

# Chinese Cataloging Rules and International Cataloging Principles

## A Report of Similarities and Differences

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Modern Chinese library cataloging practices were developed from Western practices and rules of library cataloging. In a long period of time, various major libraries had their own cataloging rules and no unified national rules existed.

During June 1994-October 1995, the National Technical Committee for Information and Documentation Standardization and the Library Society of China jointly sponsored and pushed to organize an editorial board of *Chinese Cataloging Rules*, which was published in 1996, just before the 62nd IFLA General Conference in Beijing. *Chinese Cataloging Rules* was based mainly on ISBDs and AACR2, with the consideration of Chinese characteristics and without the consideration of the concept of main entry.

The second edition of *Chinese Cataloging Rules* was published in 2005. The National Library of China organized the revision work, and experts from major libraries and academic institutions participated in the work. Since then, there have been quite a lot of controversies over the use of the rules, which are focused on the internationalization and national characteristics. All people talked about internationalization and ISBD. But they have different points of view about the Chinese characteristics and different ways of understanding about the articles in ISBD.

This paper is to compare *International Cataloging Principles* and *Chinese Cataloging Rules*, and analyze their differences. It is jointly written by Prof. Songlin Wang (uniform titles and GMD), Ms. Qinfang Xie (personal names and serials), Mr. Shaoping Wang (corporate bodies and multi-part structures) and Dr. Ben Gu (descriptive cataloging and personal names). Through such cooperation, we are trying to reflect the actual situation in China and considering a national coordination in the near future.

Some abbreviations:

CCR1 = Chinese Cataloging Rules (1st edition) (1996)

CCR2 = Chinese Cataloging Rules (2nd edition) (2005)

PP = Paris Principles (1961)

ICP = International Cataloging Principles (April 2006)

ISBD = International Standard Bibliographic Description

NLC = National Library of China

CALIS = China Academic Library & Information System

### I. Bibliographic Description

According to ICP (4.2), “Descriptions may be at several levels of completeness, based on the purpose of the catalogue or bibliographic file”. CCR2 is generally in accordance with ISBDs, but

there are still small differences, such as the prescribed source of information for Title and Statement of Responsibility Area of monographs. In CCR2 it is title page or title page substitute (in CCR2, title page substitute is not clearly defined as the source when title page does not exist or cannot be used), while ISBD uses title page. In CCR2, the prescribed source of information for Edition Area is “colophon, title page”, while in ISBD(M), it is “Title page, other preliminaries and colophon”.

Based on the different ways of understanding and different rules, there are different descriptions:

Ex.:

西文文献著录条例：修订扩大版。-1版 (NLC record)

西文文献著录条例。-- 修订扩大版 (CALIS record)

In the above example, “修订扩大版” (revised and expanded edition) appears on the title page. NLC follows CCR2, while CALIS doesn't.

From this example, we can see the differences in rules of different libraries or library consortia. For those who agree that the prescribed source of information for Edition Area should be title page, they think we should be in accordance with ISBDs, use a single information source, and use colophon for title-page substitute only when calligraphy appear on title page. For those who insist on using colophon as prescribed source of information, they think that Chinese characteristics are very important to Chinese librarians, and colophon provides the most accurate information, because it contains the information for publication registration at the General Administration of Press and Publication.

We think that there are some special characteristics in Chinese publications, which should be considered seriously. However, we should also determine what is really “Chinese”, and should unify all the different rules. Otherwise, there will be problems in data exchange.

## II. Personal Names

In this part, we compare CCR2 Chapter 22 (Personal Name Headings) and Chapter 25 (References) with PP and ICP.

1. Main entry: CCR2 doesn't use the concept of main entry and doesn't use name-title heading. In ICP, the concept of heading is weakened, and the concept of access point is used instead. During the revision of CCR2 in 2004, Prof. Wang Songlin proposed to use the concept of major access point and minor access point to replace the concept of heading. The idea is similar to ICP, but it was not accepted then.
2. Access points: Basically similar. In CCR2, the numbers of access points can be decided by cataloging agencies.
3. Choice of headings: Basically similar to ICP.
  - a) According to Chinese custom, we use the form of director order: family name + given name, without a comma between them.
  - b) For names of ethnic minority people in China, we use the forms preferred by the authors and the forms used by most people, such as 强巴坚赞 and 阿沛·阿旺晋美.

