

行政院所屬各機關出國人員報告書
(出國類別：參加會議)

參加「合作編目暨權威控制國際研討會」報告書

(中華民國 92 年 11 月 5 日至 9 日)

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服務機關：國家圖書館

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出國地點：香港

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內容摘要: 香港圖書館協會與香港嶺南大學圖書館共同於2003年11月7日假香港大學舉辦「合作編目暨權威控制國際研討會(International Seminar on Cooperative Cataloging & Authority Control)」, 該研討會為期一日, 邀請中國大陸、臺灣、日本、德國、奧地利及港澳等地區圖書資訊同道進行各地合作編目及權威控制施行現況之報告, 研討會議程安排相當緊湊, 計有十一場次報告及兩場綜合討論。主辦單位於會議前後安排與會人員參觀香港大學圖書館、香港科技大學圖書館、香港浸會大學圖書館、澳門大學國際圖書館、澳門中央圖書館民政總署分館。本報告主要分為研討會紀要、圖書館參訪、心得與建議等部份概述本次港澳之行經過。

參加「合作編目暨權威控制國際研討會」報告書

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參加「合作編目暨權威控制國際研討會」報告書

摘 要

香港圖書館協會與香港嶺南大學圖書館共同於2003年11月7日假香港大學舉辦「合作編目暨權威控制國際研討會 (International Seminar on Cooperative Cataloging & Authority Control)」,該研討會為期一日,邀請中國大陸、臺灣、日本、德國、奧地利及港澳等地區圖書資訊同道進行各地合作編目及權威控制施行現況之報告,研討會議程安排相當緊湊,計有十一場次報告及兩場綜合討論。主辦單位於會議前後安排與會人員參觀香港大學圖書館、香港科技大學圖書館、香港浸會大學圖書館、澳門大學國際圖書館、澳門中央圖書館民政總署分館。本報告主要分為研討會紀要、圖書館參訪、心得與建議等部份概述本次港澳之行經過。

壹、前言

為瞭解世界各國聯合編目及權威控制之現況，並提供各地圖書資訊人員經驗交流之機會，香港圖書館協會與香港嶺南大學圖書館共同於 2003 年 11 月 7 日假香港大學舉辦「合作編目暨權威控制國際研討會 (International Seminar on Cooperative Cataloging & Authority Control)」，本館由書目資訊中心許靜芬編輯及編目組林錦蓮小姐代表於研討會中進行報告。主辦單位並於會議前後兩天安排參訪港澳兩地之圖書館。本報告謹簡述此次港澳之行。

貳、研討會紀要

此次會議選擇位於薄扶林大道的香港大學王賡武講堂舉行，與會人員約百餘人。該研討會雖僅為期一日，但主辦單位安排的議程相當緊湊，除了開場致詞及綜合討論時段之外，各相關議題的報告計有十一場次，分別由十二位主講人輪番上陣。

研討會中除了港澳地區代表的報告之外，另邀請了來自中國大陸、臺灣、日本、德國以及奧地利等地區圖書資訊同道進行各地合作編目及權威控制施行現況之報告。各場次報告摘要簡述如下：

一、主題：「中國國家圖書館的規範控制：歷史與最新發展」

主講人：曹寧（中國國家圖書館圖書採選編目部副主任）

曹副主任首先介紹該館規範工作的基本情況，自 1996 年以來，累積建立的中文名稱規範數據已達 40 萬筆，主題規範數據則有 116,500 筆，但實際進行權威控制則從 2003 年 4 月採用 Aleph500 系統之後才開始，目前每月約製作 7,000 筆規範數據資料。接著說明製作規範數據資料過程中出現的困難與解決方法；最後說明中文規範數據庫的展望，並探討建立多種語文規範數據資料庫的可能性。

二、主題 1：「EU-LEAF Project (Part I) (Linking and Exploring Authority Files) – A Case Study (admin. & management details, scope of project, re-scoping of project, results)」

主題 2：Collection and Services of State Library Berlin

主講人：Hans-Joerg Lieder(Scientific Librarian (Dept. of Manuscripts) at State Library Berlin; Coordinator of LEAF Project)

三、主題 1：「EU-LEAF Project (Part II) (Linking and Exploring Authority Files) – Beyond the Library: Context & Future Perspectives (results of LEAF could be utilized; dealing with exchange formats, cross-domain aspirations, user integration, utilization in other applications, etc.)」

主題 2：Collection and Services of Austrian National Library

主講人：Max Kaiser (Research Associate (digital preservation & authority control) at Austrian National Library; Investigator of LEAF Project)

第二及第三場議題分別由 State Library Berlin 的 Hans-Joerg Lieder 及奧地利國家圖書館的 Max Kaiser 針對 Linking and Exploring Authority Files (簡稱 LEAF) 計畫及其實作現況進行報告。LEAF 為一跨國合作的權威資料庫建置計畫，該計畫從 2001 年 3 月開始，預計於 2004 年完成，參與成員包括德國、奧地利、挪威、葡萄牙、西班牙、斯洛維尼亞、法國、英國、瑞典、瑞士等 10 國之國家圖書館、大學、研究中心、系統廠商等。

LEAF 計畫最主要目標是發展一套能夠蒐集各地權威資料的系統，並能自動連結相同標目，經由這套系統建置的資料庫期望能提供跨領域之各界使用，該計畫預計達成項目包括：

- 1、各合作單位新增或更新的名稱權威記錄，可定期經由系統擷取或批次上載至 LEAF 中心資料庫；
- 2、各地區使用的 MARC、MAB2、EAC 等資料交換格式轉換成 EAC XML 格式儲存於中心資料庫；
- 3、系統自動在比對認定相同的權威記錄之間建立連結；
- 4、經註冊授權的使用者可在權威資料庫附加說明；
- 5、外部資料庫與 LEAF 資料庫可彼此進行查詢；
- 6、外部的資源可連結至相關的 LEAF 記錄。

為了評估此計畫實作成效，該系統設計完成將以特定資料類型（如：手稿資料）相關名稱權威記錄為實作測試，未來希望擴充為

具備處理多語文功能的全球通用系統。

四、主題：「香港與北京地區權威控制作業之比較研究」

主講人：盧百祥（香港嶺南大學圖書館編目組主任）

該報告由嶺南大學圖書館的盧百祥及譚文力和北京大學圖書館的劉麗靜共同撰寫，比較分析兩地圖書館建立權威資料庫之發展，並凸顯兩地編目作業、權威控制範疇、標目選取標準、標目格式及採用語文之差異。最後並對權威資源分享之未來提出建言。

五、主題：「日本進行之權威控制」

主講人：宮澤彰（Director, Research Information Research Division,
National Institute of Informatics (Japan)）

宮澤先生介紹日本圖書館界進行權威控制之歷史及合作計畫之現況。日本的國立情報學研究所（National Institute of Informatics，簡稱NII）的NACSIS-CAT在1980年代開始扮演書目中心角色，當時僅有少數圖書館進行權威控制，而日本的國家圖書館（National Diet Library，簡稱NDL）卻尚未開始權威控制自動化作業。經過多年的合作，目前NACSIS-CAT資料庫中包括NDL提供的日文名稱權威資料已超過100萬筆。

六、主題：「臺灣地區資源分享--NBINet圖書聯合目錄及權威資料庫建置經驗」

主講人：許靜芬（國家圖書館書目資訊中心）

第一部份先介紹NBINet的發展歷史及現況，並提出臺灣地區合作編目過程遭遇的困難及因應之道。第二部份介紹本館與國立臺灣大學圖書館合作之「中文名稱權威資料庫」計畫之建置過程及現況。

