

To: Joint Steering Committee for Revision of AACR
From: Deirdre Kiorgaard, Chair, JSC
Subject: RDA Prospectus

Attached is a prospectus for *RDA: Resource Description and Access*. This document has been produced to provide all those interested in the development of RDA with information which it is hoped they will find useful. It is also a document which gives context to the work that those directly involved in RDA development will be undertaking in the coming months and years.

The document contains two parts:

- The prospectus text.
- A draft outline of the chapters in RDA.

Any individual or organisation wishing to comment on this prospectus is invited to do so using the form at: <http://www.collectionscanada.ca/jsc/rdawebform.html>.

Revision History

Document first issued: 27 July 2005
Revised: 7 December 2005
Revised: 19 June 2006

RDA — Resource Description and Access

A Prospectus

RDA is being developed as a new standard for resource description and access designed for the digital world.

Built on foundations established by the *Anglo-American Cataloguing Rules (AACR)*, *RDA* will provide a comprehensive set of guidelines and instructions on resource description and access covering all types of content and media. The new standard is being developed for use primarily in libraries, but consultations are being undertaken with other communities (archives, museums, publishers, etc.) in an effort to attain an effective level of alignment between *RDA* and the metadata standards used in those communities.

A New Approach

Digital technologies have significantly changed the environment in which libraries, archives, museums, and other information management organizations build and maintain the databases that describe and provide access to resources in their collections.

The resources represented in those databases include a rapidly growing number that have been produced and disseminated using state-of-the-art digital technologies. *RDA* is being designed to provide a flexible and extensible framework for both the technical and content description of such resources while serving the needs of libraries organizing traditional resources as well.

Database technologies are also undergoing significant change, and an increasing number of information management organizations are migrating the data that describe and provide access to their resources to new platforms. *RDA* is being developed to provide a better fit with emerging database technologies, and to take advantage of the efficiencies and flexibility that such technologies offer with respect to data capture, storage, retrieval, and display.

A key element in the design of *RDA* is its alignment with the conceptual models for bibliographic and authority data developed by the International Federation of Library Associations and Institutions (IFLA). The FRBR¹ and FRAR² models provide *RDA* with

¹ *Functional Requirements for Bibliographic Records: Final Report*. IFLA Study Group on the Functional Requirements for Bibliographic Records. München: K.G. Saur, 1998. (Available on the IFLA web site at: <http://www.ifla.org/VII/s13/frbr/frbr.pdf>.)

² *Functional Requirements for Authority Records: A Conceptual Model*. IFLA UBCIM Working Group on Functional Requirements and Numbering of Authority Records. (FRANAR). Draft 2005-06-15. (Available on the IFLA web site at: <http://www.ifla.org/VII/d4/FANAR-Conceptual-M-draft-e.pdf>.)

an underlying framework that has the scope needed to support comprehensive coverage of all types of content and media, the flexibility and extensibility needed to accommodate newly emerging resource characteristics, and the adaptability needed for the data produced to function within a wide range of technological environments.

A second key element in the design of *RDA* is that it establishes a clear line of separation between the recording of data and the presentation of data. The major focus of *RDA* will be on providing guidelines and instructions on recording data to reflect attributes and relationships associated with the entities defined in the FRBR and FRAR models. The aim is to provide a set of instructions for recording data that can be applied independently of any particular structure or syntax for data storage or display. Guidelines and instructions on formatting data elements for purposes of presentation according to specifications set out in standards such as the ISBD(G)³ and GARR⁴ will be provided separately in appendices.

RDA is being designed for ease and efficiency of use. The guidelines and instructions in *RDA* will be structured to facilitate application to a wide variety of resources, ranging from those that can be described in a relatively simple and straightforward way to those for which more detailed guidance is required. General instructions covering basic aspects of resource description and access that are applicable to all types of resources will be formulated in clear, concise, simple terms. In cases where further guidance may be needed to describe specific characteristics exhibited by a resource, *RDA* will provide more detailed instructions applicable to particular types of content, media, and modes of issuance. As a means of further supplementing those detailed instructions, *RDA* will provide references to other standards for resource description and access such as those developed by the archival and museum communities. For those who are creating less detailed descriptions, the structure and layout of *RDA* will also make it easier to identify basic instructions and to “mask out” those that may be required only for a more detailed level of description.

