

# **Description Rules for the JAPAN/MARC Authors' Name Authorities**

ASOSHINA Masumi  
National Diet Library

1. Form and elements of headings
2. References
3. Several types of notes
4. Source Data
5. Unique features
6. Comparison with other major cataloging rules

## **Description Rules for the JAPAN/MARC Authors' Name Authorities**

The National Diet Library has been making bibliographic data according to the “*Nippon Cataloging Rules, Preliminary New Edition*” before 1997 and to the “*Nippon Cataloging Rules, 1987 Edition, 1994 Revision*” after 1998. “*Operational Regulations for Japanese Books, for the Nippon Cataloging Rules, 1987 Edition, 1994 Revision*” are also set up for application. And author headings are recorded in a unified format according to the “*Rules for form of Headings for Japanese Names*” and “*Rules for form of Headings for Corporate Bodies.*” Non-Japanese author name headings are partly based on the “*Anglo-American Cataloging Rules, Second Edition.*”

The data format of the JAPAN/MARC Authors' Name Authorities is based on the UNIMARC format. In making authority records, we use “*Authority Manual*” for inputting data. I would like to show you how we create data according to the fields of the JAPAN/MARC Authors' Name Authorities.

### **1. Form and elements of headings**

#### **200: Heading: Personal Name**

The field 200 contains the heading. In principle, the heading is taken from the material cataloged first. When it is difficult to identify the kana form or romanized form of the heading by the material, we check various kinds of reference tools or refer to publishers etc. to confirm it. When one personal name is completely the same as another, each one is associated with the additions, that is, the person's year of birth and death, occupation, specialty, etc. in the heading field for identification purposes.

The heading has to be recorded in three forms, that is, kanji form, kana form, and romanized form. In the field 200 for kanji form, we can input all the character which has JIS code. So in this field appears Chinese character(漢字), kata-kana(カタカナ), hiragana(ひらがな), roman alphabet(アルファベット), numerals(アラビア数字) etc. In the field 200 for kana form, we record kata-kana, roman alphabet or specified character only. In the field 200 for romanized form, we record romanized form which is automatically created from the kana form. In this field, the data is recorded by single-byte character set. But in the field 200 for kanji form or kana form, the data is recorded by double-byte character set.

In the fields for kana form and romanized form, the family and given names are recorded separately with a comma ( , ).

The kana and romanized form fields are made corresponding to the denominative part of the headings and do not have any additions.

The field 200 consists of:

- \$a: Family name or non-separated name
- \$b: Given name
- \$c: Part of name other than family and given names
- \$d: Numerals relating to lineage, etc.
- \$f: Dates, etc.
- \$g: Other additions

#### **\$a: Family name or non-separated name**

\$a contains family name or whole name which cannot be separated into family and given names. In principle, it is recorded as it is in the material cataloged first. But there are some exceptions such as replacement of kanji.

( Examples )

200	1	\$6a01\$a	江藤	\$b	淳	
200	1	\$6a01\$7dc\$a	エトウ	,	\$b	ジュン
200	1	\$6a01\$7ba\$aEt^o,	\$bZyun			
200	1	\$6a01\$a	紀	\$b	長谷雄	
200	1	\$6a01\$7dc\$a	キノ	,	\$b	ハセオ
200	1	\$6a01\$7ba\$aKino,	\$bHaseo			

As for non-Japanese names in European languages, we refer to the USMARC, and give the same form as inscribed in roman letters. And in the field for kanji form, we also record a comma ( , ) which separates family and given names.

(Ex.)

200	1	\$6a01\$a	W i l d	,	\$b	O s c a r	.
200	1	\$6a01\$7dc\$a	W i l d	,	\$b	O s c a r	.
200	1	\$6a01\$7ba\$a	Wilde,	\$bOscar.			

In case of a personal name which cannot be separated into family and given names, the whole name is recorded in the \$a subfield.

