



International Federation of Library Associations and Institutions  
Fédération Internationale des Associations de Bibliothécaires et des Bibliothèques  
Internationaler Verband der bibliothekarischen Vereine und Institutionen  
Международная Федерация Библиотечных Ассоциаций и Учреждений  
Federación Internacional de Asociaciones de Bibliotecarios y Bibliotecas  
国际图书馆协会与机构联合会

الاتحاد الدولي لجمعيات ومؤسسات المكتبات

## About IFLA

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IFLA (The International Federation of Library Associations and Institutions) is the leading international body representing the interests of library and information services and their users. It is the global voice of the library and information profession.

IFLA provides information specialists throughout the world with a forum for exchanging ideas and promoting international cooperation, research, and development in all fields of library activity and information service. IFLA is one of the means through which libraries, information centres, and information professionals worldwide can formulate their goals, exert their influence as a group, protect their interests, and find solutions to global problems.

IFLA's aims, objectives, and professional programme can only be fulfilled with the cooperation and active involvement of its members and affiliates. Currently, approximately 1,600 associations, institutions and individuals, from widely divergent cultural backgrounds, are working together to further the goals of the Federation and to promote librarianship on a global level. Through its formal membership, IFLA directly or indirectly represents some 500,000 library and information professionals worldwide.

IFLA pursues its aims through a variety of channels, including the publication of a major journal, as well as guidelines, reports and monographs on a wide range of topics. IFLA organizes workshops and seminars around the world to enhance professional practice and increase awareness of the growing importance of libraries in the digital age. All this is done in collaboration with a number of other non-governmental organizations, funding bodies and international agencies such as UNESCO and WIPO. IFLANET, the Federation's website, is a prime source of information about IFLA, its policies and activities: [www.ifla.org](http://www.ifla.org)

Library and information professionals gather annually at the IFLA World Library and Information Congress, held in August each year in cities around the world.

IFLA was founded in Edinburgh, Scotland, in 1927 at an international conference of national library directors. IFLA was registered in the Netherlands in 1971. The Koninklijke Bibliotheek (Royal Library), the national library of the Netherlands, in The Hague, generously provides the facilities for our headquarters. Regional offices are located in Rio de Janeiro, Brazil; Pretoria, South Africa; and Singapore.

IFLA Series on Bibliographic Control Vol 38

# **UNIMARC Manual Authorities Format**

3rd Edition

Edited by Mirna Willer

K · G · Saur München 2009

# **IFLA Series on Bibliographic Control**

## **edited by Sjoerd Koopman**

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## 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*, 2<sup>nd</sup> revised and enlarged edition in 2001 points to that fact.

The publication of the 2<sup>nd</sup> 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”.<sup>1</sup> The Guidelines subsequently change the terminology, and instead of the term “uniform heading” promote the 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),<sup>2</sup> 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 2009<sup>3</sup> 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 pro-

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<sup>1</sup> Guidelines for Authority Records and References. – 2<sup>nd</sup> ed. / revised by the Working Group on GARE Revision. – München : K. G. Saur, 2001, p. ix.

<sup>2</sup> 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>

<sup>3</sup> Statement of International Cataloguing Principles (February 2009) (accessed: 2009-06-14). Available from: <http://www.ifla.org/en/publications/statement-of-international-cataloguing-principles>

gress of efforts of the ISO ISNI (International Standard Name Identifier) Working Group and the VIAF Project<sup>4</sup> and any potential numbering that may result from those efforts”.<sup>5</sup>

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.<sup>6</sup> The *Functional Requirements for Authority Data: A Conceptual Model* (FRAD) prepared by the Working Group and published in June 2009<sup>7</sup> 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.<sup>8</sup> 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 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

<sup>4</sup> 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.].

<sup>5</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 (accessed: 2009-06-14). Available from: <http://archive.ifla.org/VII/d4/franar-numbering-paper.pdf>, p. 1.

<sup>6</sup> 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>

<sup>7</sup> 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.

<sup>8</sup> 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.



possibilities of the UNIMARC authority record to be used in the web environment and by semantic web tools”.<sup>9</sup>

The new edition is also based on the 3rd edition of the *UNIMARC Manual: Bibliographic Format*,<sup>10</sup> 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

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<sup>9</sup> See Definition and Notes on Field Contents of the 003 field.

<sup>10</sup> UNIMARC Manual : Bibliographic Format. – 3<sup>rd</sup> edition edited by Alan Hopkinson. – München : K. G. Saur, 2008.

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## 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 *AUTHOR*<sup>11</sup>, 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 Number*<sup>12</sup> 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.

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*

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<sup>11</sup> *AUTHOR: transnational application of national name authority Files; final report, June 1998*. <http://www.bl.uk/information/author.pdf>

<sup>12</sup> *Mandatory data elements for internationally shared resource authority records: report of the IFLA UCBIM Working Group on Minimal Level Authority Records and ISADN. IFLA UCBIM, 1998*. <http://www.ifla.org/VI/3/p1996-2/mlar.htm>

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## 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 con-

sistency. 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

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## INTRODUCTION

### Purpose and Scope

The primary purpose of *UNIMARC Manual: Authorities Format* is to facilitate the international exchange of authority data in machine-readable form among national bibliographic agencies.

