & Archives Canada, Deutsche Nationalbibliothek and the National Library of Australia will officially adopt the RDA by the first quarter of 2013) and library associations, and will be used in a significant part of Europe. The RDA carry on the tradition of the world’s most widespread cataloguing rules (AACR2) and are a conceptually revolutionary cataloguing code, based on the IFLA’s conceptual models. Only should the RDA fail to become the de facto ICC – at the moment a remote hypothesis – would the idea of drawing up a cataloguing code become realistic. In all other cases, it seems more appropriate to reject the idea of drawing up the ICC, and to aim towards making the ICP a space for theoretical reflection.

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an ideal term of reference for all cataloguing codes, beginning from the RDA and their future updates.

**ICP bibliography**


Weihs, Jean e Lynne C. Howarth. «Uniform titles from AACR to


Works cited


G. Genetasio, *The International Cataloguing Principles and their future*


ABSTRACT: The article aims to provide an update on the 2009 Statement of International Cataloguing Principles (ICP) and on the status of work on the Statement by the IFLA Cataloguing Section. The article begins with a summary of the drafting process of the ICP by the IME ICC, International Meeting of Experts on an International Cataloguing Code, focusing in particular on the first meeting (IME ICC1) and on the earlier drafts of the 2009 Statement. It then analyzes both the major innovations and the unsatisfactory aspects of the ICP. Finally, it explains and comments on the recent documents by the IFLA Cataloguing Section relating to the ICP, which express their intention to revise the Statement and to verify the convenience of drawing up an international cataloguing code. The latter intention is considered in detail and criticized by the author in the light of the recent publication of the RDA, Resource Description and Access. The article is complemented by an updated bibliography on the ICP.

KEYWORDS: Cataloguing; ICP; IFLA; International Cataloguing Principles; Library theory