(Ex.) 200 0 \$6a01\$a タモリ  
200 0 \$6a01\$7dc\$a タモリ  
200 0 \$6a01\$7ba\$aTamori

The personal name which cannot be separated into family and given names is recorded in Word Division format in the kana or romanized form. The Word Division format conforms to the “*Rules for Word Division*” specified by the National Diet Library. (Hereafter ” ” in the examples means double-byte space, and " " means single-byte space.)

(Ex.) 200 0 \$6a01\$a 森羅万象  
200 0 \$6a01\$7dc\$a シンラ バンショウ  
200 0 \$6a01\$7ba\$aSinra bansy^o  
  
200 0 \$6a01\$a ジェ - ムス三木  
200 0 \$6a01\$7dc\$a ジェ - ムス ミキ  
200 0 \$6a01\$7ba\$aZy^emus Miki

### **\$b: Given name**

\$b contains given name of the personal name. In principle, it is recorded as it is in the material cataloged first. But there are some exceptions such as replacement of kanji.

If the personal name does not consist of family and given names, the whole name should be recorded in \$a, and this subfield gives no data.

### **\$c: Part of name other than family and given names**

\$c gives some element which is used with or instead of family and given names. An honorific title, a courtesy title, supplementary notices on a name which consists of just family name, a common name, etc. are recorded here.

\$c appears in the kanji form fields only.

(Ex.) 200 0 \$6a01\$a F r a n c i s c o X a v i e r \$c S a i n t .  
200 0 \$6a01\$7dc\$a F r a n c i s c o X a v i e r  
200 0 \$6a01\$7ba\$aFrancisco Xavier

### **\$d: Numerals relating to lineage**

\$d gives numerals which are appended to the personal name. Numerals relating to lineage, trade name, Royal family name, Pope’s name, etc. are recorded here.

\$d appears in the kanji form fields only.

When numerals are given, year of birth is also recorded.

(Ex.) 200 1 \$6a01\$a 千\$b 宗左\$d14 世\$f1938 生  
 200 1 \$6a01\$7dc\$a セン , \$b ソウサ  
 200 1 \$6a01\$7ba\$aSen,\$bS^osa

200 1 \$6a01\$a 林家\$b 正楽\$d2 代目\$f1935 生  
 200 1 \$6a01\$7dc\$a ハヤシヤ , \$b ショウラク  
 200 1 \$6a01\$7ba\$aHayasiya,\$bSy^oraku

### \$f: Dates

\$f gives the years of birth and death. In principle, they are recorded in the Christian year. If the exact year is not specified clearly, some words to indicate the period are recorded. This subfield is used to identify a person whose name is exactly the same as another.

\$f appears in the kanji form fields only.

(Ex.) 200 1 \$6a01\$a 鈴木\$b 正義\$f1 9 1 1 生  
 200 1 \$6a01\$7dc\$a スズキ , \$b マサヨシ  
 200 1 \$6a01\$7ba\$aSuzuki,\$bMasayosi

200 1 \$6a01\$a 鈴木\$b 正義\$f1 9 9 3 没  
 200 1 \$6a01\$7dc\$a スズキ , \$b マサヨシ  
 200 1 \$6a01\$7ba\$aSuzuki,\$bMasayosi

200 1 \$6a01\$a A n d e r s o n , \$b M a r y \$f1 9 2 9 生  
 200 1 \$6a01\$7dc\$a A n d e r s o n , \$b M a r y  
 200 1 \$6a01\$7ba\$aAnderson,\$bMary

### \$g: Other additions

\$g gives the other additions which are not included in \$c, \$d, and \$f. This subfield is used to identify a person whose name is exactly the same as another and whose year of birth or death is the same as another or is not specified clearly.

If we cannot identify a person only with \$f, \$g should be added.  
 \$g appears in the kanji form fields only.

