

# **The Current Status of Authority Control of Author Names in the National Diet Library**

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## **1. Provision of bibliographic data/authority data to external institutions**

First, I will give an outline of data provision to external institutions (outside the NDL). (See Table 1)

From the year 1948, when the NDL was founded, bibliographic data were distributed in printed form. But the printed card distribution service ended in March 1998, and nowadays book-form catalogs are not the mainstream, either. There has been a shift from the printed form to the machine-readable form for the provision of the bibliographic data and the authority data. The number of users of the CD-ROM version is greater than those using MT (magnetic tape), because CD-ROM requires a personal computer only.

Since March last year, we have been providing an OPAC on the NDL Web-site, which is called 'Web-OPAC'. So, many people other than the user of libraries can also use the data that we have made. Now we are developing the next OPAC system, and we hope that in the next year, bibliographic data of classics, maps and dissertations will be available on that system.

## **2. Current state of authority control of author names**

Now I will talk about the object and the method of authority work. (See Table 2)

### **2.1 Materials covered**

Of the various library materials, only three kinds, namely Japanese-language books, western-language books, and Asian materials, are the object of our authority control.

Their authority control methods are not the same. They are treated by different catalogers of different divisions, and the cataloging rules and manuals are also different.

## **2.2 Operation**

Our authority work takes three forms, according to how far the authority control goes.

In the first form, the authority file does not exist. The authority work is done using the author catalogs for the staff. This method was used for western-language books until 1986. The cataloging was based on AACR or AACR2, which provide the main entry under author names as a general rule, so the catalog cards for the staff were arranged by author names. Looking up the author of the item being cataloged was easy, and only reference cards were needed.

The second way is by maintaining authority files in card form. This method was used through the 1990s for Japanese-language books, and is still used for Asian materials. On the card, the data of Heading, See Reference, See Also Reference, Note, and the item's title on which the heading was first created are recorded, but no linkage with bibliographic data is made. So, the maintenance of headings of bibliographic data, for example, correction of headings, is hard work.

The third stage of our authority work is to create the authority data in machine-readable form, linked with bibliographic data. So, the maintenance of headings is easy. Our data of JAPAN/MARC(M) and (A) are made by this method.

In this system, an automatic retrieval of authority data is done after bibliographic data are input online. The list of the results of the retrieval is printed out and the cataloger can choose from the list the appropriate heading for the items being catalogued. When no appropriate heading is retrieved, the cataloger inputs a new authority record online or by the batch process.

This system is a subsystem of the 'Online cataloging system for Japanese-language books', which has been operating at full scale since May 1999. In the system, record ID numbers of authority data are embedded in headings of bibliographic records. So, when a change occurs in an authority record, the change will be quickly reflected in the corresponding bibliographic data. The revision work is merely the re-linkage, which is done automatically.

## **3. JAPAN/MARC(A)**

The next topic is an outline of JAPAN/MARC(A) with an actual example of authority data.

The magnetic tape version of JAPAN/MARC(A) was released in 1997. It contains the Japanese authors' records since the Meiji era, which have been recorded as headings in JAPAN/MARC(M). JAPAN/MARC(A) conforms to the UNIMARC/Authorities format, and data are made according to the NCR(Nippon Cataloging Rules). The CD-ROM version is due to be released by the end of January 2001. In the CD-ROM version, western names and corporate body names are also included. The number of records is about 600,000.

Table 3 shows the data element list of JAPAN/MARC(A). Not all the data

elements in the UNIMARC/Authorities are used. Some fields and codes that do not exist in the UNIMARC/Authorities are added in order to correspond to the situation of the authority work of Japan. The added fields are shown in gray on Table 3.

In the UNIMARC/Authorities, dates of birth and death, or dates of establishment and abolition are recorded in the general cataloger's note, but in JAPAN/MARC(A) these data are recorded separately.

Next, because not all the characters can be recorded in machine-readable form, information about character replacement is needed. This information is recorded in the field 831. In the CD-ROM version, this note is recorded in the field 981.

