International Standard Text Code (ISTC) User Manual

Abstract: This document is the International ISTC Agency's guide to using the ISO 21047(ISTC) standard

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Purpose: To provide an authoritative guide to the application of the ISO standard

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Distribution: ISTC registration agencies, registrants and anyone using ISTCs

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Document History

Version	Date	Description
1.0	October 2009	First edition for general circulation
1.1	April 2010	Working version – not published
1.2	April 2010	Updates following comments from user community, including: 2.2.2 Illustrations & Images; 8.2, Registering works before completion/publication, and additions to FAQ section

1   Introduction

1.1   *Document purpose and scope*

This document is produced by the International ISTC Agency, the official registration authority responsible for administering the International Standard Text Code. This document should be regarded as the definitive guide to the standard, how to register ISTCs and how to use them. The intended audience for this document includes ISTC registration agencies, ISTC registrants and all users of ISTC numbers in general.

This document does *not* provide instructions on how to use the "STRS" (the computer-based system for registering ISTC work records); these are the subject of a separate document.

1.2   *About the ISO Standard*

The first edition of "ISO 21047 Information and Documentation – International Standard Text Code (ISTC)" was published by the International Organization for Standardization (ISO) in March 2009. It is available for purchase in separate English and French versions as an electronic download or printed document from ISO at the following URL:
http://www.iso.org/iso/iso_catalogue/catalogue_tc/catalogue_detail.htm?csnumber=41603

1.3   *About the International ISTC Agency*

The International ISTC Agency Ltd is a not-for-profit company, limited by guarantee and registered in England and Wales. Its sole purpose is to implement and promote the ISO 21047 (ISTC) standard and it is operated by representatives of its founding members, namely RR Bowker, CISAC, IFRRO, and Nielsen Book Services. Current contact details are available from its website at: www.istc-international.org/.

1.4   *Definitions*

Allocating an ISTC – This term is used for the process of allocating a unique ISTC number to the metadata record describing a work, and is part of the process of "registering a work".

Applying an ISTC – This is the term used for the process of putting the **ISTC** for a **textual work** onto a bibliographic record for each relevant **textual manifestation**. This process is the responsibility of whoever is constructing the bibliographic record and refers to data records on 3rd party systems, not the STRS (which is not designed to hold bibliographic information).

ISTC – International Standard Text Code. The term "ISTC" is generally used to denote an individual identifier number generated by the **STRS** although the term "ISTC number" is also used to mean the same thing.

ISTC-RA – ISTC Registration Agency. An organisation licensed by the International ISTC Agency to access and input works data to the STRS, with a responsibility to provide advice and guidance on the ISTC system to anyone requesting it.

Registering a work – This is the process of submitting distinctive metadata for a unique work and having an ISTC number allocated to that work (or more precisely, having an ISTC number allocated to that metadata record). Registering happens once only for each work and in itself does not require the declaration of any linkages to actual manifestations of that work.

Registrant – Anyone who provides an **ISTC-RA** with a request to register a textual work metadata record on the **STRS**

STRS – Standard Text Registration System. This is the name given to the computerised database system used to register unique **textual work** metadata records and assign them each a unique ISTC.

textual manifestation – A tangible expression (physical or digital) of a **textual work**, e.g., a book or a specific edition of a journal.

textual work / **work** – a distinct, abstract intellectual or artistic creation predominantly comprising a combination of words, whose existence is revealed (i.e. "published") or intended to be revealed, through one or more **textual manifestation**s. This requirement for there to be at least an *intention* to publish means that draft versions of a work should not be registered in addition to the fully developed version(s) which are published or submitted for publication.

1.5   ISTC database search facility

The database of work records having an ISTC assigned to them will be publicly accessible for individual work searches and will be available from: www.istc-international.org. Potential registrants will be able to check whether or not a work has already been registered and will be able to view associated metadata.

1.6   Further information

To download an electronic copy of this User Manual, or find links to the ONIX for ISTC Message schema and other resources, as well as up to date news and information on the ISTC standard, activities of the International ISTC Agency and contact details of all ISTC registration agencies, visit: www.istc-international.org

2   Function and Scope of the ISTC

2.1   Function

The purpose of the International Standard Text Code (ISTC) is to provide an efficient identification system for textual works, enabling information about textual works to be conveyed at local and international levels between authors, agents, rights administrators, publishers and other roles in the publishing supply chain.

The function of an individual ISTC number is to provide a unique identity to a specific textual work. In most applications, the value of an ISTC number is then realised when applied as an attribute of a textual manifestation (e.g. a book, a specific article in a journal, or some other text-based publication). This enables the specific edition of the publication to be linked to other publications containing the same work and, conversely, be distinguished from those publications which do *not* contain the same work. This application has a number of benefits:

- It increases the discoverability of all publications of a given work, even if they are published under different titles
- It makes it easier for bibliographic searches to focus on the desired publications by filtering out publications of works with similar titles, authors' names and other confusing similarities
- Online retailers have sometimes found it difficult to comply with international rights statements because they could never be sure that different products were actually "the same". The ISTC, by pulling all identical works together, can provide a much clearer platform for publisher rights and sales rights to be displayed and adhered to, enabling retailers to offer for sale only the appropriate territory-specific manifestation of a work

Another function of ISTC numbers is to identify specific textual works in connection with the intellectual property rights attached to them and the tracking of any associated payments.

The ISTC is *not* intended to independently confer, nor imply any rights concerning the textual work. While this type of information could potentially be collated by a third party using an ISTC, this functionality is not within the remit of the ISTC system itself.

In summary, the primary purpose of an ISTC number is to enable the content of a publication to be identified, sufficiently uniquely to distinguish it from the content in other publications. The extent to which "similar" works need to be distinguished from one another will be influenced by whether or not a registrant or an ISTC registration agency believes there is a practical need to distinguish them, although this question is considered more thoroughly in the section in this manual entitled "Original works and derivations".

