

TO: Joint Steering Committee for Revision of AACR

FROM: Alan Danskin, British Library representative to JSC

SUBJECT: Chapters 12-16, 23, 33-37 (Group 3 entities and "subject")

Thanks to Barbara Tillett for preparing this document for discussion. My responses are highlighted in bold following the recommendations taken from the LC rep proposal. But first, some general points.

General Comment

I am concerned that the proposals recommend changes to the FRBR model which would go beyond the refinement of existing entities or even the addition of new entities. FRBR makes it very clear that GROUP 3 entities are defined ONLY to the extent that they are the subject of a work. Changes which assign attributes to the entities which extend the scope of GROUP 3 may result in conflicts elsewhere in the model.

The following text occurs in the definitions for each of the FRBR Group 3 entities: object; concept; event; place (sections 3.2.7-3.2.10 of the Final Report). In the extract below XXX replaces the name of the specific entity.

"For the purposes of this study XXX are treated as entities only to the extent that they are the subject of a work (e.g., the subject of a map or atlas, or of a travel guide, etc.).

Defining the entity XXX enables us to name and identify the XXX entities in a consistent manner, independently of the presence, absence, or form of the name for that XXX that appears on or in any particular expression or manifestation of a work.

Defining XXX as an entity also enables us to draw a relationship between a work and the XXX that is the subject of the work"

Suggested Process for Adding Content to RDA

I suggest we proceed for RDA as follows:

- a. Add definitions for these additional entities (Concept, Object, and Event) following FRBR (FRAD said they were to be added following FRSAD, but FRSAD bypassed declaring these as entities; this task may be addressed by the FRBR Review Group when bringing together the “family of FRBR” models).

Response: Agree:

- b. Add Attributes and Relationships at a general level for each of the new entities (FRSAD offers some attributes and relationships for *Thema* and *Nomen* as shown in the attached addendum, and I suggest that RDA should try to incorporate those as much as possible).

Response: Agree: RDA attributes and relationships should be consistent with FRSAD where practical. However the attributes and relationships should be restricted to those appropriate to subject, for consistency with FRBR. They should not be those necessary to describe a “place” or an “object” in its own right.

- c. Add “Constructing Authorized Access Points” for *manifestations* and *items*, but leave access points for *concepts* to subject systems. For items, recognize manuscripts as objects (as opposed to the works contained in the manuscripts) that need to be named as the subject of other works.

Response:

I don’t entirely understand what is being proposed here. All Group 1 entities can be the subject of a work. To ensure consistency RDA should give guidance on how Group 1 entities are to be identified in authorized access points, but this should not be confused with concept and object, which are group 3 entities.

- d. Follow the instructions now given for the attributes and construction of access points for conferences, etc., and move them to *events*; remove the instructions treating conferences, etc. as *corporate bodies*.

Response:

Not convinced this is necessary, for the reasons discussed below. If conferences are in Group 3 they can’t be creators or contributors .

- e. Continue discussions about *Items/Objects* and *Events/Expressions* and Subjects of *expressions* to see if there is consensus on a direction for those to share with the

FRBR Review Group.

Response: OK

f. LC will provide completed chapters following the model shown here for Related concepts, if there is JSC agreement; a discussion during the June conference call could provide guidance to LC for preparation of chapters before the August 11 deadline for submission of proposals,

Response: Noted

General issues to be discussed (see other areas of this paper for more information and for specific issues noted in the sections for the entities)

#1. Do we wish to declare for RDA that subjects exist only at the *work* level or may we allow subjects of *expressions*? FRBR describes them only at the *work* level, but does not prohibit any others. If we want to enable declaring relationships between works/expressions/manifestations/items with some of the Group 3 entities (especially Place) that are not “subject” relationships, we would not want to restrict the Group 3 entities to only subject relationships with *works*.

Response : By definition group 3 entities express subject relationships, so we should be wary of making a fundamental change to the FRBR model. One question here is how do we handle relationships from Group 1 and Group 2 entities to “place”. In general, in RDA, this is done by defining place as an attribute of the entity and, where appropriate, the values can be taken from controlled lists. For example:

Person = place of birth; place of death; place of residence

Corporate body = place associated with the corporate body

Work = Place of origin of the work

Expression = Place of capture

Manifestation = Place of publication/production/manufacture/distribution

In the case of a “objects” it may be more appropriate to consider whether defining additional attributes for the item could satisfy the requirement.

