

# Supplement

## ISAAR(CPF): International Standard Archival Authority Record for Corporate Bodies, Persons and Families

### Introduction

The General Editor of *Archivaria* has kindly agreed to reproduce the International Council on Archives' *ISAAR(CPF)* as a service to the Canadian archival community and others of its readership. The *ISAAR(CPF)* has been distributed free of charge to all members of the ICA, but, as a highly specialized publication, it is not otherwise easily available through the normal book trade. It may be bought as long as stocks last from the Secretariat of the ICA Committee on Descriptive Standards for US \$10.00 prepaid. The Secretariat is located at the National Archives of Canada, Office of Archival Standards, 395 Wellington Street, Ottawa, Ontario, Canada, K1A 0N3.

As explained in the introduction of the *ISAAR(CPF)*, it is a companion standard to the *ISAD(G): General International Standard Archival Description*, published in 1994 by the ICA Ad Hoc Commission on Descriptive Standards. The introduction should be read with care as it is an integral part of the standard and explains its context and purpose. As the name of the standards imply, they are standards for archival description, the *ISAD(G)* giving specifications for the description of the records, and the *ISAAR(CPF)* that of the creators of those records and their contextual information, i.e., information about the creators. The two sets of information may be linked (through the standardized or controlled "name element") or used separately and independently, with or without "authority control."

The *ISAD(G)* has been translated into many languages and national descriptive standards are being developed which will be compatible with them. In addition, many countries are studying them and have projects trying to implement them. In Canada, most of the *Rules for Archival Description (RAD)* are compatible with both of these standards and, where they differ, revisions to make them compatible are on the planning agenda of the Canadian Committee on Archival Description. It is hoped that publishing the *ISAAR(CPF)* in

*Archivaria* will give the archival community the easy access to them which otherwise would have been more difficult.

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# Supplément

## ISAAR (CPF) : Norme internationale sur les notices d'autorité archivistiques relatives aux collectivités, aux personnes et aux familles

### Introduction

La rédactrice d'*Archivaria* a aimablement accepté de reproduire la norme *ISAAR(CPF)* du Conseil international des archives en vue de rendre service à la communauté archivistique canadienne et aux lecteurs de la revue. Le manque d'espace empêche de la reproduire ici en langue française. Bien que la norme *ISAAR(CPF)* ait été distribuée gratuitement aux membres du CIA, il n'est pas facile de se la procurer sur le marché compte tenu de son caractère hautement spécialisé. Il est possible d'en acheter un exemplaire – jusqu'à l'épuisement des stocks – en s'adressant au secrétariat du Comité sur les normes de description du CIA en joignant à sa demande un paiement de 10 \$ US. L'adresse du secrétariat est la suivante : Archives nationales du Canada, Bureau des normes archivistiques, 395, rue Wellington, Ottawa, Ontario, Canada, K1A 0N3.

Tel qu'expliqué dans l'introduction de la norme *ISAAR(CPF)*, cette dernière va de pair avec la norme *ISAD(G) : Norme générale et internationale de description archivistique*, publiée en 1994 par la Commission *ad hoc* sur les normes de description du CIA. On doit lire l'introduction avec attention puisqu'elle fait partie intégrante de la norme et en présente le contexte et l'objectif. Comme le titre de la norme l'indique, il s'agit de normes pour la description en archivistique ; la norme *ISAD(G)* précise les règles relatives à la description des documents alors que la norme *ISSAR(CPF)* se concentre sur les créateurs des documents et l'information contextuelle les concernant. Ces deux ensembles d'information peuvent être reliés (par l'utilisation normalisée ou contrôlée de « l'élément du nom ») ou utilisés de manière indépendante avec ou sans « contrôle d'autorité ».

La norme *ISAD(G)* a été traduite en plusieurs langues. De nombreuses normes nationales de description présentement en élaboration seront compatibles avec elle. En outre, plusieurs pays l'ont mise à l'étude et projettent de l'adopter. Au Canada, la plupart des *Règles pour la description des documents d'archives (RDDA)* sont compatibles avec ces deux normes. Dans les cas où

elles diffèrent, des révisions en vue de les rendre compatibles sont envisagées par le Comité canadien sur la description des documents d'archives. Il est à espérer que la publication de la norme *ISAAR(CPF)* dans *Archivaria* permettra à la communauté archivistique canadienne d'y accéder facilement. Le tout aurait sans doute été plus difficile autrement.

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**PREFACE**

- P.1 A working document was developed by a sub-group of the Ad Hoc Commission on Descriptive Standards. The sub-group was established at the third plenary of the Commission during its meeting in Stockholm, Sweden, January, 1993.
- P.2 The sub-group consisted of:  
Wendy Duff  
Jan Dahlin  
Christine Nougaret  
Hugo Stibbe — Project Director and Secretary  
Michael Cook
- P.3 The sub-group met in Liverpool, U.K., in November 1993 to consider issues relating to access points in archival description. Recognition of the importance of controlling the form and content of access points led the group to propose development of a standard for such control in archival information systems. The standard envisioned by the group had much in common with library standards for authority control of headings, but it was nevertheless distinct from these standards. In carrying out its development of an international standard for archival authority records, the sub-group drew upon research relating to archival authority records underway in Canada and the United States as well as international authority records work that had been done by the International Federation of Library Associations and Institutions (IFLA) in the 1970's and 80's such as *Guidelines for authority and reference entries* (IFLA, 1984) and completed a draft document which was discussed, amended, and extended at the plenary of the Ad Hoc Commission at its meeting in The Hague in October 1994. The draft was circulated to the international archival community for comment. Comments received during this world wide review were taken into account at a plenary of the Commission held in Paris in November 1995. The current document is the result of this process.