*UNIMARC Manual: Authorities Format* specifies the tags, indicators and subfield identifiers to be assigned to authority, reference, and general explanatory entry records in machine-readable form. These records are created to provide guidance on the use in a catalogue of names (personal, family, corporate, meeting, geographic, trademark and printer/publisher device), titles for works not entered under specific authors, titles for works by individual authors, and topical subjects. These names, titles and topical subjects are used on bibliographic records as primary, secondary and alternative responsibility access points, as series access points, and as subject access points.

The record format takes into account the requirements specified in *Guidelines for Authority and Reference Records* (GARR) for records involving names and titles for anonymous classics, and in *Guidelines for Subject Authority and Reference Entries* (GSARE) for subjects. It also takes into account attributes of the entities and entity relationships as specified in the *Functional Requirements for Authority Data: Conceptual Model* (FRAD), and definitions of appropriate entities as specified in the *Statement of International Cataloguing Principles* (ICP).

Authority records for series entries are limited to access point information in this format. Series treatment data that is included in authority records by some agencies is not accommodated.

### Use

Each national bibliographic agency is responsible for the conversion of authority records into UNIMARC Authorities format for transmission to other national agencies and can receive machine-readable records in the UNIMARC Authorities format from other national agencies. The *UNIMARC Manual: Authorities Format* is intended to provide the information required for a range of bibliographic activities. It therefore includes content designation which may be essential to one or another of these activities, but not to all.

### Format Maintenance

UNIMARC is maintained by an IFLA committee, the Permanent UNIMARC Committee (PUC), for which the secretariat is the IFLA UNIMARC Core Activity. Future changes to the format will be primarily defining additional fields, subfields and coded values where needed. Proposals for change will usually originate with those creating UNIMARC records or those using UNIMARC records. Changes will be made only through the Permanent UNIMARC Committee. UNIMARC will not be modified to accommodate non- GARR and GSARE cataloguing practices, FRAD conceptual model or other practices contrary to the international standards on which it is based. Changes to the format may be made where a field or subfield is described as provisional.

## Standards

*UNIMARC Manual: Authorities Format* assumes the use of the following standards:

- ISO 962 - 1974: Information processing – Implementation of the 7-bit coded character set and its 7-bit and 8-bit extensions on 9-track 12.7 mm (1/2 inch) magnetic tape
- ISO 1001 - 1986: Information processing – File structure and labelling of magnetic tapes for information interchange
- ISO/IEC 2022 – 1994: Information technology – Character code structure and extension techniques and ISO/IEC 2022/Cor.1 1999
- ISO 2375 - 1985: Data processing – Procedure for registration of escape sequences
- ISO 2709 - 1996: Information and documentation – Format for information exchange
- ISO 3166-1 1997: Codes for the representation of names of countries and their subdivisions -- Part 1: Country codes. Amendments issued occasionally; the list published in *UNIMARC Manual: Bibliographic Format*, 3<sup>rd</sup> ed. is reproduced as at 1 February 2008.
- ISO 3166-2 - 1998: Codes for the representation of names of countries and their subdivisions -- Part 2: Country subdivision codes
- ISO 3166-3 - 1999: Codes for the representation of names of countries and their subdivisions -- Part 3: Code for formerly used names of countries
- ISO 3901 - 2001: Information and documentation -- International Standard Recording Code (ISRC)
- ISO 6630 - 1986: Documentation -- Bibliographic control characters
- ISO 8601 - 2004: Data elements and interchange formats -- Information interchange -- Representation of dates and times
- ISO 15511 - 2005: International Standard Identifier for Libraries and Related Organizations (ISIL)
- ISO 15706-1 - 2002: Information and documentation -- International Standard Audiovisual Number (ISAN) - Part 1: Audiovisual work identifier
- ISO 15707 - 2001: Information and documentation -- International Standard Musical Work Code (ISWC)
- ISO 21047 - 2009: Information and documentation -- International Standard Text Code (ISTC)

## Other Related Documents

International Federation of Library Associations and Institutions. *Functional Requirements for Authority Data : A Conceptual Model*. – München : K. G. Saur, 2009.

International Federation of Library Associations and Institutions. *Functional Requirements for Bibliographic Records : Final Report*. – München : K. G. Saur, 1998.

International Federation of Library Associations and Institutions. *Guidelines for Authority Records and References*. – 2<sup>nd</sup> ed. – München : K. G. Saur, 2001.

International Federation of Library Associations and Institutions. *Guidelines for Subject Authority and Reference Entries*. – München : K. G. Saur, 1993.

