From Maunsell to Lubetzky: A journey back in search of the root of FRBR among the cataloguing codes of Anglo-American origin

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IFLA's FRBR (Functional Requirement for Bibliographic Records) has been widely accepted as providing a sound conceptual model for a new generation of bibliographic records. A lot of development has taken place in the field of cataloguing with the acceptance of FRBR. Changes of terminologies and concepts in the existing cataloguing codes are under way and even new cataloguing codes are being published. Although IFLA has designed this conceptual bibliographic model very recently for the versatile bibliographic universe of 21st century, the root of FRBR can be traced far back in the cataloguing of the 16th century. This paper is a study in search of the root of the literary unit concept on which the Functional Requirements for Bibliographic Records (FRBR) has been devised. For this a thorough discussion has been made about the presence of the concept among the cataloguing codes of Anglo-American origin. The discussion starts with the 16th century code *Catalogue of English Printed Books* by Andrew Maunsell and carries till Lubetzky of recent times.

**Keywords:** FRBR; Literary unit concept; Bodleian catalogues

**Introduction**

The international community of cataloguing for the first time came together under the umbrella of IFLA to propound a set of principles for the development and formulation of cataloguing rules that would help them for easy and hassle free interchange and sharing of bibliographic data in the year 1961. This was famous as Paris Principles. Later cataloguing codes like AACR2 were built based on these principles. This Conference (ICCP)\(^1\) has been a landmark in the history of modern cataloguing. Another milestone in the journey of IFLA had been passed in 1997 when the report of the study about the ‘functional requirements for bibliographic records’ (FRBR)\(^2\), undertaken in 1992 was published.

FRBR is an entity relationship concept for description of bibliographic data. FRBR is a conceptual entity relationship model designed by IFLA Study Group on Functional Requirements for Bibliographic Records (FRBR), for the bibliographic universe, intended to be independent of any cataloguing code. FRBR deals with entity relationship concept that identifies the relationship among entities of a bibliographic record, i.e., relationship between the works, their creators and their subjects to assemble and organize literary units. The book in hand here is considered not as a single item but as a representative of a literary unit. The duty of the cataloguer is to assemble these literary units issued in various forms, under a single caption. Although IFLA has designed it very recently for the versatile bibliographic universe of 21st century, the root of FRBR can be traced far back in the cataloguing of the 16th century.

The most important part of this study is the journey back to the root of the literary unit concept on which the Functional Requirements for Bibliographic Records (FRBR) has been devised. It has been found that FRBR which IFLA devised in 1997 has its root in the late 16th century and from then on it had reminded its presence in almost all the renowned codes of modern period. The first formulation of the idea of assembling literary units under a single heading can be seen in 1595 by Andrew Maunsell, in his code *Catalogue of English Printed Books*.

**Historical Background**

The first formulation of the idea of assembling literary units under a single heading can be seen in 1595. It was Andrew Maunsell, who in his code *Catalogue of English Printed Books* in 1595 used the uniform heading ‘Bible’ to assemble its various versions and translations together, although not much instance of its acceptance to the cataloguing community can be traced till 1674.
Thomas Hyde, the Librarian of the Bodleian from 1665 to 1701 assembled the literary units of a given author (except pseudonymous works) under a uniform heading where the titles were arranged in a chronological order. According to Julia Pettee, Thomas Hyde formulates the first principles of modern cataloguing— that the cataloguer should recognise and assemble literary units under a single caption.

Panizzi in the mid nineteenth century bore the legacy of the Bodleian in his famous XIC Rules where he wanted to include all the information regarding the peculiarities of different editions of a work in the library catalogues. After Panizzi, Jewett, Cutter, ALA and very recently Lubetzky in the International Conference on Cataloguing Principles (ICCP, 1961) spoke in favour of literary unit concept. It was thoroughly discussed in the International Conference on Cataloguing Principles of 1961 held in Paris, but neither was it adapted by IFLA nor was implemented in AACR1 (1967) or AACR2 (1978) which were based mainly on Paris Principles.

