

Archivists' Toolkit: Name Functional Area

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Name Functional Area

(Revised 3 April 2006)

N1: Description

The name function is for linking a proper name to an accession record or a resource description in order to provide name context for the accession or resource and to support access by proper names. A proper name is a personal name, a family name, or a corporate name. In the AT, the concept of corporate name also includes conference name.

Names are linked to description records for three purposes: 1) to indicate responsibility for creation of the materials, 2) to indicate source of the materials, and 3) to indicate topical nature of the materials. In the context of a single resource, it is not unusual for one name to serve all three functions; a person or agency will often be the creator, source, and subject of a body of archival materials. But that is not always the case, as a resource may have a source different than its creator, and it may have name subjects in addition to either its creator or source.

The name functions for creator and subject in the AT may also have role statements associated with them in order, say, to distinguish one kind of responsibility from another. For instance, for one group of materials a creator's role may be that of a photographer but for another group the same creator's role may be that of correspondent. Also, the name function for source may have roles associated with it that designate a more particular kind of source, e.g., seller or donor. A list of established roles and their corresponding terms is available at <http://www.loc.gov/marc/relators/relators.html>. In the AT, the roles for name as source are differentiated from the roles for name as subject or name as creator.

The name function and name role, strictly speaking, are attributes of the link between a name record and an accession or description record and not of the name record per se. The name as subject link also has an attribute for expressing a form term such as correspondence. The function, role, and form attributes are specified in the process of applying, or linking, a name record to an accession or description record; they are not part of the name identity area, the name description area, or the name contact area. Thus, while every unique name may have only one name record in the AT, the record for that name may be linked to one or more accession or description records in a multitude of ways.

Name records in the Archivists' Toolkit are designed to conform to ICA's ISAAR(CPF): International Standard Archival Authority Record for Corporate Bodies, Persons and Families, 2nd ed.

(http://www.icacds.org.uk/eng/isaar2ndedn-e_3_1.pdf) and to support the

proposed standard Encoded Archival Context (www.library.yale.edu/eac/) and the Metadata Authority Description Schema (MADS; <http://www.loc.gov/standards/mads/>).

Components of Name Records

Conceptually, a name record in an implementation of the AT may consist of three distinct sections, of which only the first section is always required.

The first section is for identifying the name and recording facts about the creation of the name record. The first section comprises elements present in every name record in the AT and elements for each of the three types of names. The common elements are name type (corporate, person, or family), name source, and name rules. The other common elements are the record tracking elements for creation and modification of the record that are automatically applied to all records in the AT (see the project management specification). The name sort form is an optional field for specifying a different sort form for the entire name, and the name address form element is for recording the salutary form of a name, e.g., “Ms. Stacey Myers” for “Myers, Stacey.”

The elements for a corporate name are:

- Primary Name (corporate body, religious body, governmental entity)
- Sub-Name1
- Sub-Name2
- Qualifier
- Name sort form
- Name address form

The elements for a personal name are:

- Primary name (surname, etc.)
- Rest of Name (e.g. Forename)
- Prefix
- Suffix
- Number
- Title
- Dates (vital)
- Fuller name form
- Qualifier
- Name sort form
- Name address form

The elements for a family name are:

- Family name
- Prefix
- Qualifier
- Name sort form
- Name address form

The second section is for describing the name. There is a one to zero or one to one relationship between the identity section and the description section. The second section is comprised of three elements. One is for specifying that the note is an administrative history or a biographical statement. The second is for the note itself. The third is for citing any sources used for the form of the name or for the name description. It will be possible to enter data in the note field either in paragraph, in list, or in any combination of the two types.

The third section is for recording contact information pertinent to the name. This section is provided primarily for use with name records for sources, and not necessarily for name records for creators or subjects. However, nothing prevents content information from being provided for names that are not sources. No more than one contact section is permissible for any one name. The contact note label and contact note elements can be repeated.

Elements in the name contact form are:

- Address 1
- Address 2
- City
- State / Province / Region
- Country
- Mail Code
- Phone number
- Fax Number
- Email address
- Name of contact person (for corporate name or person serving as intermediary for entity named in the name record)
- Contact Note Label
- Contact Note

Relationship of Name Records to Other AT records

Every preferred name recorded in the AT may have only one unique record. A unique name record is one in which all the values for elements in the identity section are as a whole different from those in any other name record stored in the AT. Put differently, if two records are for the same name type and share the same values for the same elements (exclusive of the source and rules elements),

the second record created is evaluated to be a duplicate of the first record, and it shall not be possible to save it.

Every name record must include an identity section. It may also include, but need not, only one description section and only one contact section. It may include multiple entries for non-preferred forms of the preferred form (see references).