2.2   Scope

An ISTC can be applied to any **textual work** which has been published or where there is an intention to publish it. In this context, the term "publish" simply means to make one or more manifestations available to the public, therefore it is not appropriate to apply ISTCs to non-final drafts, diary entries, logs and other working notes unless it is subsequently decided that they are to be published without alteration.

2.2.1   Types of works

The types of works eligible for an ISTC are as follows:

- Prose – for example, the text of a novel, a comic book or reference work
- Lyrics (for sung musical works) – note that an ISTC relates only to the words, so if the musical notation accompanying the lyrics in a published manuscript needs to be identified, a separate identifier should be used for the musical work
- Poetry

- Screen scripts – these are scripts and/or directions for recorded audiovisual performances, including screenplays, teleplays, scripts for television or film documentaries
- Audio scripts – these are scripts and/or directions for radio presentations and other predominantly non-musical audio-only performances
- Stage scripts – these are scripts and/or directions for "live" audiovisual performances
- Other scripts – these are scripts and/or directions for performances not covered by one of the 3 "script" categories above, including sermons, speeches, presentations and lectures

2.2.2   Illustrations and Images

Some textual works include non-textual elements, e.g. photographs or illustrations, which form an intrinsic part of the whole work, and in this situation the work is eligible for an ISTC. By contrast, a creation that is *predominantly* non-textual, such as a collection of photographs accompanied by minimal text, would *not* be eligible for an ISTC.

The text of comic-books, and particularly that in "manga", is eligible for ISTCs. Even though an ISTC can only identify the *textual* element of a manga publication or of a complete comic, and not the *graphical* element, it is felt that this is sufficient to enable the full benefits of assigning ISTCs to this type of content.

Usually, illustrations and/or other types of images accompanying "self-contained" textual works in manifestations, such as pictures which are included in a re-release of a novel that was originally published with no pictures, should not be regarded as part of the actual textual work. Exceptions to this approach can be made, however, if there is a practical requirement to make the distinction. E.g., if a change of rights in the work (as published) resulted from a change in the accompanying illustrations, then a new ISTC record should be registered, as a derivation (type '07') together with the additional or different contributor's names.

In other situations, where the text includes direct references to the illustrations, the illustrations should always be regarded as part of the overall work.

2.2.3   Distinctiveness

In order for a textual work to be eligible for an ISTC, it must be possible to distinguish it uniquely using the metadata elements available in the ONIX for ISTC Registration Messages schema. Any textual work that cannot be accurately described using one of the "ISTC work types" listed above is ineligible for an ISTC.

The textual content of some types of products, such as diaries and work-planners, is not eligible for ISTCs. This is because there is no significant difference between the textual content on numerous products, which can already be aggregated using only their descriptive titles and which differ primarily by their physical characteristics rather than any textual content differences.

2.2.4   Size of work

There is no minimum size required for a textual work to be eligible for an ISTC. It is permissible to allocate an ISTC to fragments of larger works, such as a chapter, section, or even a paragraph. However, the IIA recommends that such practices are restricted to cases where there is a genuine need to distinguish manifestations of such fragments, whether this need is in a bibliographic search or collocation context, or a sales/fulfilment process.

If in doubt, your local ISTC registration agency can provide advice on specific works.

3 Use of ISTC Numbers

3.1 In bibliographic systems

The most reliable method for accurately relating works to their manifestations is for these "linkages" to be created in a bibliographic (i.e. manifestation) record by the publisher each time a new manifestation is defined. This recognises that the publisher is the most authoritative source of information on what content is in a particular publication.

The International ISTC Agency recommends that publishers providing bibliographic metadata to other parties should include one or more ISTCs as attributes of each product record.
- Each bibliographic record should contain the ISTC for each separately-registered work contained in the manifestation
- In addition, for each work contained in the manifestation which is derived from another work (which is *not* in the manifestation), the bibliographic record should also include the ISTC for the *original* work. The precise type of derivation is not asserted, but this is intended to enable linking of manifestations with a common "parent" work.

ONIX for Books version 3.0 includes a structure facilitating this in section P.22 "Related Works" as follows:
- <WorkRelationCode> to contain value "01", signifying that the work identified in the <WorkIdentifier> composite is contained in this manifestation (either as the manifestation's whole content or part of the content).
- <WorkRelationCode> to contain value "02", signifying that a work contained in this manifestation is derived from the work identified in the <WorkIdentifier> composite in line with one of the ISTC work derivation types. [Note that the precise *type* of derivation is *not* asserted in the ONIX for Books record.]

Where some other bibliographic message schema is being used, it is recommended that it should be modified (if possible) to accommodate ISTCs as described above. It is also recommended that when publishing rights are being licensed to another party, the other party should be informed of any ISTC which has already been registered for that work and/or applied to the relevant manifestation(s). This is to facilitate the adoption of ISTCs and their benefits as widely as possible.

3.2 Sales and lendings analyses

Without the ISTC, services which aggregate and report on either the sales of manifestations or the loans of them (from libraries) can only reliably analyse figures at the individual product-identifier (e.g. ISBN) level. This makes it very difficult to get an overall view of how well a particular work, which may be published in numerous physical and digital formats (and even under different titles), is performing. Once an ISTC has been applied to each of the different manifestations, it is possible to aggregate all the sales and/or figures for lendings relating to the same work, providing a much clearer and more succinct view of the demand and revenues for a particular piece of intellectual property.

3.3 Administering royalties

In the realm of rights administration the ISTC registration system does not hold information about the rights attached to a work, however, the ISTC provides a means for the identification of textual works and allows them to be recognized across national boundaries and language barriers, regardless of the various editions and/or formats in which a text is published. RROs (reproduction rights organisations) and other collecting societies can then administer rights and communicate with each other using the ISTC as a standard identifier. Using bibliographic databases which carry ISTCs as the attributes of each product record, usage information communicated with a product identifier (typically an ISBN) can easily be associated with the work.

