

TO: Joint Steering Committee for the Revision of AACR

FROM: Deirdre Kiorgaard, ACOC representative

Subject: **Levels of description, access, and authority control**

Related JSC documents:

5JSC/AACR3/I AACR3- Part I- Constituency Review of December 2004 Draft. (Introduction - Levels of description; A1.0D Levels of detail in the description) and responses.

5JSC/Editor/Part II Editor's draft of AACR3 Part II – Provision of access points and citations. (Introduction - Levels of access; D1.0G. Levels of access)

4JSC/LC/54 Proposal for the incorporation of authority control in AACR

Background

At the April 2005 JSC meeting it was agreed that there is a need to review rule **A1.0D Levels of detail in the description** to take into account other standards, including FRBR. JSC also considered that the levels in *RDA* need not be limited to levels of description, but should address the whole bibliographic description including descriptive access points (but not subject headings or classification numbers). It was noted that a statement of levels would also be needed in relation to Part III of *RDA* to cover authority records.

Introduction

This proposal gives levels of description, levels of access, and levels of authority control for inclusion in *RDA: Resource Description and Access*. These levels are based on other relevant standards or guidelines including FRBR, FRAR and MLAR. These standards or guidelines are in turn derived from analyses of the data elements required to support specific user tasks. It is intended to update *RDA* over time in order to maintain consistency with the standards referenced.

To allow for differences in terminology and scope, the levels in this proposal are either based on, or adapted from, the standards referenced. Unlike data standards such as MARC, no elements are treated as mandatory. Instead, for each level certain data elements are recommended, providing they are applicable to the resource being described.

As is noted in the text of the rules, each level constitutes a minimum set of elements, and additional elements may also be included in accordance with the library's policy or the cataloguer's judgement. There may also be multiple instances of some elements.

The terminology and layout of the Levels of description is intended to directly parallel the terminology and structure of the Part I rules in *RDA*. The terminology and layout of the Levels of access and Levels of authority control are indicative only and will need to be revised later to parallel Parts II and III.

Two tables, located in an appendix, will be used to supplement the text on levels. These tables will show the relationship between the *RDA* levels and selected related standards for both bibliographic and authority records. The tables attached to this proposal are indicative only, that is they are intended only to show the type of mapping to be provided. The section on Technical description in *Table 1 Bibliographic record levels* is the most complete, other sections are present in outline form only. Complete tables would be provided in a later draft if constituencies indicate this is desirable.

Issues

In addition to general comments on the proposal, comments are sought on the following issues in particular:

1. The provision of separate levels for description, access and authority control.
2. The placement of the levels in relation to the parts of *RDA*.
3. The adequacy of the general instructions in O.X.
4. The number of levels provided.

5. The relationship between the levels and related standards, and the choice of related standards.
6. Whether the levels should parallel the terminology and structure of the Parts I, II and III rules in RDA.
7. In relation to authority control: whether levels for the reference entry, and the general explanatory entry are needed?
8. The usefulness of the tables.

Comments on the terminology and structure of the Part I rules in RDA *per se* should be addressed in responses to the drafts of the Parts as they are delivered for comment.

Related standards:

Levels of description and access

IFLA Study Group on the Functional Requirements for Bibliographic Records. *Functional Requirements for Bibliographic Records: Final Report*. München: K.G. Saur, 1998, <http://www.ifla.org/VII/s13/frbr/frbr.pdf>

Library of Congress Network development and MARC Standards Office. National Level Record---Bibliographic Full Level & Minimal Level. In *MARC 21 Format for Bibliographic Data*, <http://www.loc.gov/marc/bibliographic/nlr/>

Levels of authority control

IFLA Working Group on GARE Revision. *Guidelines for Authority Records and References*. 2nd ed. München: K.G. Saur, 2001, <http://www.ifla.org/VII/s13/garr/garr.pdf>

IFLA UBCIM Working Group on Minimal Level Authority Records and ISADN. *Mandatory Data Elements for Internationally Shared Resource Authority Records*. IFLA: UBCIM, 1998. Also available online at: <http://www.ifla.org/VI/3/p1996-2/mlar.htm>

IFLA UBCIM Working Group on Functional Requirements for Authority Records (FRANAR). *Functional Requirements for Authority Records: a Conceptual Model*. In Draft 2004-11-15.