- P.4 The ICA Ad Hoc Commission on Descriptive Standards acknowledges and thanks Unesco for its financial support for this project. It also thanks the National Archives of Canada for its support of the Secretariat and the institutions that have hosted the Commission during the development of this document, the University of Liverpool, UK, the Dutch Archives School, Netherlands, and the Archives nationales, France.

## INTRODUCTION

### Background and Statement of Purpose

- I.1 In its standardization activities so far, the international archival community has recognized that it is important to present effectively the elements of descriptive information. Among the most significant of these elements are those associated with the context of creation of the archival documents.
- I.2 The first international archival descriptive standard, *ISAD(G): General International Standard Archival Description*, provided for the inclusion of this contextual information within the description of the archival entity (i.e, the fonds, series, item). ISAD(G) recognized, however, the possibility of capturing and maintaining contextual information independently, and linking it to the combination of other information elements used to describe archival documents.
- I.3 There are a number of reasons why separate capture and maintenance of contextual information may be useful. Such a practice enables the linking of this information to descriptions of archival documents from the same creator(s) that may be held by more than one repository, or separately held archival documents and library materials that have the same creator(s), or records that remain in the custody of their creator. Such links can facilitate historical research and improve records management practices.
- I.4 Where a number of repositories hold archival documents from a given source they can more easily share or link contextual information about this source if it has been maintained in a standardized manner. Such standardization is of international concern when the sharing or linking of contextual information is likely to cross national boundaries. The multinational character of past and present record keeping in the course of such activities as colonization, immigration, and trade creates the incentive for

international standardization in support of exchange of contextual information.

- I.5 An international standard intended to support the sharing of descriptions of creators of archival documents must promote the preparation of consistent, appropriate, and self-explanatory descriptions of the corporate bodies, persons, and families that are the creating entities. This is consistent with the more general standardization of information serving as access points in descriptions of archival documents or library materials. Indeed, the name of the creator of a unit of description may be considered the primary access point for a description of archival documents.
- I.6 In library information systems, the entity named in an access point is the focus of a standardized description called an **authority record**. The authority record consists of an **authority entry** (i.e., a standard formulation of the name or term used as an access point) combined with other information elements that describe the named entity or point to other authority entries. In a traditional authority record the other information elements are limited to qualifiers essential to clarify the identity of the entity thus named, so that accurate distinctions may be made among the authority records maintained in a large **authority file**.
- I.7 A standardized description of the creator of archival documents may be considered to be a kind of authority record, consisting of an authority entry (the name) combined with other information elements that describe the entity thus named or that point to other authority entries.
- I.8 Standardized contextual descriptions for archives – if they are to represent fully a creating entity and enhance the understanding of the descriptions of archival documents to which they are linked – may have to make more extensive use of the “other information elements” than need be the case with traditional authority records. To mark this distinction, standardized contextual descriptions for archives might better be termed **archival authority records**.
- I.9 The primary purpose of this document is to give general rules for the establishment of archival authority records that describe the corporate bodies, persons, and families that may be named as creators in descriptions of archival documents. It is expected that records that result from the implementation of the rules can serve both to standardize the form of the name of a records creator and to describe fully the attributes of the creator needed to appreciate the context of creation of a body of archival documents.
- I.10 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 an access point that is the subject of a unit of description.

- I.11 This standard addresses only part of the conditions needed to support the exchange of archival authority information. Rules and conventions for standardizing access points should be developed nationally or separately for each language. In addition, successful exchange of archival authority information is dependent upon development and adoption of a suitable communication format by the repositories involved in the exchange. It is hoped that support can be found for the development or identification of a format suitable for the international exchange of the information addressed by this standard.

### **How to Use This Document**

- I.12 This standard consists of a set of numbered information elements which may be used:
- a) to control the creation and use of access points in descriptive records; and/or
  - b) to describe a corporate body, person, or family as units within an archival descriptive system.
- I.13 This standard determines the types of information that could be included in an archival authority record. The content of the information elements included in the record will be determined by the conventions and/or rules that the agency follows to establish the authority entry (see 1.3) and their associated parallel entry/entries (see 1.4), non-preferred term(s) (see 1.5), and related authority entry/entries (see 1.6).
- I.14 The requirements of the particular system within which the preparer of an archival authority record works will dictate which corporate bodies, persons, and/or families warrant archival authority records. The requirements of these systems will also determine which elements are used in a given authority record and whether these elements are presented in a narrative or a structured format.
- I.15 The organization of the rules reflects a preferred structure for any given authority record incorporating elements governed by the rules. Within this structure the elements are grouped in three areas:
1. Authority Control Area  
establishes the authority entry and provides links to other entries.
  2. Information Area  
provides relevant information about corporate bodies, persons and families identified in the authority entry.
  3. Note Area  
documents the creation and maintenance of the authority record.

Every information element may be repeated as required except the Authority Entry.