- c) For names of people in foreign countries, we use the family names as entries such as 莎士比亚 for William Shakespeare, with the original names and dates to distinguish different individuals. This is different from the PP (selecting the original form of name). Sometimes, we use the forms appearing at the manifestations, such as 萨巴哈丁·阿里 for Sabahattin Ali, where family names are not identified. We also use the conventional forms for some people, such as 大仲马 and 小仲马 respectively for the two Alexandre Dumas.
4. Heading entries: According to conventional practices, heading entries should begin with family names, while in CCR2 names are preceded with dynasties (such as 唐), countries (such as 美) and Buddhist prefix (such as 释).
  5. Differentiation: According to AACR2(2002R) (22.17-22.20), personal names are distinguished by dates, fuller forms and distinguishing terms. If differentiation is impossible, the same heading should be used. In China, family names are comparatively limited, and there are many people using the same names. Especially for names with two Chinese characters, the percentage of people using the same name are extremely high. There are controversies about whether name authority records should be created for all headings. If yes, we will have to establish some authority records with a kind of subject differentiation method and without any real identification, because it is almost impossible to find biographical information for all individuals.

Ex.:

李伟 (音乐)  
 李伟 (大学教师)  
 李伟 (高等数学)  
 李伟 (石油工业)

The present practices of using subject differentiation are not in accordance with AACR2. It will also cause problems, such as the selection of authorized subject terms and the instability of subject terms concerning a person.

We are considering other possible methods, such as professions + subjects, but there is no consensus yet.

### III. Corporate Bodies

1. Definition of corporate body: Similar to that of the PP (9.1), but not including ships and airplanes, etc.
2. Access points: CCR2 is similar to the PP. In the PP, there are some articles relating to the choice of main entry and added entry, while in CCR2 there are articles specifying mandatory and optional access points. Access points for corporate bodies should be selected for responsibilities reflecting collective thought or activity (CCR2, 23.1.1.2 ). ICP doesn't mention main entry, but uses the concepts of indispensable access points and additional access points (7.1). This is similar to CCR2. However, CCR2 has broader meaning for creators, which include authors, editors, etc., and can have multiple indispensable access points.
3. Numbers of access points: CCR2 specifies individual responsibilities, cooperative responsibilities and mixture responsibilities. Catalogers can determine the numbers of access points according to the types of responsibilities.

4. Forms of headings for corporate bodies: similar to the PP and ICP. However, CCR2 use Chinese translated or transliterated names for names of foreign corporate bodies.
5. Change of names: similar to the PP and ICP, but without explanation of significant name change and minor name change.
6. Subordinate bodies: similar to the PP (9.6) and ICP (5.4.1), but without punctuation between different levels of headings. In CCR2, there is no requirement to use jurisdiction name before name of corporate bodies, and armed forces are not considered to be government agencies. This is different from the rules in the PP (9.62) and ICP (5.4.1.1), which require jurisdiction names before name of government agencies.
7. Special rules: CCR2 has some special rules for corporate bodies, and uses a kind of “structured” headings, which are not in accordance with general principles of authorized headings. For example, CCR2 (23.2.3.3d) states that the National Committee of the 中国人民政治协商会议 (Chinese People’s Political Consultative Conference) uses full names (中国人民政治协商会议全国委员会), while provincial and municipal committees use a kind of abbreviated names “政协”, such as 中国人民政治协商会议河北省委员会 - 政协河北省委. Corporate bodies and the subordinate bodies cannot be display together in OPAC. Another example is 中国作家协会上海分会 abbreviated as 中国作协上海分会.

#### **IV. Seriality**

1. Change of title: In CCR2 (11.1.1.14/a., p.227), if a publication has any changes in title proper, the title proper is regarded to be changed, and a new entry should created for the new title. This is not in accordance with ISBD(CR). However, in CCR2 (11.7.1.3/f. (a)), there is also a sentence “if there are any major changes in the title proper of a serials, a new record should be created”, which is similar to ISBD(CR).
2. Integrating resources: If there are any changes in edition information in later issues of integrating resources, there is no need to create a new record, but the edition area should be given according to the latest issue. Although CCR2 doesn’t explain major and minor changes of integrating resources, we can see that CCR2 regards changes in editions to be minor changes. This is not fully in consistency with ISBD(CR) (0.12.3 and 0.13.2).
3. Problems of university journals: In China, university journals usually have “social science edition”, “science edition”, etc. This information should be described as edition statement or as name of part. In CCR2, it is not clearly explained.
4. ISSN: Some Chinese journals have minor changes in titles and edition statements, but the ISSN has been changed. We recommend ISBD(CR) to consider any ISSN change as a major change.