七、主題：「CALIS聯機權威控制計畫介紹」

主講人：謝琴芳（北京大學圖書館研究員／CALIS聯合目錄中心副主任）、劉素清（CALIS聯機合作編目中心）

這場報告由謝琴芳及劉素清輪流分為四部份進行，首先介紹「中國高等教育文獻保障系統（China Academic Library & Information

System, 簡稱 CALIS)」之聯合目錄系統之建置過程及現況；再介紹權威控制系統的特色及實際運作過程及遭遇的問題；第三部份說明中文權威資料的類型；最後說明權威記錄分享方式。

八、第八場由香港中文大學圖書館編目組劉麗芝主任介紹該館在過去四十年來目錄建置成果，除此之外更逐步參與香港地區 JULAC 合作編目計畫及 HKCAN 權威名稱規範數據庫合作計畫，並進而參與美國 OCLC 的 WorldCat 線上合作編目。

九、第九場由澳門大學國際圖書館王國強副館長報告，澳門因其特殊之歷史文化背景及藏書資源等因素，圖書館的服務及管理、資料建檔格式、採用之自動化系統深受中葡及歐美文化影響，王副館長目前身兼澳門圖書館暨資訊管理協會理事長，以風趣的表達方式說明澳門圖書館界各種獨特的作業方式。

十、第十場主講人為北京大學圖書館副研究館員潘筠，除了簡介中國大陸圖書館由分散式到線上集中式合作編目之發展歷程及現況外，亦分析目前存在的問題並提出解決之建議。

十一、研討會最後由香港科技大學圖書館宋自珍館長主講，題目為「建設通往未來的橋樑：權威控制共享環境之策略議題及考量 (Building a Bridge to the Future: Strategic Issues and Considerations for a Shared Authority Control Environment)」。目前圖書館界正在世界各地逐步進行權威控制計畫，雖然各計畫會因時因地或因文化背景而各有差異，但由於科技發展日新月異，在系統設計或訂定資料格式標準時，必須顧及技術潮流而有前瞻性的策略考量，方能展望全球化資源之共享。

參、圖書館參訪

主辦單位在研討會前一日安排參訪香港地區三所圖書館，而在會議結束後安排參觀澳門地區圖書館，來往於圖書館間的行程相當緊湊，兩天內計參觀了五所圖書館，謹概述如下：

一、香港大學圖書館

成立於 1912 年的香港大學圖書館是香港最早的學術圖書館，在

總館之外先後建立了馮平山圖書館、醫學、法律、教育、牙科及音樂六所專科圖書館。該館為香港地區出版品之寄存圖書館，也是 WHO、WTO 等多個國際組織的指定寄存圖書館。

為因應數位化資源日益增加的趨勢，該館在近年來除了購置各種電子資源外，亦採用最新的資訊技術，設立諸如「知識導航中心」之專區，讓使用者不但能讀取在館內查獲的資料，並能立即利用圖書館提供的軟體，自行整合查獲的各類型資源。

該館也積極參與當地及國際性合作，例如：成為「環太平洋數位圖書館聯盟 (Pacific Rim Digital Library Alliance)」的創立成員館；於 2002 年成立香港地區「中國國家知識基礎設施工程 (China National Knowledge Infrastructure) 數據交換服務中心」。本館書目資訊中心亦從 1998 年開始與馮平山圖書館進行大陸及港澳出版品書目之交換，目前仍持續進行中。

在技術服務方面與過去最大的改變是自從 Dr. Anthony Ferguson 接任該館館長後，決定於 2002 年 4 月 15 日起改用美國國會圖書館分類法，之前採用舊分類法的圖書將逐步更改分類號，以求符合國際潮流，分類號轉換工程浩大，對館員來說是近年來最大的挑戰，其經驗可作為有相同考量的圖書館參考。

二、香港科技大學圖書館

香港科技大學圖書館成立於 1991 年，除了致力蒐集科技類館藏資料外，舉凡教育、管理、社會人文科學類館藏亦相當豐富。該館成立雖僅十餘年，但在其前館長周敏民任內積極引進圖書資訊新技術的努力下，不論是資料之蒐集、保存及利用，皆能隨時掌握技術進步之脈動，對於參與館際合作事務更是不遺餘力。

甫於 2003 年七月上任的宋自珍館長盛情接待參訪人員，並在初步介紹該館時略舉過去較具代表性的成果：

- ◎1991 年啟用香港最早的中文化公用目錄查詢介面。
- ◎1994 年在香港最先購置具安全偵測之自動密集書架。
- ◎1995 年建置香港第一套全球資訊網伺服器 (Web server)，開啟使用者獲取全球網際資源之路。
- ◎1999 年與南京大學共同研製「中文社會科學引文索引」數據庫。

三、香港浸會大學中醫藥學院大樓

由於參觀當日時程較為緊湊，主辦單位選擇了浸會大學較具特色的中醫藥學院大樓為參觀重點。該大樓二樓為中醫藥圖書館，館內收藏的所有中醫圖書、期刊及多媒體資料皆以「中國圖書館分類法」的「醫藥衛生卷」進行分類。目前館藏包括 13,000 冊圖書，300 種期刊及 500 種多媒體資料，該館收藏了出版編號第一號的全套〈中國本草全書〉計 403 冊。

館方人員特別安排一行人參觀該大樓中收藏數百種珍貴藥材的中藥材展示博物館及實驗室，實驗室中有專人將各種藥材分門別類進行資料建檔，以供教學之用。最後並參觀該學院附設的中醫診所，是相當特別的參訪活動。

四、澳門大學國際圖書館

建於 1999 年澳門大學國際圖書館新館佔地 15,000 平方公尺，是澳門目前最具規模的圖書館，紙本藏書約 180,000 冊，中文期刊約 4,000 餘種，古籍及線裝書籍約 12,000 冊。館內設立了兩處較具特色的專室--「澳門資料室」收藏了 3,000 餘種與澳門相關的專題圖書及期刊；「國際組織文獻室」收藏有十多個國際組織的 7,000 餘種寄存圖書，堪稱東亞地區國際組織出版品收集最完備的圖書館之一。

寬敞的空間是該館另一特色，圖書館的空間規劃設計以讀者的閱讀環境為導向，部分閱覽室利用建築居高臨下的地利之便，採用大型觀景窗提供良好的視野，無形中成為吸引讀者進入圖書館的另一誘因。

五、澳門中央圖書館市政廳圖書館

由於時間不夠充裕之故，無法如預定行程參觀澳門中央圖書館的總館，而僅在其較有特色的民政總署分館短暫停留。此分館為模仿葡萄牙馬佛拉修道院圖書館而建的十九世紀南歐建築，目前該館主要收藏十六到二十世紀葡國在遠東的歷史文獻、葡屬各海外領地的法令、政府公報及百餘種外文報紙。由於該館典藏之文獻年代久遠，出版物皆已相當脆弱，因此須在專人協助下才得以翻閱。

肆、心得與建議

一、期望資料庫建置發展能投注更多心力

在研討會過程中可感覺到與會者對書目資料庫建置相關議題之關注，尤其是大陸中國國家圖書館投注了相當多的人力及資源在各種資料庫之建置，顯示其爭取領導地位的企圖心。本館因編目組及書目資訊中心日常業務繁重且人力不足，因此投注於這方面的資源明顯不足，恐為隱憂。

二、積極培訓跨國館際合作事務人才

從此次研討會可看出跨國合作已形成未來拓展資源的發展趨勢，圖書館員除了應站在更宏觀的角度展望圖書館各項業務之外，應更積極培訓館際合作業務人才，以應付日見成長的跨國性合作業務，才能跟上國際圖書館間合作業務的腳步。