Catalogue of English Printed Books

The sixteen century library catalogues were unable to serve the stalwarts like Scaliger, Galileo, Grotius, Descartes, Bacon and Kepler. The library catalogues, more specifically, the then cataloguers could not keep pace with the enthusiasm for the scholarship and intellectual activities of the period. Sometimes the scholars themselves and the book sellers pointed out to the libraries the potentialities of library catalogue. It was Andrew Maunsell, who first tried to assemble and organise literary units in cataloguing as early as in 1595. Maunsell, who was an English bookseller, compiled *Catalogue of English Printed Books* and in the preface stated his rules for entry. He was the first to set up the principle of uniform heading, where he used the heading ‘Bible’ to assemble its various versions and translations. Among many other rules, he advocated for the entry of personal names under surnames rather than Christian names.

Maunsell’s code was neither immediately, nor universally adopted by librarians and bibliographers. As Strout mentioned, “even after the way had been pointed out, it was by no means followed by the majority of cataloguers. The great and seemingly obvious improvements in cataloguing which appear in Maunsell’s code were neither immediately nor universally adopted by librarians and bibliographers.” Only an extended use of this ‘literary unit’ concept can be found in the Bodleian Catalogues compiled by Thomas Hyde and published in 1674 which was further enhanced by Cutter in his *Rules for a Dictionary Catalogue* (RDC).

Bodleian Catalogues

In the history of modern cataloguing, the Bodleian Catalogues of 1674 and 1738 played a significant role that had a far reaching impact upon the cataloguing practice of that period and subsequently. Bodleian catalogues of 1674 and 1738 bears the signature of the craftsmanship of the then cataloguers who provided ample provision in their catalogues to disseminate right document to the right people within the least possible time and with minimum effort. Which is most interesting is that this century old catalogues have a lot of characteristic features which are similar, or as good as that of the IFLA’s latest introduced cataloguing concept FRBR, i.e., recognition of literary unit concept, where a book is treated as representative of a literary unit (work). “The preface to the 1674 catalog and the structure of both catalogs show an awareness of an important question now being raised in modern cataloguing theory: the distinction between ‘book’ and ‘work’.”

Thomas Hyde, Librarian of the Bodleian Library should be regarded as the father of the entity relationship concept. Although Maunsell in 1595 had used the heading ‘Bible’ to assemble its different versions and translations, he kept his use limited within the entry of Bible only. It was Hyde who extensively used the concept whenever assembling the different versions, translations and forms of the works belong to a certain author.

Thomas Hyde, the Librarian of the Bodleian from 1665 to 1701 assembled the literary units of works of a given author (except pseudonymous works) under a uniform heading where the titles were arranged in a chronological order under that heading. According to Pettee, Thomas Hyde formulates the first principles of modern cataloguing— that the cataloguer should recognise and assemble literary units under a single heading. Under such a heading titles were as a rule arranged in a chronological sequence.
Frost contradicts Verona, “It is true that we do not find in Hyde's preface any formulation of a rule for assembling literary units under a single heading. However, he does express a concern for the problem which occurs when different editions of a work appear under different titles and, accordingly, he attempted to place together all the editions in different forms so that there is the least possibility of error on the part of the reader:

... omnes illas Editiones diversiformis enuntiata, Lectoris ob oculus simulposui...

He illustrates this point with an example of a work which is entitled in one edition Paratitlorum libri tres, but which in subsequent editions is called more correctly Collectionem Constitutionum Ecclesiasticarum. In the catalog, this appears as:

Theodorus BALSAMON ...
Collectio Constitutionum Ecclesiasticarum, Gr. Lat. e Cod. Dig. & Novellis Justiniani, (a Leunclavio olim edita sub nomine Paratitlorum,) cum Notis Leunclavii & Fabroti...