Name records can exist in the AT without being applied, or linked, to an accession or description record. This facilitates creation of name records in advance of their application to archival materials. It may eventually facilitate the harvesting of names from other online sources.

But the name records in the AT are intended to provide name access to archival materials described in the implementation of the AT. To do so, the name records must be linked appropriately to the accession or description record(s) to which they apply.

- A name record may be linked to any accession or description record for each different function (creator, source, subject) and for each different role.
- Records for names as source may only be applied to accession and resource records. Records for names as source may not be linked to any other kind of description record.
- Records for names as creators or subjects may be applied to any description record, be it an accession record, resource record, resource component record, digital object record, , or digital object component record.
- Multiple name records (different names) may be linked to the same description record.
- Name records may also be linked to other name records, for the purpose of “see also” references.
- Name records may not be linked to location or subject records.

Creation of Name Records

Name records may be created at one of two points, providing the operator has permission to create a name record. The first point is from a command on the main data entry menu. The second point is from the name record application list.

In either case, selecting the command to create a name record will result in a prompt for the operator to indicate the name as being a corporate name, personal name, or family name. After selecting the type of the name, the corresponding name record template will be displayed.

The name sort form for all three types of names is automatically built and displayed as values are added to the name record, and it is automatically updated when those values are modified.

For each name identity record, the values entered into the fields will be concatenated according to the following rules. These rules are used to automatically create both the authority form of the name, displayed at the top of the name record, and the sort form of the name, displayed in the sort form field. The sort form can be revised by modifying the form of the name appearing in the sort form field. The final sort form of the name is what will be displayed at the top of the name record, in other records to which the name record is linked, and as part of standardized outputs such as finding aids, catalog records, and collection guides.

- 1: Sort expression rule for Personal names not in direct order
Primary Name, Rest of Name, Prefix, Number, Suffix, Title, (Fuller form), Dates, Qualifier (Source / rules)
- 2: Sort expression rule for Personal names in direct order
Rest of Name Primary Name, Prefix, Number, Suffix, Title, (Fuller form), Dates, Qualifier (Source / rules)
- 3: Sort expression rule for Corporate names
Primary name. Subordinate name 1. Subordinate name 2.
(Number) (Qualifier) (Source / rules)
- 4: Sort expression rule for Family names
Family name, Family name prefix, Qualifier (Source / rules)

In addition to the elements, the name record templates will include command buttons for adding a name description, for adding name contact information, for entering non-preferred forms of names (see references), for entering related names (see also references), and for viewing all resources (resource ID and title) to which the name is linked.

Application of Name Records

Application of name records is context driven. To apply a name record to an accession or description record, the accession or description record must be opened. The operator must then select the command to apply a name to the accession or description record.

On selecting the apply name command, the name application window opens. The name application window is comprised of a scrollable list of all the name records stored in an implementation of the AT, a list of the role terms permissible for names in the AT, a command button for applying the name selected in the list, and a command button for creating a new name record (this is not available if the operator does not have permission to create name records). In addition, the name application window for a name as subject includes the option to enter a form subdivision for the name as subject.

The name application window also includes a frame for entering the name to be applied to the description record. As the operator types the name into the frame, the first name in the list that most matches the value in the frame is highlighted. Of course, the operator may also use the scroll bar to locate the name to be applied to the description record.

The operator highlights in the list the name to be applied to the description record and then selects the "Apply name" button. With selection of the "apply name" command, the function of the name (creator, source, subject) and the role, if specified, is stored with the record link. Also, the name appears in the appropriate display area in the description record, thereby visually confirming that application of the name has been completed.

If the name to be linked to the description record does not appear in the list, the operator selects the command to create a new name record, assuming she/he has permission to do so.

Each "Apply Name" button is joined by a "Remove Name" button. The operator selects a name in the list of names linked or applied to the description record and then selects the "Remove Name" command. The link between the description record and the name record is removed; the description record is refreshed and the name no longer appears in the record's list of linked names. However, the name record is not deleted from the AT, as it may be linked to other resources.

Editing of Name Records

Once created, name records can be edited using the process for locating records. The operator enters the descriptors for retrieving a name record.

Once the name record is retrieved, the operator modifies it as desired and then saves the record. The modifications are valid for all description records to which the name record is applied.

In some cases, editing a name record will cause it to duplicate another name record in the implementation of the application. In such an event, an operator should be notified that the edited record is a duplicate and can not be saved as such.