International Federation of Library Associations and Institutions. *Statement of International Cataloguing Principles*. – 2009. Available at: <http://www.ifla.org/en/publications/state-of-international-cataloguing-principles>

*UNIMARC Manual: Bibliographic Format*. – 3<sup>rd</sup> ed. – München : K. G. Saur, 2008.

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## DEFINITIONS

The terms defined below are those used in special sense in *UNIMARC Manual: Authorities Format*; terms used in their normal bibliographic sense are not defined. A more complete listing of definitions relating to parts of an authority record are contained in *Guidelines for Authority and Reference Records* (GARR), *Guidelines for Subject Authority and Reference Entries* (GSARE), *Functional Requirements for Authority Data* (FRAD) and *Statement of International Cataloguing Principles* (ICP).

### Record Types:

**Authority record** – A machine-readable record for which the initial element is the authorized access point for a person, corporate body, work, trademark, printer/publisher device, topical subject, place access or form genre or physical characteristics, as established by the cataloguing agency responsible. In addition to the authorized access point, the record contains, as applicable: information notes; a record of all variant and related access points from which references have been made; authorized access points in other language an/or script; classification and entity history information; notes recording sources consulted, etc.; an identification of the cataloguing agency responsible for the entry; persistent record identifier and international standard identifiers for entities described in the record.

**General explanatory record** – A machine-readable record for which the initial element normally consists of a truncated or otherwise stylized or exemplary form, from which the user is directed to a general class or defined category of access points. It serves to inform the user of the list, catalogue, bibliography, etc., of a convention that applies either generally or to a defined category of access points, and to provide guidance in locating such access points.

**Reference record** – A machine-readable record for which the initial element is either a variant access point or an authorized access point, and which is designed to direct the user of the list, catalogue, bibliography, etc., either from the variant access point to the appropriate authorized access point (i.e., a "see" reference), or from the authorized access point to related access points (i.e., a "see also" reference). Reference records are defined only for variant access points.

### Access Point Types:

#### Access point –

- (1) The initial element of an entry used as the principal filing element when the entry is arranged in an alphabetical listing. See also **authorized access point**, **reference access point**, and **general explanatory access point**.
- (2) The word access point may also be used in terms such as "authorized access point", "variant access point", etc., to refer to the status of an element as it relates to other similar elements, and in those cases is used independently of its function within the authority or reference record. See also **authorized access point**, **authorized access point in other language and/or script**, **related access point**, **variant access point**, and **alternative script access point**.
- (3) Terms such as "corporate name access point" and "personal name access point" and „title access point“ may be used to designate the type of access point by reference to the type of name or title on which the access point is based, without regard to its function or relationship to other access points.



**Base access point** – The base access point is that part of the access point that identifies the name of the entity, excluding any qualifying data. For example, in the access point 200#1\$aNicolini da Sabbio\$bDomenico\$f15-- to 160-?\$cimprimeur-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., "\$cimprimeur-libraire".

**Controlled access point** – An access point recorded in an authority record. Controlled access points include authorized forms of names as well as those designated as variant forms.

#### **Access Points Categorized by Function Within a Record:**

**Authorized access point** – The access point for an authority record.

**Reference access point** – The access point for a reference record.

**General explanatory access point** – The access point for a general explanatory record.

#### **Access Points Categorized by Relationship to Other Access Points:**

**Authorized access point** – An access point constructed using the preferred name as the basis of the form to be followed without variation.

**Authorized access point in other language and/or script** – An alternative form of the authorized access point based on another language and/or script form of the name, title or subject.

**Related access point** – One of two or more authorized access points for the name of the same or related entities, each of which is bibliographically related to the other(s).

**Variant access point** – An access point in a form other than that established as the authorized access point for the name of the same entity. Generally such an access point is either based on a variant name sometimes used by the person, corporate body or family itself, or sometimes used by others to identify the person, corporate body, trademark, family, printer/publisher device or work; or constructed on a pattern different from that used to establish the authorized access point. It may be an authorized subject access point that is not the entry element part.

**Alternative script access point** – An authorized access point represented in another script.

#### **Record Components:**

**Tracing** – The identification within an authority record of all access points other than authorized access point from which a reference is to be made directing the user of the list, catalogue, bibliography, etc., to and from the authorized access point which serves as the access point for the authority record. The tracing is designed to provide for the generation of references and assist the cataloguer in readily determining what references have been made.

**Information note** – A note of the type that is generally given in catalogues, bibliographies, etc., under a authorized access point, a reference access point, or a general explanatory access point for the purpose of explaining the relationship between that access point and other access points that are referenced from it.

**Primary entity** – The entity, named in the 2-- block of the record, for which the record was created. Data in the 1-- block generally pertain to characteristics of the primary entity.

**Technical Elements of Records:**

**Content designator** – The means of identifying data elements and/or providing additional information about a data element. Content designators consist of tags, indicators and subfield identifiers.

**Data element** – The smallest unit of information that is explicitly identified. Within a variable field, a data element is identified by a subfield identifier and it forms a subfield. Within the record label, directory, and fixed length subfields, the data elements are identified by their character positions.