Another example which Hyde mentions is the dissertations of Maximus Tyrius which are sometimes called Sermones and sometimes Disputationes. Frost after studying examples from the catalogs rightly observed that, “Although there is no uniform heading to identify the different versions of a work, the concept of a literary unit is still recognizable in the arrangement of the titles.” He was absolutely right when he opined that “Chronological order is apparently not the prime determinant as Verona suggested.” Chronology was not always followed strictly whenever arranging the entries in the catalogues. It can be substantiate with examples from 1674 catalogue:

Rob. BELLARMINUS...
Doctrina Christina...1613.
Et Grace...1637.
Same in English, out of Italian by R. Hadock...
Same with Pictures...1614

Further study proves that the Bodleian catalogues was not far behind of today’s FRBR centered catalogues that speaks of ‘work’ ‘expression’ ‘manifestation’ and ‘item’. Although these exact terms were not very much in use then, the Bodleian catalogues provided the readers means to select their desired item from among the different versions, editions and translations of the same work which it used to group together in its author and title catalogue. Let us see how the sixteen versions of Ovid's Metamorphoses are grouped together there:

Publius OVIDUS ...
Metamorphoses: ex recognitione Jo. An. Episcopi Alerien in Cyrno ... 1471 ...
Les Metamorphoses en Latin & Francois: avec de nouvelles Explications Historiques &c. sur toutes les Fables; de la Traduction de Mr Pierre du Rye ... 1677 ...
Le Metamorfose ridotte da Gio Andr. dall Anguillara; con l'Annota- tioni di M. Giosseppe Horologgi ... 1589 ...
Las Transformaciones en Lengua Espanola, con las Allegorias al fin dellos, y sus figuras, &c.... 1595 ...
The fyrst fower Bookes of the Metamorphosis oute of Latin into English Meter by Ar. Golding Gent .. . 1565 ...
Metamorphosis Englished, Mythologiz'd, and Represented in Figures by G. Sandys... 1632 ...
Same Translation (without the Figures and Notes) ... 1669 ...

Different versions, translations and editions, (FRBR termed these as expressions and manifestations now) of a work grouped together in the catalogue and recorded under the author as a heading, shows nothing but the literary unit concept here. The above example proves doubtlessly the presence of ‘literary unit’ concept (the essence of today’s FRBR) very much in the Bodleian catalogues, although it was not well termed and expressed explicitly then like that of today.

Hyde’s rules for main entry also show that the aim of the cataloguer was to bring together all the literary units under a single heading. He brought authors named in several names under single form of a name. Translations were entered under the author of the original work and the actual authors of the pseudonym used were searched thoroughly and used cross-reference entries from them. Hyde’s rules for the main entry (as depicted in Pettee’s description) may be summarized as below:

Personal authors
If author is given in book, enter under surname, choosing one form if he is known under several names. For the sake of uniformity, even if author is always known by his given name, use surname, although it
may inconvenience the reader. If author's name is not given, enter under assumed name or initials, but always ferret out name of author and make cross-reference. Enter translations under original author.

**Anonymi Compilations**
Enter under such words as LEXICA, CONCORDANTIA, JUS, CONCILIA, those books which are likely to be thumbed to pieces by use, but enter others (not in demand) under place or editor.

Other anonymous books are to be entered under person referred to or under a subject word.

He assembled the author’s works in one place under a uniform heading to show which works of a given author the library has. Works published anonymously but with known authors appear under the author’s name.

Authors writing under pseudonym were entered under real names. For theses authorship might have been ascribed from different sources other than the title page of the document. All these were done to keep the works of an author together. The following example is taken from the catalogue of 1738:

Tho. TRYON.
The Way to Health, long Life, and Happiness, or a Disc. of Temperance, &c. to which is added a Treatise of most sorts of English Herbs. [Anonym.] Lond. 1683 ...

Moonthly Observations for the preserving of Health, &c. [by Philotheus Physiologus.] Lond. 1688 ...

A new Art of brewing Beer, Ale, and other Sorts of Liquors, also the Art of making Mault, &c. Lond. 1691 ...

The good House-Wife made a Doctor, or Health’s choice and sure Friend, &c. Lond. 1692.

Aminadab BLOWER, a devout Bellowse-mender of PIMLICO.