- I.16 Agencies wishing only to control the creation and use of access points should select information elements in areas 1 and 3, as required.
- I.17 Agencies wishing only to document corporate bodies, persons, and/or families should select information element 1.1 and information elements in areas 2 and 3, as required.
- I.18 Agencies wishing to control the creation and use of access points as well as describe the corporate bodies, persons, and/or families named as access points should select the appropriate information elements from areas 1, 2, and 3.
- I.19 If a structured format is used to present information about corporate bodies, persons, and/or families, do not repeat information in area 2, already given in area 1 unless that information is needed for clarification.
- I.20 At a minimum the authority entry and area 3 need to be recorded.
- I.21 Other standards relevant to this document include the following: *ISO 5963 Documentation — Methods for examining documents, determining their subject, and selecting indexing terms* and *ISO 2788 Documentation — Guidelines for the establishment and development of monolingual thesauri*.
- I.22 In citing a published source in any element of description, follow the latest version of *ISO 690 Documentation — Bibliographic references — Content, form and structure*.

**0. GLOSSARY OF TERMS ASSOCIATED WITH ISAAR(CPF)**

**Access point.** A name, keyword, index term, etc. by which a description may be searched, identified or retrieved.

**Archival Description.** The creation of an accurate representation of a unit of description and its component parts, if any, by the process of capturing, collating, analysing, and organizing any information that serves to identify archival material and explain the context and records system that produced it.

**Authority control.** The control of standardized terms, including names (personal, corporate or geographic) used as access points.

**Authority data.** Information in an authority record or authority file.

**Authority entry.** A standardized access point established by an archival agency responsible.

**Authority file.** An organized set of authority records.

**Authority record.** An authority entry combined with other information elements that describe the entity named in the entry and which may point to other authority entries.

**Corporate body.** An organization or group of persons that is identified by a particular name and that acts, and may act, as an entity.

**Creator.** *See* Provenance.

**Fonds.** The whole of the documents, regardless of form or medium, organically created and/or accumulated and used by a particular person, family, or corporate body in the course of that creator's activities and functions.

**Provenance.** An organization or individual that created, accumulated and/or maintained and used documents in the conduct of personal or corporate activity.

## 1. AUTHORITY CONTROL AREA

### 1.1 Identity Code

*Purpose:*

To identify the agency responsible for creating the authority entry, and to identify the record uniquely.

*Rule:*

Record the country code in accordance with the latest version of *ISO 3166 Codes for the representation of names of countries*, followed by a code for the agency that created the archival authority record in accordance with the national or international agency code standard, followed by the unique authority entry identifier.<sup>1</sup>

Where the creator of the archival authority entry is an international organization, give the organizational identifier in place of the country code.

*Examples of country codes*

Alpha-2 code	Alpha-3 code	
AU	AUS	(Australia)
SE	SWE	(Sweden)
ES	ESP	(Spain)
FR	FRA	(France)
GB	GBR	(United Kingdom)
US	USA	(United States)
CA	CAN	(Canada)
MY	MYS	(Malaysia)

*Examples*

GB/NRA/1

(For an entry supplied by the UK National Register of Archives)

CA/CaOONL/0004L2501E

(For an entry supplied by the National Library of Canada)

FR BN 000352731

(For an entry supplied by Bibliothèque nationale, France)

### 1.2 Type of Archival Authority Record

*Purpose:*

To indicate whether the entry is for a corporate body, person or family.

*Rule:*

Record the type of authority record, for example, “name: corporate body” for corporate body, “name: person” for person, and “name: family” for a family.

See the appendix for examples.

### 1.3 Authority Entry

*Purpose:*

To create a standardized access point for a corporate body, person or family.

*Rule:*

Record the standardized form of the name of a corporate body, person or family in accordance with the national or international conventions or rules used by the agency that created the authority record. Specify in 3.2 which rules have been used.

*Corporate bodies*

For example, according to *AACR2R*, *APPM*, and *RAD*, within a corporate body entry, the following subelements may be present:

Name subelements:

- Name of corporate body
- Name of territorial authority
- Name of subordinate body

Qualifiers:

- Geographic name
- Date
- Number
- Type of body, type of territorial authority
- Other qualifiers

And, according to *AFNOR NF Z 44-060*, within a corporate body entry, the following subelements may be present:

Name subelements:

- Name of corporate body
- Name of subordinate body
- Name of territorial authority
- Name of religious authority

Qualifiers:

- Serial number
- Geographic name
- Type of body
- Dates
- Other qualifiers

*Note:*

The term *corporate body* may, for the purposes of authority entries, be applied to a wide range of entities including states, departments of state, businesses and institutions, conferences and exhibitions, festivals, ships, etc.

**Examples<sup>2</sup>**

Don & Low Holdings Ltd	[UK NCA <i>Draft rules</i> , 1996]
Greater London Council	[UK NCA <i>Draft rules</i> , 1996]
Society for the Protection of Ancient Buildings	[UK NCA <i>Draft rules</i> , 1996]
Délégation allemande près la commission d'armistice	[AFNOR NF Z 44-060 (3*)]
British Columbia. Royal Commission on Forest Resources (1955-1957)	[RAD, AACR2]
International Air Transport Association	[RAD, AACR2 (1*)]
Bedford Institute of Oceanography	[RAD, AACR2 (2*)]

\* See note 4 at 1.4

Régie nationale des usines Renault	[AFNOR NF Z 44-060]
Centre hospitalier (Libourne, Gironde)	[AFNOR NF Z 44-060]
Conseil national de la Résistance (1943-1944)	[AFNOR NF Z 44-060]

**Persons**

For example, according to *AACR2R*, *APPM*, and *RAD*, within a personal name entry, the following subelements may be present:

## Name subelements:

Forename (or given names)

Patronymic

Family name (or surname), including prefixes and compounds

Sobriquet

Dynastic name

Other names

## Additions to name:

Title of nobility, honour, address, etc.