(Ex.) 200 1 \$6a01\$a 渡辺\$b 一男\$f1 9 2 8 生\$g 公務員  
 200 1 \$6a01\$7dc\$a ワタナベ , \$b カズオ  
 200 1 \$6a01\$7ba\$aWatanabe,\$bKazuo

200 1 \$6a01\$a 渡辺\$b 一男\$f1 9 2 8 生\$g 建築  
 200 1 \$6a01\$7dc\$a ワタナベ , \$b カズオ  
 200 1 \$6a01\$7ba\$aWatanabe,\$bKazuo

## 2. References

### 400: See Reference

If the forms in the headings are different from the one as it is indicated in the catalogued material, the field 400 contains in principle the form as it is indicated.

- (1) When the kana form or romanized form is different though the kanji form is the same as another

(Ex.) 200 1 \$6a01\$a 白石\$b 幸紀  
200 1 \$6a01\$7dc\$a シライシ , \$b ユキノリ  
200 1 \$6a01\$7ba\$aSiraisi,\$bYukinori  
400 1 \$6a02\$a 白石\$b 幸紀  
400 1 \$6a02\$7dc\$a シライシ , \$b コウキ  
400 1 \$6a02\$7ba\$aSiraisi,\$bK^oki

- (2) When the kanji form is slightly different (e.g.: just one character) though the kana form or romanized form is the same as another

(Ex.) 200 1 \$6a01\$a 金剛\$b 由生子  
200 1 \$6a01\$7dc\$a コンゴウ , \$b ユキコ  
200 1 \$6a01\$7ba\$aKong^o,\$bYukiko  
400 1 \$6a02\$a 金剛\$b 由起子  
400 1 \$6a02\$7dc\$a コンゴウ , \$b ユキコ  
400 1 \$6a02\$7ba\$aKong^o,\$bYukiko

- (3) When the type of the form (i.e. kana form, roman form, or kanji form) is different though the kana form or romanized form is the same as another

(Ex.) 200 1 \$6a01\$a 鈴木\$b 靖将  
200 1 \$6a01\$7dc\$a スズキ , \$b ヤスマサ  
200 1 \$6a01\$7ba\$aSuzuki,\$bYasumasa  
400 1 \$6a02\$a すずき\$b やすまさ  
400 1 \$6a02\$7dc\$a スズキ , \$b ヤスマサ  
400 1 \$6a02\$7ba\$aSuzuki,\$bYasumasa

### 500: See Also Reference

Field 500 contains the See Also Reference of personal name headings. See Also Reference is used when more than one personal names are used, a person has more than one pen name, a person has both Japanese and non-Japanese names, and so on.

In the field for kanji form, \$3 gives the authority record number.

(Ex.) 001 00104727  
200 1 \$6a01\$a 中島\$b 梓  
500 1 \$6a03\$a 栗本\$b 薫\$300103020  
500 1 \$6a03\$7dc\$a クリモト , \$b カオル

```

500 1 $6a03$7ba$aKurimoto,$bKaoru

001 00103020
200 1 $6a01$a 栗本$b 薫
500 1 $6a03$a 中島$b 梓$300104727
500 1 $6a03$7dc$a ナカジマ , $b アズサ
500 1 $6a03$7ba$aNakazima,$bAzusa

```

### 3. Several types of notes

#### 300: Name Note

The field 300 contains notes for the personal name recorded in the Heading field.

It contains the name and its type. They are recorded with a colon separating the type from the name. There are several types of names as follows:

For personal names: 本名 (real name), 俳号 (pseudonym for haiku author), 雅号 (pseudonym), 別名 (alias), 筆名 (pen name), 旧名 (former name)  
 Others; 原綴表記 (description in original spelling), 別表記 (description in other forms), etc.

