

PART II - DESCRIBING CREATORS

CHAPTER 12: INTRODUCTION

On their own, descriptions of archival material are not easily accessible. They must include access points that enable users to search for and locate relevant material. Although there are many types of access points, the primary access point for archival material is the name of the creator, i.e., the person, family, or corporate body that created, accumulated, and/or maintained and used the unit being described. Furthermore, the structure and content of the archival material cannot be completely understood without some knowledge of the context in which it was created. This means that the archivist must provide not just the name of the creator, but also descriptive information about the corporate bodies, persons and families that are the creating entities. Part II is the logical outcome of Principle 7 in the Statement of Principles: that the creators of archival materials, as well as the materials themselves, must be described. Thus, Part II consists of rules for providing information about the persons, families, and corporate bodies responsible for the creation, accumulation and/or maintenance and use of the archival material being described.

Traditionally, rules for archival description have incorporated contextual information directly into the description of the materials, and this standard provides rules for doing so. However, to be compatible with ISAAR(CPF), this standard also provides an alternative: that information about creators of archival material can be captured and maintained in a separate system of archival authority records that are linked to the archival descriptions. Separate capture and maintenance of contextual information has a number of advantages. Being able to link a description of a creating entity to several descriptions of records from the same creator held within the same repository eliminates the need to duplicate the administrative/biographical history in each description. Furthermore, the practice enables the linking of descriptions of creating entities to descriptions of records from the same creator(s) held by more than one repository, as well as to descriptions of related library and museum materials, and Web sites, etc. As well, relationships between creating entities can be documented in authority records. Finally, certain functions that can be efficiently done in authority records, such as maintaining a record of variant and related terms, cannot be done well (or at all) within descriptions.

Where several repositories hold records of the same provenance, they can share or exchange contextual information about the creator more easily if it has been maintained in a standardized manner. Archival authority records do not merely *record* contextual information, they also provide a means of *standardizing* access points and contextual information required. In doing so, they are similar to library authority records in that both support the creation of standardized access points in descriptions. Standardization of access points involves two aspects: consistency and uniqueness. Consistency requires that the heading must be identical each time the name of a creator is used as an access point in the descriptive system. This is achieved by implementing rules that establish an authorized form of the name where different forms exist. Uniqueness requires that each creator must have a heading that relates to it alone. This is achieved by making additions to otherwise identical names in order to distinguish between them.

In library systems, the entity named in an access point is the focus of a standardized description called an *authority record*. An authority record consists of an authorized heading that standardizes the form of the name as well as other information elements that describe the named entity and/or point to other authority entries. Archival authority records contain similar elements to bibliographic authority records, i.e.,

- the authority entry (i.e., a standardized access point established by an archival agency identifying the corporate body, person, or family associated with the creation of the archival material);
- descriptive information about the entity named in the authority entry;
- references to related names and variant names; and
- documentation of how the authority record was established and maintained.

However, archival authority records support a much wider set of requirements than library authority records. These additional requirements derive from the importance of documenting the context of records creation in archival description and control systems. As such, archival authority records usually contain much more information than library authority records. As well, archival authority records are distinguished from authority records generally in that they are limited to the names of those associated in some way with the creation of archival material, and do not include topical subjects, form or genre, functions, or uniform titles. While archivists may also maintain authority files to control the terms used to provide access in these ways, such applications are beyond the scope of this standard.¹

12.1 Purpose

The purpose of Part II of this standard is to

- Control the creation and use of nominal access points in descriptive records;
- Describe as units within an archival description system the corporate bodies, persons, or families associated in some way with the creation of the archival material being described;
- Document relationships between entities associated in some way with the creation of the archival material being described and between those entities and the records created by them and/or other resources about or by them.

12.2 Scope

Part II of this standard provides rules for recording the information required for each part of an archival authority record.² While the rules assume that contextual information about creators will be held in separate authority files, where an institution decides to do otherwise, the standard includes rules for providing such information within the descriptions themselves.

12.3 Exclusions

Instructions for describing the archival materials themselves are found in Part I.

¹ This standard does not provide rules for the construction and maintenance of subject authorities. However, a corporate body, person, or family can also be the subject of a unit of description, and an archival authority record that conforms to this standard may also serve to control the form of name and identity of a corporate body, person, or family named in a subject access point.

² This standard does not, however, provide guidance on specific procedures, formats, or outputs for producing and maintaining authority records. Such matters must be determined by professional practice and institutional policy.

Rules for creating and using subject, form, genre, and function access points are outside the scope of this standard.

Structure and Numbering

Structure

12.4 Part II is divided into the chapters listed in the Table of Contents. Chapters 13–15 and 19 provide rules for single elements, or in the case of relationships (Chapter 15), a group of related elements. Where a chapter provides rules for a group of related elements, the rules for individual elements are presented separately in a section within each chapter. Rules for collections, where required, are integrated into the general rules for each element.

Structure of Chapters 16–18

12.5 Chapters 16–18 are unlike the others in that they do not provide rules for elements that form part of a description. Instead they provide rules for the consistent formation of nominal access points and for indicating relationships between entities, and they are used in conjunction with the rules for choosing access points (Chapter 13) and the rules for making references (section 15.1). For that reason, they are not structured in the same way as the other chapters. For example, instead of preliminary rules, they contain only a commentary. Part II of both RAD and APPM reflect the bibliographic approach of AACR. RAD2 has moved considerably away from the bibliographic model that stresses authorship to support the archival emphasis on provenance. However, the rules for formation of names in Chapters 16–18 have remained as close as possible to the most recent edition of AACR³ to ensure that a search for a particular name in an integrated catalog containing descriptions of both archival and library holdings will yield all records regardless of their nature. The rules for formation of names differ from AACR2R only where divergence is justified by archival practice, e.g., sources of information; requiring dates as a part of headings for personal names (not just where needed to distinguish between identical forms of the name); certain rules relating to pseudonyms; expanded rules for the treatment of variant names of corporate bodies; and the addition of rules for the names of families.

Categories of Rules

12.6 The rules for each element in Chapters 13–15 and 19 contain the following categories of rules numbered alphabetically and presented in the following order:

- A. Preliminary rules (described in detail in 12.7 below);
- B. General rules, i.e., those rules that apply to all classes of material;
- C. Rules for describing particular media (if any), i.e., those rules that apply to specific classes of material.

Preliminary Rules

12.7 The preliminary rules include the following aspects of the elements in Chapters 13–15 and 19:

- A1 *Purpose* summarizes what the element is intended to accomplish.
- A2 *Scope* describes the range to which the element applies, including the level(s) of description and the boundaries that limit the application of the element.

³ *Anglo-American Cataloguing Rules*, 2nd ed., 2002 revision.

- A3 *Exclusions* provide direction on where to find rules for those aspects of description that fall outside the scope of the element in question.
- A4 *Required/Discretionary* indicates whether an element is mandatory, mandatory if applicable, optional, or not applicable.
- A5 *Sources of information* directs the user to the appropriate place to find the information needed to describe the material.
- A6 (and following if necessary) includes any other relevant information that applies to the entire element.

Numbering System

12.8 To refer to specific rules for purposes of discussion or citation, a numbering system is required. The numbering system in Chapters 13–15 and 19 follows a consistent structure. Each rule number consists of the number of the chapter followed by a period, followed by a capital letter denoting the category of rules and a number that is assigned sequentially. Where the element is further divided into sub-elements, i.e., relationships, the section number is followed by a period and the number of the sub-element (e.g., 15.1) followed by a capital letter denoting the category of rules and a number that is assigned sequentially. Where a rule is part of a group of closely related rules, a lowercase letter is added without intervening punctuation.

Example: 13.B1a

13 = chapter number

.B = category of rule designator

1 = rule number

a = number of rule that is part of a group of closely related rules

However, to maintain the numbering relationship between the rules for the formation of names, the numbering system in Chapters 16–18 follows that of Chapters 22–24 of AACR2R, except that the RAD2 chapter numbers are substituted for the AACR2R chapter numbers. Rule 22.16A3, for example, in AACR2R is 16.16A3 in RAD2. Where the rules in RAD2 are different, such as the expanded rules for the treatment of variant names of corporate bodies and the additional rules for the names of families, the numbering has been adjusted accordingly.

12.9 Creating Archival Authority Records

Creating archival authority records is an integral part of the process of description. Generally speaking, the process involves the following steps:

- arrangement and description of the archival materials;
- identification of the creator(s) of the materials in the title element;
- preparation of the administrative/biographical history(ies) of the entity(ies) associated with the creation of the archival material;
- choosing the provenance access point(s) and other nominal access points as required;
- recording the chosen access points in a consistent and standardized way;
- identifying and recording references to related authority entries and variant names;
- recording how the authority record was established.

The steps need not occur in this linear sequence, although some steps must precede others. Forming an authority entry in a standardized fashion, for instance, cannot take place until the

name of the creator is determined. In fact, the process is more likely an iterative one. For example, in many cases the archivist will already know what organization(s) or individual(s) created the materials before arrangement starts. Therefore the process could start with the preparation of the administrative/biographical history(ies), which will inform the archivist's understanding of the materials as arrangement and description proceeds. In turn, information gleaned from working with the materials expands and enhances the administrative/biographical history and so on. In other cases, not all steps will be required, for example, an administrative/biographical history may not be required in cases where the authority entry is not a provenance access point. Because the construction of authority records is not a linear process, it will require moving back and forth between chapters to cover all the rules necessary to construct the record.

12.10 Outputs Not Prescribed

The rules provide for inputs, but do not prescribe particular outputs. Presentation of this information to the user, including the way that the authority information is linked with the descriptions of the materials, will be determined by institutional policy within each institution's descriptive system. Appendix I contains examples of complete authority records presented in a variety of formats intended to illustrate, but not prescribe, various possible outputs.

CHAPTER 13: CHOICE OF ACCESS POINTS

Commentary: Once the material is arranged and described, the archivist must determine the access point(s) that will enable a user to discover, identify, and retrieve the description of the materials (which in turn will enable the user to select and retrieve the relevant materials themselves). An access point is a name, term, keyword, phrase, or code that may be used to search, identify, and locate an archival description. There are many types of access points, e.g., provenance, subject, title, author, etc. This standard provides rules for determining the appropriate access points for the names of corporate bodies, persons, and families associated in particular ways with the materials being described, and in certain situations, for the title(s) of the unit being described. Where necessary, the term "nominal" is used to designate access points that consist of names.

Nominal access points indicate various relationships between the records and organizations or individuals associated with them. The primary relationship is that of provenance, i.e., responsibility for the creation, accumulation and/or maintenance and use of the materials being described. Provenance access points can also identify connections between individuals and offices held, and connections between individuals, such as members of a family. Other types of access points can point to authorship, custody, and collector relationships. By including these other relationships, this element expands the name of creator element in ISAD(G), which provides rules only for provenance access points. Nominal access points are crucial components of the description, not just because they enable users to gain access to an institution's holdings, but also because they provide a means of linking all records created by a particular person, family, or corporate body.

13.A Preliminary Rules

Purpose

13.A1 The purposes of this element are to identify the corporate bodies, persons and families associated in particular ways with the creation, accumulation and/or maintenance and use of the unit being described, and to create access points by which users can search for and retrieve descriptive records.

Scope

13.A2 This chapter provides rules for choosing nominal access points (i.e., the name(s) of persons, families, or corporate bodies) and title access points for the descriptive record. The rules provide for nominal access points of four types: provenance, authorship, custody, and collection. Definitions of provenance and the role of the entities having key relationships with records are provided below. Further discussion of the application of the definitions is found in the commentary for each type of access point.

Author: The individual or corporate body responsible for the intellectual or artistic content of a document. *Authors* should not be confused with *creators of records*.

Collector: The person, family, or corporate body that assembled a collection, i.e., an assemblage of documents intentionally accumulated on the basis of some common characteristic without regard to their provenance.

Creator: The corporate body, family, or person that created, accumulated, and/or maintained and used records in the conduct of corporate or personal activity. Creators are the corporate bodies, persons, or families responsible for the naturally occurring, unself-conscious accumulation of a body of records.

Custodian: The corporate body, family, or person (other than the creator) responsible for the care of documents based on their ownership and/or physical possession.

