

FOREWARDS TO EDITIONS

Foreword to the Online Edition

The first version of the online edition of the UNIMARC Authorities Format Manual was published in 2023, replacing previous editions¹. It includes changes agreed upon by the UNIMARC Permanent Committee (PUC) from 2010 to 2023. This edition also includes corrections in the text and examples, a reorganisation of the appendices and a new manual structure (tables of subfields, occurrence, repeatability, history paragraphs).

The new UNIMARC Authorities Format documentation is an online integrated resource intended to be a permanently complete documentation and usually updated once a year. The Permanent UNIMARC Committee expresses its great appreciation to the Institute of Information Science, Maribor (Slovenia), who supported the preparation of the first version of the online edition.

The UNIMARC Authority Format was originally designed to carry information about the authorised forms of names, titles, and subjects used to create access points in bibliographic records. Since the FR family of conceptual models has expanded and, in particular, since the *IFLA Library Reference Model* (IFLA LRM) was developed, the UNIMARC Authorities format has evolved towards an explicit identification of the entities of the bibliographic information, detailed description of its characteristics and to support relationships between specific instances of these entities. By adopting the new concepts and terminology, the UNIMARC Authorities format online has modified the definitions of fields, subfields, and control subfields.

By harmonizing the two UNIMARC formats with IFLA LRM, UNIMARC can support cataloguing based on entity relationships while still supporting the use of the “classic” UNIMARC bibliographic and authority data scheme.

Gordana Mazić

October 2023

Foreword to the Third Edition

The third edition of the UNIMARC Authorities format is evidence of the last decade’s intensive developments and change of concept in the field of Universal Bibliographic Control, and, in particular, in the field of authority control, brought about by the necessity for efficient and economical sharing of authority data in the web environment in order to meet the needs of users in a qualitative and authoritative way.

The list of changes to the format since the publication of UNIMARC Manual: Authorities Format, 2nd revised and enlarged edition in 2001 points to that fact.

The publication of the 2nd edition of Guidelines for Authority and Reference Records (GARR), immediately following the publication of the UNIMARC Manual in 2001, brought about what can be called a paradigm shift in the concept of UBC which has proved to have seminal impact on the further developments in the field. The UBC concept of requiring the use of the same form for headings globally, i.e., a uniform heading, is considered “not practical and [...] no longer necessary”, because “with computer capabilities developing more sophistication, we can link the authority records created in one country according to one set of cataloguing rules with those in another country to facilitate sharing of authority records and potentially to enable computer-assisted switching to display authorized forms”.³ The Guidelines subsequently change the terminology, and instead of the term “uniform heading” promote the

¹ Willer, M. & International Federation of Library Associations. (2009). *UNIMARC Manual: Authorities Format* (3rd ed.). K.G. Saur. <https://doi.org/10.1515/9783598441820>.

² Riva, P., Le Boef, P. & Žumer, M. (2017). *IFLA Library Reference Model: A Conceptual Model for Bibliographic Information*. IFLA. <https://www.ifla.org/publications/node/11412>.

³ *Guidelines for Authority Records and References*. – 2nd ed./revised by the Working Group on GARE Revision. – München : K. G. Saur, 2001, p. ix.

use of “authorized heading”, although “uniform title” is preserved as a terminus technicus for the authorized form by which variant titles are collocated. It should also be noted that the Guidelines retain the 7 International Standard Authority Data Number area, yet they refer their reader to the discussions about the purpose and use of the ISADN which was started by the IFLA UBCIM Working Group on Minimal Level Authority Records and ISADN (MLAR),⁴ and followed up by the IFLA Working Group on Functional Requirements and Numbering of Authority Records (FRANAR).