Date(s) of birth, death, etc.

Other additions

And, according to *AFNOR NF Z 44-061*, within a personal name entry, the following subelements may be present:

## Name subelements:

Patronymic

Forename

Family name (or surname), including prefixes and compounds

Pseudonym

Estate name

Religious name

Initials

Additions to name:

Date(s) of birth, death, etc.

Function: military rank, title of courtesy, function, honour, nobility,  
academic honours, etc.

*Examples\**

\* See note 2

Galbraith, John Kenneth, 1908-	[RAD, AACR2, APPM]
Beeton, Mrs. (Isabella Mary)	[RAD, AACR2, APPM]
Johannes ( <i>Notary</i> )	[RAD]
Martin, Jean-Pierre (1947- ; avocat)	[AFNOR NF Z 44-061]
Louis 9 (roi de France)	[AFNOR NF Z 44-061]
Nobel, Alfred, 1833-1896	[URS, Sweden]

*Families*

For example, according to the UK National Council on Archives *Draft rules for the construction of personal, place and corporate names* (1996), the following subelements may be present:

Name

Epithet (= "family")

Title or occupation

Territorial designation

*Examples*

Herbert family, Barons Herbert of Cherbury	[UK NCA <i>Draft rules</i> , 1996]
Campbell family of Lochnell	[UK NCA <i>Draft rules</i> , 1996]

#### 1.4 Parallel Entry/Entries

*Purpose:*

To indicate any standardized alternative access point(s) under which the authority entry occurs in other language or script form(s).<sup>3</sup>

*Rule:*

Record the parallel entry in accordance with the national or international conventions or rules used by the agency that created the authority record, including any necessary sub elements and/or qualifiers required by those conventions or rules. Specify in 3.2 which rules have been used.

*Examples<sup>4</sup>*

Association du transport aérien international	[RAD, AACR2 (1)]
AND	
Asociación del Transporte Aéreo Internacional	[RAD, AACR2 (1)]
AND	

Internationale Fluggeschaft Verband	[RAD, AACR2 (1)]
Institut océanographique de Bedford	[RAD, AACR2 (2)]
Deutsche Delegation bei der Waffenstillstand- Kommission	[AFNOR NF Z 44-060 (3)]

### 1.5 Non-preferred Term(s)

*Purpose:*

To connect the name(s) or forms of name(s) of the corporate body, person or family not chosen as the authority entry with the authority entry by, for example, a *see* reference.

*Rule:*

Record names or forms of name(s) determined as non-preferred terms in accordance with the national or international conventions or rules used by the agency that created the record. Specify in 3.2 which rules have been used.

*Examples*

Non-preferred term	Cross reference	Authority entry
Three Mile Island Commission	<i>see</i>	President's Commission on the Accident at Three Mile Island [APPM]
Oceanographic Institute Bedford	<i>see</i>	Bedford Institute of Oceanography [RAD, AACR2]
Fox Talbot, William Henry	<i>see</i>	Talbot, William Henry Fox [UK NCA <i>Draft rules</i> , 1996]
Louis (saint)	<i>see</i>	Louis 9 (roi de France) [AFNOR NF Z 44-061]
Usines Renault	<i>see</i>	Régie nationale des usines Renault [AFNOR NF Z 44-060]
Archives impériales	<i>see</i>	Archives nationales
Archives royales		[AFNOR NF Z 44-060]
Beeton, Isabella Mary	<i>see</i>	Beeton, <i>Mrs.</i> (Isabella Mary) [RAD, AACR2]

### 1.6 Related Authority Entry/Entries

*Purpose:*

To link this authority record to other authority records by, for example, a *see also* reference.



**Rule:**

Record the authority entry of each related authority record according to the national or international conventions or rules used by the agency that created the record. Specify in 3.2 which rules have been used.

**Examples**

First entry	Cross reference	Second entry
Canada. Dept. of Citizenship and Immigration [RAD, AACR2]	<i>see also</i>	Canada. Dept. of Manpower and Immigration [RAD, AACR2]
Geological Survey of Canada [RAD, AACR2]	<i>see also</i>	Geological and Natural History Survey of Canada [RAD, AACR2]
Archives nationales [AFNOR NF Z 44-060]	<i>see also</i>	France. Direction des archives [AFNOR NF Z 44-060]
Electricité de France [AFNOR NF Z 44-060]	<i>see also</i>	Gaz de France [AFNOR NF Z 44-060]

**2. INFORMATION AREA****Purpose:**

To describe the corporate body, person, or family named in the authority entry.

**Rule:**

Record relevant information, as specified in the elements below, according to the national or international conventions or rules used by the agency that created the record. (Specify in 3.2 which rules have been used.) These conventions or rules may specify the minimum elements required and how they may be structured.

Alternatively, provide the information in a narrative form.

**Note:**

- Indicate in the Archivist's Note (see 3.1) the source(s) of the information.
- To avoid duplication, any relevant information established in an archival description under ISAD(G), or held separately in a file or system documenting context, may be used directly for this purpose.
- Do not repeat information given in an element of description in one area in another area unless this is needed for clarity.

The following table shows the elements in the information area which are relevant for a corporate body, person or family authority record.