Provenance: The relationship between records and their creator(s).

Exclusions

13.A3a The rules for the consistent formation of names of persons, families, and corporate bodies chosen as access points are found in Chapters 16–18.

13.A3b The rules for documenting relationships between entities chosen as access points are found in section 15.1 of Chapter 15.

Required/Discretionary

13.A4

	Fonds	Series	File	Item
Provenance Access Point	At least one is mandatory (13.B8)	At least one is mandatory if creator of series is different from creator of fonds (13.B9)	N/A	N/A
Author Access Point	Mandatory if named in specified elements (13.B20–B21)			
Custodial Access Point	Mandatory if named in custodial history (13.B22)			
Collector Access Point	Mandatory (13.B24)	N/A	N/A	N/A

Sources of Information

13.A5 Rule: Take the information from the archival descriptions of the fonds and its parts (including the administrative/biographical history)⁴ as instructed in the following rules.

Examples

13.A6 The examples illustrate only the application of the rule to which they are appended. Other access points may be necessary in the actual instances cited. Furthermore, the examples never

⁴ The administrative/biographical history can be part of a description of the archival materials or it can be maintained in a separate authority file that is linked to the description and displays with it.

constitute a complete description. The elements shown are only those that bear on the choice of the access point(s). Examples are given without showing their form. The rules for establishing the standardized form of nominal access points are found in Chapters 16–18.

13.B General Rules

13.B1 Rule: Select the type(s) of access point(s) appropriate to a particular level of description as instructed in the following rules and in accordance with institutional policy.⁵

13.B2 Rule: When choosing access points, apply the rules of multilevel description, that is, proceed from the general to the specific, and ensure that the access point is appropriate to the level of description.

13.B3 Rule: Do not establish an access point that is not apparent from the archival description to which it relates.

13.B4 Rule: In the context of a particular finding aid system, if an access point is required other than those prescribed in this chapter, make it.

Designation of Relationship

13.B5 Rule: Optionally, give the relationship between the unit being described and the person, family, or corporate body chosen as the access point by adding after the access point an appropriate designation of this relationship.

, provenance
, author⁶
, custodian
, collector

Separate Authority Files

13.B6a Rule: Where the institution maintains a separate system of authority files, create authority records for the authorized forms of the names of the persons, families, and corporate bodies that are chosen as provenance access points.

13.B6b Rule: Optionally, create authority records for the authorized forms of the names of the persons, families, and corporate bodies that are chosen as non-provenance access points.

Provenance Access Points

Commentary: *Provenance* refers to the relationship between an aggregation of records and a creator, i.e., the corporate body, family, or person that created, accumulated, and/or maintained and used the records in the conduct of corporate or personal activity, and is responsible for the

⁵ Institutions should develop a policy to control selection of nominal access points other than those for provenance. The rules in this chapter give some guidance for such a policy, but do not cover all aspects of the discretion to be exercised in selecting non-provenance access points from descriptions rich in names, not all of which need to be access points.

⁶ Institutions wishing to expand the list of designated relationships for author in order to accommodate specific media (e.g., photographer, artist, cartographer, architect, engineer, director, producer, composer, narrator, interviewee, etc.) are strongly encouraged to add designations from standard lists appropriate to the material being cataloged, and establish a consistent institutional policy for recording the terms used.

naturally occurring, unself-conscious accumulation of that body of records. Thus, a *provenance access point* records the name of the creator of the records. Creators should not be confused with authors. While a variety of other persons or organizations may have been responsible for the intellectual or artistic content of the individual documents that are part of the aggregation of records, they are not the creators of the aggregation as a whole. Rules for other nominal access points such as authors, custodians, or collectors are provided in rules 13.B19–B23.

13.B7 Rule: Make provenance access points only for creators whose records are in the custody of the repository.

13.B8 Rule: At the fonds level,⁷ record at least one provenance access point as instructed in the following rules.

13.B9 Rule: At the series level (if the name of the creator of the series is different from the name of the creator of the fonds), record at least one provenance access point as instructed in the following rules.

13.B10 Rule: At the fonds and series levels, where required, record more than one provenance access point as instructed in the following rules.

13.B11 Rule: Make provenance access points as instructed in rules 13.B12–B18 only where the title is supplied. Where a formal title has been transcribed, make author access points as instructed in rules 13.B19–B21.

One Creator

13.B12 Rule: Make a provenance access point for the name of the creator identified in the title of the fonds.

Leanna Rutherford fonds

(Note: Make provenance access point for Leanna Rutherford)

Montreal Water and Power Company fonds

(Note: Make provenance access point for Montreal Water and Power Company)

Tinner family fonds

(Note: Make provenance access point for Tinner Family)

13.B13 Rule: If the name of the creator of the series is different from the name of the creator of the fonds, make a provenance access point for the name of the creator identified in the title of the series.

Fonds title: Bronson family fonds

Series title: David Bronson correspondence

(Note: Make provenance access point for series level description for David Bronson)

⁷ If the institution does not describe at the fonds level, record at least one provenance access point at the series level.

Fonds title: Manitoba Department of Health fonds
Series title: Registrar of Vital Statistics correspondence
(*Note: Make provenance access point for series level description for Registrar of Vital Statistics*)

More than One Creator

Commentary: When there is only one creator, the source for provenance access points is the supplied title. However, when there is more than one creator, the archivist must look in other parts of the description to ensure that all provenance access points are identified. When describing the records of a person or family for which there are several creators, the title *may* contain all the creators' names; however, the institution can also choose to include only one name in the title. When supplying a title for the records of a corporate body, only one creator can go in the title. In all cases, other creators will be mentioned in the administrative/biographical history element. However, not all names in this element will require provenance access points because not all will be directly relevant to the unit being described. Rules 13.B14–B18 specify that additional provenance access points are required for only the names of other persons, families, or corporate bodies identified in the administrative/biographical history as creators of the material in the unit being described.

More than One Person or Family as Creator

13.B14 Rule: Make provenance access points for each of the names identified in the title of the fonds or series and for the names of other persons or families identified in the administrative/biographical history as creators of material in the unit being described.

Joan Potter and William Bruce family fonds
(*Note: Make provenance access points for Joan Potter and William Bruce*)

Fonds des familles Descleaux, Reccateau et Sangués
(*Note: Make provenance access points for Descleaux family, Reccateau family and Sangués family*)

Baldwin-Ross family papers
(*Note: Series is part of the William Warren and Robert Baldwin fonds*)
(*Note: Make provenance access points for Baldwin family and Ross family*)

Names of Persons Comprising a Family

13.B15 Rule: If the provenance access point is for a family, make additional provenance access points for the names of family members identified in the administrative/biographical history as creators of material in the unit being described.

Giroux family fonds
(*Note: The fonds consists of records of the family...created by Antoinette, Germaine and Cédéric-Lactance...*)
(*Note: Make access points for Antoinette, Germaine and Cédéric-Lactance*)

More than One Corporate Body as Creator⁸

13.B16 Rule: Make provenance access points for the name identified in the title of the fonds or series and for the names of all other corporate bodies identified in the administrative/biographical history as creators of material in the unit being described.

Fraser Company fonds

(Note: The fonds comprises records created and/or accumulated and used from 1910 to 1917 under the name of Donald Fraser and Sons Limited and under the name of Fraser Company after 1917)

(Note: Make provenance access points for Fraser Company and for Donald Fraser and Sons)

Halifax School for the Blind fonds

(Note: The fonds comprises records created and/or accumulated and used from 1887 to 1939. The name of the Halifax School for the Blind was changed from Halifax Asylum for the Blind in 1930)

(Note: Make provenance access points for Halifax School for the Blind and for Halifax Asylum for the Blind)

Chinese Exclusion Act Case Files

(Note: The series consists of records created from 1892 to 1904 by the Customs Service which was responsible for enforcement of the Chinese Exclusion Act. In 1904 this activity shifted to the Immigration and Naturalization Service)

(Note: Make provenance access points for Department of the Treasury, Customs Service and Department of Justice, Immigration and Naturalization Service.)

Ontario Ministry of Industry, Trade and Technology fonds

(Note: Established in 1985 as a result of the reorganization of the Ministry of Industry and Trade. In 1993 it was replaced with the Ministry of Economic Development and Trade)

(Note: Make provenance access points for Ontario Ministry of Industry, Trade and Technology; for Ontario Ministry of Industry and Trade and for Ontario Ministry of Economic Development and Trade)

Name of a Person Holding an Office

13.B17 Rule: If the provenance access point is for a corporate body, and if the unit being described includes records created by a person holding office in that corporate body, make an additional provenance access point for the name(s) of the person(s) holding an office and identified in the administrative/biographical history as a creator of material in the unit being described.

York University President's Office fonds

(Note: Make access point for Susan Mann)

⁸ If the creator is a corporate body whose name has changed, institutions should establish a policy for selection of the name to be used in the title, choosing either the first or the last (latest) name of the corporate body while it created records that exist in the unit being described (see 4.3B18).

Name of an Office Held by a Person

13.B18 Rule: If the provenance access point is for a person, and if the records in the unit being described reflect the office(s) held by that person, make an additional provenance access point for the name of the office(s) held and identified in the administrative/biographical history as a creator of material in the unit being described.

Claude Bissell fonds

(Note: Make access point for University of Toronto Office of the President)

Author Access Points

Commentary: An *author* is the person or corporate body responsible for the intellectual or artistic content of a document, regardless of medium. For example, photographers, artists, cartographers, architects, engineers, directors, composers, narrators, interviewees, etc. could all be considered authors. An author is not to be confused with the creator of a body of records. Author access points indicate the name of the person(s) or corporate body(ies) responsible for the form and intellectual or artistic content of the unit being described, if different from the creator of that unit. Author access points can be provided for all levels of description.

General Rule

13.B19 Rule: If the author is different from the creator of the unit being described, make author access point(s) for the name(s) of author(s) identified in the description as instructed in the following rules and in accordance with institutional policy (see footnote 2).

Author Access Points at the Fonds, Series, and File Levels

13.B20 Rule: Make author access point(s) for the name(s) of the author(s) identified in the title proper, the scope and content, and/or the statement of responsibility note.

Correspondence with James Ewings

(Note: Title proper of a file in the Arthur Meighen fonds)

(Note: Make author access point for James Ewings)

Letters from Margaret Laurence

(Note: Title proper of a file in the Helen Lucas fonds)

(Note: Make author access point for Margaret Laurence)

Correspondance du Vice-rectorat aux affaires étudiantes

(Note: Title proper of a file in the Fonds de la Faculté des Sciences sociales)

(Note: Make author access point for Vice-rectorat aux affaires étudiantes)

(Statement of responsibility note: Five of the drawings are signed by Thomas S. Scott and two are signed by Frank Wills architect)

(Note: Make author access points for Thomas S. Scott and Frank Wills)

Author Access Point(s) at the Item Level

13.B21 Rule: Make author access point(s) for the name(s) of the author(s) identified in the title proper, the statement of responsibility, the scope and content, and/or the statement of responsibility note.

Letter from Ira Dilworth to Emily Carr
(*Note: Title proper of an item in the Emily Carr fonds*)
(*Note: Make author access point for Ira Dilworth*)

(Statement of responsibility note: Copied by H.J. Cundall, L.S.)
(*Note: Make author access point for H.J. Cundall*)

Geological map of the region north of Lake Huron / H.G.S. (Herbert G. Skill)
(*Note: Title proper of an item forming part of the Geological Survey of Canada fonds*)
(*Note: Make author access point for Herbert G. Skill*)

Custodial Access Points

Commentary: The *custodian* is the corporate body, family, or person that was responsible for the care of documents based on their ownership and/or physical possession. In most cases the custodian and the creator will be one and the same; however, they sometimes differ. Custodial access points can be provided for all levels of description.

13.B22 Rule: If a person, family, or corporate body has had ownership and/or physical custody of the unit being described, but was not responsible for its creation or maintenance, make a custodial access point for the name of each entity identified as a custodian in the custodial history, as appropriate.