三、摒除語言障礙，積極參與國際活動

或許是因為考慮語文能力問題，每遇以英語為主要語文的國際會議總是讓人望之怯步，反觀大陸同道每每無視語言障礙，對於國際活動仍熱忱參與，甚至仍能讓國際人士刮目相看。臺灣圖書館界應積極主動參與各種國際研討會，以瞭解館際合作及資料庫建置之國際動向，秉持見賢思齊之心促進臺灣館際合作之發展，讓資源分享相關業務之推動更上層樓。

四、思考實體/虛擬資料庫並行之合作發展可行性

港澳之行期間與在 CALIS 的工作人員針對聯合目錄之建置困難交換意見，發現遭遇的問題大同小異，差別在於大陸對於未善盡義務的合作單位在某種程度上可訂定罰則。以合作方式建立並維護實體資料庫確有其難度，在思考改進合作方式的同時，歐盟 LEAF 計劃提出的虛擬與實體資料庫相輔相成的合作模式也值得作為未來發展的參考。

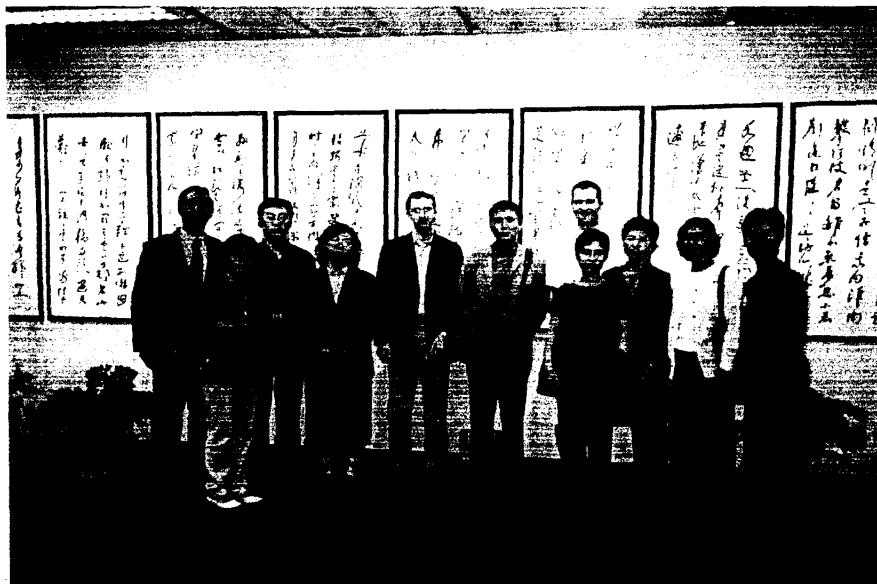
伍、附件

【附件一】研討會及參訪照片

第 1/4 頁



參觀香港大學馮平山圖書館



參觀香港科技大學圖書館



參觀香港浸會大學中醫藥學院實驗室



研討會中由本館許靜芬報告



澳門大學國際圖書館王國強副館長陪同參觀澳門氹仔的公共圖書館



在澳門大學圖書館閱覽室的觀景窗前留影



澳門大學圖書館內舒適的
期刊閱覽室



參觀澳門中央圖書館的民政總署分館



**International Seminar on
Cooperative Cataloguing & Authority Control**

7th November 2003

Programme

Guest Speakers – Biographies

And

Presentation Abstracts

VENUE: Wang Gungwu Lecture Theatre (王賡武講堂), Graduate House,
University of Hong Kong, Pokfulam Road, Hong Kong

CO-ORGANIZED BY: Hong Kong Library Association &
Lingnan University Library (Hong Kong)

SPONSORS: Austrian Consulate General, Hong Kong Library Association, & University of
Hong Kong Libraries

**International Seminar on Cooperative Cataloguing & Authority Control –
Programme**

DATE: 7th November 2003 (Friday)

TIME	PROGRAMME
9:00 – 9:15	<ul style="list-style-type: none"> ● Registration ● Welcoming Remarks ● Group Photo <p><i>Mr. John ROGAN (University Librarian, Lingnan Univ. Library (Hong Kong) ; Seminar Chair)</i></p>
9:15 – 10:00	<ul style="list-style-type: none"> ● "Authority Control Work at National Library of China – its History & Current Developments" <p><i>Mr. CAO Ning (Deputy Director, National Library of China)</i></p>
10:00 – 10:45	<ul style="list-style-type: none"> ● "EU-LEAF Project (Part I) (Linking and Exploring Authority Files) – A Case Study (admin. & management details, scope of project, re-scoping of project, results)" ● "Collection and Services of State Library Berlin" <p><i>Mr. Hans-Joerg LIEDER (Scientific Librarian (Dept. of Manuscripts) at State Library Berlin ; Coordinator of LEAF Project)</i></p>
10:45 – 11:00	TEA BREAK
11:00 -11:45	<ul style="list-style-type: none"> ● "EU-LEAF Project (Part II) (Linking and Exploring Authority Files) -- Beyond the Library: Context & Future Perspectives (results of LEAF could be utilized; dealing with exchange formats, cross-domain aspirations, user integration, utilization in other applications, etc.)" ● "Collection and Services of Austrian National Library" <p><i>Mr. Max KAISER (Research Associate (digital preservation & authority control) at Austrian National Library ; Investigator of LEAF Project)</i></p>
11:45 -12:00	<ul style="list-style-type: none"> ● "Hong Kong versus Beijing : a Comparative Studies of Their Authority Control Work" <p><i>Ms. LIU Lijing (Chinese Cataloguing Librarian, Peking Univ. Library), Mr. Owen TAM (Technical Services Librarian, Lingnan Univ. Library (Hong Kong)) Mr. Patrick LO (Cataloguing Librarian, Lingnan Univ. Library (Hong Kong))</i></p>
12:00-12:45	<ul style="list-style-type: none"> ● "Authority Control Activities in Japan" <p><i>Mr. MIYAZAWA Akira (Director, Research Information Research Division, National Institute of Informatics (Japan))</i></p>
12:45 – 13:00	Questions & Answers/Discussions (Morning Session) <i>Chaired by: Mrs. Lily HU, Mr. Hans-Joerg LIEDER, & Mr. MIYAZAWA Akira</i>
13:00 – 14:30	LUNCH (NOT INCLUDED)

14:30 -15:15	<ul style="list-style-type: none"> ● "Resource Sharing in Taiwan : Union Catalog and Cooperative Project for Name Authority Files" <p><i>Ms. Ching-fen HSU (Senior Librarian, Bibliographic Information Center, Central Library (Taiwan))</i></p>
15:15 - 16:00	<ul style="list-style-type: none"> ● "CALIS (China Academic Library & Information System) – Introduction to the Proposal of CALIS Online Authority Control System" <p><i>Prof. XIE Qinfang (Research Librarian, Peking Univ. Library; Deputy Director of CALIS Union Catalogue Centre)</i> <i>Prof. LIU Suqing (Associate Research Librarian, Peking Univ. Library)</i></p>
16:00 – 16:15	TEA BREAK
16:15 – 16:30	<ul style="list-style-type: none"> ● "To Serve & Share : The Library Cataloguing of the Chinese University of Hong Kong, 1963- 2003" <p><i>Ms. Maria LAU (Chief of Cataloguing, Chinese Univ. of Hong Kong Library)</i></p>
16:30-16:45	<ul style="list-style-type: none"> ● "Bibliography Control in Macao" <p><i>Mr. Raymond WONG (Technical Services Librarian, Macau Univ. Library)</i></p>
16:45 – 17:15	<ul style="list-style-type: none"> ● "Sharing of Cataloguing Resources in Mainland China" <p><i>Ms. PAN Yun (Associate Professor, Peking Univ. Library, China)</i></p>
17:15 – 17:45	<ul style="list-style-type: none"> ● "Building a Bridge to the Future : Strategic Issues and Considerations for a Shared Authority Control Environment" <p><i>Dr. Samson SOONG (University Librarian, Hong Kong Univ. of Science & Technology)</i></p>
17:45 -18:15	<p>Questions & Answers/Discussions (Afternoon Session)</p> <p><i>Chaired by: Mr. LEE Yu-Man, Mr. John ROGAN</i></p>
18:15	Closing Remark & Acknowledgements