2.1 Corporate Body	2.2 Person	2.3 Family
2.1.1 Legal number(s)	2.2.1 (Not used)	2.3.1 (Not used)
2.1.2 Names	2.2.2 Names	2.3.2 Names
2.1.3 Date(s) and Place(s) of existence	2.2.3 Date(s) and place(s) of existence	2.3.3 Date(s) and place(s) of existence
2.1.4 Business location	2.2.4 Places and/or geographical areas of residence	2.3.4 Places and/or geographical areas
2.1.5 Legal status	2.2.5 Nationality	2.3.5 Nationality
2.1.6 Mandate, functions and sphere of activity	2.2.6 Occupation, sphere of activity	2.3.6 Occupation, sphere of activity
2.1.7 Administrative structure	2.2.7 (Not used)	2.3.7 Family tree
2.1.8 Relationships	2.2.8 Relationships	2.3.8 Relationships with other families, persons or corporate bodies
2.1.9 Other significant information	2.2.9 Other significant information	2.3.9 Other significant information

**Note:** For full examples of area 2, see the appendix. The rules, conventions, or standards used for authority entries shown in the in-text examples in section 2 are indicated with asterisks as follows:

\* UK NCA *Draft rules, 1996*

\*\* AFNOR NF Z 44-060 (for corporate names) or AFNOR NF Z 44-061 (for personal names).

## 2.1 Corporate Bodies

### 2.1.1 Legal number(s)

Any official number that serves to identify the corporate body in countries where legal numbers, (e.g., a company registration number) are assigned by public authorities. Indicate by a qualifier the nature of any number used.

#### *Examples*

00121

(UK company registration number for the UK entry: British India Steam Navigation Co Ltd\*)

160 046 041 00010

*(SIRET code given by INSEE [Institut national de la statistique et des études économiques] to French administrations and corporations)*

### 2.1.2 Names

Names by which the corporate body may be known, other than that used in the authority entry

- a) other forms of the same name
- b) other names, for example, changes of names over time with their dates.<sup>5</sup>

#### **Examples**

- (a) Historical Manuscripts Commission  
*(For the UK entry Royal Commission on Historical Manuscripts\*)*  
Clothworker's Company  
*(For the UK entry Worshipful Company of Clothworkers\*)*
- (b) Archives nationales (1790-1800)  
Archives impériales (1800-1814)  
Archives royales (1815-1848)  
Archives impériales (1850-1870)  
*(For the French entry Archives nationales\*\*)*

### 2.1.3 Date(s) and place(s) of existence

Including for example, date and place of founding, dissolution, enabling legislation. Where parallel systems of dating are used, equivalences may be recorded according to national conventions or rules. Specify in an Archivist's Note (see 3.1) the system(s) of dating used.

#### **Examples**

Established 1798 at Lydbrook, Gloucestershire; incorporated 1884; ...became part of British Steel Corporation 1967.

*(With Archivist's Note at 3.1; Source: L Richmond and B Stockford, Company Archives [1986])*

Création du service d'archives de l'Assemblée nationale le 29 juillet 1789 ; dénomination d'Archives nationales le 12 septembre 1790. Centralisation des archives publiques aux Archives nationales décrétée le 7 messidor an II (calendrier révolutionnaire)/25 juin 1794.

*(For the French entry Archives nationales\*\*)*

### 2.1.4 Business location

The place from which the corporate body operated.

**Examples**

First offices in Arcade Street, Ipswich, Suffolk

*(For the UK entry Ipswich Chamber of Commerce & Shipping (Incorporated). \* With Archivist's Note at 3.1; Source: L Richmond and B Stockford, Company Archives (1986))*

60, rue Des Francs-Bourgeois, Paris 3e, France

*(For the French entry Archives nationales\*\*)*

## 2.1.5 Legal status

Information on the legal status of the corporate body, for example, private, public, semi-private and, if necessary, nationality (e.g., British limited company).

## 2.1.6 Mandate, functions and sphere of activity

Information on the authority of the corporate body in terms of its powers, functions, responsibilities or sphere of activities, including territorial, and any documents setting them out. Include any significant changes with the relevant dates.

**Example**

Incorporated in order to establish a steam laundry business at Grantham, Lincolnshire, with authorised share capital of £8,000.

*(For UK entry Fenland Laundries (Grantham) Ltd. \* With Archivist's Note at 3.1; Source: L Richmond and B Stockford, Company Archives (1986) )*

## 2.1.7 Administrative structure

Information relating to the internal structure of the corporate body and important to the understanding of the way it carried out its affairs.

**Examples**

Managed by a Board of Directors in London under secretaryship of George Henderson & Sons Ltd, East India merchants, to 1946 and then of Matheson & Co Ltd, merchants, to 1978 when control was transferred to India...

*(For the UK entry Barnagore Jute Factory Co Ltd. \* With Archivist's Note at 3.1; Source: L Richmond and B Stockford, Company Archives (1986) )*

Les Archives nationales comprennent le site parisien et quatre sites délocalisés : le centre des archives contemporaines de Fontainebleau, le centre des archives d'Outre-mer à Aix-en-Provence, le Dépôt central des microfilms à Espeyran, le Centre des archives du monde du travail à Roubaix.

*(For the French entry Archives nationales\*\*)*

## 2.1.8 Relationships

Corporate bodies may have a variety of relationships with other

corporate bodies, families and/or individuals. Two important aspects of information to record are the kinds of relationship and the relevant date(s).