Title of series: Eastern Kings Unitarian Universalist Fellowship
(*Note: Eastern Kings Unitarian Universalist Fellowship records were sent to the Universalist Unitarian Church in Halifax for safekeeping in 1980 and transferred to the Public Archives of Nova Scotia with the Universalist Unitarian Church of Halifax records*)
(*Note: Make custodial access point for Universalist Unitarian Church of Halifax*)

Title of sub-series: Interdepartmental Committee on Human Rights minutes
(*Note: F.R. MacKinnon removed the minutes from his official files when he was Deputy Minister of Public Welfare and had them bound into four volumes*)
(*Note: Make custodial access point for F.R. MacKinnon*)

Access Points for Collections

Commentary: A collection is a group of documents intentionally assembled on the basis of some common characteristic. Because they differ from archival fonds, collections require different types of access points, i.e., a collector access point and, in some circumstances, a title access point.

13.B23 Rule: At the fonds⁹ level, make a collector access point for the name(s) of person(s) or corporate body(ies) identified in the title of the collection as being responsible for assembling the material.

Larry Becker Collection
(*Note: Make access point for Larry Becker*)

13.B24 Rule: At lower levels of description, make author or custodial access points as instructed elsewhere in this chapter.

13.B25 Rule: If the collection is known by a particular title, or if the title of the collection has been supplied, make an access point for the title of the collection appearing in the title and/or the variations in title note.

Title Access Points

Commentary: Unlike the names of persons, families, or corporate bodies associated in some way with the unit being described, titles are not usually controlled by authority files. However, there are situations where title access points are required.

13.B26 Rule: As appropriate, make a title access point(s) for title(s) appearing in the title and/or the variations in title note.

13C Rules for Describing Particular Media

13.C1 Rule: Where particular media require access points other than those prescribed in this chapter, make additional access points as required.

13.C2 Rule: Optionally, where specific terms are required to designate relationships associated with particular media, add designations from standard lists appropriate to the material being described, and establish a consistent institutional policy for recording the terms used.

⁹ For the purposes of arrangement, collections of intentionally assembled materials are treated in the same manner as the fonds.

CHAPTER 14: ADMINISTRATIVE/BIOGRAPHICAL HISTORY

14.A Preliminary Rules

Purpose

14.A1 The purpose of this element is to provide information about the organization(s) or individual(s) associated in some way with the creation, accumulation, and/or maintenance and use of the unit being described in order to place the material in context and make it better understood.

Scope

14.A2 This chapter provides rules for describing facts about the entities creating records that have a bearing on the understanding of those records. The administrative/biographical history provides relevant information about corporate bodies, families, or persons whose names are chosen as nominal access points as instructed in Chapter 13.

Exclusions

14.A3a Rule: Record information about the scope and content of the material in the scope and content element (5.1).

14.A3b Rule: Record information about the structure or arrangement of the materials in the system of arrangement element (5.2).

14.A3c Rule: Record information about the custodial history in the custodial history element (7.1).

Required/Discretionary

14.A4

	Fonds	Series	File	Item
Provenance Entities within Authority Record	Mandatory for each creator that merits a provenance access point	Mandatory if creator of series is different from creator of fonds	N/A	N/A
Provenance Entities within Description	Mandatory for each creator that merits a provenance access point	Mandatory if creator of series is different from creator of fonds	N/A	N/A
Non-Provenance Entities (e.g., authors, custodians) within Authority Record	Optional	Optional	Optional	Optional
Non-Provenance Entities within Description	Optional	Optional	Optional	Optional
Collectors within Authority Record	Mandatory	N/A	N/A	N/A
Collectors within Description	Mandatory	N/A	N/A	N/A

Subject of the Collection within Authority Record	Optional	N/A	N/A	N/A
Subject of the Collection within Description	N/A—Information about the subject goes in scope and content.			

Sources of Information

14.A5 Rule: Take the information from any reliable source.

Citation of Sources

14.A6 Rule: Establish a consistent policy regarding the content, form, and placement of citation of sources and quotations.

14.B General Rules

Commentary: Information about the corporate body, person, or family that created, accumulated, and/or maintained and used the material being described may be incorporated into the description, or it may be held in a separate system of authority files that are linked to the archival descriptions and displayed together. In the latter situation, the administrative/biographical history is part of the authority record for that person, family, or corporate body. This standard provides rules to cover both practices.

Separate Authority File

14.B1 Rule: If the institution maintains a separate authority file, provide administrative/biographical history information, as instructed in rules 14.B2–B3 and 14.B9–B11.

14.B2 Rule: For each entity recorded as a provenance access point, provide administrative/biographical history information about the functions, activities, etc. of that corporate body, family, or person as instructed in 14.B9–B11.

14.B3 Rule: Optionally, for each entity recorded as a non-provenance nominal access point, provide relevant administrative/biographical information about that corporate body, family, or person.

Within the Description

14.B4 Rule: Where the administrative/biographical history is provided within the description, provide administrative/biographical history at the fonds and series levels as instructed in rules 14.B5–B11.

14.B5 Rule: At the fonds level,¹⁰ give information about the history of the corporate body(ies), person(s), or family(ies) that created, accumulated, and/or maintained and used the fonds as a whole.

14.B6 Rule: At the series level, if the creator of the series is different from the creator of the fonds as a whole, give information about the history of the corporate body(ies), person(s), or family(ies) that created, accumulated, and/or maintained and used the series.

¹⁰ For institutions that do not describe at the fonds level, provide this information at the series level.

14.B7 Rule: When primary responsibility for the creation, accumulation and/or maintenance and use of a fonds or series is shared between two or more corporate bodies, or two or more persons, or two or more families, create separate administrative/biographical histories for each corporate body, person, or family.

14.B8 Rule: When primary responsibility for the creation, accumulation and/or maintenance, and use of a fonds or series is shared between two or more members of a family, create a separate biographical history for the family and for each person.

Selection of the Sub-Elements

14.B9 Rule: Select those sub-elements¹¹ of an administrative/biographical history that are relevant to the corporate body, family, or person being described and that provide the information necessary to explain the context in which the material was created, accumulated, and/or maintained and used.

Administrative History of Corporate Bodies

General Rule

14.B10 Rule: Give information relevant to the understanding of the creator's functions, activities, and relations with other corporate bodies as instructed in 14.B10b-B10k.

By order-in-council dated 25 August 1987 the Nova Scotia Royal Commission on Health Care was established to undertake a comprehensive review of the health care system, including issues of cost and efficiency. The Commission's primary activities centred around public hearings, research and consultations with a variety of health care officials. Its report was submitted on 8 December 1989 and the Commission was dissolved

(Note: Administrative history in a narrative form for the fonds level description of the Nova Scotia Royal Commission on Health Care fonds)

The Statistics Office began as the office of the Secretary of the Board of Statistics in 1851. The Statistics Office was responsible for conducting the censuses of 1851 and 1861. With the passage of the Registration Act of 1864 it administered the registration of births, marriages and deaths for the colony. After confederation in 1867, it became the local office of the Statistics Branch of the federal Department of Agriculture and Statistics and served as the Nova Scotia administrative office for the 1871 census

(Note: Administrative history in a narrative form for a series forming part of the Nova Scotia Registrar General of Vital Statistics fonds)

14.B10a Rule: Optionally, at the beginning of the administrative history, provide a brief summary of the most relevant aspects of the corporate body's existence, typically including name, dates of existence, main functions or activities, and geographic location.

¹¹ The way in which the sub-elements are presented to users is a matter of institutional policy. Institutions may choose the order in which to present the sub-elements, or whether to present them in a narrative format or in a structured format with each element introduced by an introductory word or phrase.

The Ontario Good Roads Association was established in 1894 to promote the development of quality road construction in the province as a means to enhance municipal and economic growth.

Dates of Founding and/or Dissolution

14.B10b Rule: Give the date and place of the founding of the corporate body, and if applicable, the date and place of its dissolution.

Established in 1920 in Montreal; dissolved in 1945

Geographical Areas

14.B10c Rule: Give the location of the head office and of any branch or regional offices, as well as the geographic region in which the organization operated.

Mandate

14.B10d Rule: Record the enabling legislation or other legal or policy instrument(s) that act as the source of authority for the corporate body in terms of its powers, responsibilities, or sphere of activities, including any significant changes in its authority and functions.

Functions

14.B10e Rule: Record information about the functions and activities performed by the corporate body being described.

The Faculty is charged with administering primary and advanced degree programs in agriculture, forestry, and food science, and a two-year, pre-veterinary medicine program

The company specialized in steel fabrication and construction, especially of bridges and superstructures of buildings and cranes, though it constructed armaments during both world wars. It was also involved in various hydroelectric projects, and undertook numerous other major and minor steel fabrications and constructions for industry and government

Administrative Structure

14.B10f Rule: Describe the internal structure(s) of the corporate body and the dates of any changes to the structure that are significant to the understanding of the way the corporate body conducted its affairs. Name any higher body(ies) having authority or control over the corporate body, and/or any corporate body(ies) over which it exercised authority or control, and describe the nature and any change of the authority or controlling relationship.

In 1960, the governments of Nova Scotia and New Brunswick assumed operation of the school, relocated it to Amherst, N.S. and changed its name to the Interprovincial School for the Education of Deaf. In 1975 the four Atlantic provinces accepted responsibility for the education of hearing-impaired children under the auspices of the Atlantic Provinces Special Education Authority (APSEA) comprising the Deputy Minister of each province and two other persons appointed by each province

For administrative purposes, the Adjutant General's Office for Lower Canada divided the province into two military districts, Quebec and Montreal, but in 1789 the districts of St. Thomas, Trois Rivières and Boucherville were created. The colonel commanding the Quebec district acted as Adjutant General for the province, although the office of the Adjutant General of Militia is not mentioned in provincial militia acts until 1796

Predecessor and Successor Bodies

14.B10g Rule: Give the facts of the relationship of the body with predecessor or successor bodies to its mandate, functions, or activities.

14.B10h Rule: In cases of corporate or administrative amalgamations or mergers, name the administrative or corporate entities involved and summarize the nature of the amalgamation.

The Department of Plant Science was created by the amalgamation in 1944 of the Department of Field Crops (founded 1917) and Horticulture (founded 1935). In 1961, the Department of Genetics separated from the Department of Plant Science to be located in the Faculty of Science

Names of the Corporate Bodies

14.B10i Rule: Record any changes of the official name of the body not recorded in one of the other elements, any popular or common name(s) by which it was known, and its name(s) in other languages.

The Canadian Gallup poll was founded under the name of the Canadian Institute of Public Opinion, but has been popularly known as the Gallup Poll

Name(s) of Chief Officers

14.B10j Rule: Record the personal name(s) of persons holding the position as chief officer of the organization or corporate body if appropriate.

Ian H. MacDonald occupied the position of University President from 1974 to 1984

Other Significant Information

14.B10k Rule: Record any other important information not recorded elsewhere in the administrative history.

Biographical History of People or Families

General Rule

14.B11 Rule: Give information relevant to the understanding of the life, activities, and relationships of the person or family, as instructed in 14.B11b-B11j.

Reta Gueneva Mary Rowan (1904-1975) was active in local and provincial cultural and minority groups in Edmonton, Alberta. She came from England to Manitoba in 1919, then to Edmonton in 1920, where her husband, William Rowan, taught at the University of Alberta. Her interests were varied, ranging from involvement with cultural groups such as the Folk Festival Committee, to involvement with the Alberta Adult Education Society and with the Women's International League for Peace and Freedom. It was, however, her

work with minority groups at the civic and provincial levels that claimed most of her time between 1942 and 1967. These included the Council for Canadian Unity, the Friends of the Indians Society and the Indian Association of Alberta

(Note: Biographical sketch at the fonds level for the Reta Rowan fonds)

14.B11a Rule: Optionally, at the beginning of the biographical history, provide a brief summary of the most relevant aspects of a person's or family's life, typically including name, dates, profession, and geographic location.

Earle C. Morgan (1903-1972) was a Toronto, Ontario architect

The Snaith family were ranchers in eastern Montana in the mid-twentieth century

Name(s)

14.B11b Rule: Record the full name, title(s), married name(s), alias(es), pseudonym(s), and common or popular name(s) of persons.

Edgar Allardyce Wood wrote under the name of Kerry Wood. He was also known as Nobby

14.B11c Rule: For families, give information about the origin of the family and the name(s) of person(s) forming it, including the facts of the marriage(s); and the name(s) of children.

