

TO: Program for Cooperative Cataloging/Policy Committee

FROM: ALA/ALCTS/CaMMS/Subject Analysis Committee (SAC)

RE: MARC Authority Coding of Subject and Genre/Form Relationships to Works and Expressions

DATE: 8 July 2015

In the April 2015 update to RDA Toolkit, the Joint Steering Committee for Development of RDA (JSC) added two newly developed chapters to RDA:

- Chapter 23 General Guidelines on Recording Relationships Between Works and Subjects
- Appendix M Relationship Designators: Subject Relationships

Now that RDA recognizes the relationship between works and subjects, it seems appropriate to discuss a method to record that relationship in practice in RDA records.

#### *Discussion*

In the MARC bibliographic format, subject relationships to works are recorded in fields 600, 610, 611, 630, 648, 650, 651, 654, and 662. Genre/form relationships to works and expressions (and sometimes manifestations and items) are recorded in field 655. These fields can be used to record an authorized access point representing the related subject (RDA 23.4.1.2.2) or genre/form. Field 653 is used for uncontrolled terms, which RDA 23.4.1.2.3 calls an unstructured description.

In a linked data future, it would be useful to record subject relationships in work records and genre/form relationships in work or expression records, since the information would only need to be recorded once and then could be inherited by all the expressions of that work, or all manifestations of the expression. Even in the current MARC environment recording subject and genre/form relationships in authority records may be an efficient way of avoiding repeating identical sets of subject or genre/form strings in bibliographic records for works that exist in multiple expressions and manifestations.

It would also be useful to begin recording these relationships in MARC work and expression authority records now, so that when the data migrates to whatever format we have in the future the relationships will already be recorded.

Additionally, recording these relationships in work and expression authority records might overcome the problem that older bibliographic records often do not (and probably never will) contain a full panoply of subject and genre/form terms. If the relationships were recorded once and for all in authority records it might not be as important that all bibliographic records related to a particular work or expression contain the subject and/or genre/form terms.

### *Relationship designators*

In the MARC authority format, subject relationships can be recorded, together with relationship designators, in 5XX fields, most specifically in 500, 510, 511, 530, 548, 550, and 551. It might be thought that the subject relationship is explicit in 550 since X50 represents a topical term, but a relationship designator is still needed to distinguish a 550 term used as subject in relation to its 1XX from a 550 term expressing a syndetic relationship between authorized terms, such as a related concept, e.g.,

```
010 ## $a sh2006001941
150 ## $a Well-being
550 ## $w g $a Quality of life [broader concept in subject-to-subject relationship]
```

Because they can be used to record a variety of relationships in authority records, other 5XX fields would need to use relationship designators to indicate that the relationship is a subject or a genre/form relationship (see proposed changes 4 and 5 below).

### *Relationships within the LC/NACO Authority File and between LC/NAF and other controlled vocabularies*

In addition to the general policy issue of allowing subject and genre/form relationships to be recorded in work and expression authority records, this proposal raises two other policy issues related to the LC/NACO Authority File (LC/NAF).

1. Currently 5XX fields recorded in LC/NAF records are by policy only able to refer to established authorized access points within the LC/NAF itself. This policy needs to change to allow 5XX fields in LC/NAF to be used to record relationships to authoritative terms and strings in other controlled vocabularies. These include LCSH and LCGFT, but the policy should include any others that are authorized for use in bibliographic records, such as AAT, the RBMS controlled vocabularies, MeSH, and so forth (see <http://www.loc.gov/standards/sourcelist/>). In order to function most effectively this would require a revision of the MARC 21 Authorities format to add subfield \$2 to these fields to identify the source of the vocabulary (see proposed change 7 below). As far as we can tell, this is the only MARC revision that would be required to implement the other policy changes proposed in this document.

