



**Third edition of *UNIMARC Manual: Authorities Format*  
How does it implement concepts from the FRAD model  
and IME ICC Statement of International Cataloguing  
Principles**

**Mirna Willer**  
University of Zadar  
Department of Library and Information Sciences  
Zadar, Croatia

**Meeting:** 135. UNIMARC

---

*WORLD LIBRARY AND INFORMATION CONGRESS: 75TH IFLA GENERAL CONFERENCE AND COUNCIL*  
23-27 August 2009, Milan, Italy  
<http://www.ifla.org/annual-conference/ifla75/index.htm>

---

**Abstract and Introduction:**

*The presentation aims at giving an overview of changes and additions to the new, 3rd edition of “UNIMARC Manual: Authorities Format”<sup>1</sup> accepted by the Permanent UNIMARC Committee (March to June 2009) and planned to be published by summer 2009.*

*The new edition is based on the following: 3rd edition of the “UNIMARC Manual: Bibliographic Format”,<sup>2</sup> published in 2008 by which the two corresponding formats are updated; “Functional Requirements for Authority Data: A Conceptual Model”<sup>3</sup> prepared by the IFLA UBCIM Working Group on FRANAR, published in May/June 2009;<sup>3</sup> IME ICC “Statement of International Cataloguing Principles”, published in February 2009;<sup>4</sup> and the comments and proposals from the UNIMARC users and members of the Permanent UNIMARC Committee made in the period between 2005 to (January) 2009.*

---

<sup>1</sup> UNIMARC Manual: Authorities Format. 2nd revised and enlarged edition. München : K.G. Saur, 2001. Updated version available at: <http://www.ifla.org/VI/8/projects/UNIMARC-AuthoritiesFormat.pdf>

<sup>2</sup> UNIMARC Manual: Bibliographic Format. 3<sup>rd</sup> edition edited by Alan Hopkinson. München: Saur, 2008.

<sup>3</sup> Functional requirements for authority data: A conceptual model / 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: Saur, 2009.

<sup>4</sup> Statement of international cataloguing principles (February 2009). Retrieved March 25, 2009, from <http://www.ifla.org/VII/s13/icp/>

*This presentation updates the one by the same author given at the World Library and Information Congress: 74th IFLA General Conference and Council, 2008, Québec, Canada, as part of the session UNIMARC: “Evolving bibliographic standards: the role and place of UNIMARC, and entitled New developments in UNIMARC/Authorities: impacts from the 3rd edition of the Bibliographic Format and the FRAD model”.*<sup>5</sup>

## **Format Changes**

This presentation will follow Appendix O Format Changes of the *UNIMARC Manual: Authorities Format*,<sup>6</sup> with comments as appropriate.

The list consists of changes to the format since the publication of *UNIMARC Manual: Authorities Format*, 2<sup>nd</sup> revised and enlarged edition in 2001. The changes resulted from the meetings of the Permanent UNIMARC Committee from 2006-2009, and corrections published in the online edition at <http://www.ifla.org/VI/8/projects/UNIMARC-AuthoritiesFormat.pdf>. The amendments fall into the following categories:

1. consistency with the 3<sup>rd</sup> edition of *UNIMARC Manual: Bibliographic Format*;
2. consistency with the 2<sup>nd</sup> edition of *Guidelines for Authority and Reference Records* (GARR)
3. consistency with the recommendations of the IFLA Working Group on Functional Requirements and Numbering of Authority Records (FRANAR) (1999-2009), and entity-relationship model published in *Functional Requirements for Authority Data: A Conceptual Model* (2009);
4. consistency with definitions of entities published in the *Statement of International Cataloguing Principles* (ICP) (2009) adopted through a series of IFLA Meetings of Experts on an International Cataloguing Code (IME ICC) (2003-2007);
5. extension of the format to facilitate recording identifiers, music incipit, authority data for antiquarian resources, and promote international exchange of authority data.

### ***Changes in terminology: naming of record types, blocks, fields and code values***

The changes in terminology were made due to the need to update the format's terminology with the current one used in published literature and everyday speech, while supported and as defined in FRAD and ICP. This primarily refers to the use of “access point” for the “heading”, and “authorized (access point)” for “uniform (heading)”. Furthermore, FRAD conceptual model defines primary entities which form the fundamental basis for the model as Bibliographic Entities (FRBR entities and family), Name and/or Identifier, and Controlled Access Point, imposing thus clarity and precision in naming the blocks and their relationships. This is seen in the names of the blocks 2-- Authorized Access Point, 5-- Related Access Point, and 7-- Authorized Access Point