**CALIS Online
Authority Control System**

A joint presentation by
Xie Qinfang · Liu Suqing
CALIS Online Cooperative Cataloging Center,
Peking University
Nov. 7th, 2003
For the International Seminar on Cooperative
Cataloging and Authority Control

Contents

- [Overview of CALIS Online Cataloging System](#)
- [Features of CALIS Online Authority Control System](#)
- [Characteristics of Chinese Authority Records](#)
- [Sharing of Authority Records](#)

**Overview of CALIS
Online Cataloging System**

- [CALIS Profile](#)
- [CALIS Objectives](#)
- [CALIS Union Catalog](#)
- [Features of CALIS online cooperative cataloging system](#)

**Overview of CALIS
Online Cataloging System**

- CALIS Profile
 - China Academic Library & Information System (中国高等教育文献保障系统)
 - Founded by Ministry of Education in Nov. 1998 and funded by the State Planning Commission
 - One of two public service systems initiated by "The Project 211"

The Project 211

- Project 211
 - A trans-centenary key construction in higher education
 - The overall goal of the "Project 211" is to build up a batch of institutes of higher education and some key academic subjects to meet the challenge of the 21st century
 - Mainly falls into the following three categories: the overall institutional capacity, key disciplinary areas, and public service system of higher education

The Project 211(cont'd)

The public service system of higher education including:

- CERNET
 - China Education and Research Network, the first nationwide education and research computer network in China
- CALIS

[BBackK](#)

CALIS Objectives

- Create an online sharing system that includes online cooperative cataloging, web-based OPAC searching, interlibrary loan, document delivery, resource digitalizing, etc.
- Facilitate sharing to reduce costs to libraries
- Enable users to access information when and where they need
- Provide powerful supports to teaching and academic activities in higher education
- Serving as the basis of the national infrastructure

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Overview of CALIS Online Cataloging System

- CALIS union catalog
 - A key sub-project of CALIS
 - Initiated first among all sub-projects of CALIS
 - CALIS online cataloging system put into operation in March 2000
 - Records contributed and shared by member libraries

Overview of CALIS Online Cataloging System

- CALIS union catalog (cont'd)
 - Database at a glance
 - As of Oct 22, 2003. It holds:
 - 328 member libraries (most are academic libraries)
 - Ca. 1.6 million bibliographic records
 - Ca. 4.72 million holdings data

Overview of CALIS Online Cataloging System

Bibliographic Records

	BOOKS	SERIALS	TOTAL
Chinese	853476	30928	884404
Western	551542	20766	572308
Japanese	30083	488	30571
TOTAL	1435101	52182	1487283

Overview of CALIS Online Cataloging System

Holdings Data

	BOOKS	SERIALS	TOTAL
Chinese	3427220	108230	3535450
Western	1090190	57685	1147875
Japanese	37787	509	38296
TOTAL	4555197	166424	4721621

Overview of CALIS Online Cataloging System

- CALIS union catalog (cont'd)
 - Online cataloging for Chinese ancient books will release at the end of this Nov.
 - Online cataloging services for other languages and types of material are coming up in the near future

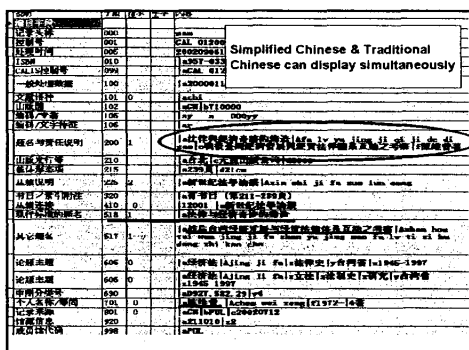
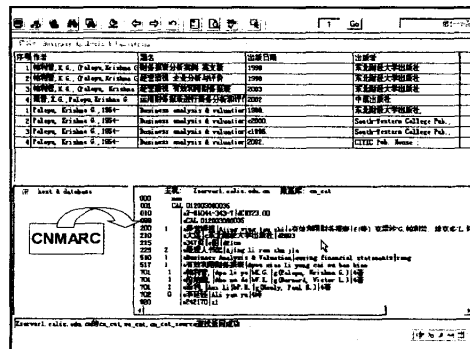
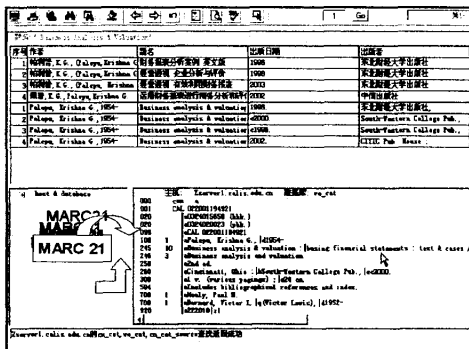
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Features of CALIS Online Cooperative Cataloging System

- The first Z39.50-based client/server online cooperative cataloging utility in mainland China
- The first simultaneous online cataloging system in mainland China
- The Unicode-based system that can cope with multiple language scripts

Features of CALIS Online Cooperative Cataloging System

- Containing a variety of materials
 - Supporting two kinds of MARC
 - CNMARC (UNIMARC-based)
 - MARC 21
 - Simplified and traditional Chinese characters can display simultaneously
- Sample records from CALIS Union Catalog:



Features of CALIS Online Cooperative Cataloging System

- Catalog for Chinese and Western languages are separate instead of dictionary catalog, they
 - adopt different cataloging rules
 - establish different headings in different catalog for the same entity
- Example 1:
A work written by Chinese in Chinese, we choose Chinese scripts as heading, otherwise, we use Pinyin or other form as heading for his Western work

Features of CALIS Online Cooperative Cataloging System

Heading in Chinese catalog

701 #0\$a周国富,\$Azhou guo fu\$1966-\$4著

Note: CNMARC format

Heading in Western catalog

100 1#\$aZhou, Guofu(周国富)\$d1960-

Note: MARC21 format

Features of CALIS Online Cooperative Cataloging System

Example 2:

Foreign name heading in Western catalog follows LC authority form, otherwise we use Chinese translated form as heading for his translated work

701 #1\$a莎士比亚,\$bW.\$g(Shakespeare, William), \$f1564-1616\$4著

100 1#\$aShakespeare,William,\$d1564-1616.