### **3.1 Heading**

We adopt the method of inputting three kinds of data for an author by repeating the Heading Block. The first one is recorded in Sino-Japanese script (commonly called 'Kanji'). The second is the katakana reading of the first one. The katakana reading is often found in the item cataloged, sometimes on the title page, on the colophon, on the cover, sometimes in the text only. But the readings found in the item are less reliable than the data found in directories, so the cataloger uses the directories frequently. It is not yet possible to retrieve kanji data in every OPAC system, and card catalogs and book-form catalogs are arranged by katakana reading. So recording headings in katakana and their sources is very important.

An actual example in Figure 1 shows the data of the field 810 that is the same as UNIMARC/Authorities. We add the field 811 in the authority file we maintain for the staff, so the source of the katakana reading can be recorded. In JAPAN/MARC(A), the data in this field are absorbed in the field 810.

The third data that should be recorded by repeating the Heading Block is data in the Roman alphabet. These data are not recorded in usual authority work. It is automatically generated from the katakana.

For a western name, neither kanji nor katakana data are recorded but the original spelling in the Roman alphabet. The katakana reading for a western name is treated in a See Reference field. (See Figure 2)

### **3.2 Reference, notes, etc.**

For See Reference, See Also Reference, and Note, their usage is shown in Table 3.

The field 801 is automatically generated. Contents consist of two digit code 'JP', the abbreviation of the cataloging agency 'NDL', and eight-digit code which represents latest date of transaction.

In the field 830, various notes are recorded. For example, occupation, name of the corporate body or organization to which the person belongs, specialty, and other information required for identifying the heading. This information is occasionally recorded in the Heading Block as additions to distinguish one heading from others.

In the field 835, information on the correction and the deletion of the heading is recorded.

The data of the National Use Block are provided only in the CD-ROM version. In the field 911, the heading type is encoded. For example, code 'P' stands for a personal name, 'G' for a corporate body name, and 'A' for author. In the field 915, the governmental code is recorded. The governmental codes include governmental office codes, prefectural codes and university codes.

#### **4. Chinese/Korean Names**

Now I would like to talk about the treatment of Chinese names and Korean names in our authority control system.

We create authority records of the authors who write in Japanese or whose work is translated into Japanese. Usually, these authors' names are recorded in a similar way to Japanese names. Therefore, the form of heading becomes the same, that is, in kanji, katakana, and the Roman alphabet.

Let's think about Korean names. For the katakana reading, one can read kanji data in Japanese or in Korean. We prefer the latter, so we record the Korean reading in katakana data fields when it can be easily obtained. (See Figure 5 for example)

On the other hand, for Chinese names we prefer the Japanese style. (See Figure 4) Because the difference of katakana data is important, we especially record encoded information for identification. The data is recorded in the subfield \$5 in our system, and the value is embedded in the control subfield '\$0' in JAPAN/MARC(A).

#### **5. Problem in the future**

Finally, I will describe some issues for the future.

First of all, expansion of the objects of authority control. Which material group is to be covered?

Second is the integration of author headings and subject headings. Authority control work for them is being done separately in the NDL, so there is some disconformity, for instance, in the form of headings. This is the reason for using the Linking Field block for subject headings.

The third is the problem of the character code system. We now uses the JIS C-6226 kanji character code that was established in 1978 and is becoming obsolete. Moreover, it is necessary to consider developing the data-input system, the search engine, and other relating systems that can treat character sets other than Japanese.