I am not certain if the question, “may we allow subjects of expressions?” means whether an expression can have a subject that is different from a work. There are a couple of examples where this might be an option, but on balance my preference would be to keep subject as an attribute of Work.

- **A new edition of an existing work, which gives prominence to concepts or themes absent from the original; however this is already covered by 6.27.1.5**

which says it is a new work.

- **A production of a dramatic work which gives prominence to themes which were not developed in the original or would be anachronistic. RDA doesn't provide explicit guidance, but I think this should be resolved by treating productions as derivative works.**

#2. Should *object* be expanded to include *item* and perhaps not require the *work/expression/manifestation* entities in inherent relationships to such *objects/items*?

Response: No. See previous comment.

#3. Should we consider *events* as *expressions*, if we already consider performances as *expressions*? This may prove useful, for example, to connect the identifying characteristics of a performance (an *expression*) with specific Group 3 entities.

Response: No. I don't think it is helpful to blur the distinctions between Groups 1 or 2 entities and Group 3 entities. While a performance is a specific kind of event and is considered to be an expression of a work it does not follow that all events are expressions. A conference is an event and its proceedings may be an expression of the event, but it doesn't seem useful to regard the conference itself as an expression. The Group 1 entities were defined to represent bibliographic objects, it doesn't seem appropriate to squeeze other kinds of entity into the same framework. The Battle of Gettysburg was certainly an event, but if it was an expression were is the work?

#4. Do we want to include *time* as an entity?

Response: The omission of "time" from FRBR has been a longstanding criticism. However, the same issues arise for "Time", as an entity in Group 3, as arise for place. It is only the subject (aboutness) aspects of time that should be handled in Group 3. Temporal aspects of Group 1 and 2 entities are handled as attributes, for example:

Work: Date of Work ; Year Degree Granted

Expression: Date of Capture

Manifestation: Date of Publication/production/manufacture/distribution

Item: Custodial history of the item

Person: Date of birth Date of death; period of activity

An alternative option would be to consider whether additional attributes need to be

defined to meet specific needs.

#5-#15

Noted

II. Possible Content for the “Identifying” Chapters

General comments

Detailed instructions on the application of subject indexing or classification are out of scope. The focus in RDA should be on the principles and ensuring that user tasks are supported.

Attributes

From a subject perspective the attributes of all of the entities should be the same; name / variant name; identifier; possibly also definition and scope.

A. Concept

(RDA Chapter 13)

Choice and Form of Access Points for Concept

I recommend we not use RDA as the place to provide instructions for the choice and form of the terms used to *name* concepts, constructs to build *authorized access points* for concepts, or other “rules” that are in the domain of thesauri and subject heading and classification systems. I suggest, as we have done for some special types of resources that we defer to standard thesauri and subject heading and classification systems themselves for such instructions.

Response Agree

B. Object

(RDA Chapter 14)

Scope

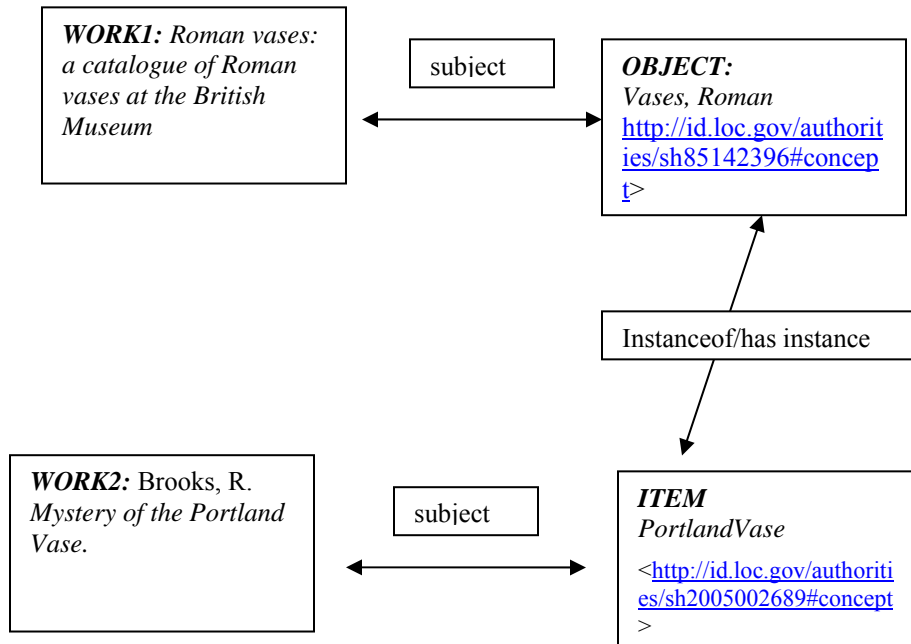
FRBR defines “Object” as “a material thing.” We need to reconcile this with “Item” which is also a material thing and perhaps acknowledge they can be the same entity, or if the name for an object is just used as a subject relationship to a work, there may be only limited numbers of attributes and other relationships.