N2: Business rules

1. Names are used in the AT to express entities that have responsibility for the creation or acquisition of archival materials or that are the subject or topic of the archival materials.
2. Each unique name may have a name record created for it in an AT implementation. The name record is for a preferred or established form of the name. A unique name record is one in which the elements (excluding the elements for source and rules) in the name identity section are different from those in the name identity section of any other name record for the same type of name (corporate, person, or family).
3. A unique name record is comprised of several sections.
4. The most important section, and the section required for a name record to exist in the AT, is the name identity section. This records the preferred or established form of the name. This section is required for any name record to exist in the AT. Name descriptions and contact information may not be recorded prior to recording name identity attributes.
5. A name record may also have only one name description section. This section accommodates a biographic or historical description of the name.
6. A name record may also have only one name contact section. This section records information pertinent to contacting the entity named in the name identity record.
7. A name record may also include multiple non-preferred forms of the name.
8. A name record may also include multiple related names (preferred name forms only).
9. Name records can be created in advance, using the create name record command option on the data entry main menu, or they may be created as part of the name application process if the name to be applied is discovered not to already exist in the AT implementation.

10. Application of name records is context driven.
11. A name may be applied multiple times to a record, providing the function or role of the application is different from a previous application. That is, the same name may be applied as a subject and creator, but it may not be assigned twice as a creator unless each assignment has a different role expression.
12. A name may be applied to multiple records in a resource description.
13. A name may be applied to multiple resource descriptions.
14. Names as sources may only be applied to accession or resource records.
15. Names as creators or subjects may be applied to accession, resource, resource component, digital object, and digital object component records.
16. Names as related names may only be applied to other name records.
17. Successful application of a name record to an accession, description, or name record results in the name displaying in the appropriate place in the record to which it is applied.
18. The application, or link, of any name record to any other permissible record may be removed. This results in breaking the link between the name record and the record to which it is applied. It does not result in deletion of data values stored in either record.

N3: Required Task Sequence

1. Select option on accession, resource, resource component, digital object, or digital object record to to apply a name record
2. Select name to be applied from the index of names already used in the implementation of the AT or specified for application to a certain processing project. Select function of the name for the accession or description record to which it is to be linked. If applicable, select role of the name for the accession or description record to which it is to be linked. Finally, select command to link the name record.
3. Or, if the name does not appear in the list of available names, select the option on the name application window to create a new name record (assuming permission is granted to do so) and then apply the name

4. Or select main menu option to create a new name record (assuming permission is granted)
5. Indicate name type: corporate, personal, or family
6. Indicate authoritative source of the name,
7. Or indicate rules by which name is constructed
8. Enter the established form of a corporate name, or of a personal name, or of a family name depending on the name type identified (each type requires at least one field for the base name: primary corporate name for corporate bodies and primary name for persons and families)
9. Save name record

N4: Optional Tasks

1. Modify the sort form of the name displayed in the record
2. Enter a form of the name to be used for salutations and addresses
3. Select option to describe a name
4. Select option to provide contact information for a name
5. Select option to provide non-preferred forms of the established names (see references)
6. Select option to provide related names (see also references)

N5: User intentions / Application response sequence

User Intentions (<i>Required in Italics</i>)		Application Response / Action
Primary	Secondary	
Apply name to description record	Operator chooses to apply a name record as either a creator name, source name, or subject name to an open accession, resource, resource component, digital object, or digital object component record. (Source names can	

	only be applied from accession and resource records, and not from other description records.)	
		A window opens displaying a list of the names. The list is composed of either all the names available in the implementation of the AT or only the names that have been made available for a certain processing project.
	The operator finds and then selects the desired name if it appears in the list of names.	
	The operator indicates if the name is to be applied as a creator, a source, or a subject.	
	If applicable, the operator selects the role to be applied to the name.	
	For names linked as subject, the operator may select the form term to be used with the name	
	Operator selects command to apply the name, and role and form statements, if selected.	
		The name record is linked to the open description record and the name appears in the appropriate place of the accession, resource, resource component, digital object, or digital object component record.
Or, create new name identity record	If the desired name is not in the list, the operator selects the command to create a new name record (assuming the operator has permission to do so)	
	Or, the operator selects the option to create a new name record from the data entry main menu	
		A name identity template is returned.