4 Syntax

4.1 Structure

An ISTC consists of 16 hexadecimal digits, being the Arabic numerals 0 to 9 and Latin letters A to F. It is made up from 4 elements:

- **Registration element** – This consists of 3 hexadecimal digits, and denotes which ISTC-RA an ISTC was assigned through.
- **Year element** – This comprises 4 digits representing the century and year in which an ISTC request was submitted.
- **Textual work element** – This consists of 8 hexadecimal digits and uniquely identifies the work from all other works registered that year by that registration agency. The textual work element number is sequentially generated automatically by the STRS only when the STRS has verified that the work metadata record is both correctly formed and, following a comparison with all the work records on the database, unique. It is not possible to "pre-assign" these numbers ahead of submitting work metadata for registration on the STRS.
- **Check Digit** – This is used to check that the characters have been transcribed correctly, enabling systems to automatically validate the format of ISTC numbers.

4.2 Check digit calculation

Unlike some other identification systems, each ISTC number is generated from a central system, so that a user should never have to calculate a check digit themselves. The calculation is only required by systems intended to validate ISTC numbers being input from elsewhere. The check digit is calculated in accordance with ISO/IEC 7064 using MOD 16-3.

Each of the first 15 characters (reading from the left) is multiplied by the weightings 11, 9, 3 or 1. Then, after converting each of these 15 products to their decimal equivalent, they are added together. Calculate the MOD (16) of this sum and then convert it to its hexadecimal equivalent to produce the single character check digit. To calculate the MOD (or "modulus") manually, the sum of the 15 weighted products should be divided by 16; the remainder of this is the check digit. A worked example of this calculation is shown in the following table:

	Registration Element			Year Element				Textual Work Element								Check Digit
ISTC Input Value	0	A	3	2	0	0	9	0	1	2	4	4	5	C	9	B
Position	16	15	14	13	12	11	10	9	8	7	6	5	4	3	2	1
Weight	11	9	3	1	11	9	3	1	11	9	3	1	11	9	3	1
Decimal equivalent of input values	0	10	3	2	0	0	9	0	1	2	4	4	5	12	9	-
Decimal Product of (Input x Weight)	0	90	9	2	0	0	27	0	11	18	12	4	55	108	27	-
Sum of Products	363															
Modulus(16) of the above Sum	11															
ISTC Check Digit (hexadecimal equivalent of the modulus above)	B															

4.3   Presentation of ISTC on manifestations

The ISO standard makes no recommendations concerning the presentation of the ISTC on tangible manifestations (e.g. printed or digital books) other than stipulating that when it is displayed, the letters "ISTC" should precede it and a hyphen or space should separate each of the 4 elements. For example:

ISTC 03A 2009 000C299F D
ISTC 03A-2009-000C299F-D

Although this User Manual recommends including the ISTC(s) as attributes in a bibliographic record, libraries in many parts of the world are still dependent on cataloguing their holdings using the "book in hand" for information, therefore it is beneficial in some situations to display the ISTC(s) relating to a "book" manifestation on the back of the title verso page and the IIA encourages this approach.

In situations where an ISTC relates to only part of the content of a manifestation (such as a single article within a journal), it is recommended that the ISTC should be displayed at the beginning of the article, following the title.

5   Registering works

5.1   Who can be a registrant?

The person or organisation providing the metadata and requesting a work to be registered is known as a "registrant".

Each textual work must be registered by someone able to provide accurate information; this should normally be the creator or their authorised representative. For unpublished works this will usually involve the author or their agent, whereas for published works, a publisher of that work may be considered as an authorised representative. Where this is not possible, e.g. because no creator or representative can be found, then anyone is entitled to request a work to be registered. However, during the introductory phase of the ISTC system or in areas where there is relatively low adoption of the standard, ISTC-RAs will be allowed to register works without receiving any specific requests first from other parties. As most, if not all ISTC-RAs operate other bibliographic and/or rights-management databases, they will be considered to be a suitable authority on the works they register. However, this does not automatically imply that an agency has any specific "expertise" in that work, and is merely intended to provide some initial impetus to adoption of the standard in that agency's major area of operation. Any individual or other organisation interested in correcting ISTC metadata (where necessary) will be entitled to do so if they are the work's creator or authorised representative, or if no such person is available, they can demonstrate they are an appropriate authority on the relevant textual work.

In the case of out-of-copyright works (which in most countries depend on the author having been dead for a minimum number of years) there may be a number of different candidates for registering a work. Any ISTC-RA approached with a request to submit such a registration request must take reasonable steps to ascertain that the registrant is a credible source of accurate information about any works submitted. Alternatively, an ISTC-RA may register the work, with the aim of ensuring the best possible quality record for that work.

Neither the allocation of an ISTC to a work nor the application of that ISTC to a manifestation's bibliographic work should be regarded as an indication of who owns any particular rights in that work or its manifestations. Consequently, there is little motive to dispute who the most appropriate registrant of a particular work is. However, due to a desire for precision, there may be occasions where one party considers itself a more authoritative registrant for a particular work and requests permission to update an existing work record that was registered by another party. In such cases, it is the responsibility of the ISTC-RA through which the record was registered to decide whether or not a different party should be allowed to update an existing record. Any appeals against this decision should be addressed to the International ISTC Agency, whose decision will be final.

5.2   Where to register works and obtain ISTCs

An ISTC can only be allocated to a work by an ISTC registration agency ("ISTC-RA"), so a request to register one or more works should be submitted to an ISTC-RA

More than one person or organisation may need an ISTC for the same work, perhaps because it is out of copyright or multiple organisations each have a licence to publish it in a different country; furthermore, ISTC-RAs are entitled to operate different add-on services and commercial models.