---

<sup>5</sup> The first version of the text was published in: Willer, Mirna. IFLA UBCIM Working Group on FRANAR Recommendations for Potential Changes in the UNIMARC Authorities Format. // UNIMARC & friends: charting the new landscape of library standards: proceedings of the International Conference held in Lisbon, 20-21 March 2006 / edited by Marie-France Plassard. München: Saur, 2007. Str. 61-68. Presentation available at: [http://unimarc.bn.pt/a\\_u\\_f/mirna-willer.pdf](http://unimarc.bn.pt/a_u_f/mirna-willer.pdf)

<sup>6</sup> Note: At the time of writing this presentation (May 2009), the text of the *Manual* is still in the process of review by the PUC members, and therefore some of the data presented could be changed in the published document.

in Other Language and/or Script blocks, and particularly to the precision of naming the entities which tags in these blocks designate, such as Personal Name, Corporate Body Name, Title. The latter form of name (name of the title of a work) is used also in Collective Title and Name/Collective Title, in accordance with the general abandonment of the concept of “uniform” heading, i.e., “uniform title”, and with the FRAD’s triad Entity – Name – Access Point. Namely, (Controlled) Access Point *is based on* the Name, which *is appellation of* a Bibliographic Entity (Work, Manifestation).

*Changes are the following:*

Access Point: changed for Heading throughout the Manual

Definitions, Record Types

Definitions, Access Point Types

Record Label, 9/Type of entity

f = title

g = collective title

h = name/title

i = name/collective title

106Coded Data Field: Personal/Corporate/Family Name/Trademark/Printer/Publisher Device  
used as Subject          Access Point

154Coded Data Field: Title

Control Subfields:

\$7 Script of Cataloguing and Script of the Base Access point

\$8 Language of Cataloguing and Language of the Base Access Point

2-- Authorized Access Point Block

230Authorized Access Point - Title

235Authorized Access Point - Collective Title

245Authorized Access Point - Name/Collective Title

4-- Variant Access Point Block

430Variant Access Point - Title

445Variant Access Point - Name/Collective Title

5-- Related Access Point Block

530Related Access Point - Title

545Related Access Point - Name/Collective Title

7-- Authorized Access Point in Other Language and/or Script Block

730Authorized Access Point in Other Language and/or Script - Title

745Authorized Access Point in Other Language and/or Script - Name/Collective Title

835Deleted Access Point Information

836Replaced Access Point Information

### ***Deleted paragraphs***

Explanatory Notes, (5)

005 Version Identifier, Field Definition, sentences after the first one.

### ***Updated paragraphs***

Introduction, Purpose and Scope

Introduction, Standards  
Introduction, Other Related Documents  
Definitions, introductory paragraph  
152Notes on Field Contents  
675Notes on Field Contents

***New paragraphs***

Foreword to the Third Edition

Two paragraphs (fifth and sixth) in the Foreword to the First Edition (dropped by omission in the second edition)

Definitions, ***Controlled Access Point*** [in accordance to ICP]

Guidelines for Use, ***Different Rule Data***

This new paragraph is added in accordance with the need to relate access points for the names of the same entity defined by different cataloguing rules resident either in the record originating database or co-operative authority file or union catalogue. That is a result of recommendations from the literature and FRAD. A new code is defined in \$5 Relationship Control subfield (before, Tracing Control), to express the relationship which can be used with 4-- and/or 5-- block fields depending on the treatment of such a case by particular national cataloguing rules.

2-- fields, Notes on Field Contents, ***Subfields forming the base access point***

The concept of the Base Access Point was introduced in the 2<sup>nd</sup> edition of the *Manual*, and its function is to code the language and the script of the name of the entity which can be different from the additions (qualifiers) to the name expressed in the native language of the catalogue. The *Manual* gives the following example:

in the access point 200#1\$aNicolini da Sabbio\$bDomenico\$f15-- to 160-?\$cprimeur-libraire, the base access point is "\$aNicolini da Sabbio\$bDomenico", and the language of this base access point is Italian. The language of cataloguing being French, the qualifiers are expressed in French, i.e., "\$cprimeur-libraire".

The language of cataloguing is recorded in 100 General Processing Data field, while the script and language in subfields \$7 Script of Cataloguing and Script of the Base Access Point, and \$8 Language of Cataloguing and Language of the Base Access Point used in appropriate access point fields. However, the coding is not precise, i.e., the machine cannot know which part of the access point forms the base, and which the addition. That problem was already noted in the literature,<sup>7</sup> while FRAD conceptual model lists in detail elements in a controlled access point that are integral to the name, such as the name element beginning with the name of a person, family, or corporate body, the name element for a subordinate or related body in a controlled access point beginning with the name of a superior body.