Library of Congress Network development and MARC Standards Office. National Level Record---Authority Full Level. In *MARC 21 Format for Authority Data*, <http://www.loc.gov/marc/authority/nlr/nlr.html>

Ad Hoc EAC Working Group. *Encoded archival context*, <http://www.iath.virginia.edu/eac/>

ISAAR (CPF) International Standard Archival Authority Record For Corporate Bodies, Persons and Families. 2nd ed. Canberra, 2004, http://www.icacds.org/eng/isaar2ndedn-e_3_1.pdf

For inclusion in the General Introduction

O.X LEVELS OF DESCRIPTION, ACCESS AND AUTHORITY CONTROL [0.29]

To allow flexibility in the level of detail provided, *RDA* specifies different levels of description, of access, and of authority control. These levels are broadly based on the functions of the catalogue and the *FRBR* and *FRAR* user tasks¹ that the specific data elements support. Use of these levels assists in achieving uniformity within a catalogue, facilitates the sharing of records², and ensures conformity with bibliographic standards³. Tables in Appendix X show the relationship between the *RDA* levels and selected related standards for both bibliographic and authority records.

RDA recommends that each library:

- either* a) always use a specific level of description, of access, and of authority control
or b) develop guidelines for the use of different levels.

- Base the choice of a level on the needs of the catalogue's users and on the purpose of the catalogue or catalogues for which the record is constructed. Cooperative cataloguing programs, union catalogues and shared databases may also specify record level standards.⁴
- For Levels of description see 1.4; for Levels of access, see 11.3; for Levels of authority control, see 21.3.

Options: [0.7]

Some rules or parts of rules are introduced by *optionally*, and other rules use the phrase *considered to be important*. In these provisions *RDA* recognises that different solutions to a problem and differing levels of detail and specificity are appropriate in different contexts. Apply these provisions in the context of the particular catalogue or catalogues for which the description is constructed.

RDA recommends that each library:

- either* a) apply the provisions according to the cataloguer's judgement on a case by case basis
or b) develop guidelines for their application.

¹ Section 6. User Tasks. In *Functional Requirements for Bibliographic Records: Final Report*. IFLA Study Group on the Functional Requirements for Bibliographic Records. München: K. G. Saur, 1998. <http://www.ifla.org/VII/s13/frbr/frbr.pdf>. (FRBR)

IFLA UBCIM Working Group on Functional Requirements for Authority Records (FRANAR). *Functional Requirements for Authority Records: a Conceptual Model*. In Draft 2004-11-15. (FRAR)

² For examples of standards used for the exchange of records, see *MARC 21 Format for Bibliographic Data. National Level Record--Bibliographic Full Level & Minimal Level* <http://www.loc.gov/marc/bibliographic/nlr/nlr.html>; *UNIMARC Manual : Bibliographic Format* <http://www.ifla.org/VI/3/p1996-1/sec-uni.htm>.

³ Specific relevant standards are referenced against each level.

⁴ For example see: *Program for Cooperative Cataloging* <http://www.loc.gov/catdir/pcc/>; *OCLC Input Standards Tables* <http://www.oclc.org/bibformats/tables/en/inputstandards.shtm>; *Kinetica Cataloguing Standards* <http://www.nla.gov.au/kinetica/standards.html>.

For inclusion in PART I

1.4. LEVELS OF DESCRIPTION

Part I provides rules for the creation of a comprehensive set of elements to describe all resources. This rule sets out a minimum set of elements for each of two levels of description.