**Example**

De 1789 à 1897 les Archives nationales avaient leur administration propre qui a relevé successivement de la Maison de l'Empereur et du ministère de l'Instruction publique. Depuis 1897, elles sont gérées par la direction des archives de France rattachée au ministère de l'Instruction publique, puis au ministère de la Culture.

(For the French entry Archives nationales\*\*)

2.1.9 Other significant information

**2.2 Persons**

2.2.1 (Not used)

2.2.2 Names

Names by which the person may be known, other than that used in the authority entry

- a) other forms of the same name
- b) other names, for example, changes of names over time with their dates including pseudonyms, maiden names, etc.
- c) Names and prenominal and postnominal titles, e.g., titles of nobility, or titles of honour held by the individual.

**Examples**

- (a) Shakespear, Shakspere...

(For the UK entry Shakespeare, William\*)

- (b) Mary Wollstonecraft Godwin...

(For the UK entry Wollstonecraft, Mary\*)

- (c) first Duke of Wellington

(For the UK entry Wellesley, Arthur (1769-1852)\*)

2.2.3 Date(s) and place(s) of existence

Including date and place of birth, death or *floruit* dates. Indicate the context of each date and place by an appropriate qualifier, e.g., Born London 1832. Died York 1867. *fl.* 1637-1669. Where parallel systems of dating are used, equivalences may be recorded according to conventions or rules. Specify in an Archivist's Note (see 3.1) the system(s) of dating used.

#### 2.2.4 Places and/or geographical areas of residence

Information about the person's principal area(s) of residence. Indicate the context of the place by an appropriate qualifier, (e.g., Lived in Liverpool, 1934-1950).

#### 2.2.5 Nationality

Information about the person's nationality or citizenship, where relevant.

#### 2.2.6 Occupation, sphere of activity

Information about the person's principal occupation(s) and career; areas of activities in which the person participated; endeavours and enterprises undertaken, and significant actions or links. This element may also be used for any information about significant accomplishments or achievements, including honours, decorations and noteworthy public recognition. Include places and dates.

##### *Example*

Joint Secretary to the Treasury 1830-1832; Secretary at War 1833-1834.  
(For the UK entry Ellice, Edward (1781-1863)\* )

#### 2.2.7 Not used

#### 2.2.8 Relationships

Information that connects the person with any corporate body or other persons and/or families.

##### *Example*

Biographer of Samuel Johnson.  
(For the UK entry Boswell, James (1740-1795)\* )

#### 2.2.9 Other significant information

### **2.3 Families**

#### 2.3.1 Not used

#### 2.3.2 Names

Names by which the family may be known, other than that used in the authority entry

- a) other forms of the same name
- b) other names, for example changes of name over time with their dates

- c) names and prenominal and postnominal titles, e.g., titles of nobility or titles of honour held by successive members of the same family

***Examples***

- (b) Fitzhardinge family, later Berkeley family, lords of Berkeley, Gloucestershire
- (c) Egerton family, Earls of Ellesmere

**2.3.3 Date(s) and place(s) of existence**

Indicate the context of each date and place by an appropriate qualifier. Where parallel systems of dating are used, equivalences may be recorded according to conventions or rules. Specify in an Archivist's Note (see 3.1) the system(s) of dating used.

**2.3.4 Places and/or geographical areas**

Information about the family's principal area(s) of residence, land ownership, etc. Indicate the context of the place by an appropriate qualifier.

**2.3.5 Nationality**

Information about the family's nationality or citizenship, where relevant.

**2.3.6 Occupation, sphere of activity**

Information about the family's principal occupation(s), etc.; areas of activities in which the family participated; endeavours and enterprises undertaken and significant actions or links. Include, where relevant, places and dates.

**2.3.7 Family tree**

An appropriate diagram may be used to show the interrelationship(s) between members of the family(ies).

**2.3.8 Relationships**

Information that connects the family with other families, persons or corporate bodies.

**2.3.9 Other significant information**

**3. NOTE AREA**

**3.1 Archivist's Note**

*Purpose:*

To describe how the authority record was established.

**Rule:**

Include notes on sources consulted in establishing the authority record and other notes pertinent to the maintenance of the authority data.

**3.2 Rules or Conventions****Purpose:**

To identify the national or international conventions or rules followed in creating the authority information.

**Rule:**

Record the conventions or rules followed.

**Examples**

Agence française de normalisation *AFNOR NF Z 44-061* juin 1986 *Catalogage: forme et structure des vedettes noms de personne, des vedettes titres, des rubriques de classement et des titres forgés*

Agence française de normalisation *AFNOR NF Z 44-060* octobre 1983 *Catalogue d'auteurs et d'anonymes : forme et structure des vedettes de collectivités-auteurs*

Bureau of Canadian Archivists *Rules of Archival Description (RAD)*

Hensen, Steven L. (comp.) *Archives, Personal Papers, and Manuscripts, Second Edition (APPM)*

*Anglo-American Cataloguing Rules, Second Edition (AACR2)*

*Katalogiserings-regler för svenska bibliotek (1990) (URS, Sweden)*

**3.3 Date****Purpose:**

To indicate when this record was created.

**Rule:**

Record the date the entry was created and/or revised.