Dates

14.B11d Rule: For persons, record the dates or approximate dates of birth and death.

Place(s) of residence

14.B11e Rule: Indicate the geographical place(s) of residence of the person or family and the length of residence in each place, as well as any other place with which the person or family has a connection.

Born in eastern Ukraine, Vsevolod Holubnychy fled with his family to Bavaria in 1943 to escape the Red Army. In 1951, he moved to New York City where he attended Columbia University. He was professor at the City University of New York from 1962 until his death

Education

14.B11f Rule: Give information about the formal education of persons, including members of families whose education is important to an understanding of their life.

His primary and secondary education in Moncton, New Brunswick was followed by a business training course. In 1929, he entered Victoria College in the University of Toronto and graduated in 1933 in the Honour course in Philosophy and English, standing first in first class honours each year. He then took the theological course at Emmanuel College, and was ordained in the United Church of Canada in 1936. He attended Merton

College, Oxford from 1936 to 1939, graduated with first class honours in the English School and received the Oxford M.A. in 1940

Occupation, Life, and Activities

14.B11g Rule: Give information about the principal occupation(s) and career or lifework of persons or about the activities of families. Also indicate any other activities important to an understanding of the life of the person or family. Give information about significant accomplishments or achievements, including honors, decorations, and noteworthy public recognition.

14.B11h Rule: Identify important relationships with other persons or organizations and indicate any office(s) held.

Bruce Braden Peel was appointed chief cataloguer in 1951 and from 1955 until 1982 served as University Librarian, during which time the Library's collection became the second largest in Canada. On his retirement the rare books room was named the Bruce Peel Special Collections Library in his honour, and in 1991 the University awarded him an honorary doctorate of laws

14.B11i Rule: For families, describe important family relationships that have a bearing on the understanding of the unit being described.

Other Significant Information

14.B11j Rule: Record any other important information not recorded elsewhere in the biographical history.

Administrative/Biographical History Information for Collections

14.B12 Rule: In the authority file or in the administrative/biographical history element of the description, provide information about the collector and any collecting activities pertaining to the unit being described, as instructed in rules 14.B9–B11.

14.B13 Rule: In the authority file¹² or in the scope and content element of the description, where the subject of the collection is a person or family identified in the title as instructed in rule 4.3B25, provide biographical information about that person or family as instructed in rules 14.B9–B11.

14.C Rules for Describing Particular Media

None

¹² This standard does not provide rules for the construction and maintenance of subject authorities. However, a corporate body, person, or family can also be the subject of a unit of description, and an archival authority record that conforms to this standard may also serve to control the form of name and identity of a corporate body, person, or family named in a subject access point.

CHAPTER 15: RELATIONSHIPS

Commentary: Archival description requires the articulation of a number of different relationships, so that users will fully understand the archival material and the context of its creation. The rules for documenting the relationships between parts of a description, and between different descriptions, are found, respectively, in the level of description element and the related materials element in Part I. This chapter contains rules for documenting three additional types of relationships involving the corporate bodies, persons, and families associated in various ways with the creation of the records in the repository's holdings and collectively referred to as *entities*.

15.A Preliminary Rules

Purpose

15.A1 The purpose of this element is to document the relationships between entities, and between entities and archival material, as well as material not housed in an archival repository.

Scope

15.A2 The rules in this chapter enable an archivist to document three types of relationships involving entities: relationships between entities (called *references*), relationships between entities and archival materials, and relationships between entities and material not housed in an archival repository. The rules for each of these relationships are found in sections 15.1, 15.2, and 15.3 respectively. This chapter contains rules for documenting those relationships within authority records, or, if an institution does not maintain a separate system of authority records, within the descriptive records.

Exclusions

15.A3a Record information about the relationships between descriptions in the related materials element (8.3).

15.A3b Record information about the relationships between levels of arrangement within a description in the level of description element (4.2).

Required/Discretionary

15.A4 The indication of whether an element is required or not is found in the rules for that section.

Sources of Information

15.A5 The sources of information for each element are in the rules for that section.

Rules for Describing Particular Media

15.A6 None

15.1 Relationships between Entities (References)

Commentary: *References* document relationships between entities. References are a means of directing the user of a catalogue, union list, index, or authority file to the authorized form of the name from another authorized name or from a non-preferred name or form of name. In this regard, references are essential to facilitate the use of archival descriptive records and archival authority records. References are also one means of indicating the relationships that exist between corporate bodies, persons, and families associated in some way with the creation, accumulation and/or maintenance and use of archival material. While rules that direct the archivist to make particular types of references in specific circumstances are found in chapters 16 and 18, this section provides rules for documenting the relationships represented by such references.

15.1A Preliminary Rules

Purpose

15.1A1 The purpose of this section is to identify and document relationships between corporate bodies, persons, and/or families associated in some way with the creation, accumulation and/or maintenance and use of archival material.

Scope

15.1A2 This section provides rules for documenting and describing relationships between the names of corporate bodies, persons, and families selected as access points and for formulating associated references. The references can be of three different types:

- **Variation names:** Direct the user from variant names or forms of a name of a person, family, or corporate body that might reasonably be sought, to the authorized form of a name.
- **Related names:** Indicate relationships between authorized names.
- **Explanatory references:** Provide more detailed guidance to the user when an indication of variant or related names does not provide adequate information.

This section provides rules for documenting the relationships in two ways: within authority files or within the descriptive records themselves. Within authority files, the rules provide for three types of records: authority records, reference records, and explanatory reference records. If an institution does not maintain a separate authority file, rules are provided for maintaining a record of variant names within the descriptive records.

Exclusions

15.1A3a The rules for choosing access points are found in Chapter 13.

15.1A3b The rules for documenting relationships between entities and descriptive records are found in section 15.2.

15.1A3c The rules for documenting relationships between entities and material not housed in an archival repository are found in section 15.3.

Required/Discretionary

15.1A4 Mandatory if applicable

Source of information:

15.1A5 Take the information from any reliable source.

15.1B General Rules

Commentary: The rules for documenting the relationships represented by references are presented in two parts. The first part provides rules for documenting relationships within authority files, using three types of records: *authority records*, *reference records*, and *explanatory reference records*. While references between variant, related, and parallel names are most commonly documented within authority records, the section also provides the option for documenting such relationships separately in reference records.

The second part provides rules for maintaining a record of variant names within the descriptive records, where an institution does not maintain a system of separate authority files. However, the inclusion of references in descriptive records can never completely compensate for the absence of an authority system. Some functions cannot be fully accommodated within descriptive records.

Within Authority Records**Authority records for variant, related, and parallel names**

15.1B1 Rule: Within the authority record for each authorized name, record variant, parallel, and related names as instructed in the following rules.

Variant Names

Commentary: A *variant name* is not an authorized name or form of the name. Variant names can include different names, such as the secular or married name of a person commonly known by a religious name or maiden name; or the earlier name(s) of a corporate body that a repository has determined is a single corporate body that has had a number of name changes over time but requires an authority record only for the latest name under which it created records. Variant forms of name can include initialisms, acronyms, fuller forms, inverted forms, direct and indirect forms, other language forms, variant spellings, variant transliterations, and so on. In Chapters 16 and 18, variant names (i.e., those that may be sought by a user, but are not authorized forms of the name) are indicated by the letter "x" in front of them. This means that the variant name would be included in an authority record as instructed in 15.1B2–B4, or in a description as instructed in 15.1B16. Within a descriptive system, variant names would be non-preferred access points that lead the user from the variant name(s) to the authorized form of the name.

15.1B2 Rule: Record all names or forms of name(s) that might reasonably be sought by a user, but were not chosen as the authorized form of name, including alternate forms in other languages where the institution maintains authority records in only one language.

Clark, Joe (*Note: Authorized name*)

Variant name(s): Clark, Charles Joseph
Clark, C.J.

Prichard, Robert (*Note: Authorized name*)

Variant name(s): Prichard, John Robert Stobo
Prichard, J. Robert S.

Prichard, Rob

World Health Organization (*Note: Authorized name*)

Variant name(s): W.H.O.
Organisation mondiale de la santé

Borough of East York (*Note: Authorized name*)

Variant name(s): East York

Massachusetts (*Note: Authorized name*)

Variant name(s): Commonwealth of Massachusetts

Montgomery, L.M. (*Note: Authorized name*)

Variant name(s): Montgomery, Lucy Maud
MacDonald, Lucy Maud Montgomery

Society of American Archivists. National Information Systems Task Force

Variant name(s): National Information Systems Task Force
NISTF

Sir Frederick Fraser School (Halifax, N.S.)

(*Note: Assuming that this is one corporate body with two name changes*)

(*Note: Administrative history: Initially incorporated under the name Halifax Asylum for the Blind in May 1867, the name was changed in 1930 to Halifax School for the Blind and changed again in 1978 to Sir Frederick Fraser School*)

Variant name(s): Halifax Asylum for the Blind
Halifax School for the Blind

15.1B3 Rule: When recording a variant name, give the name of the person, place, or corporate body whenever possible in the same form it would have as an authorized heading, that is, in accordance with the rules for the formation of names in Chapters 16–18.

Ontario. Dept. of the Treasury (*Note: Authorized name*)

Variant name(s): Ontario. Treasury Dept.

(*Note: A variant name that can be put in the form of a heading as instructed in 15.1.B3*)
DOT

(*Note: commonly-used acronym for Department of the Treasury*).

(*Note: A variant form of name which cannot be put into the form of a heading as instructed in 15.1.B3*)

15.1B4 Rule: Use, as appropriate, additions to names as set out in the rules in Chapters 16–18 to distinguish between the same or similar names.

Related Names

Commentary: *Related names* are authorized names for corporate bodies, persons, or families that are associated in some way with entities that created, accumulated, and/or maintained and used archival records. Such entities can be connected in a variety of ways, such as members of families, hierarchical relationships between parts of organizations, chronological (i.e., predecessor/successor) relationships between organizations or parts of organizations, or offices held by a person within an organization. Within a descriptive system, the related names would also be access points that lead the user to the authorized names of related entities.

15.1B5 Rule: Record the authorized names and any relevant unique identifiers, including the authority record identifier, of corporate bodies, persons, or families that have a significant relationship with the entity named in the authority record.

Borough of East York (*Note: Authorized name*)

Related name(s): **Municipality of Metropolitan Toronto**
 City of Toronto (1998-)

Prichard, Robert (*Note: Authorized name*)

Related name(s): **University of Toronto. Office of the President**
 University of Toronto. Faculty of Law. Office of the Dean

University of Toronto. Office of the President (*Note: Authorized name*)

Related name(s): **Bissell, Claude**
 ...
 ...
 Connell, George
 Prichard, Robert

15.1B6 Rule: Briefly describe the nature of the relationship unless that information is clearly indicated in the administrative/biographical history. If the administrative/biographical history is lengthy and the relationship is not immediately obvious, provide a brief summary of the relationship.

Prichard, Robert (*Note: Authorized name*)

Related names: **University of Toronto. Office of the President**
Nature of the relationship: Robert Prichard was President of the University of Toronto from 1990-2000

Related names: **University of Toronto. Faculty of Law. Office of the Dean**
Nature of the relationship: Robert Prichard served as Dean of the Faculty of Law from 1984-1990

Borough of East York (*Note: Authorized name*)

Related name(s): **Municipality of Metropolitan Toronto**
Nature of the relationship: The Borough of East York was one of the municipalities that was part of the Municipality of Metropolitan Toronto from 1953 to 1997
Related name(s): **City of Toronto (1998-)**

Nature of the relationship: The Borough of East York was one of the municipalities that amalgamated to form the City of Toronto on 1 January 1998

15.1B7 Rule: Alternatively, provide a brief indication of the nature of the relationship, such as predecessor, father, younger brother, subordinate body, and so on.

Ontario. Ministry of the Industry, Trade and Technology (*Note: Authorized name*)
(*Note: Assuming that this body, the Ministry of Industry and Trade that preceded it, and the Ministry of Economic Development and Trade that succeeded it are three separate corporate bodies*).