For these reasons, a registrant is not restricted to having to use their nearest ISTC-RA and textual works can be registered for an ISTC using *any* ISTC-RA. A list of these agencies together with their contact information is maintained by the International ISTC Agency and is available at www.istc-international.org/.

It is recommended that, primarily for convenience, a registrant should use an ISTC-RA based in their own country, although it is also worth considering that usually the local ISTC-RA will also be the best positioned to advise on works that were created in their region of operation.

5.3   Maintaining work records

Unlike the metadata for manifestations, information about a work does not change over time, but in some cases additional information (such as the name of an additional contributor) may become apparent after a work has already been registered. There may also be occasions where some metadata needs to be slightly changed because it was incorrect at the point of registering the work.

Occasionally, an ISTC may need to be deprecated (or "de-duplicated"), because the metadata provided for it was not complete enough or precise enough to prevent another, better quality record being registered for the same work. Another related scenario is where more than one ISTC record relating to the same work has been registered because the metadata used for each record had entirely different titles; it is not possible to completely prevent this from happening in the first place, but it is possible to "de-duplicate" these ISTC records.

In most cases, the only person or organisation allowed to update an existing ISTC record will be the same person or organisation that originally registered it. If this is not possible and some one else provides a sufficiently good case for making changes, then the ISTC-RA through whom the record was created may make the required changes. In cases where a record was created by an ISTC-RA, no one else is permitted to update the record without the prior permission of that ISTC-RA.

To help enforce the restrictions on who is allowed to maintain an existing ISTC record, the STRS will only accept change requests if they include the same identifier for the registrant as was provided on the original registration request.

6 Metadata for ISTC work records

6.1 Factors used for distinguishing works

The only factors used by ISTC-RAs and the ISTC registration system to distinguish one textual work from another are the data provided in the registration request; samples of textual works are not used in the registration process. Therefore, it is crucial that a work should be described as accurately as possible using these data elements, so that it remains possible to distinguish the work from others which may have a number of similar attributes.

6.2 Metadata elements – complete list

The ONIX for ISTC Registration message schema (available from the EDItEUR website[1]) itemises all mandatory and optional metadata elements for use in submitting an ISTC work registration request and also provides details of the various codes and other values that may be used by a registration agency in a response to a registration request.

For convenience, a summary of only the metadata elements pertaining to an actual work (rather than a registration request/response) is provided below. See the separate section on "How the System Compares Records" for an explanation of how these metadata elements are used when processing a registration request.

Data Item	Mandatory?	Description / Notes
ISTC	Mandatory	This uniquely identifies the work-metadata record, and therefore the work itself.
ISTC Work Type	Mandatory	One or more codes must be used to signify what type of textual work this is, e.g. prose, lyrics, poetry, screen/audio/stage script, or another type of script such as for a speech, or unspecified.
Origination	Mandatory	This signifies whether the work is original, derived from a previous work, or else this is not known
Derivation Type	Mandatory (for derived works)	For derived works, one or more of the following derivation types must be provided: Abridged; Annotated; Compilation; Critical; Excerpt; Expurgated; Non-text material added or revised; Revised; Translated; Adaptation; Unspecified
Derivation Note	Optional	It is recommended that if no ISTC can be provided for "Source ISTC" (see below), then the title and contributor name(s) of the original work should be provided here. If the original work cannot be identified then registrants should enter "unknown".
Source ISTC	Optional	Used to identify the original work(s) from which this one is derived (where appropriate). It is recommended that these are provided whenever possible.
Title Type	Mandatory	Numerous titles can be provided on the same record. For each title that is provided, the type of that title must be classified as one of the following: Original Title known to have been given to the work by its creator; Uniform Title

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[1] See: www.editeur.org/

		as determined by a library in accordance with AACR2 or similar rules; Up to 10 of the Opening Words of the text; A Parallel Title given to the work in another language or script; Any Other Title by which the work is known; An Undefined Type of Title used by a registrant to refer to the work.
Title Script	Optional	The ISO 15924 four-letter code specifying the script in which a title is written
Title Text	Mandatory (see notes)	At least one title of any of the title types listed above, except for Parallel or Other Title types, must be provided, and only one occurrence of each of these is allowed. In addition, a metadata record can have an unlimited number of Parallel and/or Other Types of title.
Subtitle	Optional	Where provided, this must accompany each of the different types of title that are present, if relevant.
Edition Number	Optional	A number assigned to a version or edition, stated as a cardinal Arabic number.
Edition Statement	Optional	Any designation of a version or edition other than a date or an Arabic number, in the form in which it is stated in the work.
Work Date	Optional	A repeatable composite of elements (date role, which calendar, date format and date) specifying a date associated with the work.
Contributor Role	Mandatory	The role of each contributor identified, from one of the following types: Author, Author of supplementary text, Creator of other non-text content, Editor or reviser, Translator, Compiler, Excerpter, Unspecified.
Contributor	Mandatory	Unless marked as "anonymous", at least one contributor must be identified, using their personal (or corporate) name in the form in which it is normally expressed within the culture from which it comes, and/or an identifier from a specified scheme. Until such time as there is widespread adoption of a common identifier scheme, registrants are encouraged to provide contributor *names* even if they also include contributor *identifiers.*
Language of Text	Mandatory	One or more ISO language codes (using ISO 639-2B) specifying the language(s) in which the text is written. It is not necessary to specify the language of minor parts of the text unless they are necessary in order to distinguish it from another work.
Registrant	Mandatory	A composite group of elements specifying the registrant's role, together with a name or identifier from a scheme operated by the registration agency. This is necessary in order that any change-requests to existing ISTC records must normally come from the original registrant.
Manifestation (A composite data element which may contain various	Optional	*This is not part of the actual "work metadata" and will not be publicly visible on the ISTC database*, but it can be useful to registration