**Data element identifier** – See subfield identifier.

**Field** – A defined character string, identified by a tag, which contains data.

**Variable field** – A field in which the length of an occurrence of the field is determined by the length (in characters) required to contain the data elements (including indicators, subfield identifiers, and the field separator) stored in that occurrence. The length may vary from one occurrence to the next. A variable field may contain one or more data elements or subfields.

**Tag** – A series of three characters used to specify the name or label of an associated field.

**Indicator** – A character (numeric or alphabetic) associated with a field which supplies additional information about the contents of the field, about the relationship between the field and other fields in the record, or about the action required in certain data manipulation processes.

**Subfield** – A defined unit of information within a field (see also data element).

**Subfield identifier** – A code consisting of two characters to identify individual subfields within a field. The first character is always control function 1/15 from ISO 646 and the second character is either numeric or alphabetic. Subfield identifiers are synonymous with data element identifiers.

**Field separator** – A control character used at the end of each variable field to separate it from the next field (control function 1/14 of ISO 646).

**Record terminator** – The final character in each record (control function 1/13 from ISO 646).

---

## GUIDELINES FOR FORMAT DESIGN

UNIMARC is designed according to an agreed set of principles. These have been adopted for *UNIMARC Manual: Authorities Format*.

- (1) Tags should identify a field in two respects: i) the type of character string (e.g., a personal name) and ii) the function the character string performs in the record (e.g., tracing). These aspects will be shown by assigning specific values to the character positions of the tags. Tags may be both numeric and alphabetic. First assignment will be numeric values, expanded to alphabetic values (lower case preferred) when required.
- (2) Indicators should be tag dependent but used as consistently as possible across all fields. Indicators may be both numeric and alphabetic. First assignment will be numeric values, expanded to alphabetic values (lower case preferred) when required.
- (3) Subfield identifiers will be tag dependent, but, as far as possible, common data elements will be identified by the same subfield identifiers across fields. Subfield identifiers may be both numeric and alphabetic. First assignment will be alphabetic values (lower case preferred), expanded to numeric values when required. Subfield identifiers will be given values for identification rather than for file arrangement. There will be no specified order for subfield identifiers, as order is determined by the data.
- (4) The fields on an authority record have been regarded as relating primarily to broad categories of information such as "Authorized Access Point," "Related Access Point," etc. In a machine-readable record the primary grouping of fields will be according to these fundamental categories.
- (5) Descriptive information carried in notes is not intended for use as access points.

---

## FUNCTIONAL BLOCKS

The fields of the authority or reference record are divided into functional blocks; the first (left most) digit of the tag indicates the block of the field.

- 0-- Identification Block: contains numbers that identify the record or the entity for which the record has been created.
- 1-- Coded Information Block: contains fixed length data elements (frequently coded) describing various aspects of the record or data.
- 2-- Authorized Access Point Block: contains the authorized, reference, or general explanatory access point for which the record has been created.
- 3-- Notes Block: contains notes, intended for public display, that: 1) explain the relationship between the record access point (2--) and other access points; 2) contribute to the identification of the entity described in the authority record.
- 4-- Variant Access Point Block: contains variant access points from which a reference is to be made to see the access point of the record.
- 5-- Related Access Point Block: contains related authorized access points from which a reference is to be made to see also the access point of the record.
- 6-- Classification and Entity History Block: contains classification numbers and information, as well as specific entity history information that are related to the access point of the record.
- 7-- Authorized Access Point in Other Language and/or Script Block: contains a form of the record access point (2--) in another language and/or script and links to another record in which that form is the 2-- authorized access point.
- 8-- Source Information Block: contains the source of the record, and cataloguer's notes about the data not intended for public display.
- 9-- National Use Block: contains data local to the originator of the record. Field tags will not be defined in *UNIMARC Manual: Authorities Format* for intersystem exchange.

---

## GUIDELINES FOR USE

### (1) Mandatory Fields

In addition to the Record Label and Directory, the following fields must be present in the machine-readable records:

- 001 Record Identifier
- 100 General Processing Data (certain data elements only)
- 152 Rules
- 2-- Authorized Access Point
- 801 Originating Source

The presence of other fields depends upon the particular record being converted into machine-readable form. The data content of a record is controlled by the cataloguing code and practice of the bibliographic agency responsible for the creation of the record, i.e., the presence or absence of a data element is determined, not only by format specifications, but by the national cataloguing code or practice. However, if a data element is present, it must be fully content designated according to the prescriptions defined in this document. Elements of information that are represented in coded form are generally not specified by cataloguing codes. Certain of these coded data elements are mandatory and are so identified in the format.

### (2) Control Functions

Control functions permitted in *UNIMARC Manual: Authorities Format* are confined to those used for subfield codes, field separators, and record terminator, as specified in ISO 2709; character set escape sequences as specified in ISO 2022; and those for indicating filing information, superscripts, and subscripts as specified in ISO 6630. No control functions are allowed to specify typographical functions such as italics. The use of control functions in *UNIMARC Manual: Authorities Format* records is fully described in the *UNIMARC Manual: Bibliographic Format*, Appendix J.