Names are recorded in kanji or in the same form as inscribed. For personal names, family names and given names are not separated, but recorded as one word. Names are recorded also in the fields 400 and 500.

```

(Ex.) 200 1 $6a01$a なた$b いなた
      300 0 $a 本名 : 堀内秀
      500 1 $6a02$a 堀内$b 秀$300012887
      500 1 $6a02$7dc$a ホリウチ , $b シゲル
      500 1 $6a02$7ba$aHoriuti,$bSigeru

```

If there are plural names to be recorded, this field can be repeated as many times as needed.

```

(Ex.) 200 1 $6a01$a 山口$a 淑子
      200 1 $6a01$7dc$a ヤマグチ , $b ヨシコ
      300 0 $a 本名 : 大鷹淑子
      300 0 $a 中国名 : 李香蘭
      400 1 $6a02$a 大鷹$b 淑子
      400 1 $6a03$a 李$b 香蘭

```

#### 830: General Note

The field 830 is used to record notes made by the cataloguer who created the authority

record in question.

This field contains information necessary to identify the heading, and also concisely records information easy to obtain. The items of information recorded here are as follows:

- 1) Occupation, name of corporate body or organization which the individual belongs to or supervises, specialty, title, qualification, prizes, etc.
- 2) Other items required for identifying the heading

(Ex.) 830 \$a 税理士  
830 \$a 「21 世紀を担う子供の健康を守る会」 主宰  
830 \$a 写真家  
830 \$a 沼礼一と五月祥子の共同筆名

The field 830 is repeatable, if there are different types of information to be recorded.

(Ex.) 830 \$a 大学教員  
830 \$a 専攻：原子力学

Since JAPAN/MARC Authors' Name Authorities is not a biographic dictionary, we do not revise the original notes. However, we add the newly obtained information when it is useful to identify the heading.

### 835: Note on corrected headings

The field 835 contains information about correction or deletion of the heading entry.

The items of information recorded here are the following two:

- 1) Corrected heading information
- 2) Deleted heading information

Especially for item 2), the fact of and reason for the deletion are to be recorded. When the Record Status contains “d”, the deleted heading information must be recorded here.

#### 1) Corrected Heading Information

When an error in the heading is identified by the newly acquired information or follow-up research after the establishment of the authority record, or, when an addition has to be made to the established heading for some reason, the heading will be corrected, and at the same time, the content and the date of the correction will be recorded in this field.

(Ex.) 200 1 \$6a01\$a 早田\$b ふき子  
200 1 \$6a01\$7dc\$a ハヤタ , \$b フキコ  
400 1 \$6a02\$a 早田\$b ふき子  
400 1 \$6a02\$7dc\$a ソウダ , \$b フキコ

835 \$a 標目訂正 ソウダ ハヤタ(19940617)

When the kana form of the heading is corrected, the former form is to be recorded in the field 400.

2) Deleted Heading Information

When a heading is deleted in some reason and the authority record in question is disposed of, the content and the date of the deletion will be recorded in this field.

(Ex.) 835 \$a 標目削除 (19940628) 00028189 と重複

#### 4. Source Data

The Source Data field for the heading contains information on the bibliographic record on which the first registration of the heading or its correction is based. This information on the bibliographic record is mandatory. If the Heading Kana entry left unknown for a personal name in the material cataloged first becomes known in a subsequent material, the bibliographic record is recorded repeatedly.

“根拠：” (*konkyo*) indicates the source of information which tells the Heading Kana entry. It is omitted if the Heading Kana entry is only a guess with no source of information.

Major possible sources of information as “根拠” entries are as follows:

1) Cataloged material

Information about the name determined as the heading was obtained from the cataloged material itself (Colophon, author's brief history, title page, text, etc.).

2) Author of the cataloged material or a person concerned

The answer made by the organization or publisher who edited and published the cataloged material, the author, his/her family, or any other person concerned (Answer from the author, relevant organization, family, publisher, the author's place of employment, etc.).

3) Related publication or information source other than the cataloged material  
Directory, register, etc.

4) Else

Existing authority data or other cataloged.