- In cataloguing a resource at a given level of description, include all the elements in this minimum set if they are applicable to the resource being described. Additional elements may also be included in accordance with the library's policy or the cataloguer's judgement. In the case of optional additions, include the optional elements in accordance with the library's policy.
- Consult individual rules in Part I for the content of the elements to be included.
- See also 0.X Levels of description, access and authority control for general guidance on choosing a level of description. **[1.0D]**

1.4.1. MINIMUM LEVEL OF DESCRIPTION

The minimum level of description is based on those elements needed to support the FRBR user tasks *Find* and *Identify* in relation to Manifestations as outlined in *FRBR*.⁵ A table in Appendix X shows the relationship between this level and selected related standards for bibliographic records.

- For the minimum level of description, include at least these elements, as applicable to the resource being described⁶: **[1.0D1]**

- **Identification of the resource**

- Title*

- Title proper (including devised title and number/name of part)

- Statement of responsibility*

- Statement of responsibility (principal responsibility)

- Edition*

- Edition statement

- Numbering*

- Numeric and/or alphabetic designation
 - Chronological designation

- Publisher, distributor, etc.*

- First named publisher, distributor, etc.

- Date of publication, distribution, etc.*

- Date of publication

- Series statement*

- Title proper of series
 - ISSN of series
 - Numbering within series

- Resource identifier*

- Standard number (or alternative)

⁵ Tables 7.1, 7.2 and 7.5. In *FRBR*. <http://www.ifla.org/VII/s13/frbr/frbr.pdf>.

⁶ A description may include multiple instances of some elements.

Other numbers associated with the resource (if considered important for identification)

■ **Technical description**

Type and form of carrier

Form of carrier

Extent

Extent (if considered to be important)⁷

*Other technical details (if considered to be important)*⁸

1.4.2. STANDARD LEVEL OF DESCRIPTION

The standard level of description is based on the *FRBR* Basic Level National bibliographic record.⁹ The standard level of description supports the user tasks *Find*, *Identify*, *Select* and *Obtain* in relation to Works, Expressions, Manifestations and Items as outlined in *FRBR*.¹⁰ A table in Appendix X shows the relationship between this level and selected related standards for bibliographic records.

- For the standard level of description, include at least these elements, as applicable to the resource being described¹¹: **[1.0D2]**

■ **Identification of the resource**

Title

Title proper (including devised title and number/name of part)

Parallel title (if considered to be important)¹²

Other title information

Variant title

Key-title

Statement of responsibility

Statement of responsibility (principal responsibility)

Edition

Statement of responsibility relating to the edition

Statement relating to a named revision of an edition

Statement of responsibility relating to a named revision of an edition

Numbering

Numeric and/or alphabetic designation

Chronological designation

Alternative numbering

Note on frequency

Place of publication, distribution, etc.

First named place of publication, distribution, etc.

Publisher, distributor, etc.

First named publisher, distributor, etc.

Date of publication, distribution, etc.

Date of publication

⁷ For e.g. if the extent assists in identifying a manifestation; for audio and visual resources.

⁸ For e.g. if the technical details assist in identifying a manifestation.

⁹ Section 7.3 Basic Level National Bibliographic record. In *FRBR*. <http://www.ifla.org/VII/s13/frbr/frbr.pdf>.

¹⁰ Section 6. User Tasks. In *FRBR*. <http://www.ifla.org/VII/s13/frbr/frbr.pdf>.

¹¹ A description may include multiple instances of some elements.

¹² Generally include parallel titles in the language of the catalogue.

Copyright date
 Supplied date
 Date of production

Series statement

Title proper of series
 Parallel title of series (if considered to be important)¹³
 First statement of responsibility relating to series (if considered to be important for identification)
 ISSN of series
 Numbering within series

Resource identifier

Standard number (or alternative)
 Other numbers associated with the resource (if considered important for identification)

■ **Technical description**

Type and form of carrier

Form of carrier

Extent

Extent (if considered to be important)¹⁴

Dimensions (if considered to be important for access)

Dimensions

Other technical details (if considered to be important)¹⁵

System requirements

Note on system requirements

Mode of access

Note on mode of access

■ **Content description**

Type and form of content

Note on the form of *expression*

Nature, scope etc.