2. Current policy requires that any 5XX field recorded in an authority record in LC/NAF must have an exact-match reciprocal in the 1XX of another authority record in LC/NAF. If the outcome of the Policy Committee's consideration of the previous paragraph is to change the policy and allow recording of relationships to controlled vocabularies outside of LC/NAF, this should not be interpreted to require that an *authority record* exist in the corresponding vocabulary containing an exact match to any relationship recorded in an LC/NAF 5XX field. For example, LCSH is governed by the Subject Headings Manual (SHM). SHM does not require that every possible subject heading string be explicitly authorized in LCSH. Instead, a system of free-floating subdivisions and pattern headings allow many strings to be created without explicit authorization. The same is

true of other controlled vocabulary systems. Policy for recording subject and genre/form relationships in LC/NAF work and authority records should allow any valid term or string to be recorded in accordance with the rules of the vocabulary in question, just as PCC policy for bibliographic records allows. It should not require, e.g., the creation of formal authority records in a vocabulary such as LCSH where no authority record is required by its own rules and policies.

*Proposed changes to documentation*

PCC/NACO policy for 5XX fields in authority records is reflected in the *LC Guidelines Supplement to the MARC 21 Format for Authority Data*. This document specifies which MARC authority fields and subfields may be used in NACO authority records. The documentation currently says:

- 500 Do not use subfields: \$e, \$h, \$j, \$v, \$x, \$y, \$z, \$0, \$4, \$5, \$6, \$8
- 510 Do not use subfields: \$e, \$h, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8
- 511 Do not use subfields: \$h, \$j, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8
- 530 Do not use subfields: \$h, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8
- 548 Do not use this field.
- 550 Do not use this field.
- 551 Do not use subfields: \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8
- 555 Do not use this field.
- 580 Do not use this field.
- 581 Do not use this field.
- 582 Do not use this field.
- 585 Do not use this field.

We propose the lifting of the restriction on using fields 548, 550, 555, 580-582, and 585 and some of the subfield restrictions in other 5XX fields in work (and for 555, expression) authority records, and also propose relationship designators that could be used with these and other 5XX fields to record subject relationships. NACO catalogers ought to be able to record subject relationships to works in LC/NACO authority records for works and genre/form relationships to works and expressions in LC/NACO authority records for works and expressions.

We propose the following changes in NACO documentation:

- 1) Remove the restriction on using subfields \$v, \$x, \$y, and \$z in fields 500, 510, 511, 530, and 551 in authority records for works. (Note: we understand that removal of the

restriction on \$h has already been approved, but does not yet appear in the documentation. This is not within the scope of the present proposal.)

2) Allow the use of 550, 580-582, and 585 in authority records for works. Change the LC Guidelines for 550 so that it says: “Do not use subfields: \$b, \$g, \$4, \$5, \$6, \$8” and for the other four so that they say “Do not use subfields \$4, \$5, \$6, \$8.”

3) Allow the use of 548 in authority records. It could be used for FAST chronological subject headings and for chronological terms from other controlled vocabularies. Change the LC Guidelines to say: “Do not use subfields: \$4, \$5, \$6, \$8.”

4) In addition to subject relationship designators found in RDA Appendix M and the two subject-oriented designators from the MARC Code List for Relators (“setting” and “depicted”), authorize the use of the RDA chapter 23 element name “subject” as a relationship designator used in these 5XX fields, with a reciprocal “subject of”. The designators “setting” and “depicted” would also need authorization of the reciprocals “setting of” and “depicted in”.

5) Allow recording of genre/form relationships in work and expression authority records using field 555. Change the LC Guidelines to say: “Do not use subfields: \$4, \$5, \$6, \$8”. Also, authorize the use of the relationship designator “genre/form” and its reciprocal “genre/form of” for use in subfield \$i of this field.

6) Work with NACO nodes to validate the changes proposed above.

7) Currently, it is not possible to specify the source vocabulary for terms used in 5XX authority fields. Subfield \$2 is not defined in any of these fields, and could be used. We propose making a MARC revision proposal to add subfield \$2 to fields 500, 510, 511, 530, 548, 550, 551, 555, 580-582, and 585:

### **\$2 - Source of term**

Specifies the source of the controlled vocabulary term used in the field.

\$2 should be interpreted to mean either that the term or string explicitly exists in the corresponding controlled vocabulary, or follows the rules of the controlled vocabulary (e.g. an LCSH string authorized by SHM). This is the interpretation of \$2 in 6XX fields in the bibliographic file and the same interpretation should exist in the authority file.

(Identification of some controlled vocabularies by indicator values, available in the bibliographic format, is not available in the authority format, but is not needed since all indicator value identifications have a corresponding \$2 code, e.g. “\$2 mesh” corresponds to bibliographic second indicator value “2”.)