**Notes**

- 1 If an International Standard Authority Data Number were to be developed, this could be substituted for the identity code. When using a country code from *ISO 3166*, select either the alpha-2 or the alpha-3 code in accordance with the national use of the country for this application.
- 2 Because the form the authority entry takes depends on the convention or rules used, its abbreviated citation follows the example in brackets. The bracketed portion of the example is not part of the entry but should be recorded in element 3.2: Rules or Conventions.
- 3 In certain cases, notably in countries that have more than one official language, the agency responsible for the authority record may establish one or more alternative forms of the authority entry which are recognized as having parallel or equal status. This situation occurs most commonly with the names of corporate bodies which have more than one language and/or script form sharing the status of an official name. In such cases the agency may create more than one authority record, using as the authority entry the form of the name in each of the



different languages and/or scripts. Where this is not the case, a name in another language or script may be treated as a non-preferred term.

- 4 All examples are parallel entries for the same body or bodies which appear in the examples of 1.3. The numbers in parentheses after the rule(s) specification indicate to which body in the examples of 1.3 the parallel entry refers.
- 5 When, according to the national conventions or rules, a name change is considered to be a new entity, use 2.1.8 to record this name.

## APPENDIX

### Full Examples

#### *Corporate bodies*

An example of an authority record submitted by the United States presented in the components of the ISAAR(CPF) shown in the right hand column.

<p>US NA ORG95-1234</p> <p>Corporate body</p>	<p>1.1 Identity code</p> <p>1.2 Type of archival authority record</p>
<p>United States. President's Commission on the Accident at Three Mile Island</p> <p>Three Mile Island Commission</p>	<p>1.3 Authority entry</p> <p>1.5 Non-preferred term</p>
<p>US NA ORG94-5667; United States. President's Commission on the Accident at Three Mile Island. Office of the Director of Technical Staff</p>	<p>1.6 Related authority entry</p>
<p>The President's Commission on the Accident at Three Mile Island was established on April 11, 1979, by Executive Order 12130. The Commission's work ended on November 15, 1979, one month after the issuance of its final report.</p>	<p>2.1.3 Date(s) and place(s) of existence</p>
<p>Most of the work of the Commission was conducted in Washington, D.C.</p>	<p>2.1.4 Business location</p>
<p>The order establishing the Commission specified that it was "to investigate and explain [an]...accident [that occurred] at the nuclear power facility at Three Mile Island in Pennsylvania" on Wednesday, March 28, 1979. The Commission was empowered to hold hearings and depose witnesses, collect reference material, analyze data, and prepare reports.</p>	<p>2.1.6 Mandate, functions and sphere of activity</p>
<p>The Commission comprised twelve persons appointed by the President from among citizens who were not full time officers or employees in the Executive Branch. Commission members were: John G. Kemeny (who served as chairman), Bruce Babbitt, Patrick E. Haggerty, Carolyn Lewis, Paul A. Marks, Cora B. Marrett, Lloyd McBride, Harry C. McPherson, Russell W. Peterson, Thomas H. Pigford, Theodore B. Taylor, and Anne D. Trunk. The Commission held 6 open meetings and 10 meetings in executive session. Its work was supported by a staff organized in three offices: the Office of the Chief</p>	<p>2.1.7 Administrative structure</p>

Council, the Office of the Director of Technical Staff, and the Office of Public Information.

The Chairman of the Commission reported to the President of the United States. 2.1.8 Relationships

The Commission's final report, *The Need for Change: The Legacy of TMI, Report of the President's Commission on the Accident at Three Mile Island* (Washington, October 1979), included recommendations that led to changes in the Federal Government's activities relating to oversight of nuclear power plants. 2.1.9 Other significant information

This authority record was prepared by S. Thibodeau, National Archives and Records Administration, based on information contained in *The Need for Change: The Legacy of TMI, Report of the President's Commission on the Accident at Three Mile Island* (Washington, October 1979). 3.1 Archivist's note

The authority entry was formed in accordance with *Archives, Personal Papers and Manuscripts: A Cataloging Manual for Archival Repositories, Historical Societies, and Manuscript Libraries* (APPM) (Society of American Archivists, 1989). 3.2 Rules

March 26, 1996 3.3 Date

An example of an authority record submitted by France presented in the components of the ISAAR(CPF) shown in the right hand column.

pm [personne morale]	1.2 Type of archival authority record
Archives nationales	1.3 Authority entry
Archives impériales	1.5 Non-preferred terms
Archives royales	
France. Direction des archives	1.6 Related authority entry
SIRET 160 046 041 00010	2.1.1 Legal numbers
Archives nationales (1790-1800)	2.1.2 Names
Archives impériales (1800-1814)	
Archives royales (1815-1848)	
Archives impériales (1850-1870)	
Archives nationales (1870- )	
Création du service d'archives de l'Assemblée nationale le 29 juillet 1789; dénomination d'Archives nationales le 12 septembre 1790. Centralisation des archives publiques aux Archives nationales décrétée le 7 messidor an II (calendrier révolutionnaire)/ 25 juin 1794.	2.1.3 Dates and places of existence
60, rue des Francs-Bourgeois, Paris 3e, France	2.1.4 Business location
Service extérieur du ministère de la Culture à compétence nationale	2.1.5 Legal status