Note on distinguishing characteristic of *expression*

Note on medium of performance of the *expression*

Language and script

Note on language (if considered to be important)¹⁶

Related content

Notes on edition and bibliographic history –
 successor, supplement, complement (if relationship is referential)
 revision
 translation
 parent work (if dependent)
 arrangement

Presentation of musical content

Musical presentation statement

Representation of cartographic content

Statement of scale

Statement of coordinates

¹³ Generally include parallel titles in the language of the catalogue.

¹⁴ For e.g. if the extent assists in identifying a manifestation; for audio and visual resources.

¹⁵ For e.g. if the technical details assist in identifying a manifestation.

¹⁶ For e.g. if the linguistic content of the expression is significant.

■ **Sourcing information**

Note on access address

Note relating to binding and availability –source for acquisition/access¹⁷

■ **Item specific information**

Note on restrictions on access and use

¹⁷ For e.g. if the manifestation is difficult to obtain through normal trade source.

For inclusion in Part II

11.3 LEVELS OF ACCESS

Part II provides rules for the creation of a comprehensive set of access points and citations for all resources. This rule sets out a minimum set of elements for each of two levels of access.

- In cataloguing a resource at a given level of access, include all the access points and citations in this minimum set if they are applicable to the work or expression embodied in the resource being described. Additional access points and citations may also be included in accordance with the library's policy or the cataloguer's judgement.
- Consult individual rules in Part II for the content of the elements to be included.
- See also 0.X Levels of description, access and authority control for general guidance on choosing a level of access.
- See also XX.XX for the functions of primary and secondary access points.

11.3.1. MINIMUM LEVEL OF ACCESS

The minimum level of access is based on the *FRBR* Basic Level National bibliographic record.¹⁸ The minimum level of access supports the user tasks *Find*, *Identify*, *Select* and *Obtain* in relation to Works, Expressions, Manifestations and Items as outlined in *FRBR*.¹⁹ A table in Appendix X shows the relationship between this level and selected related standards for bibliographic records.

- For the minimum level of access, include at least the following access points and citations, as applicable to the resource being described:
 - a) the *primary access point* for the work or expression i.e. the name heading for the person, family²⁰ or corporate body with principal responsibility *or* the citation title *or* the title proper.
 - b) the following secondary access points:
 - i) title proper (including number/name of part) if the primary access point is a personal, family or corporate name heading or the citation title
 - ii) access points for additional persons, families or corporate bodies with principal responsibility (if the primary access point is a personal, family or corporate name heading)
 - c) the following *citation*:
 - i) series citation

¹⁸ Section 7.3 Basic Level National Bibliographic record. In *FRBR*.
<http://www.ifla.org/VII/s13/frbr/frbr.pdf>.

¹⁹ Section 6. User Tasks. In *FRBR*. <http://www.ifla.org/VII/s13/frbr/frbr.pdf>.

²⁰ Family name has been added as per *FRAR*.

11.3.2. STANDARD LEVEL OF ACCESS

The standard level of access is based on the *FRBR* Basic Level National bibliographic record.²¹ The standard level of access supports the user tasks *Find*, *Identify*, *Select* and *Obtain* in relation to Works, Expressions, Manifestations and Items as outlined in *FRBR*.²² This level differs from the minimum level with regard to the access points provided for related works. A table in Appendix X shows the relationship between this level and selected related standards for bibliographic records.