Some Small and Simple Reasons delivered in a Hollow-Tree, in Waltham Forrest, in a Lecture on the 33 of March last (1648;)

shewing the Causes in general and particular, wher-efore they doe, might, would, or ought, except against, and quite Refuse the Liturgy, or Booke of Common-Prayer. Printed, Anno Millimo, Quillimo, Trillimo...

The above discussion shows doubtlessly that the concept of assembling literary units together for the convenience of the users is nothing new. It has been a practice almost since the introduction of modern cataloguing practice. The effort for easy retrieval of information using literary unit concept was very much there in the cataloguing practice of the bygone days. Only the terminologies like ‘expression’ and ‘manifestation’ might have been used in FRBR recently. In Pettee’s words, “The identification of the literary unit and the attribution of authorship in establishing the form of entry is so thoroughly ingrained in our catalogers, it may be a surprise to many to be told that these principles, in the long history of cataloging, are something very new and that they have not yet attained universal acceptance.”

**Panizzi’s XCI Rules**

It won’t be an exaggeration to say that the use of literary unit concept began to be dropped from modern catalogue since the introduction of the famous XCI Rules of Panizzi in 1841. Panizzi asserted that catalogues should bear information about all the peculiarities of different editions of a work: “a reader may know the work he requires; he can not be expected to know all the peculiarities of different editions; and this information he has a right to expect from the catalogues.”

The frequent reorganizations of literary unit concept of the Bodleian Catalogue had been dropped. No where did Panizzi try to bring together the different editions, versions or translation of works, as his predecessors in the Bodleian, except in one case. The identification of literary units was fully recognized only for various editions of the Bible which were all brought together under one heading (“The Old and New Testament and their parts, to be catalogued under the general head ‘Bible’, and arranged in the following order…”- rule LXXIX). Julia Pettee observed that in the famous XCI Rules the idea of treating literary units under a single caption is extended to the word BIBLE to collect editions of that classic, and in large measure Rule IX and Rule LXXX assemble works of corporate bodies.

The identification of literary units is fully recognized only for various editions of the Bible. In sub-arrangement under authors, or under other headings, Panizzi tends towards the recognition and assembling of literary units (rules LXXV, LXXVI, LXXVIII); but since the same author appears in certain cases under different headings, such
assembling is obviously possible only in a restricted measure. No provision is made for the various editions and translations of anonymous works in general; they are apparently treated as single items.

Jewett

Panizzi’s rules were taken over and modified by Ch. C. Jewett. Compared with the original rules, Jewett’s modification published in 1852 goes considerably further in the recognition of the second and third objectives (2), the provision of information concerning all editions, translations, etc. of a given work as far as they exist in the library; (3), the provision of information concerning all works of by a given author as far as they exist in the library). Thus anonymous and pseudonymous works are entered under the identified author if any edition, continuation or supplement has been published under his name (rules XXVIII, XXIX); all translations (including translations of anonymous works) are entered under the heading of the original text irrespective of the fact whether the original text exists in the library or not (rule XXIII).

Cutter (1876)

Cutter was the first to observe that the object of catalogue is not just to provide the information regarding a particular book by a given author, or merely helping the reader in making available a book kept in the library by a given author, but to provide information regarding all the books by a given author. In other words, the basic elements of a catalogue should be so that instead of pointing to an individual publication, it should organise the literary works or literary units of a given author. Here, particular books should not be considered as single items but as representatives of a whole group of similar items, all belong to the same literary unit. The object is not merely to facilitate the finding of a given book by an author’s name, but to provide for the finding of all the books of a given author- and this can most conveniently be done if they are all collected in one place.

The most important contribution to American cataloguing theory was Ch. A. Cutter’s rules published first in 1876. These rules introduce a fundamental innovation: along with the assembling of all works by a given author under one heading, the recognition of literary units is for the first time accepted almost completely, and extended to personal and title entries as well. Thus all works by a given author whether issued under his name, under a pseudonym or anonymously, are brought together under a single heading (rules 1, 2, 7); revisions, translations, excerpts of any given work are entered under the author or under the title of the original text, respectively, and filed immediately after it (rules 17-19, 123, 124, 131, 132).