Ex.:

ISSN: 1001-3172

Title: 财务与会计

Changes in 2002:

ISSN: 1009-7546

Title: 财务与会计导刊

5. Latest title: If there are any minor changes, latest titles are described in note areas, and access points are provided. At present, the access points are provided in field 246 in MARC21 and in

field 517 in UNIMARC, which are “variant titles” and cannot be displayed properly in OPAC. We recommend using a new field for this title.

6. Chinese characteristics: Some special characteristics in Chinese periodicals are not mentioned in ISBD(CR). For some Chinese journals, changes in other title information can be regarded as major changes. For example:

地球科学 : 武汉地质学院学报

Chnaged into

地球科学 : 中国地质大学学报

where the other title information mentions the corporate body responsible for the journal has been changed.

## V. Multipart structures

1. Types: As we understand, multipart structures include multipart documents, collections, etc., and does not include kits, multimedia, and document without a title proper.
2. Description methods
  - a) Description as a whole (centralized description): “Multivolume materials can be described in a single bibliographical record, with the common title of all volumes as the title proper. Individual titles, publication dates and physical descriptions of all parts can be recorded in note area.” (CCR2, 1.11.1) This is often used when all volumes of a complete set are checked and cataloged at the same time.
  - b) Multi-level description: CCR2 and ISBD(G) both mentioned multi-level description.
  - c) Separate description: If individual parts can be described independently, we can regard titles of individual parts as titles proper and the common title as series title (CCR2, 1.11.2). This is often used when parts or volumes of a set of publication arrive not at the same time and when the parts/volumes have their own titles.
3. Level of description (works, expressions, manifestations):

Generally, CCR2 uses centralized description and separate description (or analytic description) to reveal individual works in a multivolume publication. By adding access points, notes, analysis, and other methods to link the whole publication and its parts, we can realize user task to search particular documents and find identical or related works.

In CCR2, there are no rules for several expressions of the same work and several manifestations of the same expression and same work. Generally, it requires a separate record for each manifestation. We think that we should think a new FRBR-based model of OPAC display for different level of Group I entities to solve the problem of whole-part relationship.

## VI. Uniform Titles

1. Uniform Titles and Their Types in Chinese Cataloging

- a) Uniform Titles in Chinese Cataloging

From the international perspective, the PP proposes the concept of uniform headings. That is to say, when the name of an author is selected to be the main entry, a uniform heading is selected, and when a title is selected to be the main entry, the uniform title is selected to be an added entry, or the uniform title is selected to be the main entry with other titles as added entries.

The concept of uniform titles in Chinese cataloging began with CCR1 (23.4.2.2 and 23.4.2.3). The use of uniform title is determined according the famousness of the author, the number of editions or translations of the work, whether the original work is in a foreign language, and whether there is a need for centralized search for the various editions or translations. In CCR1 (23.4.2.3), uniform titles are determined according the following orders: most famous title, commonly used title, original title.

Similar to the description of name of personal and corporate bodies, uniform titles in Chinese cataloging are not differentiated into main entry and added entry.

#### b) Type of Uniform Titles in Chinese Cataloging

Although there is no clear description CCR1 for the types of uniform titles, CCR2 clearly states “uniform titles include the uniform titles for monographs, the uniform titles for continuing resources and the uniform titles for series. Further, the uniform titles for monographs are divided into the uniform titles respectively for literary works, religious works and musical works. The uniform titles for continuing resources and series are used only when these continuing resources or series have identical titles. All these uniform titles are recorded in the field 500 of CNMARC (UNIMARC), while some people think that the uniform titles (key titles) for serials should be recorded in field 530.