(Ex.) 200 1 \$6a01\$a鈴木\$b浩之  
200 1 \$6a01\$7dc\$aスズキ , \$bヒロシ  
200 1 \$6a01\$7ba\$aSuzuki,\$bHiroshi  
810 \$aL口 - ド 東京 近代文芸社 1994.8  
810 \$a根拠:奥付

## 5. Unique features

The field 301: Date Note and Field 981: Kanji Note are unique to JAPAN/MARC Authors' Name Authorities. JAPAN/MARC Authors' Name Authorities also has the subfield \$0 which is used to record that the heading is a Chinese or Korean name in the fields 200 (Heading), 400, and 500. This subfield contains the codes; "c" for the original reading of a Chinese name, "j" for the Japanese reading of a Chinese or Korean name, and "k" for the original reading of a Korean name.

### 301: Date Note

This field contains dates related to a heading. The dates of the author for a personal name and the years of foundation and closing for a corporate body name are recorded here in the Christian year in principle. If both the year of birth and the year of death are identified, they will be recorded connected with a hyphen. When only the year of birth or the year of death is identified, it will be recorded with a hyphen after or before it.

(Ex.) 301 \$a1921-1993  
(When both dates are identified)

301 \$a1948-  
(When only the year of birth is identified)

301 \$a-1778  
(When only the year of death is identified)

When it is difficult to record the dates in the Christian year, a name of a period or other word that narrows down the dates to some extent will be recorded.

(Ex.) 301 \$a 元禄時代  
301 \$a 明代

### 981: Kanji Note

When a kanji character that the dictionary of the system does not have must be handled in the field 200, 400, and 500, another character will replace it, or a gaiji character will be created.

This field is used to record information relating to the gaiji introduced in the heading, such as JIS gaiji code (added by the NDL) and "*Dai-kanwa Jiten*" character search number.

In principle, we use JIS X 0208 (former JIS C 6226-1978) code system to record kanji characters in our authority files. If kanji or other characters out of this scheme appear, we replace them with those within the scheme as much as possible. And when even the replacement is impossible, we create a gaiji code.

Character code used  
D: “*Dai-kanwa Jiten*” character search number  
J: JIS gaiji code  
K: KEIS code

The field number where a gaiji or a replaced character appears and its corresponding code number are recorded in this field.

(Ex.) 200 1 \$a 小林\$b 子  
981 \$a タグ 200 の外字 D:35333;J:31F5

When the character appears several times even if it is the same one, the field 981 will be repeated to record each one of them.

(Ex.) 200 1 \$a 全\$b 楽  
200 1 \$7dc\$a ゼン , \$b ミンラク  
400 1 \$a 全\$b 楽  
400 1 \$7dc\$a ゼン , \$b ビンラク  
981 \$a タグ 200 の外字 D:20874;J:30D8;K:64D9  
981 \$a タグ 400 の外字 D:20874;J:30D8;K:64D9

## Subfield \$0

The Heading field (200), See Reference field (400) and See Also Reference field (500) have the subfield \$0 to contain a code indicating the kana form recorded there. This subfield contains “c” for the original reading of a Chinese name, “j” for the Japanese reading of a Chinese or Korean name, and “k” for the original reading of a Korean name. The code shows if the heading in question is a Chinese or Korean name. The codes for the original reading are recorded when the reading appeared in the cataloged material is judged more like original reading than Japanese.

(Ex.) When the heading is a Korean name in the original reading and See Reference has the Japanese reading  
200 1 \$6a01\$a 李\$b 文烈\$0k  
200 1 \$6a01\$7dc\$a イ , \$b ムニヨル\$0k  
200 1 \$6a01\$7ba\$a I,\$b Munyoru\$0k  
400 1 \$6a02\$a 李\$b 文烈\$0j  
400 1 \$6a02\$7dc\$a リ , \$b ブンレツ\$0j  
400 1\$6a02\$7ba\$a Ri,\$b Bunretu\$0j

## 6. Comparison with other major cataloging rules

Since 1998, the NDL has been cataloging materials according to the “*Nippon Cataloging Rules, 1987 Edition, 1994 Revision*” (NCR 87) along with the “*Operational Regulations for Japanese Books, for Nippon Cataloging Rules, 1987 Edition, 1994*”

*Revision*” (NDL Operational Regulations). As a national bibliographic agency, we adopt the NCR 87 in principle to promote the standardization in cataloging. However, in consideration of our catalogs made in the past, we adopt other rules in some cases and change the Rules partly in others.