Policy could assume that relationships recorded in LC/NAF 5XX fields that lack \$2 are links within LC/NAF itself, or it could require \$2 in all 5XX fields (including “\$2 naf”). The examples below show this latter practice but it might be more practical not to require “\$2 naf” for links within the LC/NAF itself, given the large number of 5XX fields currently recorded without the coding.

*Examples of authority records with subject and genre/form relationships recorded in 5XX fields*

5XX fields in the following examples reflect a variety of possible practices, including faceting of headings and full LCSH or other strings. It is not expected that any given authority record would contain all possible permutations shown below. This proposal recommends that this variety of practice be permitted in authority records, just as it is in PCC bibliographic records.

*Note:* Fields marked with an asterisk are examples of strings for which there currently is no corresponding established LCSH authority record for the complete string.

Works

010 ## \$a nr2001025065

130 #0 \$a California biography series

550 ## \$w r \$i Subject: \$a Pioneers \$z California \$v Biography \$2 lcsch

555 ## \$w r \$i Genre/form: \$a Biographies \$2 lcgft

585 ## \$w r \$i Genre/form: \$v Biography \$2 lcsch

010 ## \$a n 82027096

100 1# \$a Hayman, Ronald, \$d 1932- \$t K, a biography of Kafka

400 1# \$a Hayman, Ronald, \$d 1932- \$t Kafka

500 1# \$w r \$i Subject: \$a Kafka, Franz, \$d 1883-1924 \$2 naf

550 ## \$w r \$i Subject: \$a Authors, Austrian \$y 20th century \$v Biography \$2 lcsch

555 ## \$w r \$i Genre/form: \$a Biographies \$2 lcgft

585 ## \$w r \$i Genre/form: \$v Biography \$2 lcsch

*[\$2 in 500 field might be optional, since the name would be expected to be from the LC/NAF]*

010 ## \$a no2012148566

100 1# \$a Netter, Frank H. \$q (Frank Henry), \$d 1906-1991. \$t Atlas of human anatomy

550 ## \$w r \$i Subject: \$a Human anatomy \$v Atlases \$2 lcsch

550 ## \$w r \$i Subject: \$a Anatomy \$2 mesh

555 ## \$w r \$i Genre/form: \$a Atlases \$2 mesh

010 ## \$a no2015088958

100 1# \$a Fong, Kevin, \$d 1971- \$t Extremes

400 1# \$a Fong, Kevin, \$d 1971- \$t Extreme medicine

550 ## \$w r \$i Subject: \$a First aid in illness and injury \$2 lcsch

\*550 ## \$w r \$i Subject: \$a Extreme environments \$x Health aspects \$2 lcsch

\*550 ## \$w r \$i Subject: \$a Adventure travel \$x Health aspects \$2 lcsch

\*550 ## \$w r \$i Subject: \$a Space flight \$x Health aspects \$2 lcsch

010 ## \$a no2010147125  
 100 1# \$a Mitchell, Margaret, \$d 1900-1949. \$t Gone with the wind  
 \*500 1# \$w r \$i Subject: \$a O'Hara, Scarlett \$c (Fictitious character) \$v Fiction \$2 lcsb  
 \*500 1# \$w r \$i Subject: \$a Butler, Rhett \$c (Fictitious character) \$v Fiction \$2 lcsb  
 511 2# \$w r \$i Subject: \$a American Civil War (1816-1865) \$2 fast  
 530 #0 \$w r \$i Adapted as motion picture (work): \$a Gone with the wind (Motion picture : 1939) \$2 naf  
 548 ## \$w r \$i Setting: \$a 1861 - 1865 \$2 fast  
 550 ## \$w r \$i Subject: \$a Women \$z Georgia \$v Fiction \$2 lcsb  
 551 ## \$w r \$i Subject: \$a Georgia \$x History \$y Civil War, 1861-1865 \$v Fiction \$2 lcsb  
 551 ## \$w r \$i Setting: \$a Georgia \$2 naf  
 555 ## \$w r \$i Genre/form: \$a Historical fiction \$2 lcgft  
 555 ## \$w r \$i Genre/form: \$a Romance fiction \$2 lcgft  
 555 ## \$w r \$i Genre/form: \$a War fiction \$2 lcgft  
 555 ## \$w r \$i Genre/form: \$a Novels \$2 lcgft  
 585 ## \$w r \$i Genre/form: \$v Fiction \$2 lcsb  
*[\$2 in 530 and second 551 field might be optional, since the name would be expected to be from the LC/NAF]*