In China, collective uniform title and uniform conventional heading are not used. Therefore, we didn't see 501 and 503 fields in CNMARC records, although we can theoretically use the following description:

Ex.:

200 1#\$a 巴金经典

501 1#\$a 巴金选集

We should point out that Chinese librarians haven't used the collective uniform titles for laws, constitutions, treaties, etc.

## 2. Characteristics and Problems of Uniform Titles in Chinese Cataloging

### a) Characteristics

We talk mainly about the uniform titles for the same work with different editions and languages. This kind of uniform titles can be divided into the uniform titles for different editions and the uniform titles for different languages. The former ones show some Chinese characteristics, while the latter ones propose some problems to be discussed.

Examples for the first type (different editions) are:

- 《红楼梦》、《石头记》、《情僧录》、《风月宝鉴》、《金陵十二钗》、《金玉缘》等。
- 《儿女英雄传》、《侠女奇缘》等。
- 《喻世明言》、《古今小说》等。

They have different titles for the same work. We choose the most influential titles to be the uniform titles (first ones in the above list). This kind of uniform title can also be used for titles with different prefixes and suffixes, such as:

- 《绣像红楼梦》
- 《乾隆抄本百廿回红楼梦手稿》
- 《脂砚斋重评石头记》
- 《程甲本红楼梦》
- 《四十八本红楼梦》

Actually, this kind of uniform title can also be used for titles preceded by some unimportant information. For example:

- 《全国优秀报告文学评选获奖作品集》、《1983-1984 年全国优秀报告文学评选获奖作品集》、《1985-1986 年全国优秀报告文学评选获奖作品集》。
- 《四库全书》、《钦定四库全书》、《续修四库全书》、《文渊阁四库全书》。
- 《拍案惊奇》、《初刻拍案惊奇》、《二刻拍案惊奇》、《三言二拍》。

#### b) Problems (Different Languages):

Problems in using uniform titles in Chinese cataloging are mainly reflected in the uniform titles for works in different languages. For example, NLC uses the Chinese translation for the uniform title, while CALIS plans to use the original title for the uniform title.

Ex.:

NLC record:

200 1#\$a 来自地狱的女人\$9lai zi di yu de nü ren\$f 谢尔顿\$g 吕明, 顾尔历译

304 ##\$a 题名原文: If Tomorrow Comes

500 10\$a 假如明天来临\$9jia ru ming tian lai lin

CALIS record:

200 1#\$a 王子复仇记\$Awang zi fu shou ji\$d= Hamlet, prince of Denmark\$f 赖世雄编著\$zeng

500 10\$a 哈姆雷特\$Aha mu lei te

ICP (5.5.1) states “The uniform title should be the original title or the title most frequently found in manifestations of the work except when there is a commonly used title in the language and script of the catalogue, preference should be given it”. In a card catalog using a single script, there is no problem in using Chinese titles as uniform titles. But in a multilingual online catalog, shall we use the original title as the uniform title? For example:

- *Jane Eyre*, 《简爱》、《简爱自传》、《孤子飘零记》等。
- *Tess of the d'Urbervilles*, 《苔丝》、《黛丝姑娘》、《黛斯姑娘》、《德伯家的苔丝》、《德伯家的苔丝——一个纯洁的女人》等。
- *Thais*, 《黛丝》、《黛依丝》、《女优泰倚思》等。

## VII. GMD

### 1. GMD in Chinese

CCR1 and CCR2 use a concept of general document type designation (GD TD, 一般文献类型标识) for GMD. GD TD is described according the Chinese national standard GB 3469-83

(Document types and document media codes):