Before Rules for a Dictionary Catalogue all the available codes provided rules for author and title entries. It was Cutter who strengthened the concept that catalogues not only should point the way to an individual publication but should also assemble and organize literary units (Strout, 1956: 272). The procedure of cataloguing should be preceded by the identification of the literary unit, to which the book belongs, i.e. by the identification of the title and author of the literary unit. A catalogue compiled in this way will be primarily a finding list for literary units. It will be of great help to users who approach the catalogue in order to look for a literary work in whatever edition, translation or excerpt it may exist in the library.

The idea of literary unit rather than individual book gained prominence in Cutter which is more evident in his treatment of the anonymous classics. Here he tried to bring together all the different texts under the heading of the original work to show its consistency to the idea that catalogue should assemble and organise literary units, rather than individual publications. As Pettee rightly observed thus, in dealing with anonymous classics Cutter makes an original and vital contribution to the authorship principle. He regards this species of literature as a class by itself. He sees that it is the function of the catalog to assemble these classics and consider as a unit of literature, under a single heading, all texts derived from the same source, however the individual titles may read. The entry form should go back to the original source.

Pettee even goes further to extract the modern cataloguing principles from the rules devised by Cutter in his RDC as follows:

We find in Cutter, fixed for all time, we believe, the two fundamental principles of the modern author catalog:

i. The author catalog is more than a finding list of separate and particular books. It deals with literary units and its function is to assemble under a convenient heading all issues or forms of the same literary unit.
ii. The most satisfactory method of doing this is through the attribution of authorship, using as heading the name of the person, or corporate body responsible for the work, or using as a substitute for author heading, a conventional name not derived from the title-page but from the literary source of the book or document. The cataloger must identify the literary unit and provide the unit, not the single book, with an entry name; and this name goes back to the source of its authorship.

While this was not an entirely new principle, since Maunsell in 1595 had used the heading ‘Bible’ to assemble its various versions and translations, Panizzi in 1841 had strengthened it as a concept by introducing corporate and government entries, and Jewett had had given it still further support by his use of real names rather than pseudonyms, yet it was Cutter who actually stated it as a formal principle.\(^5\)

A.L.A. Rules

A.L.A. Cataloguing Rules for Author and Title Entries, declares its principle explicitly in favour of the literary unit concept. In the introduction to the code clearly mentions about the extended function of catalogue that locates a single book as well as the literary units. “The principle on which the cataloguing is planned is the use as main entry of the author, personal or corporate, considered to be chiefly responsible for the creation of the intellectual content of the work. Thus the finding list function of the catalog is extended beyond what is required for location of a single book” to include also location under one heading of all issues and forms of the same “literary unit.”

iii. "Exceptions or qualifications are made when too strict an application of a general rule would result in a heading not giving the most direct approach."

The second principle on ‘single book’ and ‘literary unit’ derives from Miss Pettee’s analysis of the historical development of Cutter's rules\(^10\).

Seymour Lubetzky

International Conference on Cataloguing Principles organised by International Federation of Library Associations and Institutions (IFLA) held at UNESCO headquarters, Paris in 1961 was the first ever successful international agreement of the century on cataloguing. Representatives of fifty four countries and twelve international organizations worked rigorously for 10 days and through a friendly discussion worked out a statement of principles for catalogues.

Almost after forty years the International Federation of Library Associations and Institutions (IFLA) initiated a fundamental re-examination of cataloguing theory and practice on an international level and IFLA Study Group on the Functional Requirements for Bibliographic Records in 1997 devised a new ‘structured framework’ (FRBR) for relating the data that are recorded in bibliographic records. This new framework of entity-relationship concept is fundamentally based on literary unit concept - the book in hand is considered not as a single item but as a representative of literary unit.