<i>Identify name</i>	<i>Record type of name</i>	
	<i>Record source of name, or record rules of name if no source exists</i>	
	<i>Enter value for Primary Name if corporate name</i>	
	<i>Or enter value for PrimaryName if personal name</i>	
	<i>Or enter value for Family Name if family name</i>	
	Enter other identifying information for each name type as necessary to capture complete authoritative name and / or to distinguish names from other similar names	
	<i>Enter sort form of the name</i>	
	<i>Enter address form of the name</i>	
	<i>Save Name Identify record</i>	
		If not all required elements are completed, machine responds that required element(s) must be completed. Required elements needing completion are highlighted in the template.
		If all required elements are completed, machine checks to make sure name identity record is not a duplicate. For purpose of establishing a duplicate record, any two name identity records that are for the same type of name (corporate, personal, or family) and, with the exception of the name source and name rules elements, have the same values in the other elements, are judged to be duplicates.
		If the record is a duplicate, the machine responds the name identify record cannot be saved and instructs the operator to use the other record instead.
		If the record is not a duplicate, the machine responds that the name record has been saved

		If the name record was created as part of the name application process, the machine asks if the record is to be applied to the open description record.
		If operator says yes, then machine responds that name is applied to description record. Validation occurs with appearance of name in the context of the description record template.
		If the name record was created outside of the application process (from the create name record command on the data entry main menu), then machine asks operator if another name record is to be created.
		If the operator responds yes, then a new name identity template is displayed.
		If the operator responds no, operator is returned to opening menu for data entry.
<p>The following tasks are done with a name identity record open and already saved. The completion of each main task returns the operator to the name identity record.</p> <p>The completion of these tasks have no bearing on linking a name record to a description record or displaying that link in the context of a description record.</p>		
Select command button to add / edit a name description (requirements apply only if name description is selected)		A name description template is displayed
	<i>Indicate if description is biographical or historical note</i>	
	<i>Compose or paste biographical or historical note</i>	
	Enter citations of sources for form and / or description of the name	
	Save Name Description	Name Description template is closed
		Machine notes that name description is saved
		Operator is returned to name identity template
Select command button to add / edit contact information for the name		A name contact template is displayed
	Enter address, city, state, mail code	

	Enter telephone, fax, email	
	Enter name of a contact person serving on behalf of name described in record	
	Enter note about contacting the name recorded (repeatable notes may be entered, each with a distinct label provided by the operator)	
	Save name contact information	Name Contact template is closed
		Machine notes that contact information is saved
		Operator is returned to name identity template
Select command to record a non-preferred form of the name (see reference)		
		Machine prompts operator to specify the type of non-preferred name to be entered: corporate name, personal name, or family name
	Operator selects the name type	
		Machine displays the corresponding non-preferred name template
Operator enters identifying information for non-preferred name. (Requirements in effect only when recording a non-preferred name)	<p><i>If a corporate name, Name Other Corporate Primary must be completed.</i></p> <p><i>If a personal name, Name Other Personal Last must be completed.</i></p> <p><i>If a family name, Name Other Family must be completed</i></p>	
	Operator enters additional information for non-preferred name form	
	Operator saves non-preferred name	
		Operator is returned to the name identity record, on which all the non-preferred names forms associated with the recorded name are displayed.

Select option to link to a related name (see also reference)		
		Machine displays a window displaying a list of only preferred names used in the implementation of the AT. The list is scrollable and has functions for auto-complete input and keywording.
	Operator highlights in list the related name to be linked to the open name record.	
	Operator selects command to link the name to the open name record	
		Machine responds that name has been linked to the open name record. Operator is returned to the name identity template. All related names linked to the resource record should now appear in the name identity record Validation of successful completion is in the form of the related name appearing in the context of the open name record.

N6: Inputs

- Name type
- Name source
- Name rules

- Name corporate primary
- Name corporate subordinate
- Name corporate subordinate 2
- Name corporate number
- Name corporate qualifier
- Name corporate sort form
- Name corporate address form

- Name direct order
- Name personal last
- Name personal rest
- Name personal prefix
- Name personal suffix
- Name personal number
- Name personal title
- Name personal dates
- Name personal fuller form
- Name personal qualifier
- Name personal sort form
- Name personal address form

- Name family
- Name family prefix
- Name family qualifier
- Name family sort form
- Name family address form

- Name description type
- Name description note
- Name citation

- Name contact address 1
- Name contact address 2
- Name contact city
- Name contact region
- Name contact country
- Name contact mail code
- Name contact telephone

- Name contact FAX
- Name contact e-mail address
- Name contact name
- Name contact note label
- Name contact note sequence
- Name contact note

- Other name corporate primary
- Other name corporate subordinate
- Other name corporate subordinate 2
- Other name corporate number
- Other name corporate qualifier
- Other name corporate sort form

- Other name personal direct order
- Other name personal last
- Other name personal rest
- Other name personal prefix
- Other name personal suffix
- Other name personal number
- Other name personal title
- Other name personal dates
- Other name personal fuller form
- Other name personal qualifier
- Other name personal sort form

- Other name family
- Other name family prefix
- Other name family qualifier
- Other name family sort form

N7: Reports

- Name to record display
- Names to resource list
- Resources to name list
- Non-preferred names to name list
- Related names to name list
- Encoded Archival Context (XML) record
- MADS record
- Resource source record
- Resource source list