publication identifiers, e.g. an ISBN, as well as a publication title and its publisher name or other publisher-identifier.		agencies when dealing with potential duplicate registration requests. Also, some registrants may choose to use this on a registration-request response-record as a method for linking a newly issued ISTC number back to their product database. However, the same need can be met by a registrant using a publication-identifier on their registration-request record in the "RegistrantsInternalReference" field.
QueryExistingISTC	Optional	Although not strictly part of the work metadata, this is required when requesting the registration of a work whose metadata is not sufficiently unique to enable the STRS to automatically distinguish it from another ISTC record; for comparison purposes, STRS will ignore any ISTC record(s) identified by the registrant using their ISTC value(s) in this field. The field is also used by STRS to notify the registrant of potential duplicate records already on the system.
Preferred ISTC	Optional	Only used in "de-duplication" requests, when the ISTC record has been found to refer to the same work as that referred to by the "preferred ISTC" record. Including a "preferred ISTC" value (along with the appropriate "de-duplication" code on the request message) is the method for marking an ISTC record as deprecated.

6.3   Contributor names and pseudonyms

The "person name" provided for each contributor should be the name or pseudonym generally attributed to that work in published form. For example, the author of the work "Nineteen Eighty-Four" is generally regarded as being "George Orwell", which in fact was the pseudonym of Eric Blair. In order to deal with situations where both the author's real name and pseudonym(s) might be used, it is possible for STRS to associate pseudonyms if they are added to its thesaurus, but these need to be added in advance of any record comparisons made by STRS when processing a registration request.

6.4   Using codes for "Undefined" or "Unspecified"

An ISTC can be obtained for any work having a unique set of metadata, including records which differ merely through including the code value representing an "undefined" work type or "unspecified" derivation type. However, these imprecise values create the potential for a duplicate ISTC record being registered for the same work, because a more precise metadata record (which did not use "unspecified" or "undefined" codes) could be applied to the same manifestation. Registrants are therefore encouraged to avoid the use of codes for "unspecified" or "undefined" in any data fields whenever possible.

7 Original works and derivations

7.1 What is an "original" work?

For the purposes of registration on the ISTC database, a work may be regarded as being "original" if it cannot be adequately described using one or more of the controlled values allowed for the "Derivation Type" element (specified elsewhere in this document).

A work is considered to be "original" for registration purposes unless it replicates a significant proportion of a previously existing work or it is a direct translation of the previously existing one (where all the words may be different but the concepts and their sequence are the same). It should be noted that this is a different approach from that used by FRBR[2], which regards translations as simply different "expressions" of the same work.

7.2 "Republishing" works with new forewords or other new material

Often, a work might be "republished" with a previously unpublished foreword or other new material (such as additional illustrations, prefaces, indexes, etc.). Whether or not the content requires a different ISTC from that of a previous edition will depend on whether the core work has or has not been changed from its previously published form, and/or whether or not the new manifestation simply includes an additional piece of content that merely enriches the use of the original text. Unless the foreword is to be regarded as an intrinsic part of what must then be regarded as a revised version (or "derivation") of the original work, it is recommended that no new ISTC is allocated or applied to the manifestation. If the *combination* of the "old" work and the "additional" content is registered as if it were a unique work, this would prevent manifestations of it being linked with manifestations containing only the "old" work, unless the bibliographic records for each manifestation also carry the ISTC of the old work.

7.3 Derivations

For the purposes of assigning an ISTC to a work, a derivation (or a "derived work") is a one that is "made predominantly out of material from another textual work" and which is sufficiently different such that manifestations of it need to be distinguishable from manifestations of the work it is derived from. For example, a numbered edition (e.g., "second edition") of an original work should be considered to be a derivation.

Accordingly, any work that can be described using one of the terms in the table below should be regarded as a being a derivation and should receive its own ISTC.

An ISTC registration request record with a value of "02" in the <Origination> field, signifying that it is a derivation, must include a value in the <DerivationType> element. The various types of derivation which can be registered are shown in the following table:

Types of Derived Work	
ONIX Code value	**Description / meaning**
00	Unspecified
01	Abridged
02	Annotated
03	Compilation
04	Critical
05	Excerpt
06	Expurgated

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[2] "Functional Requirements for Bibliographic Records" is a conceptual model developed by the International Federation of Library Associations and Institutions (IFLA)

07	Non-text material added or revised
08	Revised (including numbered editions)
09	Translated
10	Adaptation

The ISTC record for a derived work may also specify the source work from which it is derived. It is desirable but not mandatory for an ISTC be used for this purpose (in "<SourceISTC>"), so that the source work is identified more precisely than if simply specifying the source work's title and contributor(s). It is recognised that this may result in the need to register the source work as well. It is important to provide the best possible information about a work, in order to maintain the integrity of the ISTC database; if the registrant is not qualified to provide an authoritative metadata record for the source work, they should contact their local ISTC-RA for advice. In many cases the ISTC-RA may be able to register the source work, thus assuming shared responsibility with other ISTC-RAs and registrants for the accuracy and maintenance of such records unless or until such time as an authoritative registrant can assume responsibility.

Regarding works that include non-text items, ISTC metadata does not allow for any distinctions in these non-text items to be registered, so variations applied solely to the non-text elements of a work (such as revised illustrations) may not be distinguishable using another ISTC unless it involves a change of contributor, except for being able to specify that the work has "Non text material added or revised".

The actual benefits of assigning an ISTC are realised when it is used in applications that relate it to a manifestation, or the rights attaching to that manifestation, of the work. It should be noted that in some cases, assigning unique ISTCs to individual variations (i.e. "derivations") of a work can result in them not being collocated when it would better suit the particular application if they *were* collocated. For example, a revised or corrected edition of a work, by the same contributors (and thus having the same rights holders), might vary from the previous version to such a slight degree that nobody would readily notice. In this case, it may be decided by the registrant not to apply a new ISTC to the later version of the work.