In order to meet this requirement, the new edition identifies all subfields in the access point fields that form the basis of the access point, i.e., the base access point, and those that form the additions to the name.

---

<sup>7</sup> Willer, Mirna. UNIMARC format for authority records: Its scope and issues for authority control. // *Cataloging & Classification Quarterly* 3/4, 38 (2004), 153-184.

#### 4-- Notes on Field Contents: rewording of the text

##### ***Obsolete field***

015International Standard Authority Data Number

In accordance with the Working Group on Functional Requirements And Numbering of Authority Records (FRANAR)'s report *A Review of the Feasibility of an International Standard Authority Data Number (ISADN)*<sup>8</sup> which was approved by the Standing Committee of the IFLA Cataloguing Section, the number is defined as obsolete. Namely, the review's first recommendation runs: "IFLA should not pursue the idea of an International Standard Authority Data Number (ISADN) as it has been defined", while the second: "IFLA should continue to monitor the progress of efforts of the ISO ISNI (International Standard Name Identifier) Working Group and the VIAF Project and any potential numbering that may result from those efforts". New fields are defined in order to accommodate diverse numbers which identify bibliographic entities such as International Standard Text Code (ISTC), International Standard Musical Work Code (ISWC), International Standard Audiovisual Number (ISAN) and International Standard Recording Code (ISRC).

##### ***New fields***

003Persistent Record Identifier

The introduction of this field opens the possibilities of the UNIMARC authority record to be used in the web environment and by semantic web tools. The field is defined as:

The persistent identifier of the record assigned by the agency which creates, uses or issues the record. This is the persistent identifier for the authority record, not for the described entity itself. The use of the field is further explained as:

Persistent identifiers are specific internet addresses which allow one to reference an electronic resource with the aid of a hypertext link, while making sure that this link will not change. ... An authority record can also be referenced through a persistent identifier. With the help of this tool, it is possible to add this authority record to one's own bookmarks or to quote it on a Web site, in an e-mail, on a blog or in a forum, simply by using the address which is displayed in the browser during an online session.

Examples:

EX 1

001 FRBNF11911553

003 <http://catalogue.bnf.fr/ark:/12148/cb119115538/>

The persistent identifier of the authority record for Jean-Marie Gustave Le Clézio in the

***BnF catalogue.***

EX 2

001 oca05594636

---

<sup>8</sup> 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. Retrieved March 25, 2009, from <http://www.ifla.org/VII/d4/franar-numbering-paper.pdf>

003 <http://errol.oclc.org/laf/nb2001-72552.html>

The persistent identifier of the authority record for Gordon Dunsire available from the  
**OCLC LAF: *Linked Authority File.***

The use of this field can be linked to Francoise Bourdon's proposal dating from 1993<sup>9</sup> to attribute a number (at the time it was still ISADN in accordance with the UBC programme) to the identification authority record containing the authority form of the entity with additional data elements to disambiguate it from other entities within the authority file of a national bibliographic agency. Thus Persistent Record Identifier can be considered a Uniform Resource Identifier (URI) which identifies an entity and its attributes within a given namespace.

*Other new fields:*

036 Music Incipit

050 International Standard Text Code (ISTC)

051 International Standard Musical Work Code (ISWC)

052 International Standard Audiovisual Number (ISAN)

061 International Standard Recording Code (ISRC)

217 Preferred Access Point - Printer/Publisher Device

243 Preferred Access Point - Preferred Conventional Name for Legal and Religious Texts

341 Activity Note Pertaining to Printer/Publisher

417 Variant Access Point - Printer/Publisher Device

443 Variant Access Point - Variant Conventional Name for Legal and Religious Texts

517 Related Access Point - Printer/Publisher Device

543 Related Access Point - Related Conventional Name for Legal and Religious Texts

640 Place(s) and Date(s) Associated with the Entity

717 Authorized Access Point in Other Language and/or Script - Printer/Publisher Device

743 Authorized Access Point - Authorized Conventional Name for Legal and Religious Texts

***Changes in name and function of block/ field/subfield***

101 \$a Language of or language used by the entity

106 Coded Data Field: Personal/Corporate/Family Name/Trademark/Printer/Publisher Device  
Used As Subject Access Point

Control Subfields:

\$2 System Code

\$3 Authority Record Identifier

\$5 Relationship Control

340 Biography and Activity Note

According to the 2<sup>nd</sup> edition, definition of this field restricted its use only to personal and family names although examples showed its use also for corporate body names and trademarks. The field definition is now extended to also include these entities. To record biography and activity note for printer/publisher use the new 341 Activity Note Pertaining to Printer/Publisher field.