Discussion is needed about Object and Item as related to “Realia” or RDA’s “unmediated carrier” that is an object or “content type” as three-dimensional form and specific kinds of three-dimensional forms under RDA 3.4.6.2. As noted earlier, consider manuscripts as objects.

RDA currently defines object as: A three-dimensional artefact (or a replica of an artefact) or a naturally-occurring object.

Response: Attributes and relationships in group 3 are subject relationships and attributes. We should avoid confusing them with Group 1 attributes and relationships. In group 1 terms, a Roman vase is a work, expressed as a vase, manifested as a unique item, made of ceramic or glass. It had a creator and much ink may have been spilled on the subject of its decoration. From a group 3 perspective a book may be about Roman vases or it may be about a specific Roman vase. We need to be able to express both of these concepts.

In the example below there are two books (works) on Roman Vases. Work 1 is a general book which has a subject relationship to a general term in the preferred subject system. Work 2 is a more specific work about a particular item in the British Museum collection. The item has sufficient literary warrant to justify an entry in the preferred subject system. However it is still an “item” and any attributes that apply to the item or other Group 1 entities belong to that context and not to Group 3.



Identifier for the object (in RDA) – can include a code for the concept from a standard scheme

Agree

Dates and Locations/Place of object – where object was found, where has resided, where currently resides [or the place connections could be given as relationships]

Response: I don't think Date, Location and Place of object belong in Group 3.

These are attributes of the item not of its subject.

We should also consider all the attributes for “items.”

Response: Agree we need to consider which additional attributes are needed to describe non-bibliographic items.

Relationships

We should consider including all the relationships to other entities (including relationships to owners - provenance) and other objects that we have in RDA for items. What others would be helpful? I suggest we also leave the door open to add others as needed.

Discussion is needed regarding an exception to inherent relationships as “core” for certain objects.

Response: Agree, but these are relationships between group 1 and group 2 entities, not group 3. Maintaining these distinctions should avoid the need to consider exclusions from inherent relationships.

Choice of Access Points for Objects

I recommend we follow the instructions for naming items when possible – commonly known name as the preferred title and build on that as needed to identify the item/object.

Response: Not sure.

C. Event

(RDA Chapter 15)

Scope

FRBR defines “event” as “an action or occurrence” and goes on to say it “encompasses a comprehensive range of actions and occurrences that may be the subject of a work: historical events, epochs, periods of time, etc.” This is where FRBR merged “time” and the event that happened at that time, rather than just leaving time separately to cover any number of “events” that could have occurred at the same time. I suggest we move the “epochs” and “periods of time” to a new entity for “Time”.

Response: We need to consider the extent to which we can allow the subject system to handle the chronological dimension. As discussed above time or at least dates and ranges of dates are being handle elsewhere as attributes. Time could be an entity in the FRBR model, but it isn’t confined to Group 3.

To agree with the spirit of ICP and FRBR (but treating ‘historical events’ in a more general sense), I suggest we open the discussion about moving conferences, exhibitions, expeditions, meetings, etc., here. I also suggest we retain the RDA instructions for identifying elements and constructing authorized access points for conferences, etc., but

include them under “Events.”

Response: Not sure that treating events exclusively as group 3 is satisfactory. In FRBR group 3 relationships are limited to subject, whereas conferences can have other types of relationships. A conference is conventionally considered to be capable of authorship

RDA needs to define Event.

Response: I agree, and there are already ontologies which model event.

Attributes

Term for the event (FRBR) – i.e., Preferred name (in RDA) and move the information for attributes for conferences, meetings, etc. here

Number of the event [to be part of a preferred name, when needed to distinguish]

Frequency of the event [to be part of a preferred name, when needed to distinguish]
Sometimes frequency is part of the name and sometimes not. Will the term for the event (the preferred name) be constructed in a conventional form rather than representing the form found on the resource?