**Table 1: Provision of bibliographic/authority data to external institutions  
(by materials covered)**

Materials covered	Book form	MT	CD-ROM	WWW
Japanese-language books	日本全国書誌 ( weekly ) 国立国会図書館 蔵書目録 ( 明 治 期 ~ 1995 )	JAPAN/ MARC (M)	J-BISC ( Current、 Retrospec- tive ) NDL CD-ROM Line ( Meiji Era、 Taisho Era、 Early Showa Era )	A part of data (1948- ) is available. (All data will be available in FY 2002)
Japanese-language serials	日本全国書誌 ( monthly ) 国立国会図書館 所蔵国内逐次 刊行物目録 ( ~ 1997 )	JAPAN/ MARC (S)	NDL CD-ROM Line 国立国会 図書館所蔵逐次刊行物目録	(Data will be available in FY 2002)
Western-language books	国立国会図書館 蔵書目録洋書編 ( 1948 ~ 1986 ) 国立国会図書館 所蔵洋図書目録 ( ~ 1998 )			A part of data (1986- ) is available. (All data will be available in FY 2002)
Western-language serials	国立国会図書館 所蔵外国逐次 刊行物目録 ( ~ 1998 )		NDL CD-ROM Line 国立国会 図書館所蔵逐次刊行物目録	(Data will be available in FY 2002)
Asian materials	アジア資料通報 ( 隔月刊 ) 中国語・朝鮮語 増加図書目録 ( 年刊 ) 国立国会図書館 所蔵アジア言語 逐次刊行物目録 ( ~ 1995 )			
Japanese Periodicals Index	雑誌記事索引 ( ~ 1989 )	雑誌記事 索引 MT 版	NDL CD-ROM Line 雑誌記事 索引	(Data will be available in FY 2002)

Authority Files	国立国会図書館 著 者 名 典 拠 録 明治期以降日本 人名 ( 1991 )	JAPAN/ MARC (A)	NDL CD-ROM Line 国立国会 図書館著者名典拠録 2000 年 版	
	国立国会図書館 韓国・朝鮮著者 名 典 拠 録 ( 1994 )			

**Table 2: Current state of authority control of author names  
(by materials covered)**

Materials covered		Control of headings	Authority file	Cataloging rules, etc.
Japanese-language books	Meiji era			NCR Preliminary New Edition(1977) *1
	Taisho era			NCR Preliminary New Edition(1977)
	Early Showa era			NCR Preliminary New Edition(1977)
	1948 ~ 1968			NCR Preliminary New Edition(1977) *2
	1969 ~ 1976			NCR 1965
	1977 ~			NCR Preliminary New Edition(1977) NCR 1987 Edition 1994 Revision *3
Japanese-language serials		×	×	National Diet Library Cataloging Rules for Serials 1982
Western-language books	1948 ~ 1985		×	AACR
	1986 ~		×	AACR2
Western-language serials		×	×	National Diet Library Cataloging Rules for Serials 1982
Asian materials			card form *4	
Japanese Periodicals Index		×	×	

NCR: Nippon Cataloging Rules. AACR: Anglo-American Cataloging Rules.

\*1 When the original spelling is unknown/uncertain for a western personal name, romanized data is created from kana data.

\*2 Exception: a part of corporate body names.

\*3 This rule is applied to the data created after 1998.

\*4 Personal/corporate body names for Chinese/Korean authors only.

**Table 3: Outline of data elements of JAPAN/MARC(A)**

<b>Record Label</b>		
Record Length, Record Status, Type of Record, Indicator Length, Subfield Identifier Length, Base Address of Data, Encoding Level, Directory Map		
<b>0xx Identification Block</b>		
<b>001</b>	<b>Record Identifier</b>	
<b>005</b>	<b>Version Identifier</b>	
<b>1xx Coded Information Block</b>		
<b>100</b>	<b>General Processing Data</b>	Date Entered on File, Status of Authority Heading Code, Language of Cataloging, Transliteration Code, Character Set, Script of Cataloging
<b>152</b>	<b>Rules</b>	
<b>2xx Heading Block</b>		
<b>200</b>	<b>Personal Name</b>	
<b>210</b>	<b>Corporate Body Name</b>	
<b>3xx Information Note Block</b>		
<b>300</b>	<b>Notes for Names</b>	
<b>301</b>	<b>Notes for Dates</b>	Date of birth/death, establishment/abolition
<b>4xx See Reference</b>		
<b>5xx See Also Reference</b>		
<b>7xx Linking Heading Block</b>		
Used for Subject Headings (not provided)		
<b>8xx Source Information Block</b>		
<b>801</b>	<b>Originating Source</b>	
<b>810</b>	<b>Source Data Found</b>	
<b>830</b>	<b>General Cataloguer's Note</b>	
<b>831</b>	<b>Notes for Kanji</b>	
<b>835</b>	<b>Deleted Heading Information</b>	
<b>9xx National Use Block</b>		
Provided in CD-ROM only		
<b>911</b>	<b>Type of Heading</b>	
<b>915</b>	<b>Governmental Office Code</b>	
<b>981</b>	<b>Notes for Kanji</b>	