The literary unit concept which distinguishes clearly between a book and a work is hardly a new idea to the cataloguing community. What is most interesting is that it was thoroughly discussed and debated in the International Conference on Cataloguing Principles of 1961 held in Paris, but no where it is found to be incorporated or implemented in AACR (1967) or AACR2 (1978) which were based on the principles adapted in that conference (Paris Principles).
Lubetzky clearly stated in his paper presented at the Conference on Cataloguing Principles, 1961 that “the function of the main entry presupposes recognition of the facts:

i. that the materials of a library: books, manuscripts, phono-records, etc. are representations of the works of authors, not the works themselves;

ii. that a given work may be represented in a library in different forms or editions, under different names of the author or under different titles; and

iii. that the catalogues of a library must be designed not only
   a. to show whether or not that library has a particular item or publication, issued under a certain name of the author or under a certain title, but also
   b. to identify the author and the work represented by the item or publication and to relate the various works of author and the various editions and translations of the work.

Although this second objective is the source of most difficulties in cataloguing, it has always been recognized as essential to the basic purposes of the catalogue – to enable a user of the catalogue to determine with certainty whether or not the library has a particular work, under whatever name or title, and to select the edition or translation which will best serve his purpose

What is FRBR?
FRBR is a framework that identifies and clearly defines the entities of interest to users of bibliographic records, the attributes of each entity, and the types of relationships that operate between entities. It was designed to produce a conceptual model that would serve as the basis for relating specific attributes and relationships to the various tasks that users perform when consulting bibliographic records.

According to IFLA “the aim of that study was to produce a framework that would provide a clear, precisely stated, and commonly shared understanding of what it is that the bibliographic record aims to provide information about, and what it is that we expect the record to achieve in terms of answering user needs.”

FRBR Entities
The entities are at the centre of interest of the users. They are divided in to three groups here. The first group includes ‘work’, ‘expression’, ‘manifestation’, and ‘item’. The second group comprises ‘person’ and ‘corporate body’ and in the third group an additional set of entities have served as the subjects of the works. This includes ‘concept’, ‘object’, ‘event’, and ‘place’.

Group 1 Entities: Work, Expression, Manifestation, Item
FRBR first group entities represent different aspects of user interests in the products of intellectual or artistic endeavour. These entities are ‘work’ (intellectual or artistic creation), ‘expression’ (intellectual or artistic realization of the work), ‘manifestation’ (Physical embodiment of an expression of a work), and ‘item’ (a single exemplar of a manifestation).

Group 2 Entities: Person, Corporate Body
FRBR second group entities represent those who are responsible for the intellectual or artistic content, the physical production and dissemination, or the custodianship of the entities in the first group. These entities are ‘person’ and ‘corporate body’.

Figure 1: Layout of FRBR

Figure 2: FRBR second group entities
Group 3 Entities: Concept, Object, Event, Place

FRBR third group entities are the subjects of works. The group includes concept, object, event, and place. (Figure 3)

Practically, FRBR (as we call it today) was created much earlier than the creation of AACR1 and AACR2. It was in the Paris Conference, 1961, Seymour Lubetzky presented the paper Function of the main entry in the alphabetical catalogue: one approach where he vividly described this concept. There was everything of the entity relationship concept, only OPAC was not mentioned as it did not exist then. Let us see what others said in response to Lubetzky’s paper:

Verona said that it has repeatedly been pointed out that books (publications) are only physical representations of work and that accordingly the object of the reader’s essential interest is not the publication, but the work represented by it11.

Jolley in the Function of the main entry in the alphabetical catalogue: a study of the views put forward by Lubetzky and Verona observed that both Verona and Lubetzky agreed in stressing the distinction between works and publications. It is quite obvious that the reader is normally interested primarily in a work, rather than in a specific publication, but care must be used in processing this distinction11.

The terms ‘book’ and ‘work’ were consciously used in different meanings to indicate ‘work’ and its various manifestations in the Statement of Cataloguing Principles 1961. In the ICCP, whenever discussing the draft statement Mr Chaplin pointed to the distinction made in the draft statement between the terms ‘book’ and ‘work’, one being used for the physical object and the other reserved for the literary or verbal content, which might well be embodied in many forms11.”

Thus, the concept of principles of ‘liturgical unit’ was very much in use and the claim of introducing a completely new concept through FRBR (devised by IFLA) in cataloguing can hardly be substantiated.

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