### (3) Field and Subfield Repetition

If the word "repeatable" is associated with a field, then that field may occur more than once in a record. If R (= repeatable) is associated with a subfield identifier, then that subfield may occur more than one time in an occurrence of the field.

### (4) Subfield Order

There is no specified order implied in the values of the subfield identifiers. Subfield identifiers are assigned values for identification purposes, not for file arrangement. When control subfields are used in the field, they precede all other subfields in that field.

### (5) Fill Character

A complete record, fully content designated, is naturally the preferred record for international exchange purposes. In some cases, however, it may not be possible to convert a national record into the *UNIMARC Manual: Authorities Format* and provide the full content designation

and coded information as prescribed. To minimize the ambiguities that could result if the indication of this lack of information were left to the discretion of each national agency faced with the circumstances described above, a character, hereafter referred to where this occurs as a "fill character", is used in place of the required information. This character will be the "|" (vertical line, code table position 7/12 in ISO 646).

The fill character can be used whenever a content designator or coded information cannot be determined by the encoding agency. It thus occurs in the following situations: i) encoding agency does not use this content designator or code this information, or ii) encoding agency uses this content designator or codes this information but in this particular record does not know the correct value, or iii) encoding agency uses similar values for this content designator or coded information but they cannot be translated to the exact *UNIMARC Manual: Authorities Format* equivalents.

The following rules apply to the use of the fill character: fill characters may only be used for indicators and coded data values that are not mandatory, thus fill characters may *not* be used in the Record Label or Directory, as subfield identifiers or to replace punctuation or other special characters in the data portion of fields.

## (6) Coded Data Values

The following conventions are used in the assignment of coded values in the Record Label and coded data subfields:

- u - Unknown. Used when codes are being assigned, but the appropriate specific value cannot be determined.
- v - Combination. Used when a combination of the individual coded characteristics occur in the entity.
- x - Not applicable. Used when a characteristic is not appropriate for the *type* of entity being described.
- y - Not present. Used when the characteristic being coded is not present for the entity being described.
- z - Other. Used when codes are being assigned and the characteristics of the entity are known, but none of the defined codes is appropriate.
- | - Fill character. Used when no attempt is being made to assign the codes.

## (7) Punctuation

GARR prescribed punctuation is not carried at the subfield boundaries. GARR prescribed punctuation consists of = (used with parallel access points), <, >, <<, and >> symbols (used with tracings), ; and , (used in the source area).

All other punctuation in access points, notes, etc., is carried in the record according to the practice of the bibliographic agency issuing the record. Examples in this manual reflect different kinds of practices in introducing punctuation at the subfield borders.

## (8) Format Use

### Types of Records:

#### Authority Records

This format is designed to support primarily the communication of *authority records* for authorized access points. These records may also carry *tracings* of variant or related authorized access points (as outlined in GARR, 0.3.1) from which reference records are generated for display. A 4-- field is used for a "see from" reference tracing containing a variant form of the

authorized access point. A 5-- field is used for a "see also from" reference tracing containing a related authorized access point. The reference record can be generated from a tracing as desired for display.

Example:

```
210 02$aPittsburgh Research Center [authorized access point]
410 01$aUnited States.$bBureau of Mines.$bPittsburgh Research Center [variant access
    point as see reference tracing]
510 02$5a$aPittsburgh Mining and Safety Research Center [related access point as see
    also reference tracing]
```

In exceptional cases, references are carried in authority entry records in note form: field 305, Textual See Also Reference Note. Reference notes are used when a reference is too complex to be adequately constructed from one or more tracings. The 2-- authorized access point is also generally traced as see also reference tracing in a 5-- field of each of the records for access points mentioned in the 305 note. Such tracings would usually have the Reference Suppression Code in the \$5 subfield set to suppress automatic generation of a simple reference, since the 305 reference note provides the reference.

Example:

```
Record 1 (Authority record)
200 #1$aJapp,$bAlexander H.
305 0#$aFor works of this author written under pseudonyms, see also$bGray, E. Con-
    dor$aand$bPage, H.A. [related access points in textual see also reference note]
```

```
Record 2 (Authority record)
200 #1$aGray,$bE. Condor
500 #1$5z0$aJapp,$bAlexander H. [related access point as see also reference tracing with
    display suppressed]
```

```
Record 3 (Authority record)
200 #1$aPage,$bH.A.
500 #1$5z0$aJapp,$bAlexander H. [related access point as see also reference tracing with
    display suppressed]
```

## Reference Records

Reference records for variant access points are only made when see references are too complex to be adequately generated from see reference tracings in authority records. The reference record contains the variant access point in the 2-- field and a 310 Textual See Reference Note. The 2-- access point is also generally traced as a see reference tracing in a 4-- field of the authority record for each of the authorized access points referred to in the 310 note. These tracings would generally have the Reference Suppression Code in the \$5 subfield set to suppress automatic generation of a simple reference, since the reference record provides the reference.