CALIS Online Authority Control

- [The Need for Authority Control](#)
- [Objectives of CALIS Authority Control](#)
- [Features of CALIS Authority Records](#)
- [Authority Work of CALIS Union Catalog](#)
- [Development of CALIS Authority System](#)

The Need for Authority Control

- Controlling access within online union catalog
- Improving the effectiveness and accuracy of cataloging
- Meeting users' diverse and ever-expanding needs
e.g. Users can not obtain all bibliographic information in different languages for the same person without authority control

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Objectives of CALIS Authority Control

- ① Perform two objectives of catalog
 - Finding
 - Collocating
- ② Enable users to:
 - Search certain particular item
 - Search all works of an author regardless of their languages, types or medium

Objectives of CALIS Authority Control

- ② Enable users to (cont'd):
 - Locating certain specific type or language materials that they need using any heading or their variant forms
e.g. Search term:
莎士比亚(Chinese translation)
Search Results:
All work of William Shakespeare in different languages

Objectives of CALIS Authority Control

e.g. Search term:

Either Chinese uniform title “易经”
or Western uniform “Yijing”

Search Results:

All works of Yijing-related can be
located or all works of Yijing in certain
language

Objectives of CALIS Authority Control

- ① Guarantee the precision in searching,
excluding trash information
 - Distinguish different items with the
identical title proper
 - Distinguish different persons or corporate
bodies with the identical names
- ② Obtain related names or titles using any
style of Chinese characters

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Features of CALIS Authority Records

- Able to describe multiple languages or
different types of materials
- Parallel headings are created for
alternative language forms or scripts of
a same entity within a unique authority
record, instead of creating parallel
authority records. When necessary,
heading, reference and notes are
repeated in each language

Features of CALIS Authority Records

- CNMARC Format for authority data
- Parallel records with different MARC
formats can be exported for each
language
- A link can be created among
different parallel records

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Authority Work of CALIS Union Catalog

The authority work consists of at least
five complex processes according to
Robert H. Burger:

- ① The creation of *authority records*
- ② The gathering of records into an *authority file*
- ③ The linking of that file to a bibliographic file;
together these form an *authority system*
- ④ The *maintenance* of the authority file and
system
- ⑤ The *evaluation* of the file and system

Authority Work of CALIS Union Catalog

- ① The creation of *authority records*
 - Creating *authority records* and *general
explanatory references*, *reference entries*
are no longer created
 - Types of *authority data*
 - ✓ Personal names
 - ✓ Corporate names
 - ✓ Family names
 - ✓ Conference names
 - ✓ Uniform titles
 - ✓ Series or serials
 - ✓ partial geographic name

Authority Work of CALIS Union Catalog

- The creation of *authority records (cont'd)*
 - Different forms (referring to languages or scripts mainly) of the same entity as parallel headings appear within an authority, similarly, their variant forms and "see also references" exist in the same record too.
 - Diverse and powerful functions of conversion and export can promote resource sharing (Describing later in detail)

Authority Work of CALIS Union Catalog

- Creating the authority file
 - When different authority records are gathered into an authority file some headings may not be unique, thus necessary to distinguish different entity with the identical form.
 - for example, one can use someone's date, subject or professional area as qualifier to distinguish different persons.

Authority Work of CALIS Union Catalog

- Creating the authority file (cont'd)
 - De-duplicating index
 - Unique heading, variant forms, see also references, general explanatory references
 - Merging and splitting authority records
 - ✓the merging of duplicate records for the same entity
 - ✓The splitting of the same record for different entities

Authority Work of CALIS Union Catalog

- Creating the authority file (cont'd)
 - Old unique headings become earlier headings or obsolete headings when new unique headings are created,

Authority Work of CALIS Union Catalog

- Forming an *authority system*
CALIS online authority system functions as follows:
 - Transferring headings automatically from authority records to bibliographic records
 - Generating authority records automatically based on information from bibliographic records

Authority Work of CALIS Union Catalog

- Forming an *authority system (cont'd)*
 - Link headings on bibliographic records to the associated authority records so the linked headings will be automatically updated in bibliographic database if the authority record ever changes
 - Authority indexes take place of bibliographic indexes, convenient to control access

Authority Work of CALIS Union Catalog

- ④ The maintenance of the authority file and system
 - Differentiate different entities with identical names
 - Update additions to names
 - Add see also references
 - Handling duplicate records, etc.

Authority Work of CALIS Union Catalog

- ⑤ The evaluation of the file and system
 - Statistical analysis
 - Comparison
 - Questionnaire investigation

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Development of CALIS Authority System

- Phase 1
Create initialized authority records and generate basic authority data file
- Phase 2
Dynamically link authority files while creating bibliographic records.

Workflow of Phase 1

- Sort out current headings in bibliographic database
- Generate quasi-authority records
- Use retrospective records done by member libraries to overwrite quasi-authorities and improve quality of authority data
- Evaluate quasi-authority records and retrospective ones
- Link authority records with the associated headings in bibliographic database and form authority control system

Workflow of Phase 2

- Link authority records with headings in bib records, synchronizing catalog records with authority updates
- Create new records online while cataloging
- Downloading authority records online according to the needs of users

Software Support

- Client used for retrospective records
- Z39.50-based client/server utility
- Authority control in OPAC (searching and downloading ,MARC/XML)
- Unicode Characters set

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Characteristics of Chinese Authority Records

- Chinese Headings
 - Personal names
 - Corporate Heading
 - Chinese Uniform Title
- Examples of authority records

Chinese Headings

- The basis for creating headings
 - Cataloging rules
 - Native users customs
 - Facilitating sharing at national, regional and international wide
 - Adapting to tendency of international authority work

Chinese Headings

- Choice among different names
Choose the name according to the following order of preference.
 - The name that is commonly known
 - The name that appears most frequently in the person's works
 - Latest name

Chinese Headings

- Types of Headings
 - Chinese personal names (including family names)
 - Chinese corporate names (including conference names)
 - Chinese uniform titles (including series names)

Chinese Personal Names

- Classified into the following 8 types
- ① General Chinese names
 - ② Pseudonym & stage names
 - ③ Names of minority
 - ④ Religious names
 - ⑤ Ancient Chinese names
 - ⑥ Names of Emperors
 - ⑦ Transliteration name of foreigners
 - ⑧ Chinese family names

Features of Chinese Names

- The entry element use Chinese scripts, The identical name has two kinds of styles—simplified and traditional Chinese.
- Pinyin entered as entry element in western countries and Hong Kong, but as alternative forms in CALIS union catalog
- No punctuation between surnames and given names following the convention of Chinese names

Features of Chinese Personal Names

- Add dates to names in order to differentiate headings. Other additions are suggested if no dates provided
- Original names of foreigner are required in case of differentiation

Chinese Corporate Bodies

CALIS classified them into 9 types

- Political Party
- Chinese people's Political Consultative Conference
- Government bodies and officials
- Science and education institution
- Armed forces

Chinese Corporate Bodies

CALIS classified them into 9 types (cont'd)

- Folk institutions and mass organization
- Religious bodies and temple, churches
- Foreign Corporate Bodies
- Conferences, Congresses, Meetings

Features of Chinese Corporate Heading

- Follow AACR2 rules for corporate headings basically—Heading and Subordinate heading

e.g

国务院 经济体制改革办公室
中国人民银行

Features of Chinese Corporate Heading

- Enter a corporate body directly under the name by which it is commonly identified
- If the name of a corporate consists or contains multiple hierarchy, don't leave "." among heading and subheadings

e.g.上海市 人民委员会 园林管理处

Features of Chinese Corporate Heading

- Pinyin, alternative headings in CALIS union catalog, can be accessed and as formal headings when they are exported and convert to MARC 21

Chinese Uniform Title

- Chinese uniform titles in CALIS union catalog function as:
 - Bringing together all catalogues entries for a work when various manifestations (e.g., editions, translations) of it have appeared under various titles
 - Collecting classical anonymous works, folk legend and hymn
 - Differentiating between two or more works published under identical titles proper