7.4 Registering Original Works in order to register derivations

There is likely to be a need to register derivations of the original work (requiring a value for the "<SourceISTC>" element on each derived work's own record), so again, it may be beneficial for an ISTC-RA to pre-empt this requirement by registering the out-of-copyright work itself as early as possible.

8 General notes on the registration process

8.1 Submitting work registration requests

Works can only be registered via an ISTC-RA, each of which is able to handle requests in the form of ONIX for ISTC Registration Messages. In addition, some ISTC-RAs may provide other means for submitting requests and associated metadata, or even creating this metadata on behalf of a registrant. Registrants should contact their chosen ISTC-RA for precise details on what services are available and how to use them.

8.2 Registering works before completion or publication

The International ISTC Agency encourages the practice of literary agents registering works on the ISTC database before the publication rights have been sold, then passing the ISTC number with the contractual information to each publisher obtaining publication rights. This enables multiple publishers to use the same ISTC number on their product records even if they are initially unaware of what other titles the work is being published under.

Publishing workflows and rights/royalties administration lifecycles of many publishers often dictate that their internal systems require an identity for a work while the title, subject, contributor(s) or a combination of these has still not been finalised. Although ideally no work should be registered with an ISTC until all the pertinent metadata is finalised, the IIA recognises that an ISTC may be required during early stages of rights/royalties administration, and/or at the start of the publishing process, in order for it to be reliably carried through on to each manifestation record being managed within the publisher's own systems. It is therefore permissible to register a work record (i.e. obtain an ISTC) using "work in progress" values for the title and even contributor. However, publishers wishing to do this must make every effort to update the information for the ISTC database as soon as they are able, in order to allow that record to be reliably compared with other registration requests in future. It should be noted that STRS will compare any requested changes to an ISTC record to ensure that it still remains unique. The IIA encourage registrants to assign an ISTC to their works during the earliest stages of their publishing workflows and rights/royalties administration lifecycles.

8.3 Textual works used in audiobooks

ISTC registration request records that are generated from an ISBN/product record for an audiobook should NOT include the names of the "readers", as this role does not contribute directly towards the actual work. This approach enables the use of the application of the same ISTC number to a printed book product record and to any audiobook product records where the audio recording is of a verbatim reading of the work.

If an audiobook is known to be based on a revised version of the textual work (created uniquely for use in the audiobook) then it should be registered as a separate, "derivation" work.

9   How the system compares records

This section explains how STRS compares work registration request records with work records which are already registered, in order to determine whether or not a new ISTC number should be allocated. The information here is included primarily as information for ISTC-RAs, but will also be of interest to registrants who experience difficulty getting the STRS to regard their registration requests as representing unique works. References to data values surrounded by "<" and ">" use the element name tags specified in the "ONIX for ISTC Registration" message schema.

9.1   Record differentiators

For a registration-request record to be regarded as unique and therefore receive its own ISTC on the response record with <ISTCRequestStatus>="02", it only requires a single element from the following list to be different from any otherwise-identical records:
<ISTCWorkType>
<Origination>
<DerivationType>
<TitleText> suffixed by <Subtitle>
<EditionNumber>
<PersonName>
<CorporateName>
<Anonymous>
<LanguageOfText>.
It is also possible to distinguish a record using just a different value for <EditionStatement> but only if <ISTCTRequestStatus>="04" and <QueryExistingISTC> contains the identifier of the otherwise identical record.

If a registration-request record is found to be the same as one already on the database, *except* one of the records has additional values for <Title>, <Contributor>, <LanguageOfText>, <DerivationType> or <ISTCWorkType>, this will result in a "returned for verification" response with <ISTC RequestStatus>="03".

9.2   Requirements for an "exact match"

A registration request record is considered to be an "exact match" for an existing work record if all the titles and contributor names match exactly (but see "Comparing free-text values" below), and languages of text, work types, origination types, derivation types, and edition numbers all match. *No other values on a request record are used in the comparison process.*

An exact match will result in a response containing the ISTC (in the element "<ISTC>") that is already assigned to the work, with <ISTCRequestStatus>="06" indicating that the work is already registered.

9.3   Comparing free-text values

Elements which hold free-text and are used for automated record comparisons, namely <TitleText>, <Subtitle>, <PersonName> and <CorporateName> are "processed" before comparing them. This involves the removal of any "stop words" (which are ignored), conversion of all words to lower case, substituting any diacritical characters with their "root" letter form, and the replacement of any word appearing on the system thesaurus with a standardized equivalent. This makes it possible to equate variations of the same title or name e.g., "Nineteen Eighty-Four" will be matched with "1984". The list of stop words used by the system can be updated following an authorised request to the International ISTC Agency. The thesaurus can also be used for holding authors' pseudonyms, but is not automatically maintained in line with any external authority files.

Apart from what has been added to the system's thesaurus, there is no use of "semantic comparisons", i.e. if the same word or name appears on two records but in different languages or language scripts, the system will only be able to treat them as being "the same" if there is an appropriate entry on the thesaurus.

As well as comparing free-text fields exactly, STRS uses "fuzzy" matching, as employed in most search engines. The "fuzzy matching" of title and contributor values occurs after they have first been "processed" (see explanation above); it requires the quantity of blank-separated words (known as "tokens") in each element to differ by no more than one word, and ignores slight differences between words, e.g. "count" and "court", or "man" and "men", would be considered as fuzzy matches.

STRS compares the written form of text fields on a registration-request-record with the written form of each text field on work-records already on its database. Records with values for titles or contributor-names which are pronounced alike when spoken, but which are written using a different *script,* will not generally be matched, except for special cases such as well known authors that have been added to the system's internal thesaurus (like a name-authority file). Contrasted with this, e.g. a Chinese word registered using a pictogram would not usually be matched with a word written in Latin script, even if they are pronounced the same, unless, as already stated, both forms have been added to the system's internal thesaurus.