Example:

```
Record 1 (Reference record)
200 #1$aKacew$bRomain [variant access point as reference access point]
310 0#$aÉcrit sous deux pseudonymes$bAjar, Émile$bGary, Romain [textual see refer-
    ence note]
```

Record 2 (Authority record)

200 #1\$aAjar\$bÉmile

400 #1\$5z0\$aKacew\$bRomain [variant access point as see reference tracing with display suppressed]

Record 3 (Authority record)

200 #1\$aGary\$bRomain

400 #1\$5z0\$aKacew\$bRomain [variant access point as see reference tracing with display suppressed]

### General Explanatory Records

General explanatory records are made when see references from explanatory access points are required. The general explanatory record contains an explanatory access point in the 2-- field and a 320 General Explanatory Reference Note. The 2-- explanatory access point is not traced on any authority records.

Example:

210 12\$aConference... [general explanatory access point]

320 ##\$aConference proceedings are entered under the name of the conference, etc., or the title of the publication if the conference, etc., lacks a name. Thus, see also: Symposium..., Workshop..., etc., [general explanatory reference note]

### Relationships Between Access Points:

#### Parallel Data

##### Option 1

A general principle for the construction of a record using this format is that one form of one access point is being described and that access point is appropriate for a catalogue in the language designated by the 100 field. The reference tracings constitute the reference structure for that access point in that catalogue.

If a cataloguing agency needs to construct a parallel catalogue based on another language, the agency may want to transmit equivalent or parallel language forms of the 2-- access point and the notes and tracings appropriate to the parallel access points. It is not recommended that the notes and tracings for the parallel access points based on language differences be co-resident in a single authority record. In using this format, these parallel access points should have separate authority records in which they are the authorized access point and where their reference structure will be recorded in the 4-- and 5-- reference tracing and 3-- note fields.

Note that when these parallel access points are in a different script, in addition to being in a different language, they are still encoded following the rules for parallel data. If the access points are in a different script but the *same* language as their corresponding fields then the rules for alternative scripts should be followed.

The records for the different formulations of the access point designed for different language catalogues may be linked through the 7-- authorized access point in other language and/or script fields. In each authority record, each parallel access point and its associated *authority record identifier* (subfield \$3) may be recorded in 7-- fields.

Example:

Record 1

001 12345

210 02\$aNational Library of Canada



<Notes and tracings for an English language catalogue>  
 710 02\$367890\$8frefre\$aBibliothèque nationale du Canada

Record 2  
 001 67890  
 210 02\$aBibliothèque nationale du Canada  
 <Notes and tracings for a French language catalogue>  
 710 02\$312345\$8engeng\$aNational Library of Canada

## Option 2

Alternatively, an agency may treat parallel forms of the 2-- authorized access point as simple variants or references: 4-- or 5-- reference tracings with or without specifying language. The reference structures of the parallel forms are *not* needed and are not included in the record. The choice of technique depends on the practices of the establishing agency.

Example:

100 ##\$aYYYYMMDDaswey0103####ba0  
 215 ##\$8sweswe\$aSverige  
 415 ##\$8sweeng\$aSweden  
 415 ##\$8swerus\$aŠveciâ  
 415 ##\$8swefre\$aSuède

It should be noted that a distinction is made for a given record between:

- 1) the language of cataloguing, used for the qualifiers in the access points (2--), variant access points (4--), related access points (5--), authorized access points in other language and/or script (7--), and for notes (3--) and information phrases (\$0);
- 2) the language of the base access point, that is to say the part of the access point that identifies the entity excluding any qualifying data. For example: in the access point 200#1\$aNicolini da Sabbio\$bDomenico\$f15-- to 160-?\$scimprimeur-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., "\$scimprimeur-libraire".

## Alternative Script Data

The script of cataloguing (access point, notes, tracings, etc.) is identified in the 100 field of the record. Some agencies need to record access points, notes, and tracings in more than one script form because of transliteration and alternative script orthographies used for a language (e.g., kana and kanji scripts for Japanese; devanagari, khmer, and lao scripts for Pali). Alternative script representations of the access points, notes, and the tracings may be co-resident in an authority record or may reside in separate linked records. Note, however, that if the alternative script representations differ in language from their corresponding access points, then the rules for parallel data apply.

When the alternative script representations are co-resident, then the alternative script forms of the 2-- record access point are recorded in repeatable 2-- access point fields, with a \$7 Script of cataloguing and script of the base access point subfield that indicates the difference from the script defined in the 100 field. The alternative script forms of notes or tracings are carried as repeated tags in their respective blocks. The various script forms of the same note or tracing are linked through a \$6 linking subfield and the scripts are identified by a \$7 Script of cataloguing and script of the base access point subfield.