The IFLA Meeting of Experts on an International Cataloguing Code’s Statement of International Cataloguing Principles published in February 2009⁵ confirm the new concept and the terminology of “authorized access point”, more precisely, “controlled access points” within the domain of the authority control. The issue of the ISADN is being dealt with in the report prepared by Barbara B. Tillett for the IFLA Working Group on FRANAR and published under the title *A Review of the Feasibility of an International Standard Authority Data Number (ISADN)*. The report, also approved by the Standing Committee of the IFLA Cataloguing Section, recommends that “IFLA should not pursue the idea of an International Standard Authority Data Number (ISADN) as it has been defined”, and that “IFLA should continue to monitor the progress of efforts of the ISO ISNI (International Standard Name Identifier) Working Group and the VIAF Project⁶ and any potential numbering that may result from those efforts”.⁷

The major undertaking of the Working Group on FRANAR, however, is the design of the conceptual model for authority data, based on the entity-relationship analysis technique which was introduced to the field of bibliographic control by Functional Requirements for Bibliographic Records (FRBR) in 1998.⁸ The Functional Requirements for Authority Data: A Conceptual Model (FRAD) prepared by the Working Group and published in June 2009⁹ continue the work which the FRBR initiated by extending the model to authority data. Entities, which are the key objects of interest to users of authority data, and defined to form the fundamental basis for the FRAD conceptual model are Bibliographic Entities (those defined by the FRBR with additional entity Family), Name and/or Identifier, and Controlled Access Point. The relationships between these entities are defined as follows: bibliographic entity (e.g., a person) may be known by one or more names (appellation relationship), or can be assigned one or more identifiers (assignment relationship); names and identifiers serve as the basis for controlled access points which are eventually recorded in bibliographic or some other types of systems.¹⁰ Apart from the relationships between these primary entity types, FRAD specifies relationships between specific instances of these entities, such as relationships between bibliographic entities (e.g., person to person: pseudonymous or sibling relationship), relationships between various names of entities (e.g., earlier/later name relationship), and between controlled access points (e.g., parallel language or different rules relationships). The

⁴ *Mandatory Data Elements for Internationally Shared Resource Authority Records : Report of the IFLA UBCIM Working Group on Minimal Level Authority Records and ISADN*. – [Frankfurt/Main] : IFLA Universal Bibliographic Control and International MARC Programme, 1998 (accessed: 2009-06-14). Available from: <http://archive.ifla.org/VI/3/p1996-2/mlar.htm>.

⁵ *Statement of International Cataloguing Principles* (February 2009) (accessed: 2009-06-14). Available from: <http://www.ifla.org/en/publications/statement-of-international-cataloguing-principles>.

⁶ VIAF: The Virtual International Authority File. A joint project with the Library of Congress, the Deutsche Nationalbibliothek, the Bibliothèque nationale de France and OCLC (accessed 2009-06-14). Available from: <http://www.oclc.org/research/projects/viaf/> [reference added by M.W.].

⁷ Tillett, Barbara B. *A Review of the Feasibility of an International Standard Authority Data Number (ISADN)* / prepared for the IFLA Working Group on Functional Requirements and Numbering of Authority Records, edited by Glenn E. Patton, 1 July 2008; approved by the Standing Committee of the IFLA Cataloguing Section, 15 September 2008 (accessed: 2009-06-14). Available from: <http://archive.ifla.org/VII/d4/franar-numbering-paper.pdf>, p. 1.

⁸ *Functional Requirements for Bibliographic Records : Final Report* / IFLA Study Group on the Functional Requirements for Bibliographic Records. – München : K. G. Saur, 1998. Electronic version (accessed 2009-06-14) available from: <http://archive.ifla.org/VII/s13/frbr/frbr.pdf>

⁹ *Functional Requirements for Authority Data: A Conceptual Model* / edited by Glenn Patton ; IFLA Working Group on Functional Requirements and Numbering of Authority Records (FRANAR). – Final Report, December 2008 / approved by the Standing Committees of the IFLA Cataloguing Section and IFLA Classification and Indexing Section, March 2009. – München : K. G. Saur, 2009.

¹⁰ Note that FRAD is a conceptual model and does not implicate any particular implementation: “the model focuses on data, regardless of how it may be packaged (e.g. in authority records)”, p. 1.

controlled access points are governed by rules, which in turn are applied by (bibliographic) agencies, two additional entities defined by the model.