9.4   STRS system responses to valid requests

The ISTC registration system responds to correctly formed request records in one of three different ways:

1. **No match** - If there is no match, a new ISTC is allocated and the record is added to the database; a response record, containing the new ISTC number, with <ISTCRequestStatus>="02" is returned, indicating that the registration request was "accepted".
2. **Fuzzy match (returned for verification)** – this occurs when all titles and contributor names match (either exactly or "fuzzily"), and languages of text, work types, origination types, derivation types, and edition numbers all match, but there are more instances of a title, contributor, work type, edition number, and/or languages on the request record than on the existing record. A response record with <ISTCRequestStatus>="03" is returned with a <QueryExistingISTC> field populated with each of the fuzzy matches identified, signifying that the registrant must verify (using <ISTCRequestStatus>="04") that the record really is for a different work to the one(s) already registered.
3. **Exact match (work already registered)** - If there is an exact match found on the database, a response record with <ISTCRequestStatus>="06" is returned, indicating that a work as described in the registration request was found to be registered already.

9.5   STRS system responses to invalid requests

The ISTC registration system responds to incorrectly formed request records with <ISTCRequestStatus>=""05", signifying that it cannot process the request because the record is either invalid or incomplete.

10 Frequently asked questions

10.1 How comprehensive does an ISTC metadata record need to be?

For example, is it crucial that all 20 contributors of a reference work are included?

The ISTC database used by the STRS system is designed merely to enable different works to be distinguished from one another. It is not intended to provide a comprehensive repository of information about each work. Therefore, while it is always desirable to have comprehensive information on each record because it makes them as distinctive as possible, it is not strictly necessary in every case; if a reference work (such as an encyclopaedia) can be distinguished from previous versions using its edition number, there will be no benefit in specifying all the numerous contributors' names.

10.2 How should a work containing text in more than one language be described?

No distinction is made between "primary" and "secondary" languages in a work; each language used in the text should be specified using a "Language Of Text" value, except where the amount of text in a particular language is minimal. E.g., inclusion of an occasional phrase in Latin throughout a work would probably not warrant a separate "Language Of Text" value in the ISTC record unless it was the only way that the work could be distinguished from another work which had otherwise identical metadata.

10.3 What if a planned work is registered then abandoned before completion?

It is possible to flag an ISTC record as "cancelled, by contacting the ISTC-RA or via an ONIX for ISTC message record; the ONIX for ISTC schema includes an <ISTCRecordType> code of "04" for this purpose.

10.4 Are maps and atlases eligible for ISTC registration?

Unlike other forms of pictures and illustrations, maps and, to an even greater extent, atlases, contain text, in the form of labels and other annotations requiring intellectual and/or artistic input. For this reason, maps and atlases are considered to be eligible for ISTC registrations.

10.5 Should an illustrated version of a work be registered separately from a non-illustrated version (or even a differently illustrated version)?

If the text makes reference to the illustrations, the answer is "yes", but if the text does *not* directly reference the illustrations, the usual recommendation would be "no". An exception to this second answer applies when there is a practical need to distinguish textual manifestations by the illustrations they contain (assuming the text in each is identical); in this case, separate ISTCs may be assigned to the non-illustrated and the illustrated work, such that the latter work is regarded as including the illustration.

10.6 Should ISTC registration requests be made for every manifestation of a work?

The ISTC database is not designed to hold information about the manifestations of each work; rather, that is a function of bibliographic databases, which capture the "work to manifestation" link by holding ISTC numbers as attributes of each bibliographic record. Therefore it is only necessary to raise an ISTC registration request when a new work is to be identified.

However, registrants are advised to discuss with their local ISTC-RA the feasibility of initiating a registration request based on each and every manifestation they define, as

this is a reliable procedure for ensuring that each manifestation can have an ISTC applied to its metadata.

10.7 Can a derived work be registered before the work it is derived from?

In order to create the best possible metadata, the ideal approach is to register any derivation(s) *after* the original work on which they are based; this makes it possible for the derived works' metadata to precisely identify the original work using the relevant ISTC. For various reasons this approach is not always possible, so the system still allows a derivation to be registered without specifying the (non-existent) ISTC of the original work. In such cases, registrants should specify as much information as they can about the original work on the derived work's request record.

10.8 I want to register a derived work but I don't know the ISTC of the original work

An online facility enabling anyone to search the ISTC database for existing records will be available via the International ISTC Agency's website. If you cannot find an ISTC record for the original work, you may be able to register that work yourself, or else register the derived work without including a "source work" ISTC. With the second option, you should include (to the best of your knowledge) the title and contributor names of the source work.

10.9 An ISTC record is incorrect or missing some information – what can I do?

Every new registration request is checked against the entire database of existing records, so it is important that every record on the database is as accurate as possible and requests to correct the database are welcomed. If you notice some information is incorrect or missing from an existing ISTC record which you registered yourself, you may send an ISTC update request to the system via your local ISTC-RA; if the record was registered by someone else, you should still notify your local ISTC-RA but they may need to verify the details of your proposed amendment with the registrant of the existing record before they can apply the changes.

10.10 Should a set (or compendium) be registered separately from the items it contains?

In most situations, the registrant will have a clear opinion on whether a *set* has been derived from the process of grouping together a number of 'original' *volumes*, or those individual *volumes* are in fact derived from the *whole set* (as if the set was a single work); the decision on whether the set as a whole is the original work, or the individual volumes are each original works, will be dependent on how the set was originally conceived and produced. In simple terms, the original work is generally whichever came first.