- For the standard level of access, include at least the following access points and citations as applicable to the resource being described:
 - a) the *primary access point* for the work or expression i.e. the name heading for the person, family²³ or corporate body with principal responsibility *or* the citation title *or* the title proper.
 - b) the following secondary access points:
 - i) title proper (including number/name of part) if the primary access point is a personal, family or corporate name heading or the citation title
 - ii) access points for additional persons, families or corporate bodies with principal responsibility (if the primary access point is a personal, family or corporate name heading)²⁴
 - iii) variant titles appearing in the resource being described (if considered important for access)²⁵
 - c) the following *citations*:
 - i) series citation
 - ii) related work citations for works that are or have predecessors, successors supplements, concordances, cadenzas, etc.²⁶
 - iii) a citation for the resource as a whole, if necessary for access to the part being catalogued²⁷
 - iv) analytical citations for works²⁸

²¹ Section 7.3 Basic Level National Bibliographic record. In *FRBR*.
<http://www.ifla.org/VII/s13/frbr/frbr.pdf>

²² Section 6. User Tasks. In *FRBR*. <http://www.ifla.org/VII/s13/frbr/frbr.pdf>

²³ Family name has been added as per *FRAR*.

²⁴ The number of additional access points may be limited in accordance with local or national policies.

²⁵ Variant titles are not addressed in *FRBR*, but are Mandatory if applicable in *MARC 21 Format for Bibliographic Data. National Level Record--Bibliographic Full Level & Minimal Level*
<http://www.loc.gov/marc/bibliographic/nlr/nlr.html>

²⁶ These citations are not explicitly addressed in *FRBR*.

²⁷ These citations are not explicitly addressed in *FRBR*.

²⁸ These citations are not explicitly addressed in *FRBR*.

For inclusion in Part III

21.3. LEVELS OF AUTHORITY CONTROL

Part III provides rules for the creation of an authority record. This rule sets out a minimum set of elements for each of two levels of authority control.

- In creating an authority record at a given level of authority control, include all the elements in this minimum set if they are applicable to the entity being described. Additional elements may also be included in accordance with the library's policy or the cataloguer's judgement.
- Consult individual rules in Part III for the content of the elements to be included.
- See also 0.X Levels of description, access and authority control for general guidance on choosing a level of authority control. **[1.0D]**

21.3.1. MINIMUM LEVEL OF AUTHORITY CONTROL

The minimum level of authority control is adapted from the mandatory data elements²⁹ in *MLAR*.³⁰ A table in Appendix X shows the relationship between this level and selected related standards for authority records.

- For the minimum level of authority control, include at least these elements:

Authorized heading
 Nationality of entity (personal, family or corporate names)³¹
 See references from variant forms of the authorized heading
 See also references from related authorized headings
 Source citation note
 Identifier³²

21.3.2. STANDARD LEVEL OF AUTHORITY CONTROL

The standard level of authority control is adapted from the mandatory and highly recommended data elements in *MLAR*.³³ A table in Appendix X shows the relationship between this level and selected related standards for authority records.

- For the standard level of authority control, include at least these elements:
[1.0D2]

Authorized heading
 Nationality of entity (personal, family or corporate names)³⁴
 See references from variant forms of the authorized heading
 See also references from related authorized headings
 Source citation note

²⁹ Elements that are usually expressed as coded data have been excluded.

³⁰ IFLA UBCIM Working Group on Minimal Level Authority Records and ISADN. *Mandatory Data Elements for Internationally Shared Resource Authority Records*. IFLA: UBCIM, 1998. Also available online at: <http://www.ifla.org/VI/3/p1996-2/mlar.htm> (MLAR)

³¹ Nationality may be given as "undetermined" in accordance with local or national policies.

³² This data element is under review as part of the work of *FRAR*.

³³ *MLAR* <http://www.ifla.org/VI/3/p1996-2/mlar.htm>

³⁴ Nationality may be given as "undetermined" in accordance with local or national policies.

Biographical, historical, or other information about the entity
Source data not found note
General notes
Identifier³⁵

³⁵ This data element is under review as part of the work of *FRAR*.

For inclusion in an appendix

TABLE 1. BIBLIOGRAPHIC RECORD LEVELS

See Excel table

TABLE 2. AUTHORITY RECORD LEVELS

See Excel table