Example:

```
001 82-6290
100 ##$aYYYYMMDDaengy0103####ba0
200 #1$7ba0yba0a$8engrus$aGlinka,$bMihail Ivanovič
200 #1$7ba0yca0y$8engrus$aГлинка,$bМихаил Иванович
```

If the alternative script representations reside in separate records, then the records are linked through 7-- authorized access point fields which contain the alternative script form of the 2-- field. The 7-- contains a \$7 Script of cataloguing and script of the base access point subfield. The record control number of the authority record for the alternative script form of the access point may be recorded in the 7-- field.

Examples:

EX 1

```
Record 1
100 ##$aYYYYMMDDaengy0102####ba0
215 ##$aUnited States
415 ##$aUSA
715 ##$7ca0yca0y$8rusrus$aСоединенные штаты
```

```
Record 2
100 ##$aYYYYMMDDarusy0102####ca0
215 ##$aСоединенные штаты
415 ##$aCIIIA
715 ##$7ba0yba0y$8engeng$aUnited States
```

EX 2

```
Record 1
001 82-6290
100 ##$aYYYYMMDDaengy010302##ba0
200 #1$7ba0yba0a$8engrus$aGlinka,$bMihail Ivanovič
<Notes and tracings for a Latin script catalogue>
700 #1$382-3498$7ca0yca0y$8rusrus$aГлинка,$bМихаил Иванович
```

```
Record 2
001 82-3498
100 ##$aYYYYMMDDarusy010203##ca0
200 #1$7ca0yca0y$8rusrus$a Глинка,$bМихаил Иванович
<Notes and tracings for a Cyrillic script catalogue>
700 #1$382-6290$7ba0yba0a$8engrus$aGlinka,$bMihail Ivanovič
```

### Different Rule Data

A general principle for the establishment of access points in an authority record is that their form is controlled by one set of cataloguing rules, whether descriptive or subject, identified in 152 Rule field. However, a catalogue can contain, for various reasons, access points or authority records as such that are established according to different set of rules. In the case when these access points or the authority record refer to the same entity, a relationship should be established.

Some agencies may need to record different rule data as access points co-resident in an authority record, or may need to record them in separate linked record supported by the full authority record structure (e.g., preferred, variant etc. access points, notes, source information). When

the different rule data are co-resident in an authority record, then the different rule form(s) of the 2-- access point are recorded in repeatable 4-- variant access point field(s), with the code "n" in the \$5 Relationship control subfield indicating the specific type of relationship. When the different rule data are recorded in a separate authority record, then the different rule forms of the 2-- access points are recorded in 5-- related access point fields, with the \$5 Relationship control subfield indicating the specific type of relationship.

Examples:

EX 1

```
152 ##$aPPIAK
200 #1$aMirković$bMijo
400 #1$e$aBalota$bMate
500 #1$2uni-PPIAK$5n$5f$aMirković$bMijo
500 #1$2uni-PPIAK$5n$5e$aBalota$bMate
```

The real name Mijo Mirković and the pseudonym Mate Balota are treated as related access points according to the use of PPIAK (Croatian) cataloguing rules in the online catalogue with UNIMARC format for authority records implementation. The pseudonym Mate Balota is treated as a variant access point according to PPIAK.

EX 2

```
152 ##$apsbo
210 01$aГермания$bВерховное главнокомандование вооруженными
    силами$bУправление разведки и контрразведки
510 02$2nlr_sh$aАбвер
```

Descriptive cataloguing and subject system use different forms of corporate name. 5-- block is used to establish relationship between these forms.

### Composite Access Points

In UNIMARC/Authorities, access points or *parts* of access points are designated by field tag as one of several types: personal name, corporate or meeting name, territorial or geographic name, trademark, printer/publisher device, family name, title for the work, name/title, collective title, name/collective title, topical subject, place access, form, genre or physical characteristics.

If the access point is composed of a name *and* title, a special name/title field is defined. Two techniques may be used: the embedded field technique and standard subfields technique. These techniques are described under the 240 AUTHORIZED ACCESS POINT – NAME/TITLE field description. For a fuller description of these techniques see the *UNIMARC Manual: Bibliographic Format*, as the basic techniques are the same as those used in the UNIMARC 4-- Linking Entry block.

If the access point is composed of a territorial name followed by a corporate or meeting name, the access point is considered a corporate or meeting name.

If the access point is composed of a name, title, trademark, etc., or topical followed by subject subdivisions, the subject subdivisions are carried in \$j, \$x, \$y, and \$z subfields of the name, title, or topical subject that they follow. In name/title entries, the subject subdivisions reside in the embedded title field.