Response:

These components are defined for conferences, expeditions, etc, under group 2. I don't see why we can't invoke those instructions if needed for other events. That would mean we could keep Group 3 entities as subject only.

Variant name (in RDA) – can include variant forms in the same language and language variations as with names for other entities

Identifier (in RDA) – can include a code for the concept from a standard scheme

Dates and Locations/Place where found, where has resided, where currently resides [or the place connections could be given as relationships]

Response:

These components are defined for group 2 entities. I don't see why we can't invoke those instructions if needed for other events. That would mean we could keep Group 3 entities as subject only.

Relationships

Add relationships to persons, corporate bodies, families, places, etc.

Choice and Form of Access Points for Events

I recommend we follow the instructions for naming conferences, etc., when possible.
What adjustments will be needed?

D. Place

(RDA Chapter 16)

Scope

FRBR defines “Place” as “a location” that includes terrestrial and extra-terrestrial, historical and contemporary, geographic features and geo-political jurisdictions. In RDA it also would include imaginary places to cover subjects.

We should consider expansion of what we now have in RDA to cover other geographic places that could be controlled names for places that are related as the subject of works/expressions, as the location for an expression (e.g., when the expression is a performance) or manifestation (e.g., place of production, publication, manufacture, distribution) or item (provenance locations).

Response: Place poses a problem, because RDA makes a distinction between jurisdictions which can have authorship etc. and other places which don't. The former, because they are in group 2 can have other useful attributes such as coordinates, whereas the latter strictly can't. However it may be simpler to consider non-jurisdictional places as group 2 entities.

Attributes

Term for the place (FRBR) – i.e., Preferred name for the place (in RDA 16.2.2)

[Attributes for conferences, meetings, etc., moved here from RDA ch. 11]

Response: Disagree for reasons already discussed.

Variant name for the place (in RDA 16.2.3) – can include variant forms in the same language and language variations as with names for other entities

Identifier for the place (in RDA 16.3 – “to be added”) – Is this where we should add a code for the concept from a standard scheme

Response: Yes

Dates

Coordinates for the place - with dates if needed (places do move)

Relationships

Relationships with other entities (Group 1, Group 2, and Group 3) and other places – hierarchical, whole/part relationships with broader areas or contained places. Are there others?

Choice of Access Points for Place

Chapter 16 now has only a reference at RDA 16.4 to RDA 11.13.1.1 for using place names as conventional names for governments.

E. Time

(no RDA chapter now)

We need to start conversations about advantages of controlling this data, the benefits and problems with *Time* as an entity for RDA. The definition would need to be a narrow one: excluding dates of birth and death, perhaps limiting to those time periods or date/times that would be needed by more than one resource or in relationships to more than one entity (making it worth “establishing” it as an entity for the purpose of linking). Considerations should include time for publication dates, dates of works, dates of expressions, dates of copyright, controlled or not. Would we need some reference in chapter 8 general guidelines for Group 2 entities to connect to this entity and explain when not?

Response

What is the driver to do this now? Time/Date is currently handled as attributes of Group 1 or Group 2 resources. For Group 3 the time facet could be intrinsic to whichever scheme is preferred.

Scope

Taking the “epochs” and “periods of time” from FRBR’s “events” to define “time” as the point, moment, or period when an action, process, or condition exists – per Webster’s. In the bibliographic context, it is tied to an event that may or may not have a product. We could include examples for eras, geological epochs, centuries, spans, etc. Is there any advantage in declaring “dates” as “time” and enabling them to be controlled as needed for certain applications (to use in relationships with things like the events, objects, etc.)?

RDA would need a definition for a limited scope for a time entity.

Attributes

Term for the time (FRBR-speak) – i.e., Preferred name for the time (in RDA-speak)

Mention standards to follow when choosing a preferred “name” or convention to follow for writing the time? (ISO?)

Variant name for the time – could include language variations as with names for other entities or a named time period with a variant for numeric times or coded times in different time systems?

Identifier for the time– Is this where we should add a code for the concept from a standard scheme

Relationships

Relationships with other entities (Group 1, Group 2, and Group 3) and other times – maybe narrower and broader time spans?

Choice and Form of Access Points for Time

This will need to be stated with respect to the “name” we give to the particular Time. What other considerations are needed?