Related name(s): **Ontario. Ministry of Industry and Trade** (predecessor)
Ontario. Ministry of Economic Development and Trade
(successor)

15.1B8 Rule: Record the dates of the existence of the relationship, if known.

Borough of East York (*Note: Authorized name*)

Related name(s): **Municipality of Metropolitan Toronto** (1953-1997)
City of Toronto (1998-) (1998-)

Prichard, Robert (*Note: Authorized name*)

Related name(s): **University of Toronto. Office of the President** (1990-2000)
University of Toronto. Faculty of Law. Office of the Dean
(1984-1990)

University of Toronto. Office of the President (*Note: Authorized name*)

Related name(s): **Bissell, Claude** (1958-1971)
...
...
Connell, George (1984-1990)
Prichard, Robert (1990-2000)

Ontario. Ministry of the Industry, Trade and Technology (*Note: Authorized name*)
(*Note: Assuming that this body, the Ministry of Industry and Trade that preceded it, and the Ministry of Economic Development and Trade that succeeded it are three separate corporate bodies*).

Related name(s): **Ontario. Ministry of Industry and Trade** (predecessor, 19xx-1985)
Ontario. Ministry of Economic Development and Trade
(successor, 1993-)

Parallel Names

Commentary: A *parallel name* is an alternative authorized form of the authorized name for the same entity, formulated according to different rules or in alternative languages (when there are two or more official languages). An institution may, as a matter of institutional policy, choose to create separate authority records for each authorized form of the name, in which case the parallel

form of the name would be treated as a related name. If, however, the institution or agency maintains records in only one language, the name in another language would be treated as a variant name.

15.1B9 Rule: If an institution maintains records in two or more official languages, record as a related name the parallel form of the authorized name as it occurs in the other language(s), as instructed in rules 15.1B5–B8.

National Library of Canada (*Note: Authorized name*)

Parallel name(s): **Bibliothèque nationale du Canada**

15.1B10 Rule: If the institution maintains records in only one language, record as a variant name the parallel form of the authorized name as it occurs in the other language(s), as instructed in rules 15.1B2–B4.

United Church of Canada (*Note: Authorized name*)

Variant name(s): L'église unie du Canada

Reference Records

Commentary: Where it is important to direct the user from one name or form of name to another, the authority file may include *separate* reference records in addition to authority records. *Reference records* can be a referral from a variant name or form of name to an authorized name, or from one authorized name to another.

15.1B11 Rule: Where the reference is simply from one term to another, record the variant or related name within the authority record.

15.1B12 Rule: Alternatively, make separate reference records in the authority file.

15.1B13 Rule: At a minimum, record the following information elements:

- the variant or related name from which the user is being directed;
- an appropriate instruction phrase (may simply be “see” or “see also” but may also include a more extensive instruction if required); and
- the authorized name(s) to which the user is directed.

Canada. National Research Council

See **National Research Council Canada**

15.1B14 Rule: If required, also record an explanation of the relationship between the two names, such as “earlier name,” or the like.

L. M. Montgomery Macdonald (married name)

See **L. M. Montgomery**

Ontario. Office of Arbitration

Replaced Ontario Labour-Management Arbitration Commission on 1 Sept. 1979

See also earlier name

Ontario Labour-Management Arbitration Commission

Explanatory Reference Records

Commentary: Explanatory references provide more guidance to the user than a simple reference record. *Explanatory reference records* are a particular type of reference that refers the user from a form that may or may not be a name, to a group or class of headings or an authorized name. Such records may define the scope of a heading or provide guidance about references that are applicable to several headings. They often provide an example of the types of headings to look for, but make no attempt to provide an exhaustive list of other headings to be consulted.

15.1B15 Rule: When more detailed guidance than a “see” or “see also” reference is required, make a separate explanatory reference record in the authority file by recording the following information elements:

- the explanatory reference heading;
- an appropriate instruction or information phrase providing guidance to the user.

Department of

Departments are entered under the name of the body or government to which they are subordinate (e.g., United States. Department of the Interior; Dalhousie University. Department of English, etc.)

Canada. Governor-General (1984-1989 : Sauvé)

Here are entered records of the Governor-General acting in her official capacity. For other records created and accumulated in her private capacity, *see*

Sauvé, Jeanne, 1922-1993

United Nations. Missions

Delegations, missions, etc., from member nations to the United Nations and to its subordinate units are entered under the name of the nation followed by the name of the delegation, mission, etc.; e.g.,

United States. Mission to the United Nations

United States. Delegation to the General Assembly of the United Nations

Make the same explanatory reference under United Nations. Delegations, and under United Nations. General Assembly. Delegations, and under other appropriate headings

In Descriptive Records

Commentary: If an institution does not maintain a system of authority files, a record of all references may be maintained within the descriptions themselves. However, the inclusion of reference information in descriptive records is not a satisfactory substitute for an authority system. There are some functions that cannot be accommodated within a descriptive record.

15.1B16 Rule: Within each descriptive record, record the variant name(s) or form(s) of name(s) and parallel names of a person, family, or corporate body that might reasonably be sought by a user.

Campbell, Alec

Variant name: **Campbell, C. Alexander G.**

Auger-Crowe, Jean Elizabeth

Variant name: **Crowe, Jean Elizabeth Auger-**

DeCosmos, Amor

Variant name: **Cosmos, Amor de**

Society of Friends

Variant name: **Quakers**

National Research Council Canada

Variant name: **Canada. *National Research Council***

Thomas Fisher Rare Book Library

Variant name: **University of Toronto. *Library. Thomas Fisher Rare Book Library***

Vancouver Historical Society

Variant name: **British Columbia Historical Association. *Vancouver Historical Society***

Canadian Pulp and Paper Association. *Sulphite Committee*

Variant name: **Canadian Pulp and Paper Association. *Technical Section. Sulphite Committee***

University of Toronto. *Library. Reference Dept.*

Variant name: **University of Toronto. *Library. Humanities and Social Sciences Division. Reference Dept.***

Ryerson Polytechnical Institute. *Staff Association*

Variant name: **Ryerson Staff Association**

Maryland. *Task Force on Periodic Motor Vehicle Inspection*

Variant name: **Task Force on Periodic Motor Vehicle Inspection**

Canada. *Parliament. House of Commons*

Variant name: **Canada. *House of Commons***

United States. *Congress. Senate*

Variant name: **United States. *Senate***

15.1B17 Rule: Optionally, follow the variant name with a word or phrase that clarifies the nature of the relationship between the authorized name and the variant or parallel name.

Strathcona and Mount Royal, Donald Alexander Smith, *Baron*

Variant name: **Smith, Donald A., *Sir*** (earlier name)

André, Brother

Variant name: **Bessette, Alfred** (secular name)

Atlantic Canada Opportunities Agency

Variant name: **ACOA** (acronym)

15.2 Relationships between Entities and Archival Materials

Commentary: This standard provides rules for describing both archival materials and creators; however, the two types of descriptions must be connected somehow. The attachment of access points to each description brings the two together, and, where an institution includes the description of the creator(s) (i.e., the administrative/ biographical history) within the description of the records, attaching access points to each description is sufficient to document the connection. However, where an institution maintains a separate authority file, the connection must also be documented reciprocally in the authority record.

15.2A Preliminary Rules

Purpose

15.2A1 The purpose of this section is to document relationships between archival materials and the corporate bodies, persons, and families associated in some way with their creation, accumulation and/or maintenance and use.

Scope

15.2A2 This section provides rules for documenting relationships between descriptions of archival materials and descriptions of corporate bodies, persons, and families associated in some way with their creation, accumulation and/or maintenance and use. These relationships can be documented within authority records, or, if an institution does not maintain a separate system of authority records, within the descriptive records.

Exclusions

15.2A3a The rules for documenting relationships between entities and materials not housed in an archival repository that are associated with them are found in section 15.3.

15.2A3b The rules for documenting relationships between entities are found in section 15.1.

Required/Discretionary

15.2A4 Mandatory

Sources of Information

15.2A5 Rule: Take the information from the descriptive records and their nominal access points.

15.2B General Rules

Within Authority Records

15.2B1 Rule: Within the authority record for each authorized name that serves as an access point, record the title and/or the reference code or other identification number of the described unit(s) that are related in some way to the entity.

Monteith, L.M. (*Note: Authorized name*)

L.M. Monteith papers (Acc. 82.69)

National Recovery Administration (*Note: Authorized name*)

US DNA xxxx

15.2B2 Rule: Optionally, record the nature of the relationship between the entity and the unit being described, that is, its provenance, authorship, custodian, and so on.

National Recovery Administration (*Note: Authorized name*)

US DNA xxxx

Provenance

McKinnon, F.R. (*Note: Authorized name*)

Acc. No. 99.60

Custodian

15.2B3 Rule: Optionally, record any dates that qualify the duration of the relationship.

National Recovery Administration (*Note: Authorized name*)

US DNA xxxx

1933-06-16 -- 1936-01-01

Within Descriptive Records

Commentary: For institutions that do not maintain separate authority files, the appropriate choice of access points of various types will bring together the description of the unit and the entity(ies) associated in various ways with its creation.

15.2B4 Rule: Choose appropriate access points for the unit being described as instructed in Chapter 13.

15.3 Relationships between Entities and Materials Not Housed in an Archival Repository

Commentary: Materials that are not housed in archival repositories, such as portraits, statues, Web sites, museum objects, monographs, journal articles, etc., may also provide relevant information that will assist in describing entities associated in some way with the creation of archival material.

15.3A Preliminary Rules

Purpose

15.3A1 The purpose of this section is to document the connections between entities (corporate bodies, persons, and families) and related resources that are not housed in an archival repository.

Scope

15.3A2 This section provides rules for indicating connections between materials not housed in an archival repository and descriptions of corporate bodies, persons and families. These relationships can be documented within authority records, or, if an institution does not maintain a separate system of authority records, within the descriptive records.

Exclusions

15.3A3a The rules for documenting relationships between entities and archival material associated with them are found in section 15.2.

15.3A3b The rules for documenting relationships between entities are found in section 15.1.

Required/Discretionary

15.3A4 Optional

Sources of Information

15.3A5 Rule: Take the information from any reliable source.

15.3B General Rules

Within Authority Records

15.3B1 Rule: Within the authority record for each authorized name, record the title, name, and/or other identifier of the related resource, including, if necessary, its location.

Canada. Dept. of Foreign Affairs and International Trade (*Note: Authorized name*)
www.dfait.gc.ca

15.3B2 Rule: Record the type of resource if it is not obvious, e.g., Web site, monograph, portrait, and so on.

Ontario Council of Archives (*Note: Authorized name*)
The Archival Trail (video)

15.3B3 Rule: Optionally, record the nature of the relationship between the entity and the related resource.

Jefferson, Thomas (*Note: Authorized name*)
National Portrait Gallery
Subject

15.3B4 Rule: Optionally, record the dates of the related resource.

Ontario Council of Archives (*Note: Authorized name*)
The Archival Trail (video, 1992)

Within Descriptive Records

15.3B5 Rule: If an institution does not maintain separate authority files, record within the description itself information about material related to the entity(ies) that is not housed in an archival repository, including the title, name, and/or other identifier of the related resource, and, if necessary, its location; the type of resource (if it is not obvious); the nature of the relationship between the entity and the related resource, and the dates of the related resource.

CHAPTER 16: FORM OF ACCESS POINTS FOR PERSONS AND FAMILIES

Commentary: Once a personal or family name has been chosen as an access point, the form of the name must be standardized. The purpose of this chapter is to provide rules for the standardized form of the names of persons and families. The sources of information to be used in particular circumstances are indicated at various places within the rules themselves. When a rule in this chapter contains an instruction to make a reference, do so in accordance with the rules in section 15.1. In the examples in this chapter, variant names (i.e., names that are not authorized names or forms of the name) are indicated by the letter *x* in front of them. This means that the variant name would be included in an authority record as instructed in 15.1B2–B4 or in a description as instructed in 15.1B16. For the most part, the numbering system in Chapter 16 follows that of Chapter 22 of AACR2R, except that the RAD2 chapter number is substituted for the AACR2R chapter number. Rule 22.16A3 in AACR2R, for example, is 16.16A3 in RAD2. The most significant difference between Chapter 22 of AACR2R and Chapter 16 of RAD2 is the addition of rules for forming the names of families. These rules have been numbered 16.29, picking up where AACR2R stops.