Chinese Uniform Title

- Diverse translations of the same original work can be collocated together using one of translated name as uniform time
e.g. If tomorrow comes
“假如明天来临” may collect all Chinese transliterations

Sharing of Authority Records

- According to new view of UBC
 - User perspective - to display script/language(s) of one's own country
 - Bibliographic agencies still responsible for control in their own countries (or region/cataloguing rules/etc.)
 - Link forms established in "national" or "regional" authority files to create a virtual international authority file

Sharing of Authority Records

- CALIS online authority control system put emphasis on access control and resource sharing instead of providing the unique form for an entity
- Comparison with other authority system

Element	CALIS	HK	Taiwan	LC
Headig scripts	Simplified & traditional	pinyin	Traditional,	pinyin
Variant heading	Simplified, traditional, Pinyin, W-G	Traditional, Pinyin, W-G	Traditional, Pinyin, W-G	pinyin W-G
Linked Heading	Provide while exporting	Traditional	W-G	/
Character set	UNICODE	BIG5/CCII	BIG5	Latin1
Format	CNMARC	MARC21	CNMARC	MARC21

Exporting Records and Format conversion

- Format conversion and choice of heading *([Link to a word file](#))
- Examples *([Link to a word file](#))

General Rules for Chinese Pinyin

- Reference tools
 - ✓ Pinyin spelling rules for Chinese names
 - ✓ Pinyin spelling rules for Chinese place names
 - ✓ Roman alphabet spellings and code for Chinese minority (GB3304-91)

General Rules for Chinese Pinyin

- Personal Names
 - Surname + Given name, Initial letter is capitalized
- Examples:
- Single surname and given name**
王力 (Wang Li)
 - Single surname and compound given name**
郭沫若 (Guo Moruo)
 - Compound surname and single given name**
歐陽民 (Ouyang Min)
 - Compound surname and single given name**
鮮于文新 (Xianyu Wenxin)

General Rules for Chinese Pinyin

- Personal Names (cont'd)
 - A pen name contains an element that identifies the individual and function as a real name, otherwise joining them together
- Examples:
- Single surname and given name**
魯迅 (Lu Xun)
 - Single surname and compound given name**
新風霞 (Xin Fengxia)
 - Surname and given name can not be identified**
心有些亂 (Xinyouxieluan)

General Rules for Chinese Pinyin

- Place names (cont'd)
 - The specific name joins together and the initial letter is capitalized
 - A place name of minority follows the same rules as the ones of Chinese place names
- Examples:
- Zhongguo (中國) (pinyin)
 - Urumqi (烏魯木齊) (Roman Alphabet)

General Rules for Chinese Pinyin

- Place names (cont'd)
 - A place name consists of general name and specific name, do not join them together
- Examples:
- Beijing Shi (北京市)
 - Taihang Shan (太行山)

General Rules for Chinese Pinyin

- Chinese names of each nation
 - Specific name joins together and the initial letter is capitalized
- Examples:
- Han (漢族)
 - Kazak (哈薩克族)
 - Russ (俄羅斯族)

International Seminar
on
**Cooperative Cataloguing &
Authority Control**

Co-organized by
Hong Kong Library Association Lingnan University Library (HK)
University of Hong Kong Libraries (HK)

7th November 2003

Hong Kong vs. Beijing:
**Comparative study of their
Authority Control Work**

LIU Lijing
(Peking Univ. Library)

Owen TAM Patrick LO
(Lingnan Univ. Library (HK))

Introduction

- Recent years, different Authority Files developed in Beijing & HK. But without close collaboration.
- Ideally, name entries should be identical, regardless of location
- But, due to political & cultural reasons – difficult for libraries from two locations to develop **ONE** concerted Name Authority File to improve consistency of records.

Areas to be compared:

Descriptive Cataloguing

1. Cataloguing Rules
2. Linguistic Differences
3. Romanization Scheme

Policy on Choosing Authorized headings

1. Chinese Religious Figures
2. Bilingual Authors
3. Foreign Authors

Cataloguing Rules

Beijing

- NLC – issued “*Description Rules for entries of Authority Data*” (《中文圖書名稱規範數據自著錄規則》) in 1991 & revised in 1997.
- * Based on “Guidelines for Authority Records and Reference” compiled by IFLA

Hong Kong

- HK Libraries follow AACR2 when creating authority headings for both Chinese & Western authors.

Linguistic differences

1. Chinese Characters

Most people in HK & China are both ethnically Chinese, but due to distinctive historical, political, cultural & linguistic backgrounds, they use different languages & scripts to record same heading.

Hong Kong

- Most Main & Linking headings inside HKCAN are in pinyin.
- But to be compatible with LCNA, when heading copied directly from LCNA.

*(If it happens to be in Wade-Giles (e.g. Chu, Chin-Ning/朱津寧) or other non-pinyin spelling (e.g. Ma, Yo-Yo/馬友友) – data is maintained even after uploaded to HKCAN Database)

Example record of Ma, Yo-Yo (馬友友)

003		\$aHkCAN
040		\$a aDLC\$dLc\$dLc\$dLc\$dHKP\$dHkCAN
100	1	\$aMa, Yo-Yo,\$d1955-
400	1	\$aMa, Youyou,\$d1955-
670		\$aBeethoven, L. van. Robert White sings Beethoven [SR] p1979 (a.e.)\$blabels (Yo-Yo Ma, cello) container (b. 10/7/55, Paris)
670		\$aWo de er zi Ma Youyou (我的兒子馬友友) c1996.\$b(Ma Youyou)
700	1	\$a馬友友,\$d1955-

Different Policies for Choosing Authoritative Forms

- Different cataloguing policies & reference tools influenced how an author's name is chosen or set up to be an authoritative form.

1. Chinese Religious Figures

Beijing

- Buddhist monks, PUL chooses their religious vocations, e.g. “法號/名/Dharma Names” found in 《辭海/Ci hai》
- But, if original surnames/names happen to be better known, their original names will be chosen as authoritative form.

Hong Kong

- HKCAN records are built upon the existing LCNA data. Hence, existing LCNA heading (if available) will be chosen as authoritative form.

Part of HKCAN Record		Part of PUL Record	
100	\$aHongyidashi,\$d1880-1942	200	\$a李叔同,\$f0880-1942
400	\$aLi, Shutong,\$d1880-1942	200	\$7ec\$aLi Shu Tong,\$f0880-1942
400	\$a李叔同,\$d1880-1942	400	\$0法 \$5z\$6a03\$a弘一大
670	\$aHis Li Shu-[176]ung ko ch[176][222]u chi (李叔同歌曲集), 1958.	400	\$-0fa Hac\$-5z.\$6a03\$aHong Yi Da Shi,\$f0880-1942
670	\$aFeng, T.K. Hu sheng hua chi (豐子愷 護生畫集), 1981 \$b(Hung-i-fa-shih)	810	\$a弘一大-北京:今日中國出版社, 1989
700	\$a弘一大師,\$d1880-1942	810	\$aCH(p.3317)
		830	\$a中 早 家·浙江平湖人,名 文 1918年

Bilingual Authors

Beijing

- China is not a bilingual country.
- Hence, need for Beijing libraries to create bilingual records / borrow information from foreign authority files is minimal.

Hong Kong

- HK is bilingual society, both Chinese & English are official languages.
- Many local bilingual authors publish in both English & Chinese.

■ To facilitate sharing & exchanges of data on global scale, HKCAN Workgroup model record format after MARC21, i.e.:

- 1XX (Main Heading Entry) – represent LCNA form, or locally created Romanized heading based on AACR2.
- 7XX (Linking Heading Entry) – represent corresponding heading in original Chinese script.