## (9) Outline of Content of Records

### Content Record

### Areas as Specified in GARR

Present in *all* types of records:

0-- Identification Block	ISADN area (where applicable)
1-- Coded Information Block	
8-- Source Information Block	Cataloguer's note area, Source area

Authority record:  
(Type of record = x)

2-- Authorized Access Point Block (authorized access point)	Authority heading area
3-- Notes Block	Information note area
4-- Variant Access Point Block	See reference tracing area
5-- Related Access Point Block	See also reference tracing area
7-- Authorized Access Point in Other Language and/or Script Block	Authority heading area

Reference record:  
(Type of record = y)

2-- Authorized Access Point Block (variant access point)	Reference heading area
300 Information Note	Information note area
310 Textual See Reference Note	Uniform heading area
7-- Authorized Access Point in Other Language and/or Script Block	Reference heading area

General explanatory entry record:  
(Type of record = z)

2-- Authorized Access Point Block (explanatory access point)	Explanatory heading area
320 General Explanatory Reference Note	Information note area
7-- Authorized Access Point in Other Language and/or Script Block	Explanatory heading area

**(10) Correspondence Between UNIMARC/Authorities and UNIMARC/Bibliographic**

<b>UNIMARC/Authorities Access Point Fields</b>	<b>Access point Usage in UNIMARC Bibliographic Fields</b>
200 Personal name	700, 701, 702 4-- with embedded 700, 701, 702 600 604 with embedded 700, 701, 702
210 Corporate or meeting name	710, 711, 712 4-- with embedded 710, 711, 712 601 604 with embedded 710, 711, 712
215 Territorial or geographic name	710, 711, 712 4-- with embedded 710, 711, 712 601, 607 604 with embedded 710, 711, 712
216 Trademark	716
217 Printer/Publisher device	717 [to be defined]
220 Family name	720, 721, 722 4-- with embedded 720, 721, 722 602 604 with embedded 720, 721, 722
230 Title	500 4-- with embedded 500 605
240 Name/title (embedded 200, 210, 215, or 220 and 230)	4-- with embedded 7-- and 500 7-- 604 with embedded 7-- and 500 500
243 Conventional name/title for legal and religious texts	740, 741, 742 4-- with embedded 740
245 Name/collective title (embedded 200, 210, 215, or 220 and 235)	4-- with embedded 7-- and 501 604 with embedded 7-- and 501 7-- 501
250 Topical subject	606, 615
260 Place and date of publication, performance, provenance, etc.	617, 620, 621
280 Form, genre, or physical characteristics	608

### **(11) Display of Reference and Authority Records**

The following methods may be used in coding data to allow flexibility in displaying reference and authority records in order to accommodate the variations in display allowed in the GARR.

- (a) Tracings are divided into 4-- fields for variant access points and 5-- fields for related access points. The first character of these tags thus signals the need for the > and >> symbols, respectively, for use in displays of reference records. For authority records, the 4-- and 5-- signal that the symbols < and << should be displayed or *see* and *see also* as appropriate.
- (b) The relationship code in the relationship control subfield \$5 may be used in a field to indicate in coded form one of several standard relationships the tracing may have with the 2-- record access point. These codes allow systems to display specific relationship information in reference and authority records. Since the textual reference information generated as a result of the code is system dependent, the specific relationship or instruction may be in the language choice of the recipient. This relationship or instruction information is displayed in addition to, not in lieu of, the symbols >, >>, <, and <<.
- (c) If the particular relationship between the 2-- record access point and a tracing is not one of those for which a code value is defined in the relationship code of the \$5 subfield, but is still a one-to-one relationship, subfield \$0, instruction phrase, is provided to supply the instruction in textual form. Since this instruction phrase is in textual form, agencies that cannot use the information in the language given can omit it in displaying authority and reference records since the less precise >, >>, <, and << symbols will also be generated from the field tag. If the \$0 subfield occurs in addition to the relationship code in the \$5 subfield, the instruction in the \$0 should be preferred for display unless it is undesirable for language or other reasons.
- (d) If a relationship between the reference and the referred to access point is several-to-one or has other complexities that make it desirable to transmit the reference as an information note (in addition to tracings), then the 3-- information notes may be used. Variant access points referred from and preferred access points referred to in information notes should also appear as tracings in appropriate authority records. This will allow an agency that cannot use the information note to still display (less precise) reference information from the tracings based on the 4-- and 5-- fields.

## EXPLANATORY NOTES

Throughout the text of this Manual, the following conventions have been used.

- (1) The dollar sign (\$) has been used in place of the ISO character IS2 (of ISO 646) as the first character of a subfield identifier.
- (2) The character # has been used in the examples to indicate a blank.
- (3) In the examples the field separator character is assumed and is not shown explicitly.
- (4) The phrase “not defined” associated with an indicator position means that no values have been given to that indicator position.
- (5) Externally maintained code lists are needed in some subfields. These code lists are contained in the following Appendixes of the *UNIMARC Manual: Bibliographic Format*:

Appendix A: Language Codes (based on ISO 639-2)

Appendix B: Country Codes (based on ISO 3166-1)

Appendix C: Relator Codes

Appendix D: Geographic Area Code

Appendix G: Subject Systems Codes

Appendix H: Cataloguing Rules and Format Codes

Appendix J: Character Sets (based on ISO 2022)