#### *Reciprocal examples*

010 ## \$a no2014072210 \$z sh 97002183  
 100 1# \$a O'Hara, Scarlett \$c (Fictitious character)  
 500 1# \$w r \$i Subject of: \$a Mitchell, Margaret, \$d 1900-1949. \$t Gone with the wind \$2 naf  
 530 #0 \$w r \$i Subject of: \$a Gone with the wind (Motion picture) \$2 naf  
*[\$2 in 500 and 530 fields might be optional, since the name would be expected to be from the LC/NAF]*

010 ## \$a n 79023113 \$z sh 85054210  
 151 ## \$a Georgia  
 500 1# \$w r \$i Setting of: \$a Mitchell, Margaret, \$d 1900-1949. \$t Gone with the wind \$2 naf  
 530 #0 \$w r \$i Setting of: \$a Gone with the wind (Motion picture : 1939) \$2 naf  
*[\$2 in 500 and 530 fields might be optional, since the name would be expected to be from the LC/NAF]*

010 ## \$a n 79129517  
 100 1# \$a Dickens, Charles, \$d 1812-1870. \$t Christmas carol  
 \*500 1# \$w r \$i Subject: \$a Scrooge, Ebenezer \$v Fiction \$2 lcsb  
 548 ## \$w r \$i Setting: \$a Nineteenth century \$2 lcsb  
 550 ## \$w r \$i Subject: \$a Misers \$v Fiction \$2 lcsb

551 ## \$w r \$i Subject: \$a England \$x Social life and customs \$y 19th century \$v  
Fiction \$2 lcsh  
551 ## \$w r \$i Setting: \$a London (England) \$2 naf  
555 ## \$w r \$i Genre/form: \$a Christmas stories \$2 lcsh  
555 ## \$w r \$i Genre/form: \$a Ghost stories \$2 lcgft  
555 ## \$w r \$i Genre/form: \$a Novellas \$2 lcgft  
585 ## \$w r \$i Genre/form: \$v Fiction \$2 lcsh  
*[\$2 in second 551 might be optional, since the name would be expected to be  
from the LC/NAF]*

010 ## \$a n 2008045367  
100 1# \$a Matisse, Henri, \$d 1869-1954. \$t Portrait of Pierre Matisse  
500 1# \$w r \$i Depicted: \$a Matisse, Pierre, \$d 1900-1989 \$2 naf  
555 ## \$w r \$i Genre/form: \$a portraits \$2 aat  
555 ## \$w r \$i Genre/form: \$a oil paintings (visual works) \$2 aat  
*[\$2 in 500 field might be optional, since the name would be expected to be from  
the LC/NAF]*

#### *Reciprocal example*

010 ## \$a n 92113914  
100 1# \$a Matisse, Pierre, \$d 1900-1989  
500 1# \$w r \$i Depicted in: \$a Matisse, Henri, \$d 1869-1954. \$t Portrait of Pierre  
Matisse \$2 naf

#### Expressions

010 ## \$a no2014166453  
100 1# \$a Card, Orson Scott. \$t Speaker for the dead. \$l Polish. \$h Spoken word  
500 1# \$w r \$i Translator: \$a Cholewa, Piotr W. \$2 naf  
500 1# \$w r \$i Narrator: \$a Siemianowski, Roch, \$d 1950- \$2 naf  
555 ## \$w r \$i Genre/form: \$a Audiobooks \$2 lcgft  
555 ## \$w r \$i Genre/form: \$a Translations \$2 rbgenr  
*[\$2 in 500 fields might be optional, since the names would be expected to be  
from the LC/NAF]*

010 ## \$a n 88612160  
100 1# \$a Bach, Johann Sebastian, \$d 1685-1750. \$t Concertos, \$m organ, \$n BWV  
592, \$r G major; \$o arranged  
400 1# \$a Bach, Johann Sebastian, \$d 1685-1750. \$t Concertos, \$m cello, string  
orchestra, \$n BWV 592, \$r G major  
555 ## \$w r \$i Genre/form: \$a Arrangements (Music) \$2 lcgft