Notwithstanding its new approach, the need to integrate data produced using *RDA* into existing files (particularly those developed using *AACR* and related standards) is recognized as a key factor in the design of *RDA*. The reworking of instructions derived from *AACR* to produce a standard that will be easier to use, more adaptable, and more cost-efficient in its application, will be guided by recognition of the equally important need to minimize the need for retrospective adjustments when integrating data produced using *RDA* into existing files.

³ *ISBD(G): General International Bibliographic Description*. Recommended by the ISBD Review Group. 2004 Revision. (Available on the IFLA web site at: <http://www.ifla.org/VII/s13/pubs/isbdg2004.pdf>)

⁴ *Guidelines for Authority Records and References*. Revised by the IFLA Working Group on GARE Revision. Second edition. München: K.G. Saur, 2001. (Available on the IFLA web site at: <http://www.ifla.org/VII/s13/garr/garr.pdf>)

Outline

General Introduction

The general introduction will provide a brief statement of the overall purpose and scope of *RDA*, its intended audience, and its relationship to other standards for resource description and access. It will articulate the principles on which *RDA* is based, and describe briefly the conceptual models that serve as its underlying framework.

The general introduction will also provide a general outline of how *RDA* is organized, an explanation of the conventions used in presenting instructions and examples, and guidance on how *RDA* instructions and conventions relating to language, transcription, etc. can be adapted for use in various contexts (e.g., by an agency whose primary audience uses a language other than English).

Part A – Description

Part A will contain an introduction and seven chapters providing guidelines and instructions on recording descriptive data:

- Introduction to part I
- Chapter 1. General guidelines on resource description
- Chapter 2. Identification of the resource
- Chapter 3. Carrier description
- Chapter 4. Content description
- Chapter 5. Acquisition and access information
- Chapter 6. Related resources
- Chapter 7. Persons, families, and corporate bodies associated with a resource

The introduction to part A will outline the functional objectives and principles of resource description. It will also explain how part A is structured and how the guidelines and instructions are presented. The introduction will also identify other standards for resource description that can be used to supplement the guidelines and instructions provided by *RDA*.

Chapter 1 will provide general guidelines on determining the appropriate type of description to use (comprehensive, analytical, or multilevel description), changes requiring a new description, mandatory elements of description, language and script of the description, conventions used in transcribing descriptive elements, the formulation of notes, and descriptive elements used as access points.

Chapter 2 will focus on the descriptive elements that are most commonly used for purposes of identifying the resource. The elements covered will include title, statement of responsibility, edition/issue designation, etc. — information that users rely on to confirm that the resource described corresponds to the one sought, or to distinguish between two or more resources bearing similar identifying information.

Chapter 3 will focus on the description of the carrier of the resource. The elements covered will include those that users make use of when selecting a resource to meet their needs with respect to the physical characteristics of the carrier, the formatting and encoding of the information stored on the carrier, etc.

Chapter 4 will focus on the content of the resource. The elements covered will include those that users make use of when selecting a resource to meet their needs with respect to the form of work, audience, language, etc.

Chapter 5 will focus on acquisition and access information. The elements covered will include those that users make use of to obtain or access a resource (terms of availability, contact information, restrictions on access, etc.), and information on the holding institution's acquisition of the resource.

Chapter 6 will provide general instructions on the use of citations, access points, embedded descriptions, informal references, and resource identifiers to reflect relationships between the resource described and other related content and resources (e.g., the source from which a reproduction is made, or the work used as the basis for a derivative work). Chapter 6 will also provide additional instructions on relationships that apply specifically to music resources, art resources, and legal resources.

Chapter 7 will provide a set of general guidelines and instructions on choosing the primary access point (i.e., the access point used as the initial element in citing a work) as well as other access points reflecting relationships between the resource described and persons, families, and corporate bodies associated with the resource. It will also include a number of additional instructions that apply specifically to persons, families, and corporate bodies associated with musical works, art works, legal works, religious works, official communications, and academic works.