Here I will give major differences between the NCR 87 and the NDL Operational Regulations.

1) Differences in the heading forms

The NCR 87 provides as follows:

23.2.1.0 (General rules)

For a personal name, in principle, the heading shall be recorded in the form found in the material cataloged first.

Following this rule means recording a non-Japanese personal name in katakana. The NDL Operational Regulations uses original forms in the Roman alphabet as the headings in order to bring some unity, because there would be diverse forms to deal with if we record them in katakana.

NDL Operational Regulations provides as follows:

23.2.1.0 (General rules)

For a personal name, in principle, the heading shall be recorded in the form found in the material cataloged first. However, for a foreign personal name, the heading shall be recorded in the original form in the Roman alphabet, which means, in some cases, in different forms from the one found in the cataloged materials. For an author of the Edo or earlier period, a form not found in the material can be adopted as the heading.

NCR 87	NDL Operational Regulations
ミュッセ, アルフレッド	Musset, Alfred de.
デュ・ボス, シャルル	Du Bos, Charles.
フォン・ノイマン, ジョン	Von Neumann, John.

Also for a Chinese and Korean personal name, the NDL Operational Regulations provides for the heading in kanji, because of the same reason as for a western name.

NCR 87	NDL Operational Regulations
キン, タツジュ	金 達壽
オウ, ケイシヨウ	王 慶祥
リン, ホウ	林 芳

2) Difference in reading of the heading

The NCR 87 provides that the heading for a East Asian name should be recorded with a Japanese reading if it is provided only in kanji form and with an original reading when it is known. The NDL Operational Regulations applies this rule only for a Korean name. For a Chinese name, it uses the Japanese reading.

The provision of the NCR 87 says as follows:

#### 23.3.3.2 (Oriental names)

- 7) Chinese names and Korean names written in kanji shall be recorded with the equivalent Japanese reading.

毛沢東 モウ, タクトウ

Note: The readings of the kanji characters used only in personal names shall be recorded according to the traditional use.

葉昌熾 ショウ, ショウシ

沈復 シン, フク

- 1) Chinese names and Korean names written in kanji along with the original reading shall be recorded with the original reading.

イー・オリヨン<李御寧> イー, オリヨン

安宇植 アン, ウシク

The provision of the NDL Operational Regulations says as follows:

#### 23.3.3.2 (Oriental names)

- 1) Korean names written in kanji shall be recorded with the original reading when it is provided in the cataloged material. When the original reading is unknown, the equivalent Japanese reading shall be recorded.

金達寿 キム, タルス

尹興吉 ユン, フンギル

崔達坤 サイ, タツコン

#### 3) Difference in Additions

In the heading, additions such as dates, occupations, specialty and lineage are recorded to distinguish names with the same family and given name. There is a difference in description of dates between the NCR 87 and the NDL Operational Regulations.

#### 23. 2.1.3 (Additions)

(Examples)

NCR 87

鈴木清 ( 1906 - 教育心理学 )

鈴木清 ( 1906 - 工芸家 )

鈴木清 ( 1907 - )

千宗左 ( 14世 1938 - )

NDL Operational Regulations

鈴木清 ( 1906生 教育心理学 )

鈴木清 ( 1906生 工芸家 )

鈴木清 ( 1907生 )

千宗左 ( 14世 1938生 )

The NCR 87 specifies that the year of birth and year of death are connected with

hyphens (ex. 1907-). On the other hand, according to the NDL Operational Regulations, they are recorded with “生” (birth) and “没” (death) as in “1907 生”.