In rare cases, separate ISTC registration (as if they were all original works) of sets/compendiums from the individual volumes is permissible if the work is known both as a set/compendium *and* as individual volume titles. For example, "Pioneers of France in the New World" by Francis Parkman is Volume I of "France and England in North America", a multivolume set. The set *and* the volumes in this example are *each* regarded as original works, rather than being regarded as one derived from the other. Thus, in this case, one method for ensuring that a manifestation of either the set or an individual volume can be found in a bibliographic search is to register both the "set ISTC" and all of the individual "volume ISTCs" as if they were all original works, then apply all of these ISTCs to the product record for each product that contains them. The disadvantage in using this approach would be that the ISTC database would not

contain any linkages ("Source ISTC" values) on any of the ISTC records for these works, so the only method for discerning they are related will be to use their product records as just described.

10.11 Are separate ISTCs needed if parts of a work are published separately?

For example, where a single work is available in its component parts (such as individual chapters published as separate products), can the same ISTC of the "whole" work be applied to each of the product-records for these parts, or must each part be regarded as a derivation of the whole work and assigned its own ISTC? (NB: this question differs from that above about sets, because individual volumes or chapters of a single work can be conceived, written and made available at the same time).

The correct approach would be to register each volume or chapter with its own unique ISTC, as they have been "derived" from the whole work. On a product metadata record such as ONIX for Books, the relevant ISTC should be applied to the product record, representing it as a "manifestation of" the derivation. The "whole" work should also be registered with its own ISTC, which should also be carried on the product records of the individual volumes or chapters, in the "derived from" Related Product composite.

10.12 Should works be registered when key metadata is obviously missing?

For example, should poetry anthologies be registered, if there is no information about the nature of the selection (eg a compiler's name) that would make it possible to distinguish other anthologies of the same poet?

The ISTC registration system will not allow "duplicate" metadata records to be saved, so in terms of abstract data, every ISTC record is guaranteed to be unique and therefore, distinctive. However, registrants must avoid creating ISTC records which, despite being unique, do not clearly refer to a specific work in the "real" world.

10.13 Can a single ISTC group together different translations?

Translations of the same work will typically differ from one another, even though they may be in the same language and are based on the same original work. Even though it is theoretically possible that two "literal" translations of the same work could result in identical texts, if the translators were different, then the "identical" works would still need to be distinguished from one another using their own individual ISTCs. However, there will be many cases where the end-user wishes to group the various translations of a work together, and this is achieved by each product-specific metadata record carrying the ISTC of the *original* work as well as the unique ISTC of the actual work contained in the product.

10.14 How can different publishers use the same ISTC if they don't know what other title(s) a work is published under?

Publishers who acquire a non-exclusive licence for a "new" work are encouraged to ask the agent who is granting them that licence to provide an ISTC as part of the contract (see section 8.2). In this way, the work may be registered using an unpublished or "working" title but this does not matter, because the publishing licensees will be given the ISTC number and will have no need to try and register the work themselves.

11 ISTC and other identifiers

The identifier standards or systems included in this section have been selected for inclusion on the basis that they either complement the scope of the ISTC directly or because it is important to note how their scope differs from that of the ISTC.

11.1 ISAN and V-ISAN

ISO 15706 – The International Standard Audiovisual Number is used to identify an audiovisual work, independently of any physical form in which the work is distributed. ISO 15706-2 is an extension to this standard and specifies the V-ISAN (Version identifier), which identifies a specific version of the work. Potentially there could be applications requiring use of an ISTC to identify the screenplay or script used for an audiovisual work, or else the original textual work from which the audiovisual work was adapted.

11.2 ISBN

ISO 2108 - The International Standard Book Number (ISBN) is the international standard for identifying monographic publications, including printed books, audio books, digital books (on a physical device such as CD or memory stick) as well as downloadable digital books.

Prior to the ISTC system, ISBN numbers have been used in many situations (e.g. rights management systems, academic citations) to identify an *example* of a particular textual work. By contrast, the ISTC can be carried as an attribute of an ISBN metadata record to more precisely (and efficiently) identify the actual textual work independently of any specific manifestation.

11.3 ISMN

ISO 10957 – The International Music Number (ISMN) standard is for identifying printed sheet music and other notated music publications; it therefore operates at the same level of "abstraction" as the ISBN.

The ISTC can be used to identify the textual element of a musical composition, i.e. the lyrics or the libretto (independent of any manifestation), although when the lyrics are to be considered as an intrinsic part of the composition, the collective "music and words" composition should be identified using an ISWC (see below). However, to identify the lyrics appearing in a "song sheet" publication which contains no music, the ISTC would be a suitable identifier for the lyrics.

11.4 ISNI

The International Standard Name Identifier is currently under development as draft international standard 27729. It provides an identification specification for the public identity of parties. With regard to the ISTC, this would include a number (ISNI) representing a "public name" such as an author's pseudonym. When compared with using people's names in their natural language form the ISNI could potentially be used as a far more reliable method for determining whether 2 ISTC registration requests included the same contributor or not.

11.5 ISRC

The International Standard Recording Code (ISO 3901) is used to identify sound recordings. Depending on the context, this could arguably function as an alternative to the ISTC in the role of "content identifier" for audio books. *However*, it is recommended not to use it for this purpose, as the ISRC is primarily intended for recorded music and would not enable the grouping of alternative editions/formats of a book, whereas using an ISTC would enable the linking of numerous editions and formats of the same book.

11.6 ISSN

ISO 3297 – The International Standard Serial Number (ISSN) is used to identify publications which are issued over time with no predetermined conclusion, generally referred to as "continuing resources" or "serials".

11.7 ISWC

ISO 15707 – The International Standard Musical Work Code (ISWC) identifies musical works ("compositions") independently of any manuscript, performance or recording of a performance of the musical work. Any work that was the subject of an ISWC would only need an ISTC if there was a need to identify the lyrics separately from the musical notation.

11.8 DOI

The Digital Object Identifier is a system providing resolvable, persistent and interoperable identification of objects in a networked environment. It is currently the subject of an ISO standardisation process and is operated by the International DOI Foundation (www.doi.org).