| Serial No. | Name    | Abbreviation | Code |   | English               |
|------------|---------|--------------|------|---|-----------------------|
| 1          | 专 著     | 著            | ZZ   | M | Monograph             |
| 2          | 报 纸     | 报            | BZ   | N | Newspaper             |
| 3          | 期 刊     | 刊            | QK   | J | Journal               |
| 4          | 会 议 录   | 会            | HY   | C | Proceedings           |
| 5          | 汇 编     | 汇            | HB   | G | Collection            |
| 6          | 学位论文    | 学            | XL   | D | Dissertation          |
| 7          | 科技报告    | 告            | BG   | R | Technical report      |
| 8          | 技术标准    | 标            | JB   | S | Technical standard    |
| 9          | 专利文献    | 专            | ZL   | P | Patent                |
| 10         | 产品样本    | 样            | YB   | X | Product sample        |
| 11         | 中 译 本   | 译            | YW   | T | Chinese translation   |
| 12         | 手 稿     | 手            | SG   | H | Manuscript            |
| 13         | 参考工具    | 参            | CG   | K | Reference             |
| 14         | 检索工具    | 检            | JG   | W | Retrieval tool        |
| 15         | 档 案     | 档            | DA   | B | Archive               |
| 16         | 图 表     | 图            | TB   | Q | Table                 |
| 17         | 古 籍     | 古            | GJ   | O | Ancient book          |
| 18         | 乐 谱     | 谱            | YP   | I | Printed music         |
| 19         | 缩微胶卷    | 卷            | SJ   | U | Microfilm             |
| 20         | 缩微平片    | 平            | SP   | F | Microform             |
| 21         | 录 音 带   | 音            | LY   | A | Audio tape            |
| 22         | 唱 片     | 唱            | CP   | L | Sound disc            |
| 23         | 录 像 带   | 像            | LX   | V | Video tape            |
| 24         | 电 影 片   | 影            | DY   | Y | Movie film            |
| 25         | 幻 灯 片   | 幻            | HD   | Z | Slide                 |
| 26         | 其他（盲文等） | 他            | QT   | E | Other (Braille, etc.) |

In practices, different libraries have different ways of using GDTD. Some libraries define new GDTDs for new media or new types of documents.

GDTD cannot describe all types of documents. Sometimes, we have to use media codes in GB 3469-83. In CNMARC records, 200\$b should describe material types corresponding to GMD in ISBD. For ISBD, there is a GMD list:

| Material Types | MT (English)             | GMD  | GMD (English)         |
|----------------|--------------------------|------|-----------------------|
| 专著出版物          | Monographic publications | 印刷文本 | printed text          |
| 古籍（善本）         | Ancient books            | 印刷文本 | printed text          |
| 连续出版物          | Serials                  | 印刷文本 | printed text          |
| 测绘资料           | Cartographic material    | 测绘资料 | cartographic material |
| 乐谱             | Printed music            | 印刷乐谱 | printed music         |
| 电子资源           | Electronic resource      | 电子资源 | electronic resource   |
| 图卡             | Graphic card             | 图卡   | graphic               |

| <b>Material Types</b> | <b>MT (English)</b> | <b>GMD</b> | <b>GMD (English)</b> |
|-----------------------|---------------------|------------|----------------------|
| 全息照片                  | Holographic photo   | 全息照片       | hologram             |
| 缩微制品                  | Microform           | 缩微制品       | microform            |
| 电影制品                  | Motion picture      | 电影制品       | motion picture       |
| 模型制品                  | Model               | 模型制品       | object               |
| 录音制品                  | Sound recording     | 录音制品       | sound recording      |
| 录像制品                  | Video recording     | 录像制品       | video recording      |
| 投影制品                  | Visual projection   | 投影制品       | visual projection    |
| 配套资料                  | Kit                 | 配套资料       | kit                  |
| 多载体                   | Multimedia          | 多载体        | multimedia           |

## 2. Some Issues Concerning GMD

In international perspective, neither GMDs in Chinese cataloging nor GMDs in AACR2 are in accordance with ISBD. Even in AACR2, the GMDs used by British, Australian, Canadian, and American librarians are different.

### List 1 (Australia, Canada and UK)

braille  
cartographic material  
electronic resource  
graphic  
manuscript  
microform  
motion picture  
multimedia  
music  
object  
sound recording  
text  
videorecording

### List 2 (USA)

activity card  
art original  
art reproduction  
braille  
cartographic material  
chart  
diorama  
electronic resource  
filmstrip  
flash card  
game  
kit  
manuscript  
microform  
microscope slide  
model  
motion picture  
music  
picture  
realia  
slide  
sound recording  
technical drawing  
text  
toy  
transparency  
videorecording

To solve the problem of the confusion and inconsistency in using GMDs in the world, we

recommend strengthening the use of GMDs or drafting internationally acceptable GMDs. If we consider drafting of new GMDs, we recommend reviewing the types of expressions in FRBR, because we haven't made clear how many expressions there are for a work. Therefore, we are often faced with difficulty in our practices.