Instructions in chapters 2-7 will be presented in groupings that correspond to the logical attributes of entities and relationships between entities that are defined in FRBR. For example, in chapter 2, the "title" grouping will cover instructions pertaining to all data elements subsumed under the attribute that FRBR defines as "title of the manifestation" (i.e., title proper, parallel title, variant title, key-title, etc.).

Part B – Access Point Control

Part B will contain an introduction and seven chapters providing guidelines and instructions on formulating access points and recording data used in access point control:

Introduction to part B

Chapter 8. General guidelines on access point control

Chapter 9. Access points for persons

Chapter 10. Access points for families

Chapter 11. Access points for corporate bodies

Chapter 12. Access points for places

Chapter 13. Access points for works, etc.

Chapter 14. Other information used in access point control

The introduction to part B will outline functional objectives and principles of access point control. It will also explain how part B is structured and how the guidelines and instructions are presented. The introduction will also identify other standards on access point control that can be used to supplement the guidelines and instructions provided by *RDA*.

Chapter 8 will provide general guidelines on sources of information, levels of access point control, transcription, language and script of access points, the structure of access points, and the use of references.

Chapters 9-12 will provide general instructions on choosing the preferred name of a person, family, corporate body, or place, ordering the elements of the name for use as an access point, adding identifying elements to the name to differentiate entities with the same name, and using variant and related names as references. Chapters 9 and 11 will also provide additional instructions for specific types of names (e.g., personal names in various languages, names of government bodies and officials).

Chapter 13 will provide general instructions on constructing access points representing works, expressions, manifestations, and items, choosing the preferred title for a work, adding identifying elements to the title to differentiate works with the same title, etc., and using variant and related titles as references. Chapter 13 will also provide additional instructions on formulating access points for specific types of works (e.g., music).

Chapter 14 will provide instructions on recording information other than names and titles that can be used either to identify a person, family, corporate body, place or work (e.g., date and place of birth of a person, or the location of the headquarters of a corporate body) or to account for the form chosen as the preferred name or title (e.g., the country of residence of a person, or the place of origin of a work). Chapter 14 will also provide instructions on citing sources consulted in choosing and formulating names and titles for use in access points.

Appendices

RDA will contain five appendices:

- Appendix A. Capitalization
- Appendix B. Abbreviations
- Appendix C. Initial articles
- Appendix D. Presentation of descriptive data
- Appendix E. Presentation of access point control data

Appendix A will provide instructions on conventions for capitalization of data transcribed in English as well as for data transcribed in a number of other languages. The instructions in the appendix will supplement general guidelines on capitalization provided in chapters 1 and 8.

Appendix B will provide lists of abbreviations for use in bibliographic descriptions, including abbreviations for certain countries, states, etc., abbreviations for the names of months, and abbreviations used in citing bibliographic sources. The lists in the appendix will supplement general guidelines on the use of abbreviations provided in chapters 1 and 8.

Appendix C will provide a list of definite and indefinite articles in a number of languages that are to be either omitted or treated as non-filing characters when they occur at the beginning of an access point or at the beginning of a title used in a name-title access point for a work, etc.

Appendix D will provide guidelines and instructions on the presentation of descriptive data elements. The appendix will include a table showing how the specific data

elements covered in chapters 2-6 can be mapped to the areas and elements defined in the ISBDs to produce a display that follows the established ISBD order of elements and prescribed punctuation. Instructions on the presentation of "In" analytics and multilevel descriptions based on ISBD specifications will also be included. In addition, Appendix D will provide guidelines on presenting descriptive data elements in other forms, such as the MARC 21 format for bibliographic data.

Appendix E will provide guidelines and instructions on the presentation of data used in access point control. The appendix will include a table showing how the specific data elements covered in chapters 9-14 can be mapped to the areas and elements defined in GARR to produce a display that follows the established GARR order of elements and prescribed punctuation. In addition, Appendix E will provide guidelines on presenting access point control data in other forms, such as the MARC 21 format for authority data.