Example of HKCAN

003		\$aHkCAN
100	1	\$aCheung, Steven N. S.
400	1	\$wrnre\$aZhang, Wuchang
400	0	\$wrnre\$aChang, Wu-ch[176]ang
670		\$aHis The theory of share tenancy, 1969
670		\$aHis Mai chieh che yen (賣結著言), 1984.\$bt.p. (Chang Wu-ch[176]ang)
670		\$aXiao peng you jing ji xue xue yuan WWW home page, Jan. 11, 2002.\$bpProfessor Steven N.S. Cheung (Zhang Wuchang [in Chi.]; b. 1935; Ph.D., UCLA, 1967; taught at Chicago before becoming prof. of economics at the Univ. of Washington; prof. of School of Economics and Finance, Univ. of HK since 1982; also a noted photographer, calligrapher, and essayist; author of "The Theory of Share Tenancy", "Mai ju zhe yan", etc.)
700	1	\$c, 張正興

Foreign Authors

Beijing

- NLC creates only *SINGLE* authorized heading for each individual author.
- Beijing libraries have large collections of translated works (from Western lang. to Chinese). They choose form best known to them. Other variant forms are treated as "See From" tracings only.

- Chinese transliteration in Chinese script will be treated as authoritative heading.
- Westerner found in LCNA is recorded as "Linking heading".

Hong Kong

- For Western authors, works translated into Chinese, their original English form found in LCNA will be maintained.

Example of Foreign Authors

HKCAN Member Libraries Record		PUL Record	
100	\$aTwain, Mark,\$d1835-1910	200	\$-a馬克吐溫 \$-g(Mark Twain),\$f1835-1910
		200	\$-7edc-\$aMa Ke-Tu Wen-\$g(Mark Twain)-\$f1835-1910
400	\$a馬克吐溫,\$d1835-1910	400	\$-a馬克吐溫 \$-g(Mark Twain),\$f1835-1910
600	Twain, Mark(279), d 1835-1910	600	\$-a馬克吐溫 \$-g(Mark Twain),\$f1835-1910
800	De Twain, Mark, [Classe,] d 1835-1910	800	\$587Ma Ke-Tu Wen-\$g(Mark Twain)-\$f1835-1910
500	Twain, Mark, Samuel Langhorne,\$d 1835-1910		
		700	\$7b0\$Seng\$9n70. 21164//rev.9111065-\$aTwain,\$bMark-\$f1835-1910
670	\$aMa Ke-Tu Wen (279), Twain (279), d 1835-1910	670	\$fMa Ke-Tu Wen (279), Twain (279), d 1835-1910
670	\$aMa Ke-Tu Wen (279), Twain (279), d 1835-1910	670	\$aMa Ke-Tu Wen (279), Twain (279), d 1835-1910
670	\$aMa Ke-Tu Wen (279), Twain (279), d 1835-1910	670	\$aMa Ke-Tu Wen (279), Twain (279), d 1835-1910

Relations Between Authority Records & Bibliographic Searching

Beijing

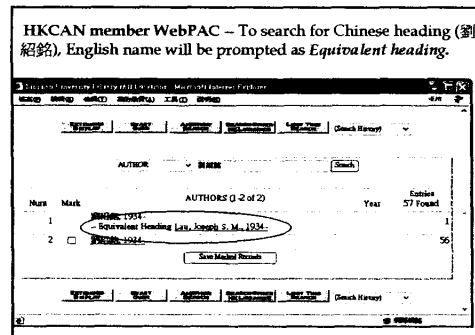
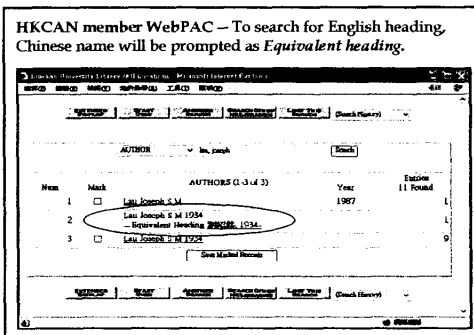
- Means for concurrent retrieval of bilingual publications - not emphasized.
- PUL - 2 separate records created for bilingual authors, e.g. Joseph Lau's publications, one for English & one for Chinese.

PUL WebCat -- To search for Chinese name, only Chinese publications are displayed. (NO linking is provided)

PUL WebCat -- To search for English name, only English publications are displayed. (NO linking is provided)

Hong Kong

- HK is bilingual society - ultimate goal of HKCAN Project is to identify MARC format & software to concurrent searching of bilingual publications by same author with single keystroke.



**Suggestions for Future
Developments & Collaborations**

■ **Need for Authoritative Authority Control Policy for Different Library Communities**

- Nowadays, majority bibliographic searching conducted under networked environment
- leads to greater demand for higher precision & consistency & need for better quality control in authority.

- Different automated systems, cataloguing polices, MARCs cultural backgrounds - all hinder consistency.

- In order to facilitate better quality control, different library communities should reach consensus & develop their own authority polices that best suit their needs, so that sharing of data under networked environment will be feasible in future.

■ **Choice of MARC Formats & Compatibility**

- Due to different linguistic, geographic, political reasons.
- Highly impractical & inconvenient to impose same MARC & cataloguing rules on different regions.
- Regional library communities should be entitled to use distinctive MARCs that best suit their practices, as long as they are consistent within their region community.

- Libraries of same region should try their best to use same MARC, e.g., HK academic library community has always used MARC21 for Chinese authority works.


- Hence, HKCAN Workgroup should continue with MARC21 for HKCAN's data.

- CN-MARC has been set out & used by the NLC for authority work since beginning, with data readily available for various local libraries.
- Beijing libraries have also practiced authority works based on CN-MARC.

- If Beijing libraries are to carry out a collaborative authority project similar to HKCAN, CN-MARC should be 1st choice & the only format they should follow.

The End
Thank you!

LEAF Linking and Exploring Authority Files



LEAF
Linking and Exploring Authority Files
<http://www.leaf-eu.org>
Hans-Jörg Lieder, State Library Berlin, Germany
International Seminar on Cooperative Cataloguing and Authority Control,
7th of November, Hong Kong

LEAF Linking and Exploring Authority Files

Overview

- Context information
- Project details
- Partners and data
- Objectives
- Benefits
- System architecture
- Cooperation possibilities

LEAF Linking and Exploring Authority Files

Context 1

In the last years a number of relevant initiatives have addressed the issue of authority control in a variety of ways:

- Library of Congress, Bibliothèque nationale de France: free web based search services for all
- German *Personal Name Authority File* (PND): access through a closed network of institutions

LEAF Linking and Exploring Authority Files

Context 2

- Name Authority Cooperative (NACO): access through a closed network of institutions PLUS obligation to actively provide records
- Hong Kong Chinese Authority (Name) Workgroup (HKCAN): development of a multilingual, multi-script system
- Virtual International Authority File (VIAF): matching of entire (national) authority files

LEAF Linking and Exploring Authority Files



Present Limitations

- Access to authority data is limited to some institutions only
- Access to authority data is dependant of employed cataloguing rules and data formats
- Cross-domain sharing of authority data (e.g. between libraries, archives, museums and other 'memory institutions') does not exist
- Public users do not have access to authority data

LEAF Linking and Exploring Authority Files

Project Funding

- The LEAF-Project is co-funded by the European Commission through the Information Society Technologies Programme within the Fifth Framework Programme for research and development.



LEAF Project

Project Details

Project duration: March 2001 to May 2004

LEAF brings together 15 libraries, archives and system developers from 10 European countries.