---

<sup>9</sup> Bourdon, F. International cooperation in the field of authority data: an analytical study with recommendations. München: Saur, 1993.

-40, B) Subfields: Standard subfields technique, \$a Name  
 -45, B) Subfields: Standard subfields technique, \$a Name  
 -50 \$a Topical subject or subject category  
 -50 \$x Topical subdivision or subject category subdivision  
 text  
 260 Authorized Access Point - Place and Date of Publication, Performance, Provenance, etc.  
 -60 \$c Intermediate political jurisdiction  
 460 Variant Access Point - Place and Date of Publication, Performance, Provenance, etc.  
 560 Related Access Point - Place and Date of Publication, Performance, Provenance, etc.

*Fields -60* extend from just a place of publication, production, etc. to cover also a place and date of performance or recording, or provenance. They may also include the name of a country, state or province, county and/or city.

6-- Classification and Entity History Block  
 760 Authorized Access Point - Place and Date of Publication, Performance, Provenance, etc.

***Updated definition/scope***

102 Nationality of the Entity  
 102 \$a Country of nationality  
 152 \$a Cataloguing system  
 152 \$b Subject system  
 -10, Indicator 1  
 250 Authorized Access Point - Topical Subject  
 340 Biography and Activity Note  
 450 Variant Access Point - Topical Subject  
 675 Universal Decimal Classification (UDC)  
 676 Dewey Decimal Classification (DDC)  
 680 Library of Congress Classification (LCC)  
 801 \$b Agency  
 856 Electronic Location and Access  
 886 \$a Tag of the source format field  
 886 \$b Indicators and subfields of the source format field

***New indicators and subfields/values***

101 \$c Language of the expression  
 106 \$b Coded data – use in subject heading as base access point or as subdivision  
 106 \$c Coded data – use in topical subject access point with a geographical subdivision  
 150 \$b Conference or meeting code  
 152 \$c System code for musical notation  
 154 \$a/1 Type of Entity Code  
 Control Subfields:  
 \$1 Linking Data

### ***\$5 Relationship Control***

FRAD conceptual model defines four broad categories of relationships: (1) relationships that operate at a generic level between the (primary) entity types; (2) & (3) relationships commonly reflected in the reference structure of the authority record (i.e., in the references themselves, in information notes, instruction phrases, or cataloguer's notes): such as (2) relationships between specific instances of the entities *person, family, corporate body, and work*, and (3) relationships between a specific instance of the entity *person, family, corporate body, or work*, on the one hand, and a specific *name* by which the entity is known; (4) relationships between specific instances of the entity *controlled access point* reflected in the linking structures embedded in authority records (e.g., the links between fields carrying the same data recorded in different scripts). Furthermore, FRAD specifies in a great detail the types of relationship such as pseudonymous, secular, official relationship between persons, genealogical relationship between families, membership relationship between person and corporate body, conventional name relationship [e.g., "Paris Principles"] between name of work and (another) name of work.

The proposal to extend codes in the \$5 subfield meant having to analyze each of these relationships and decide what should be expressed by a code in the \$5 subfield, as opposed to what can be left to \$0Instruction Phrase subfield or notes. The coding system in the \$5 subfield is still under discussion in the time of writing.

-20 \$c	Type of family
-20 \$d	Places associated with the family
-50 \$n	Subject category code
-50 \$m	Subject category subdivision code
-60	Indicator 1 & Indicator 2
-60	subfields \$e - \$o
-80	Indicator 2
340 \$b	Activity note
340 \$p	Affiliation/Address
801 \$2	System code

### ***Change to status***

102 \$a Country of nationality, code 'XX' (unknown)

235 Embedded in -45 fields

440, A) Subfields: Embedded Fields Technique, 2-- embedded fields

445, A) Subfields: Embedded Fields Technique, 2-- embedded fields

540, A) Subfields: Embedded Fields Technique, 2-- embedded fields

545, A) Subfields: Embedded Fields Technique, 2-- embedded fields

Control subfield \$1 permitted for use in 2--, 4--, 5-- and 7-- block fields (235, and -40 and -45 fields)

### ***Examples***

Corrections to existing and addition of new examples

It is hoped that this description of the format changes will show the extent to which the bibliographic universe and the user requirements have developed in the last ten years since the publication of the *UNIMARC Manual: Authorities Format*, as well as the extent of the reaction to these challenges by libraries using the format, and the Permanent UNIMARC Committee.