Glossary

The glossary will contain definitions for terms used in *RDA* with a specific technical meaning. Definitions for the majority of such terms will also be provided within chapters 1-14 as they are introduced in the instructions.

Index

The index will provide an alphabetic listing of data elements and other significant terms and concepts used in *RDA* with numeric references to the guidelines and instructions in which those elements, terms, and concepts are covered.

RDA — Resource Description and Access

Outline

General Introduction

- 0.0.0 Purpose and scope
- 0.0.1 Intended audience
- 0.0.2 Relationship to other standards for resource description and access
- 0.0.3 Principles governing resource description and access
- 0.0.4 Conceptual models underlying *RDA*
- 0.0.5 Organization
- 0.0.6 Presentation of instructions and examples
- 0.0.7 Adaptation of RDA guidelines and instructions on language, script, transcription, etc.

Part A —Description

Introduction to Part A

- 0.1.0 Purpose and scope
- 0.1.1 Relationship to other standards for resource description
- 0.1.2 Functional objectives and principles of resource description
- 0.1.3 Terminology
- 0.1.4 Structure of Part A
- 0.1.5 Presentation
- 0.1.6 Required elements
- 0.1.7 Options
- 0.1.8 Language preferences
- 0.1.9 Examples

Chapter 1. General guidelines on resource description

- 1.0 Purpose and scope
- 1.1 Terminology
- 1.2 Type of description
- 1.3 Changes requiring a new description
- 1.4 Required elements of description
- 1.5 Language and script of the description
- 1.6 Transcription
- 1.7 Formulation of notes
- 1.8 Elements used as access points

Chapter 2. Identification of the resource

- 2.0 Purpose and scope
- 2.1 Basis for identification of the resource
- 2.2 Sources of information
- 2.3 Title
- 2.4 Statement of responsibility

- 2.5 Edition
- 2.6 Numbering
- 2.7 Publication
- 2.8 Distribution
- 2.9 Manufacture
- 2.10 Production
- 2.11 Series
- 2.12 Frequency
- 2.13 Resource identifier
- 2.14 Published description
- 2.15 Issue, part, or iteration used as the basis for the description

Chapter 3. Carrier description

- 3.0 Purpose and scope
- 3.1 General guidelines on carrier description
- 3.2 Media category
- 3.3 Type of carrier
- 3.4 Extent
- 3.5 Dimensions
- 3.6 Large print, braille, etc.
- 3.7 Layout
- 3.8 Production method
- 3.9 Polarity
- 3.10 Sound characteristics
- 3.11 Illustrative matter
- 3.12 Colour
- 3.13 Medium
- 3.14 Physical material
- 3.15 Mounting
- 3.16 Projection characteristics
- 3.17 Digital characteristics
- 3.18 Accompanying material
- 3.19 Digital graphic representation
- 3.20 System requirements
- 3.21 Mode of access
- 3.22 Other formats
- 3.23 Carrier details of the item being described

Chapter 4. Content description

- 4.0 Purpose and scope
- 4.1 Sources of information
- 4.2 Type and form of content
- 4.3 Nature and scope of the content
- 4.4 Language, script, etc., of the content
- 4.5 Intended audience
- 4.6 Summarization of the content
- 4.7 Contents
- 4.8 System of arrangement
- 4.9 Indexes and finding aids
- 4.10 Bibliographic history
- 4.11 Format of notated music
- 4.12 Medium of performance of musical content
- 4.13 Scale of cartographic content
- 4.14 Projection of cartographic content
- 4.15 Coordinates of cartographic content
- 4.16 Magnitude of cartographic content

- 4.17 Other features of cartographic content
- 4.18 Dissertations
- 4.19 Awards

Chapter 5. Information on terms of availability, etc.