The FRAD's clarity of concepts and precision in naming entities and their relationships influenced the change of terminology, definition of fields, and control subfield \$5, Relationship Control in UNIMARC Manual: Authorities Format. The blocks are renamed to 2-- Authorized Access Point, 4-- Variant Access Point, 5-- Related Access Point, and 7-- Authorized Access Point in Other Language and/or Script, while tags designate names of the entities which the controlled access points represent, such as Personal Name, Corporate Body Name, Title. The new edition also shows the consistency with definitions of entities published in the Statement of International Cataloguing Principles (ICP). The vision that "computer capabilities [will] develop more sophistication" expressed in GARR's Introduction, and the recommendation that the idea of the ISADN "as has been defined" should not be pursued by IFLA, have both been incorporated into the new edition. Field 015, International Standard Authority Data Number is made obsolete, while a new field 003 Persistent Record Identifier is introduced, "open[ing] the possibilities of the UNIMARC authority record to be used in the web environment and by semantic web tools".¹¹

The new edition is also based on the 3rd edition of the UNIMARC Manual: Bibliographic Format,¹² published in 2008, by which the two corresponding formats are updated, as well as on the comments and proposals from UNIMARC users and the members of the Permanent UNIMARC Committee. The extensions of the format include new fields such as music incipit, identifiers ISTC, ISWC, ISAN and ISRC, printer/publisher device, conventional name/title for legal and religious texts, and activity note pertaining to printer/publisher. It also includes changes in name and function of the fields such as biography and activity note, and place and date of publication, performance, provenance, etc. It is hoped that these, and other changes and additions to the UNIMARC Authorities format will promote values that IFLA stands for, and further the international sharing of authority data.

Mirna Willer

June 2009

Foreword to the Second Edition

This new edition of the UNIMARC Authorities format is the first revision since the format was published in 1991. That such a long period should elapse without revision testifies to the foresight and expertise of the IFLA Steering Group on UNIMARC Format for Authorities.

Responsibility for maintenance of the format now resides with the Permanent UNIMARC Committee. At its meeting in Zagreb in 1997, the PUC decided to prepare a new edition of the UNIMARC Authorities Format. The proposals for revision were agreed at the meeting in Lisbon in February 2000.

The revisions reflect developments in telecommunications and information technology and consequent evolution of the possibilities for universal bibliographic control. The development of communications protocols such as FTP and Z39.50 (ISO 23950) and more recently the explosion of the Internet and the World Wide Web has created an infrastructure in which bibliographic records can be freely and easily exchanged.

Despite projects such as the European project AUTHOR¹³, which demonstrated methodologies for sharing authority data, the exchange of authority data has lagged behind. IFLA established the Working Group on Minimal Level Authority Records and International Standard Authority Data Number¹⁴ to investigate the barriers to exchange of authority data. The recommendations of the MLAR group included the definition of data elements that should be mandatory in all authority records in order to facilitate exchange and reuse of authority data. The new edition incorporates these recommendations.

¹¹ See Definition and Notes on Field Contents of the 003 field.

¹² *UNIMARC Manual: Bibliographic Format*. – 3rd edition edited by Alan Hopkinson. – München : K. G. Saur, 2008.

¹³ *AUTHOR: Transnational Application of National Name Authority Files*; final report, June 1998. <http://www.bl.uk/information/author.pdf>.

¹⁴ *Mandatory data elements for internationally shared resource authority records: report of the IFLA UBCIM Working Group on Minimal Level Authority Records and ISADN*. IFLA UCBIM, 1998. <http://www.ifla.org/VI/3/p1996-2/mlar.htm>.

When the first edition was published the Internet was virtually unknown and the World Wide Web did not exist. They are now pervasive and changes have been implemented to support links to Web resources and to facilitate web cataloguing. The development of a shared environment means that we are more and more dependent on each other. PUC has recognized this by tracking developments in other authority formats and adopting them for UNIMARC/A. There is no substitute for practical experience; the PUC could not develop the format without the recommendations for improvement received from UNIMARC users. Finally, to make use of the format easier the content and style are updated for consistency with the UNIMARC Bibliographic Format.

The pace of change is accelerating and therefore it is unlikely that the format will remain stable for the next ten years. As previously mentioned, the evolution of UNIMARC is determined in large part by the requirements of the users. Details of how the format is maintained will be found in the Introduction below.