Coordinator: State Library Berlin, Germany
 - ca. 250.000 name authority records of the Kalliope catalogue, part of the German *Personal Name Authority File* (MAB2)

Manager: Crossnet Systems Ltd., Newbury, UK

System Developer: Joanneum Research, Graz, Austria

LEAF Project

Partners and Data

- National Library of Portugal, Lisbon, PT
 - ca. 550.000 name authority records of the Portuguese PORBASE union catalogue (UNIMARC)
- Library of the Universidad Complutense, Madrid, ES
 - name authority records of the Spanish CISNE catalogue (MARC21)
- British Library, London, UK
- German Literary Archives, Marbach, DE
 - ca. 120.000 name authority records from the Kallias catalogue, part of the German *Personal Name Authority File* (MAB2)

LEAF Project

Partners and Data

- Research and Documentation Centre for Austrian Philosophy, Graz, AT
 - sample of non-standardized name records (local format)
- Goethe- and Schiller-Archive, Weimar, DE
- Institute of Contemporary Publishing Archives, Paris, FR
 - sample of non-standardized name records (local format)
- National and University Library, Ljubljana, SL
 - name authority record from its manuscript catalogue (COMARC, MARC21)

LEAF Project

Partners and Data

- Austrian National Library, Vienna, AT
 - Name authority records of the German *Personal Name Authority File* plus internally created detailed biographical descriptions (MAB2 and allegro-HANS)
- Swedish National Archives, Stockholm, SE
 - ca. 170.000 name authority records of the national archival system (EAC XML)
- Swiss National Library, Bern, CH
 - name authority records from its 'Index of Archival Descriptions' (local format)
- University of Bergen, NO

LEAF Project

Diversity of LEAF Data

LEAF authority records differ in:

- Cataloguing rules applied
- Data formats
- Purpose (library and archival authority records)
- Richness of information

LEAF Project

Observing Partners

- Archives de France pour les technologies de l'information et de la communication, Paris
- Det Arnamagnæanske Institut, Copenhagen
- Biblioteca Nacional de España, Madrid
- Biblioteca Nazionale Centrale di Roma (National Central Library of Rome), Rome
- Bibliothèque Nationale de France, Paris
- CIMI consortium, Chicago
- Constantijn Huygens Instituut voor Tekstedities en Intellectuele Geschiedenis, 's-Gravenhage
- Dansk Biblioteks Center, Copenhagen
- Die Deutsche Bibliothek, Frankfurt am Main
- Dokimas Group Holdings Ltd., Nottingham
- EKT, (National Documentation Centre), Athens
- Franz-Michael-Felder-Archiv der Vorarlberger Landesbibliothek, Bregenz

LEAF Library of Authority Files

Observing Partners

- GTAA, Grupo de Trabajo de Autoridades de Aragón, Zaragoza
- Historical Manuscripts Commission (HMC), London, United Kingdom
- Interparty, Boston Spa, Wetherby
- Istituto Centrale per il Catalogo Unico delle Biblioteche Italiane e per le Informazioni Bibliografiche, (ICCU), Rome
- Jagiellonian Library, Krakow
- Jewish National & University Library, Jerusalem
- Det Kongelige Bibliotek, Copenhagen
- Koninklijke Bibliotheek, The Hague
- Library of Congress, Washington
- Magyar Tudományos Akadémia, Budapest
- Onderzoekssteunpunt en Databank Intermediaire Structuren in Vlaanderen
- Online Computer Library Center (OCLC), Dublin/Ohio

LEAF Library of Authority Files

Observing Partners

- Research Libraries Group (RLG), Mountain View/California
- Tartu University, Tartu
- Torun University Library, Torun
- University of Virginia, Charlottesville/Virginia
- Warsaw Public Library, Warsaw
- Warsaw University Library, Warsaw
- Wiener Stadt- und Landesbibliothek, Vienna

Sponsoring Partners

- Historical Manuscripts Commission (HMC), London, United Kingdom
- K.G.Saur Verlag, Munich
- J.A. Stargardt, Manuscript Dealer, Berlin
- Library of Congress, Washington

LEAF Library of Authority Files

Objectives

LEAF develops a system through which distributed **name authority records** are gathered, automatically linked together in meaningful ways, made available to a variety of operations and opened up for multiple analysis.

The prototype of the LEAF system is designed to prove the feasibility of the model.

LEAF Library of Authority Files

Objectives 2

The following steps are included:

- new or updated local name authority records are fetched/harvested by or uploaded to the LEAF system on a regular basis
- all records in the LEAF system are converted into one common exchange format and inserted into a central database
- records describing the same person are automatically linked
- all records in the LEAF database are available for search and retrieval

LEAF Library of Authority Files

Objectives 3

- retrieved search results are stored in a *Central Name Authority File*
- registered users can annotate records
- external systems can query the LEAF service
- LEAF can query external systems
- external resources can link to LEAF records
- results retrieved in LEAF can be used as search arguments in other applications

The LEAF prototype will be tested also in combination with the MALVINE service (i.e. a distributed search service for manuscript descriptions; www.malvine.org/).

LEAF Library of Authority Files

Benefits 1

1. Unregistered Public Users (i.e. any interested individual):

- Search and retrieve data in LEAF
- Get access to authority records in various formats (native formats, EAC XML, MARC-like, MAB2-like)
- Improve search precision in other applications with the help of LEAF results

LEAF

Benefits 2

2. Registered Public Users (i.e. any interested individual):

- Search and retrieve data in LEAF
- Get access to authority records in various formats (native formats, EAC XML, MARC-like, MAB2-like)
- Improve search precision in other applications with the help of LEAF results
- Submit specific annotations
- Have access to an individualized user work space

LEAF

Benefits 3

3. Professional Users (archivists, librarians etc.; either part of LEAF or external):

- Search and retrieve data in LEAF
- Get access to authority records in various formats (native formats, EAC XML, MARC-like, MAB2-like)
- Improve search precision in other applications with the help of LEAF results
- Submit specific annotations
- Have access to an individualized user work space

LEAF

Benefits 4

- Identify records of 'user relevance' via status indication of *Central Name Authority Records*

LEAF

Benefits 5

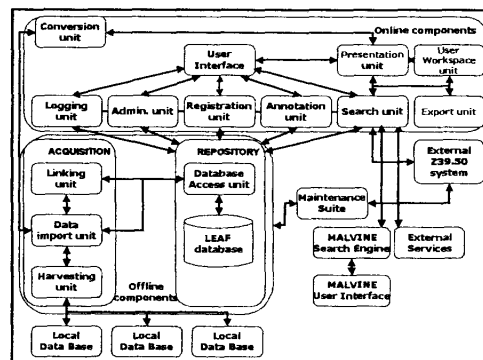
4. Service Providers (e.g. research projects, smaller memory institutions, manuscript dealers etc.):

- Search and retrieve data in LEAF
- Get access to authority records in various formats (native formats, EAC XML, MARC-like, MAB2-like)
- Improve search precision in other applications with the help of LEAF results
- Submit specific annotations
- Have access to an individualized user work space

LEAF

Benefits 6

- Add information 'permanently' to a LEAF record by way of permanent annotations (e.g. holdings information)
- Link LEAF records to external resources



LEAF

Cooperation Possibilities

A scenario:

- Western catalogues of Eastern materials are very heterogeneous, name forms differ even locally; materials are therefore difficult to find
- Cataloguing these materials using the latin script exclusively is not possible (problem of disambiguation)
- Many HKCAN records contain LoC name headings

→ A LEAF system populated with relevant HKCAN records and respective Western records would be suited to provide the LEAF benefits to all involved.

LEAF



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