- 5.0 Purpose and scope
- 5.1 Sources of information
- 5.2 Terms of availability
- 5.3 Contact information
- 5.4 Restrictions on access
- 5.5 Restrictions on use
- 5.6 Custodial history and immediate source of acquisition
- 5.7 Appraisal and accrual

Chapter 6. Related resources

- 6.0 Purpose and scope
- 6.1 General guidelines on recording relationships between resources
- 6.2 Aggregate/component relationships
- 6.3 Component/component relationships
- 6.4 Source/reproduction relationships
- 6.5 Format/format relationships
- 6.6 Source/derivative relationships
- 6.7 Primary/adjunct relationships
- 6.8 Edition/edition relationships
- 6.9 "Issued with" relationships
- 6.10 Predecessor/successor relationships
- 6.11 Additional instructions for music resources
- 6.12 Additional instructions for art resources
- 6.13 Additional instructions for legal resources

Chapter 7. Persons, families, and corporate bodies associated with a resource

- 7.0 Purpose and scope
- 7.1 General guidelines on recording persons, families, and corporate bodies associated with a resource
- 7.2 Primary access point
- 7.3 Additional access points for collaborators and contributors
- 7.4 Additional access points for publishers, producers, etc.
- 7.5 Additional access points for owners, custodians, etc.
- 7.6 Designation of role
- 7.7 Additional instructions for musical works
- 7.8 Additional instructions for art works
- 7.9 Additional instructions for legal works
- 7.10 Additional instructions for religious works
- 7.11 Additional instructions for official communications
- 7.12 Additional instructions for academic works

Part B — Access Point Control

Introduction to Part B

- 0.2.0 Purpose and scope

- 0.2.1 Relationship to other standards for resource description
- 0.2.2 Functional objectives and principles of access point control
- 0.2.3 Terminology
- 0.2.4 Structure of Part B
- 0.2.5 Required elements
- 0.2.6 Options
- 0.2.7 Language preferences
- 0.2.8 Examples

Chapter 8. General guidelines on access point control

- 8.0 Purpose and scope
- 8.1 Terminology
- 8.2 Sources of information
- 8.3 Levels of access point control
- 8.4 Transcription
- 8.5 Language and script of access points
- 8.6 Structure of access points
- 8.7 References
- 8.8 Designation of usage of names

Chapter 9. Access points for persons

- 9.0 Purpose, scope, etc.
- 9.1 Choosing the preferred name
- 9.2 Order of elements
- 9.3 Names entered under surname
- 9.4 Names entered under title of nobility
- 9.5 Names entered under given name, etc.
- 9.6 Names entered under initials, letters, or numerals
- 9.7 Phrases
- 9.8 Additions to names of persons
- 9.9 Special instructions for names in certain languages
- 9.10 References from names of persons

Chapter 10. Access points for families

- 10.0 Purpose and scope
- 10.1 Choosing the preferred name
- 10.2 Additions to names of families
- 10.3 References from names of families

Chapter 11. Access points for corporate bodies

- 11.0 Purpose and scope
- 11.1 Choosing the preferred name
- 11.2 Order of elements
- 11.3 Omissions
- 11.4 Additions to names of corporate bodies
- 11.5 Subordinate and related bodies
- 11.6 Government bodies and officials
- 11.7 Religious bodies and officials
- 11.8 References from names of corporate bodies

Chapter 12. Access points for places

- 12.0 Purpose and scope

- 12.1 Choosing the preferred name
- 12.2 Additions to names of places
- 12.3 References from names of places

Chapter 13. Access points for works, etc.

- 13.0 Purpose and scope
- 13.1 Constructing citations
- 13.2 Choosing the preferred title
- 13.3 Additions to citations
- 13.4 Music
- 13.5 Manuscripts and manuscript groups
- 13.6 Laws, treaties, etc.
- 13.7 Sacred scriptures
- 13.8 Liturgical works, theological creeds, confessions of faith, etc.
- 13.9 Official papal communications, etc.
- 13.10 References from titles and citations for works, etc.

Chapter 14. Other information used in access point control

- 14.0 Purpose and scope
- 14.1 Other information used to identify persons
- 14.2 Other information used to identify families
- 14.3 Other information used to identify corporate bodies
- 14.4 Other information used to identify works, etc.
- 14.5 Designated usage of access point
- 14.6 Citing sources consulted

Appendix A. Capitalization

Appendix B. Abbreviations

Appendix C. Initial articles

Appendix D. Presentation of descriptive data

Appendix E. Presentation of access point control data

Glossary

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