Mirna Willer, Chair Permanent UNIMARC Committee

Foreword to the First Edition

The establishment of UNIMARC as the format for the international exchange of bibliographic records created an immediate need to develop a companion format to transmit the records for authoritative forms of headings. IFLA responded to this need by first developing a standard for content and display of authority information: Guidelines for Authority and Reference Entries (GARE). GARE sets forth the data elements that appear in authority and reference entries in eye-readable form. It thus serves as a foundation for building the machine format, UNIMARC/Authorities, to exchange the specified data.

Since UNIMARC/Authorities is part of the UNIMARC group of interdependent formats there are several standards to which it must adhere. These relate to the three basic parts of a machine-readable record format:

- 1) The structure of the record, which is the physical representation and layout of the information.
- 2) The content designators for the record, which identify and supply information about elements.
- 3) The data content of the record, which are the data that are being communicated.

First the authorities format must be structure-compatible with UNIMARC, since the two types of records will be used together in systems. Thus the International Organization for Standardization standard format for bibliographic information interchange (ISO 2709) must be utilized choosing the same options as in UNIMARC. Second, the content designation for headings must be the same as that used in UNIMARC, where the same data elements appear in both formats. The interaction of headings in bibliographic and authority records should not be burdened with differences in content designation, since the degree of compatibility will have a direct effect on the ease of understanding and use of the format. This generally means subfields should correspond for like data elements, although tagging will differ because of the different functions of data elements in bibliographic and authority records. Also, the user of the UNIMARC formats is best served if the same guidelines for design are used in this format wherever the concepts correspond. Another standard that the format must follow is the new GARE. The basic data elements in certain types of authority records are specified by the GARE, which identifies the headings, relationships, and information that comprise authority entries and reference entries.

The form of the data recorded in the authority record is subject to the rules and codes used by an agency that creates the record. There are, however, recommendations that have been published by IFLA for the form of headings, such as Form and Structure of Corporate Headings, and these should be followed where possible. The IFLA recommendations are used by or influence many cataloguing codes.

An individual agency using UNIMARC/Authorities will have its own rules and conventions for when records are created, what references, are included in records, and how parallel headings forms are carried in records. For example, an agency may make no authority records for personal names, or may set a numerical limit to cross references. This format can still be used by such agencies, although agencies that receive their records should be made aware of the conventions of the sending agency.

When a model for an international authority system is worked out by IFLA, targets for data element requirements may be set so that records exchanged internationally will have more consistency. Such a

model may also indicate the need to add data elements to UNIMARC/Authorities in order to accommodate and facilitate exchange in a world-wide environment.

The IFLA group responsible for the GARE was the IFLA Working Group on an International Authority System which was organized in 1979 by the Section on Information Technology and the Section on Cataloguing to carry out a number of tasks relating to the international exchange of authority data. In 1983, that work was largely completed with the submission of the GARE to IFLA committees for approval. That Working Group suggested that one task, the development of a format, be undertaken immediately. Thus the Steering Group on a UNIMARC Format for Authorities was formed with the following members:

Marie-Louise Bachmann, Kungliga Biblioteket, Stockholm

Christine Boßmeyer, Chairperson, Deutsche Bibliothek, Frankfurt

Diana B. Dack, National Library of Australia, Canberra

Tom Delsey, National Library of Canada, Ottawa

J. M. Feyen, Pica Samenwerkingsverband, Koninklijke Bibliotheek, Den Haag

Françoise Finelli-Lemelle, Bibliothèque Nationale, Paris

Günter Franzmeier, Staatsbibliothek Preußischer Kulturbesitz, Berlin

Paula Goossens, Koninklijke Bibliotheek Albert I., Brussels

Anthony Long, The British Library, London

The project editor for the UNIMARC/Authorities format was Sally McCallum. The Steering Group was responsible for general advice and for comments on draft texts. This work was mainly carried out by correspondence. Three successive drafts were sent out to all Steering Group members for comment: 1st draft 1984-26-05; 2nd draft 1985-10-21; 3rd draft 1987-03-13. Based on the comments received the 4th draft was prepared for wider distribution and comment. In February of 1988 the 4th draft was circulated to members of the Section on Cataloguing and the Section on Information Technology.

In closing, I would like to thank Sally McCallum who carried the main burden in drafting the format and preparing the documents, and all members of the Steering Group who contributed so much of their time and effort to the development of the UNIMARC/Authorities format.

Christine Boßmeyer

May 1989