 does not exist in the UNIMARC/Authorities format

**Figure 1: Japanese personal name**

典拠番号 00173199 状態 n 作成更新日時 19880530198805300000 管轄 w 更新 w  
名称種別 j レコト種別 x 確立状況 a 対象目録 w 著者使用 0 件名使用  
200 : 内藤//衛亮\$a ナイトウ, イスカ  
301 : 1944-  
810 : テ゛-タ゛-スの典拠作業  
811 : 大学研究者研究課題総覧  
830 : 学術情報センタ-教授

**Figure 2: Western personal name**

典拠番号 00673895 状態 n 作成更新日時 19980811199808111731 管轄 w 更新 w  
名称種別 f レコト種別 x 確立状況 a 対象目録 w 著者使用 0 件名使用  
200 : Brockelman, Paul T.  
400 : ブロツクルマン, P. \$4g  
810 : インサイト゛-スト-リ-\$b 町田 玉川大学出版部 1998.2\$h 著\$t160\$uHK11-G56\$x97WN5870  
811 : USMC  
830 : ニュ-ハンプ シャ-大・教授  
830 : 専攻:哲学,宗教学

**Figure 3: Japanese corporate body name**

典拠番号 00821713 状態 n 作成更新日時 20001025200010250919 管轄 w 更新 w  
名称種別 g レコト種別 x 確立状況 a 対象目録 w 著者使用 0 件名使用  
150 : 717  
210 : 国立情報学研究所\$a コクリツ シ゛ョウホクガク ケンキョウシ゛ョ  
301 : 2000-  
510 : 旧称:学術情報センタ-\$a ガ゛クシ゛ ヲツ シ゛ョウホク センタ-\$z00258388  
810 : 知識テ゛リツグ \$b 東京 丸善 2000.9\$h 監修\$t007.13\$uM121-G241\$x00W66688  
830 : 2000 年 4 月名称変更



**Figure 4: Chinese personal name**

典拠番号 00334509 状態 c 作成更新日時 19940404199501111137 管轄 w 更新 w

名称種別 c レコト種別 x 確立状況 a 対象目録 w 著者使用 0 件名使用

200 : 李//曉軍\$aリ,キョウグン\$5j

301 : 1952-

400 : 李//曉軍\$aリ,シヨウジ`ン\$5c

810 : ながいかみのむすめ\$b 東京 小峰書店 1994.1\$h 絵\$uY18-8682\$x93W79965

811 : アジア資料課典拠

830 : 画家

840 : 内蒙古生れ

**Figure 5: Korean personal name**

典拠番号 00659690 状態 c 作成更新日時 19980422200001061458 管轄 w 更新 w

名称種別 k レコト種別 x 確立状況 a 対象目録 w 著者使用 0 件名使用

200 : 李//昌鎬\$aイ-,チャンホ\$5k

301 : 1975-

400 : 李//昌鎬\$aリ,シヨウコウ\$5j

810 : 世界の新手、新型 1\$b 東京 日本棋院 1997.4\$h 著\$t795\$uKD949-G91\$x97W75038

811 : 加`-・帯等

830 : 囲碁名人

835 : 標目訂正 昌鍋 昌鎬(20000106)