En application de l'article 5 du décret n° 79-1037 du 3 décembre 1979, les Archives nationales doivent assurer la collecte, la conservation, le traitement et la communication des documents « provenant des services, établissements et organismes publics dont la compétence s'étend ou s'est étendue à l'ensemble du territoire français. »	2.1.6 Mandate, functions and sphere of activity
Les Archives nationales comprennent le site parisien et quatre sites délocalisés : le centre des archives contemporaines de Fontainebleau (CAC), le centre des archives d'Outre-Mer à Aix-en-Provence (CAOM), le Dépôt central des microfilms à Espeyran, le Centre des archives du monde du travail à Roubaix (CAMT)	2.1.7 Administrative structure
De 1789 à 1897 les Archives nationales avaient leur administration propre qui a relevé successivement de la Maison de l'Empereur et du ministère de l'Instruction publique. Depuis 1897, elles sont gérées par la direction des Archives de France rattachée au ministère de l'Instruction publique, devenu ministère de l'Education nationale, puis au ministère des Affaires culturelles (1958), aujourd'hui ministère de la Culture.	2.1.8 Relationships
Une réorganisation des Archives nationales est en cours.	2.1.9 Other significant information
Cette notice a été élaborée par C. Nougaret, Archives nationales de France, à partir des ouvrages suivants :	3.1 Archivist's note
Direction des Archives de France, <i>Manuel d'archivistique</i> , 1970, p. 45-54.	
Direction des Archives de France, <i>La Pratique archivistique française</i> , 1993, p. 61-64.	
Norme AFNOR NF Z 44-060 octobre 1983 <i>Catalogue d'auteurs et d'anonymes : forme et structure des vedettes de collectivités-auteurs</i>	3.2 Rules or convention
12-12-1995	3.3 Date

### ***Personal Names***

An example of an authority record submitted by France presented in the components of the ISAAR(CPF) shown in the right hand column.

FR BN 000352731	1.1 Identity code
p [personne physique]	1.2 Type of archival authority record
Abbé Pierre, 1912 -... pseud.	1.3 Authority entry
Pierre, Abbé (1912-...) pseud.	
Grouès, Henri	1.5 Non-preferred terms
Henri Grouès adopte le pseudonyme « Abbé Pierre » en 1942	2.2.2 Names
Né le 5-08-1912 à Grenoble (Isère)	2.2.3 Dates and places of existence

Diocèse de Grenoble (1938-1945) ; Meurthe-et-Moselle (1945-1951) ; Paris (1951- ?)	2.2.4 Places and/or geographical areas of residence
Français	2.2.5 Nationality, citizenship
Capucin (1930-1938). Prêtre du diocèse de Grenoble (ordonné en 1938). Député de la Meurthe-et-Moselle (1945-1951). Fondateur de l'association Emmaüs (1949). Auteur de <i>Au nom de l'enfant</i> / Abbé Pierre [et al.], 1990.	2.2.6 Occupation, sphere of activity
<i>Who's who, France 1988-1989</i> : Pierre (Abbé), pseudo. De Grouès (Henri)	3.1 Archivist's note
<i>Annuaire du diocèse de Grenoble 1983</i> : Grouès (Henri)	
<i>Format INTERMARC (A). Notices d'autorité : manuel à l'usage des catalogueurs participant à la base BN-Opale</i> , Paris, 1992.	3.2 Rules or convention
Norme AFNOR NF Z 44-061 juin 1986 <i>Catalogage : forme et structure des vedettes noms de personne, des vedettes titres, des rubriques de classement et des titres forgés</i>	
5-09-1991	3.3 Date

### **Families**

An example of existing text in narrative form, which could either be incorporated directly into an authority record for the Coke family, or if preferred broken down into its relevant components, some of which are suggested in the right hand column.

The example is taken from *Principal family and estate collections: family names A-K* (HMSO, for the Royal Commission on Historical Manuscripts, London, 1996).

#### **COKE family, Earls of Leicester**

The Coke family owned land in Norfolk from the thirteenth century. Sir Edward Coke (1549-1633), Lord Chief Justice, added greatly to the Norfolk estates, inherited Suffolk property through his wife Bridget Paston of Huntingfield, and purchased estates in Buckinghamshire (Farnham Royal), Dorset (Durweston, etc.), London (Bevis Marks), Oxfordshire (Minster Lovell), Somerset (Donyatt) and elsewhere. His eldest son married a Berkeley, inheriting the property estate in Somerset. Property in Derbyshire, Lancashire and Suffolk was settled on, or acquired through marriage by a younger son of Sir Edward Coke, and used again thereafter to provide for a junior branch of the family.

Thomas Coke (1697-1759), created Earl of Leicester in 1744, married Margaret Tufon, co-heir of the sixth Earl of Thanet, and through her acquired the Dungeness lighthouse dues. He was succeeded by his nephew Wenman Roberts, who took the name Coke, and whose wife was heiress of Chamberlayne property in Oxfordshire and Warwickshire (Wardington and

1.3 Family name, epithet and title

2.3.3 Date and place of existence

2.3.4 Places of Residence and land ownership

2.3.8 Relationships

Long Itchington) as well as of the Denton family's estate of Hillesden in Buckinghamshire.

Out-county properties were sold and the estates concentrated in Norfolk between c1750 and 1820. On the sales of certain outlying Norfolk parishes on the Holkham estate in 1910-12, deeds, court rolls and papers from the Holkham muniments were transferred to the new owners of the properties.

2.3.9 Other significant information

*Estates in 1883*: Norfolk 44,090 acres, worth £59,578 a year.

### **Ad Hoc Commission on Descriptive Standards**

(Members shown without service years have been on the Commission from its inception in 1990.)

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