Choice of Name

16.1 General Rules

16.1A In general, choose, as the basis of the heading for a person, the name by which he or she is commonly known. This may be the person's real name, pseudonym, title of nobility, nickname, initials, or other appellation. Treat a roman numeral associated with a given name (as, for example, in the case of some popes, royalty, and ecclesiastics) as part of the name. For the treatment of the names of persons using one or more pseudonyms or a real name and one or more pseudonyms, see 16.2B. For the form of names used in headings, see 16.4–16.16.

Bruce Cockburn

Robert Charlebois

Emily Carr

Grey Owl

Joseph Francis

Terry Fox

not Terrance Stanley Fox

Anne-Marie

not Nellie Maillard David

Jimmy Carter

not James Earl Carter

Bob McCown

not Robert Alan McCown

Capability Brown
not Lancelot Brown

Anatole France
not Jacques-Anatole Thibault

H.D.
not Hilda Doolittle

Duke of Wellington
not Arthur Wellesley

John Julius Norwich
not Viscount Norwich

Sister Mary Hilary
not Sister Mary Joseph Cahill

D. W. Griffith
not David Wark Griffith

Queen Elizabeth II

Pope John Paul II

16.1B Determine the name by which a person is commonly known from the following sources and in the order of preference given:

- a) the name that appears in the prescribed source of information for the person's works¹³ issued in his or her language;
- b) the name that appears in reference sources;¹⁴
- c) the name that appears in the person's fonds;
- d) the name that appears in administrative records relating to the acquisition of the material being described;
- e) the name that appears in other archival records.

If the name does not appear on a prescribed source of information (e.g., a photographer's fonds that consists only of unsigned photographs) determine the name by which he or she is known from reference sources issued in his or her language or country of residence or activity.

¹³ For the purposes of these rules, a *work* is defined as "an item or set of items that has been published or distributed." For works, the prescribed source of information is the title page or its equivalent. For the equivalent of the title page for different classes of material, refer to the item column in the table in Appendix C.

¹⁴ The term *reference sources*, as used in this chapter, includes books and articles written about a person.

16.1C Include any titles of nobility or terms of honour (see also 16.12) or words or phrases (see also 16.8 and 16.16) that commonly appear either wholly or in part in association with names that do not include a surname. Omit such titles, terms, words, or phrases from any name that does include a surname (see also 16.5 and 16.15) unless the name consists only of a surname (see 16.15A) or the name is of a married woman identified only by her husband's name and a term of address (see 16.15B1). Include all terms of rank in headings for nobles when the term commonly appears with the name in works by the person or in reference sources (see 16.6 and 16.12). If an apparent addition to a name including a surname is in fact an intrinsic part of the name, as determined from reference sources or from works by or about that person, include the title. For the treatment of other terms appearing in association with the name, see 16.19B.

Sister Charlotte

Viscountess Astor

Richard, Duke of York

Fra Bartolommeo Andrea del Castagno

Otto Fürst von Bismarck

Richard Acland *not* Sir Richard Acland

Olga Maitland *not* Lady Olga Maitland

Miss Read

Mrs. Humphry Ward

16.1D Diacritical Marks and Hyphens

Accents, etc.

16.1D1. Include accents and other diacritical marks appearing in a name. Supply them if it is certain that they are integral to a name but have been omitted in the source(s) from which the name is taken.

Louis-Marie Côté

Robert René de Cotret

Éliphas Lévi

(Note: Sometimes appears without diacritical marks)

Hyphens

16.1D2 Retain hyphens between given names if they are used by the bearer of the name.

Louis-Joseph Papineau

Jean-Paul Riopelle

Include hyphens in romanized names if they are prescribed by the romanization system adopted by the institution.

Ch`oe Sin-dŏk

Omit a hyphen that joins one of a person's forenames to the surname.

Lucien Graux

(Note: Name appears as: Lucien-Graux)

16.2 Choice among Different Names

16.2A Predominant Name

16.2A1 If a person (other than one using a pseudonym or pseudonyms, see 16.2B) is known by more than one name, choose the name by which the person is clearly most commonly known, if there is one. Otherwise, choose one name or form of name according to the following order of preference:

- a) the name that appears most frequently in the person's works;
- b) the name that appears most frequently in reference sources;
- c) the name that appears most frequently in the person's fonds;
- d) the name that appears in administrative records relating to the acquisition of the material being described;
- e) the name that appears most frequently in other archival records;
- f) the latest name.

16.2B Pseudonyms

Because a pseudonym is defined as "a name assumed by a personal author¹⁵ to conceal or obscure his or her identity," apply these rules only if a person has published or distributed works under a pseudonym. Otherwise choose the person's real name.

One Pseudonym

16.2B1 If all the works and/or records of one person are identified only by a pseudonym, choose the pseudonym. If the real name is known, make a reference from the real name to the pseudonym. For the treatment of a pseudonym used jointly by two or more persons, see rule 21.6D in AACR2R, 2002 revision.

George Orwell *not* Eric Arthur Blair

Martin Ross *not* Violet Frances Martin

Nevil Shute *not* Nevil Shute Norway

Woody Allen *not* Allen Stewart Konigsberg

Separate Identities

16.2B2 If a person has established two or more identities, as indicated by the fact that works and/or records of one type appear under one pseudonym, and works and/or records of other types appear under the person's real name or other pseudonyms, choose, as the basis for the heading for each group of works or records, the name by which those works or records are identified. Make references to connect the names. In case of doubt, do not consider a person to have separate identities. For contemporary authors, see also 16.2B3.

Charles William Gordon
(*Note: Real name found in his fonds*)

Ralph Connor
(*Note: Pseudonym used in literary works*)

Berthe Potvin
(*Note: Real name found in her fonds*)

Genevieve de Francheville
(*Note: Pseudonym used in her literary works*)

Thomas D'Arcy McGee
(*Note: Real name used in some works and in his fonds*)

Backwoodsman
(*Note: Pseudonym used in some literary works*)

¹⁵ *Personal author* is defined here as the person chiefly responsible for the creation of the intellectual or artistic content of a work.

Contemporary Authors

16.2B3 If a contemporary author uses more than one pseudonym, or his or her real name and one or more pseudonyms, use, as the basis for the heading for each unit being described, the name appearing in it. Make references to connect the names.

Philippa Carr
Victoria Holt
Kathleen Kellow
Jean Plaidy
Ellallice Tate

(Note: Pseudonyms used by the same person)

If, in the works of contemporary authors, different names appear in different editions or versions of the same work or two or more names appear in one edition or version, choose, for all editions or versions, the name most frequently used in editions or versions of the work. If that cannot be determined readily, choose the name appearing in the latest available edition or version of the work. Make name-title references from the other name or names.

The rising tide / M.J. Farrell

(Note: Two editions known. The later published under the name Molly Keane)

(Note: Use Molly Keane as the basis for the heading)

Make a name-title reference using M.J. Farrell as the basis for the reference)

Cut thin to win / Erle Stanley Gardner as A.A. Fair

(Note: Two editions known. One published under the name A.A. Fair, the later as above)

(Note: Use Erle Stanley Gardner as the basis for heading)

Make a name-title reference using A.A. Fair as the basis for the reference)

16.2B4 If a person using more than one pseudonym, or his or her real name and one or more pseudonyms, but the use of the pseudonym(s) is not consistent enough for the creator to be clearly known by any of them (i.e., the person has neither established separate identities (see 16.2B2), nor is a contemporary author (see 16.2B3)), choose, as the basis for the heading, the person's real name. Make references from other names.

Catherine Parr Traill

not Author of Prejudice reprovod, The tell-tale, &c.

16.2C Change of Name

16.2C1 If a person (other than one using a pseudonym or pseudonyms) has changed his or her name, choose the latest name or form of name unless there is reason to believe that an earlier name will persist as the name by which the person is better known. Follow the same rule for a person who has acquired and become known by a title of nobility (see also 16.6). As required, make references from the other form(s).

Amor DeCosmos
not William Alexander Smith
(*Note: Birth name; commonly known under later name*)

Marie de l'Incarnation
not Marie Guyart Martin
(*Note: Name used before she entered a religious order*)

Mère Marie-Rose
not Eulalie Durocher
(*Note: Name used before the author entered a religious order*)

Jacqueline Onassis
not Jacqueline Bouvier
not Jacqueline Kennedy
(*Note: Names used before marriage and during first marriage*)

Muhammed Ali
not Cassius Clay
(*Note: Name changed from Cassius Clay to Muhammed Ali*)

Grey Owl
not Archibald Stansfeld Belaney
(*Note: Birth name; known in Canada by later name*)

BUT

L.M. Montgomery
not L.M. Montgomery MacDonald
(*Note: Name acquired later in life; better known by earlier name*)

Benjamin Disraeli
not Earl of Beaconsfield
(*Note: Title acquired late in life; better known by another name*)

16.3 Choice among Different Forms of the Same Name

16.3A Fullness

16.3A1 If the forms of a name vary in fullness, choose the form of the name according to the following order of preference:

- a) the form of the name that appears most frequently in the person's works;
- b) the form of the name that appears most frequently in reference sources;
- c) the fullest form of the name that appears in the person's fonds;
- d) the name that appears in administrative records relating to the acquisition of the material being described;
- e) the fullest form of the name that appears in other archival records.

As required, make references from the other form(s).

Marshall Saunders

(Note: Form used in person's works: Marshall Saunders)

(Note: Full name: Margaret Marshall Saunders)

William Crichlow Harris

Vincent Massey

(Note: Form used in person's works: Vincent Massey)

(Note: Full name: Charles Vincent Massey)

Margaret Laurence

(Note: Form used in person's works: Margaret Laurence)

(Note: Full name: Jean Margaret Wemyss Laurence)

If no one form predominates, choose the latest form. In case of doubt about which is the latest form, choose the fuller or fullest form.

16.3B Language

People Using More than One Language

16.3B1. If the name of a person who has used more than one language appears in different language forms in his or her works, in reference sources, in his or her fonds, in administrative acquisition records, or in other archival records, choose the form according to the following order of preference:

- a) the form corresponding to the language of most of that person's work;
- b) the form that appears most frequently in reference sources;
- c) the form corresponding to the language of most of that person's fonds;
- d) the form corresponding to the language of most of administrative records relating to the acquisition of the material being described;
- e) the form corresponding to the language of most of the other archival records.

George Mikes

not György Mikes

Philippe Garigue

not Philip Garigue

If, however, one of the languages is Latin or Greek, apply 16.3B2.

If no one form predominates, choose the form most commonly found in reference sources of the person's country of residence or activity.

For persons identified by a well-established English form of name, see 16.3B3. If the name chosen is written in a nonroman script, see 16.3C.

Names in Vernacular and Greek or Latin Forms

16.3B2. If a name occurs in reference sources and/or in the person's works, in his or her fonds, in administrative acquisition records, or in other archival records, in a Greek or Latin form as well as in a form in the person's vernacular, choose the form most commonly found in reference sources.

Sixt Birck
not Xystus Betulius

Hugo Grotius
not Hugo de Groot

In case of doubt, choose the Latin or Greek form for persons who were active before, or mostly before, A.D. 1400. For persons active after that date, choose the vernacular form.

Giovanni da Imola
not Joannes de Imola
(*Note: Died 1436*)

Names Written in the Roman Alphabet and Established in an English Form

16.3B3 Choose the English form of name for a person entered under given name, etc. (see 16.8) or for a Roman of classical times (see 16.9A) whose name has become well-established in an English form in English-language reference sources.

Saint Francis of Assisi
not San Francesco d'Assisi

Pope John XXIII
not Joannes Papa XXIII

Horace
not Quintus Horatius Flaccus

Charles V
not Karl V
Carlos I

In case of doubt, use the vernacular or Latin form.

Sainte Thérèse de Lisieux
not Saint Theresa of Lisieux

Other Names

16.3B4 In all cases of names found in different language forms and not covered by 16.3B1–16.3B3, choose the form most frequently found in reference sources of the person's country of residence or activity.

Hildegard Knef
not Hildegarde Neff

16.3C Names Written in a Nonroman Script¹⁶

People Entered under Given Name, etc.

16.3C1 Choose the form of name that has become well-established in English-language reference sources for a person entered under given name, etc. (see 16.8) whose name is in a language written in a nonroman script. If variant English-language forms are found, choose the form that occurs most frequently. As required, make references from other forms.

Alexander the Great
not Alexandros ho Megas

Confucius
not K`ung-tzu

Homer
not Homeros
Homerus

Isaiah the Prophet
not Yesha`yahu

If no English romanization is found, or if no one romanization predominates, romanize the name according to the table for the language adopted by the institution.

¹⁶ Systematic romanizations used in the examples in this chapter follow the tables (published by the Library of Congress in *Cataloging Service*, bulletin 118-) adopted jointly by the American Library Association, the Canadian Library Association, and the Library of Congress.

People Entered under a Surname¹⁷

16.3C2 If the name of a person entered under surname (see 16.5) is written in a nonroman script, romanize the name according to the table for the language adopted by the institution. Add vowels to names that are not vocalized. As required, make references from other romanized forms.

Lin Yü-t`ang
not Lin Yutang

P.S. Irāmaccantiran
not P.S. Ramachandran

Mosheh Dayan
not Moshe Dayan

Shelomit Kohen
not Shlomit Cohen

If the name of a person is found only in a romanized form, use it as found.

Ghaoutsi Bouali
not Ghawthī `Abū `Alī

If such a person's name is found in more than one romanized form, choose the form that occurs most frequently.

If a name is written in more than one nonroman script, romanize it according to the table for the original language of most of the works, of most of the fonds, or of most of the archival records being described (in that order of preference). As required, make references from other romanized forms.

`Alī Muhammad Irtizā
not `Alī Muhammad Irtidā
(*Note: Wrote primarily in Persian but also in Arabic*)

¹⁷ Alternative rule. This alternative rule may be applied selectively language by language.

Persons entered under a surname. Choose the romanized form of name that has become well-established in English-language reference sources for a person entered under a surname (see 16.5) whose name is in a language written in a nonroman script. For a person who uses Hebrew or Yiddish and whose name is not found to be well-established in English-language reference sources, choose the romanized form appearing in his or her works, in his or her fonds, or in the archival records being described (in that order of preference).

If variant romanized forms are found in English-language reference sources, choose the form that occurs most frequently.

As required, make references from other romanized forms.

Lin Yutang
not Lin Yü-t`ang

In case of doubt as to which of two or more languages written in the Arabic script should be used for the romanization, base the choice on the nationality of the person or the language of the area of residence or activity. If these criteria do not apply, choose (in this order of preference): Urdu, Arabic, Persian, any other language.

16.3D Spelling

16.3D1 If variant spellings of a person's name are found and these variations are not the result of different romanizations, choose the form resulting from an official change in orthography, or, if this does not apply, choose the predominant spelling. In case of doubt, choose the spelling that seems most appropriate. For spelling differences resulting from different romanizations, see 16.3C.

Entry Element

16.4 General Rules

16.4A If a person's name (chosen according to 16.1–16.3) consists of several parts, select as the entry element that part of the name under which the person would normally be listed in authoritative alphabetic lists¹⁸ in his or her language or country of residence or activity. In applying this general rule, follow the instructions in 16.5–16.9. If, however, a person's preference is known to be different from the normal usage, follow that preference in selecting the entry element.

16.4B Order of Elements

16.4B1 If the entry element is the first element of the name, enter the name in direct order.

Gray Lock

Ram Gopal

16.4B2 If the first element is a surname,¹⁹ follow it by a comma.

Chiang, Kai-shek

(*Note: Name:* Chiang Kai-shek)

(*Note: Surname:* Chiang)

Molnár, Ferenc

(*Note: Name:* Molnár Ferenc)

(*Note: Surname:* Molnár)

Trịnh, Vân Thanh

(*Note: Name:* Trịnh Vân Thanh)

(*Note: Surname:* Trịnh)

¹⁸ *Authoritative alphabetic lists* means publications of the "who's who" type or biographical dictionaries, encyclopedias, but not telephone directories or similar compilations.

¹⁹ *Surname*, as used in this chapter, includes any name used as a family name (other than those used as family names by Romans of classical times, see 16.9A).

16.4B3 If the entry element is not the first element of the name, transpose the elements of the name preceding the entry element. Follow the entry element by a comma.

McClure, Christine Hilda

(*Note: Name: Christine Hilda McClure*)

16.4B4 If the entry element is the proper name in a title of nobility (see 16.6), follow it by the personal name in direct order and then by the part of the title denoting rank. Precede the personal name and the part of the title denoting rank by commas.

Leighton, Frederick Leighton, Baron

Caradon, Hugh Foot, Baron

16.5 Entry under Surname

16.5A General Rule

16.5A1 Enter a name containing a surname (or consisting only of a surname, see 16.15A) under that surname unless subsequent rules (e.g., 16.6, 16.10) provide for entry under a different element.

Anka, Paul

Fowke, Edith

King, William Lyon Mackenzie

Leslie, Kenneth

Waite, P.B.

Fitzgerald, Ella

If the surname is represented by an initial, but at least one element of the name is given in full, enter under the initial that represents the surname.

A., Bruce

16.5B Element other than the First Treated as a Surname²⁰

16.5B1 If the name does not contain a surname but contains an element that identifies the individual and functions as a surname, enter under this element followed by a comma and the rest of the name.

Hus, Jan

²⁰ For Islamic names, see rules 22.22, 22.26C1a, and 22.27 in AACR2R, 2002 revision.

Alexandre, Marie

Ali, Muhammad

(Note: The American boxer)

X, Malcolm

16.5C Compound Surnames

Preliminary Rule

16.5C1 The following rules deal with the entry of surnames consisting of two or more proper names (referred to as "compound surnames") and names that may or may not contain compound surnames. Apply the rules in the order given. Refer from elements of compound surnames not chosen as the entry element.

Preferred or Established Form Known

16.5C2 Enter a name containing a compound surname under the element by which the person bearing the name prefers to be entered.²¹ If this is unknown, enter the name under the element under which it is listed in reference sources²² in the person's language or country of residence or activity.

Crawford, Isabella Valancy

Lloyd George, David

(Note: Paternal surname: George)

Machado de Assis, Joaquim Maria

(Note: Paternal surname: de Assis)

Hyphenated Surnames

16.5C3 If the elements of a compound surname are regularly or occasionally hyphenated, enter under the first element (see also 16.5E1).

Beresford-Howe, Constance

Charron-Lecorre, Odette

²¹ Take regular or occasional initializing of an element preceding a surname as an indication that that element is not used as part of the surname.

Chavarri, Eduardo López

(Name sometimes appears as: Eduardo L. Chavarri)

Szentpál, Mária Sz.

(Name appears as: Sz. Szentpál Mária)

(Husband's surname: Szilági)

²² Disregard reference sources that list compound surnames in a uniform style regardless of preference or customary usage.

McLean-Carr, Carol Aitken

Sainte-Marie, Buffy

Other Compound Surnames, Except those of Married Women whose Surname Consists of Surname before Marriage and Husband's Surname

16.5C4 Enter under the first element of the compound surname unless the person's language is Portuguese. If the person's language is Portuguese, enter under the last element.

Martel Richard, Micheline

Peuvret Demesnu, Jean-Baptiste

but **Silva, Ovidio Saraiva de Carvalho e**

Married Women whose Surname Consists of Surname before Marriage and Husband's Surname

16.5C5 Enter under the first element of the compound surname (regardless of its nature) if the person's language is Czech, French, Hungarian, Italian, or Spanish. In all other cases, enter under the husband's surname. For hyphenated names, see 16.5C3.

Molina y Vedia de Bastianini, Delfina

(Note: Language of person: Spanish)

but **Stowe, Harriet Beecher**

(Note: Language of person: English)

Smith, Mary Compton

(Note: Language of person: English)

Nature of Surname Uncertain

16.5C6 If a name has the appearance of a compound surname but its nature is not certain, treat it as a compound surname unless the language of the person is English, Danish, Faroese, Norwegian, or Swedish.

If the person's language is English, enter under the last part of the name and do not refer from the preceding part unless the name has been treated as a compound surname in reference sources.

Adams, John Crawford

Robertson, E. Arnot

If the person's language is Danish, Faroese, Norwegian, or Swedish, enter under the last part of the name and refer from the preceding part.

Mahrt, Haakon Bugge
x Bugge Mahrt, Haakon

Olsen, Ib Spang
x Spang Olsen, Ib

Place Names Added to Surnames

16.5C7 Treat a place name added to a person's surname and connected to it by a hyphen as part of the surname (see 16.5C3).

Müller-Breslau, Heinrich

Words Indicating Relationship Following Surname

16.5C8 Treat *Filho*, *Junior*, *Neto*, *Netto*, or *Sobrinho* following a Portuguese surname as part of the surname.

Castro Sobrinho, Antonio Ribeiro de

Omit similar terms (e.g., *Jr.*, *Sr.*, *filis*, *père*) occurring in languages other than Portuguese. If such a term is required to distinguish between two or more identical names, add it as instructed in 16.19B.

16.5D Surnames with Separately Written Prefixes

Articles and Prepositions

16.5D1 If a surname includes an article or preposition or combination of the two, enter under the element most commonly used as entry element in alphabetically arranged directories or the like in the person's language or country of residence or activity. The rules listed under languages and language groups below summarize entry element practice.

If such a name is listed in a nonstandard fashion in reference sources in the person's language or country of residence, enter under the entry element used in those sources.

If a person has used two or more languages, enter the name according to the language used in most of that person's works, in reference sources, in most of his or her fonds, in administrative accession records, or in other archival records (in that order of preference). In case of doubt, follow the rules for English if English is one of the languages. Otherwise, if the person is known to have changed his or her country of residence, follow the rules for the language of the adopted country. As a last resort, follow the rules for the language of the name.

Languages and language groups:

Afrikaans: Enter under the prefix.

De Villiers, Anna Johanna Dorothea

Du Toit, Stephanus Johannes

Van der Post, Christiaan Willem Hendrik

Von Wielligh, Gideon Retief

Czech and Slovak: If the surname consists of a place name in the genitive case preceded by *z*, enter under the part following the prefix. Refer from the place name in the nominative case. Omit the *z* from the reference.

Žerotína, Karel z
x Žerotín, Karel

Danish: See Scandinavian languages.

Dutch: If the surname is Dutch, enter under the part following the prefix unless the prefix is *ver*. In that case, enter under the prefix.

Aa, Pieter van der

Beeck, Leo op de

Braak, Menno ter

Brink, Jan ten

Driessche, Albert van

Hertog, Ary den

Hoff, Jacobus Henricus van 't

Wijngaert, Frank van den

Winter, Karel de

Ver Boven, Daisy

If the surname is not Dutch, enter the name of a Netherlander under the part following the prefix and the name of a Belgian according to the rules for the language of the name.

Faille, Jacob Baart de la
(Note: Netherlander)

Long, Isaäc le
(Note: Netherlander)

Du Jardin, Thomas

(Note: Belgian; French name)

English: Enter under the prefix.

D'Anvers, Knightley

De Morgan, Augustus

De la Roche, Mazo

Des Barres, Joseph F.W.

Du Maurier, Daphne

Le Page, John

Van Buren, Martin

Flemish: See Dutch.

French: If the prefix consists of an article or of a contraction of an article and a preposition, enter under the prefix.

La Rocque, Gilbert

Le Mercier, François

Des Châtelets, Michèle

Des Granges, Charles-Marc

Du Pont Duvivier, François

Otherwise, enter under the part of the name following the preposition.

Anville, Jean Baptiste Bourguignon d'

La Fontaine, Jean de

Lamirande, Claire de

Pasquale, Dominique de

German: If the name is German and the prefix consists of an article or of a contraction of an article and a preposition, enter under the prefix.

Am Thym, August

Aus'm Weerth, Ernst

Vom Ende, Erich

Zur Linde, Otto

Follow the same rule for Dutch names with a prefix consisting of an article or of a contraction of an article and a preposition.

De Boor, Hans Otto

(Note: Name of Dutch origin)

Ten Bruggencate, Paul

(Note: Name of Dutch origin)

Enter other German and Dutch names under the part of the name following the prefix.

Goethe, Johann Wolfgang von

Mühll, Peter von der

Urff, Georg Ludwig von und zu

Enter names that are neither German nor Dutch according to the rules for the language of the name.

Du Bois-Reymond, Emil

Le Fort, Gertrud

Italian: Enter modern names under the prefix.

A Prato, Giovanni

D'Arienzo, Nicola

Da Ponte, Lorenzo

De Amicis, Pietro Maria

Del Lungo, Isidoro

Della Volpaia, Eufrosino

Li Greci, Gioacchino

Lo Savio, Niccolò

For medieval and early modern names, consult reference sources about whether a prefix is part of a name. If a preposition is sometimes omitted from the name, enter under the part following the preposition. *De, de', degli, dei,* and *de li* occurring in names of the period are rarely part of the surname.

Alberti, Antonio degli

Anghiera, Pietro Martire d'

Medici, Lorenzo de'

Do not treat the preposition in an Italian title of nobility used as an entry element (see 16.6A) as a prefix.

Norwegian: See Scandinavian languages.

Portuguese: Enter under the part of the name following the prefix.

Fonseca, Martinho Augusto da

Santos, João Adolpho dos

Romanian: Enter under the prefix unless it is *de*. In that case, enter under the part of the name following the prefix.

A Mariei, Vasile

Scandinavian languages: Enter under the part of the name following the prefix if the prefix is of Scandinavian, German, or Dutch origin (except for the Dutch *de*). If the prefix is the Dutch *de* or is of another origin, enter under the prefix.

Hallström, Gunnar Johannes af

Linné, Carl von

De Geer, Gerard

De la Gardie, Magnus Gabriel

La Cour, Jens Lassen

Slovak: See Czech and Slovak.

Spanish: If the prefix consists of an article only, enter under it.

Las Heras, Manuel Antonio

Enter all other names under the part following the prefix.

Figuerola, Francisco de

Casas, Bartolomé de las

Río, Antonio del

Swedish: See Scandinavian languages.

Other Prefixes

16.5D2 If the prefix is neither an article, nor a preposition, nor a combination of the two, enter under the prefix.

`Abd al-Hamīd, Ahmad

A'Beckett, Gilbert Abbott

Abū Zahrah, Muhammad

Āl Yāsīn, Muhammad Hasan

Ap Rhys Price, Henry Edward

Ben Maÿr, Berl

Ó Faoláin, Seán

Mac Muireadach, Niall Mór

16.5E Prefixes Hyphenated or Combined with Surnames

16.5E1 If the prefix is regularly or occasionally hyphenated or combined with the surname, enter the name under the prefix. As required, refer from the part of the name following the prefix.

Desrochers, Alfred

DeBlois, Albert D.

x Blois, Albert D. de

Fon-Lampe, A.A.

x Lampe, A.A. Fon-

FitzGerald, David

Lalonde, Émile

MacDonald, Sandra Margaret

16.5F Members of Royal Houses Entered under Surname, etc.

16.5F1 Enter the name of a member of a royal house no longer reigning or of a royal house that has lost or renounced its throne, and who is no longer identified as royalty, under the surname or the part of the name by which he or she is identified in his or her works, in reference sources, in his or her fonds, in administrative acquisition records, or in other archival records (in that order of preference) if there is no surname (e.g., name of the house or dynasty, territorial title). Add titles that the person still uses as instructed in 16.12. Refer from the given name followed by the title as instructed in 16.16A1–16.16A4.

Bernadotte, Folke

x Bernadotte af Wisborg, Folke, *greve*

x Folke, *Count Bernadotte of Wisborg*

x Wisborg, Folke Bernadotte, *greve af*

Habsburg, Otto

x Otto, *Archduke of Austria*

Hohenzollern, Franz Joseph, *Fürst von*

x Franz Joseph, *Prince of Hohenzollern*

Paris, Henri, *comte de*

x Henri, *Count of Paris*

16.6 Entry under Title of Nobility

16.6A General Rule

16.6A1 Enter under the proper name in a title of nobility (including courtesy titles) if the person is known by that title. Apply this rule to those persons who

- a) use their titles rather than their surnames in their published or distributed works;
- or
- b) are listed under their titles in reference sources;²³ or
- c) are identified by their titles rather than their surnames in their fonds.

Follow the proper name in the title by the personal name (excluding unused forenames) in direct order and the term of rank²⁴ in the vernacular. Omit the surname and term of rank if the person

²³ Disregard reference sources that list members of the nobility either all under title or all under surname.

does not use a term of rank or a substitute for it. Refer from the surname unless the proper name in the title is the same as the surname.

Dufferin and Ava, Frederick Temple Hamilton-Temple Blackwood, *Marquess*
x Blackwood, Frederick Temple Hamilton-Temple

Frontenac, Louis de Buade, *comte de*

La Pérouse, Jean François de Galaup, *comte de*

Macaulay, Thomas Babington Macaulay, *Baron*

Willoughby de Broke, Richard Greville Verney, *Baron*
x Broke, Richard Greville Verney, *Baron Willoughby de*
x Verney, Richard Greville, *Baron Willoughby de Broke*

Winchilsea, Anne Finch, *Countess of*
x Finch, Anne, *Countess of Winchilsea*

Monluc, Blaise de
(*Note: Name appears as: Blaise de Monluc*)
x Lasseran Massencome, Blaise de, *seigneur de Monluc*
x Massencome, Blaise de Lasseran, *seigneur de Monluc*

16.6B Special Rules

16.6B1 Some titles in the United Kingdom peerage include a territorial designation that may or may not be an integral part of the title. If the territorial designation is an integral part of the title, include it.

Russell of Liverpool, Edward Frederick Langley Russell, *Baron*

If it is not an integral part of the title, or if there is doubt that it is, omit it.

Bracken, Brendan Bracken, *Viscount*
not Bracken of Christchurch, Brendan Bracken, *Viscount*

16.6B2 Apply 16.6A1 to judges of the Scottish Court of Session bearing a law title beginning with *Lord*.

Kames, Henry Home, *Lord*
x Home, Henry, *Lord Kames*

²⁴ The terms of rank in the United Kingdom peerage are *duke*, *duchess*, *marquess (marquis)*, *marchioness*, *earl*, *countess*, *viscount*, *viscountess*, *baron*, and *baroness*. The heir of a British peer above the rank of baron usually takes the next to highest title of the peer during the peer's lifetime.

16.6B3 If a person acquires a title of nobility, disclaims such a title, or acquires a new title of nobility, follow the instructions in 16.2C in choosing the name to be used as the basis for the heading.

Beaverbrook, William Maxwell Aitken, Baron
(*Note: Previously Aitken, William Maxwell*)

Grigg, John
(*Note: Previously Baron Altrincham; peerage disclaimed*)

Hailsham of St. Marylebone, Quintin Hogg, Baron
(*Note: Originally Quintin Hogg; became Viscount Hailsham, 1950; peerage disclaimed, 1963; became Baron Hailsham of St. Marylebone, 1970*)

16.7 Entry under Romanian Patronymic

16.7A If a name of a person whose language is Romanian contains a patronymic with the suffix *ade*, enter under that patronymic.

Heliade Rădulescu, Ion

16.8 Entry under Given Name, etc.

16.8A General Rule

16.8A1 Enter a name that does not include a surname and that is borne by a person who is not identified by a title of nobility under the part of the name under which the person is listed in reference sources. In case of doubt, enter under the last element, following the instructions in 16.5B. Include in the name any words or phrases denoting place of origin, domicile, occupation, or other characteristics that are commonly associated with the name in that person's works, in reference sources, in his or her fonds, in administrative acquisition records, or in other archival records (in that order of preference). Precede such words or phrases by a comma. Refer, as appropriate, from the associated words or phrases, from variant forms of the name and from other names by which the person is known.

Alexander, of Aphrodisias
x Aphrodisias, Alexander of
x Alexander, Aphrodisiensis
x Alexander, von Aphrodisias
x Alexandre, d'Aphrodise

John, the Baptist

Leonardo, da Vinci
x Vinci, Leonardo da

16.8A2 If a person with such a name is listed in reference sources by a part of the name other than the first, follow the instructions in 16.5B.

Helena, Maria

16.8B Names Including a Patronymic

16.8B1 If a name consists of one or more given names and a patronymic, enter it under the first given name, followed by the rest of the name in direct order. If the patronymic precedes the given name(s), transpose the elements to bring the first given name into first position. Refer from the patronymic. For Icelandic names, see 16.9B.

Isaac ben Aaron

(Note: Given name: Isaac)

(Note: Patronymic: ben Aaron)

x Aaron, Isaac ben

Solomon Gebre Christos

(Note: Given name: Solomon)

(Note: Patronymic: Gebre Christos)

x Gebre Christos, Solomon

16.8C Names of Royal Persons

16.8C1 If the name by which a royal person is known includes the name of a royal house, dynasty, territorial designation, etc., or a surname, enter the name in direct order. Add titles as instructed in 16.16A.

Chandragupta Maurya ...

John II Comnenus ...

Louis Bonaparte ...

16.9 Entry of Other Names

16.9A Roman Names

16.9A1 Enter a Roman active before, or mostly before, A.D. 476 under the part of the name most commonly used as entry element in reference sources.

Caesar, Gaius Julius

Antoninus Pius

In case of doubt, enter the name in direct order.

Martianus Capella

16.9B Icelandic Names

16.9B1. Enter an Icelandic name under the first given name, followed by the other given names (if present), by the patronymic, and by the family name, in direct order. If a phrase naming a

place follows the given name(s), patronymic, or family name, treat it as an integral part of the name. Refer from the patronymic and from the family name.

Svava Jakobsdóttir

(*Note: Given name: Svava*)

(*Note: Patronymic: Jakobsdóttir*)

x Jakobsdóttir, Svava

Halldór Laxness

(*Note: Given name: Halldór*)

(*Note: Family name: Laxness*)

x Laxness, Halldór

Bjarni Benediktsson frá Hofteigi

(*Note: Given name: Bjarni*)

(*Note: Patronymic: Benediktsson*)

(*Note: Words denoting place: frá Hofteigi*)

x Benediktsson frá Hofteigi, Bjarni

x Benediktsson, Bjarni

(*Note: To be made only when warranted in a particular catalogue*)

Jóhannes úr Kötlum

(*Note: Given name: Jóhannes*)

(*Note: Words denoting place: úr Kötlum*)

16.10 Entry under Initials, Letters, or Numerals

16.10A Enter a name consisting of initials, or separate letters, or numerals, or consisting primarily of initials, under those initials, letters, or numerals in direct order. Include any typographic devices that appear as part of multiletter abbreviations of a name, but omit them when they follow single-letter initials. Include any words or phrases associated with the initials, letters, or numerals. In the case of initials or letters, make a name-title reference from an inverted form beginning with the last letter for each item described. Make a reference from any phrase associated with the initials as required. In the case of numerals, make a name-title reference from the numbers as words for each item described.

H.D.

x D., H.

By Avon River

x D., H.

Flowering of the rod

[*etc.*]

B ..., abbé de

(Name appears as abbé de B...)

i.e., *Master*

x e., i., *Master*

x *Master* i.e.

110908

x One Hundred and Ten Thousand, Nine Hundred and Eight

Per ardua ad astra

x One, One, Zero, Nine, Zero, Eight

Per ardua ad astra

16.11 Entry under Phrase

16.11A Enter in direct order a name that consists of a phrase or appellation that does not contain a forename.

Dr. X

Father Time

Pan Painter

Also enter in direct order a phrase that consists of a forename or forenames preceded by words other than a term of address or a title of position or office. Make a reference from the forename(s) followed by the initial word(s).

Buckskin Bill

x Bill, *Buckskin*

Boy George

x George, *Boy*

Calamity Jane

x Jane, *Calamity*

Poor Richard

x Richard, *Poor*

If, however, such a name has the appearance of a forename, forenames, or initials, and a surname, enter under the pseudosurname. Refer from the name in direct order.

Tinner, I.M.

x I.M. Tinner

Other, A.N.

x A.N. Other

