NOTTINGHAMSHIRE ARCHIVES

Cataloguing standards policy (revised Aug 2010)

1   Introduction

All cataloguing at Nottinghamshire Archives is undertaken to the highest professional standard. It is recognised that a repository is assessed by the quality of its catalogues and their ease of use both in hard copy and as electronic records. Every attempt is made to ensure that catalogue entries are consistent and intelligible to the public. This is reflected in the PSQG rating.

2   International standards

2.1   All cataloguing is based on the following standards:

- General International Standard Archival Description (ISAD (G))
- National Council on Archives: Rules for the Construction of Personal, Place and Corporate names
- International Standard Archival Authority Record for Corporate bodies, Persons and Families (ISAAR (CPF))

2.2   Guidance on subject indexing is taken from UK Archival Thesaurus (http://www.ukat.org.uk

3   Cataloguing using ISAD (G)

3.1   The following elements are considered mandatory for ISAD (G) compliance:

Reference code
Title
Creator
Date
Extent of the unit of description
Level of description

3.2 Collection (fonds) level on NA's version of CALM

3.2.1 At collection (fonds) level all the above in 3.1 are mandatory; the following additional ISAD (G) elements are prescribed by NA:
Repository
Accession number (recording the source of acquisition)
Scope and Content
Access status

3.2.2 The following elements, not mentioned in ISAD (G), are also prescribed by NA:
Alternative reference number
Catalogue status
Completion date
Archivist's initials

3.2.3 The following ISAD (G) elements are optional both for ISAD (G) and for NA:
Admin history
Custodial history
Cross references (under Related Units in ISAD (G))
Appraisal
Arrangement
Access conditions (default text)
Access category note
Reproduction note (default text)
Publication note
Originals
Related materials

3.2.4 The field 'Location' is not completed at this level.

3.3 Component level on NA's version of CALM

3.3.1 At component level the following elements are mandatory in ISAD (G) and therefore prescribed by NA:
Reference code
Title
Date
Extent of the unit of description
Level of description

3.3.2   The following additional ISAD (G) elements are prescribed by NA:
Repository
Accession number (recording the source of acquisition)
Scope and Content
Access status (only at the lowest level)

3.3.3   The following elements, not mentioned in ISAD (G) are also prescribed by NA:
Alternative reference number
Catalogue status

3.3.4   The following ISAD(G) fields are optional:
Cross references (under Related Units in ISAD(G)
Access category note
Closed 'til (only at lowest level)
Language
Publication note
Originals

3.3.5   The field 'Location' is also available but the data will be entered using the location menu and transferred to this screen.

Conclusion: Nottinghamshire Archives conforms to ISAD (G) for the cataloguing of its archival collections.

4   Indexing Places using the NCA Rules

4.1   There are no mandatory elements noted in the NCA rules, the guidance being given (§3.1.2) that 'A place name may comprise the following components as appropriate to the area described:
Place
Civil parish
Local administrative unit
County/wider administrative unit
Country'

It also suggests the use of grid references to avoid ambiguity (§3.1.3).

4.2   At NA the following are prescribed:
either Geographical feature eg Sherwood Forest
or   Non administrative area eg Portland estate
or   City/Town/Parish

and   County/Region eg East Midlands, Antarctica
and   Country

4.3   At NA the optional elements available are:

> Street
> Suburb/Township/Hamlet

4.4 When indexing documents dating pre-1500 the form of the place name as it occurs in the document should be used with a cross reference to its modern equivalent (based on § 3.2.1A).

4.5 Where county boundaries have changed, the county recorded should be the one contemporary with the document not the present-day one.

Conclusion: Nottinghamshire Archives complies with the guidance laid down in the NCA Rules for the indexing of place names.

5 Indexing Corporate Bodies, Persons and Families using the NCA rules and ISAAR (CFP).

5.1 <u>Corporate names (including administrative bodies)</u>

5.1.1 The mandatory elements in ISAAR (CPF) are
> Type of entity ie corporate name
> Authorised form of name ie the full indexing entry
> Dates of existence
> Authority record identifier; on CALM this is a unique number which is automatically generated.

5.1.2 In the NCA Rules there are no mandatory elements the Rules stating that index entries may contain some or all of the following (§4.1.2A):
> Name of corporate body
> Name of jurisdiction or territorial authority
> Name of subordinate body
> Additions and qualifiers

5.1.3 At NA the following elements are prescribed:
> Type of entity ie corporate name
> Name of the corporate body ie business, administrative area etc
> Dates of existence (minimum compliance being a century)
> Authority record identifier

The first and last of these are generated automatically on CALM.

5.1.4 At NA the following elements are optional:
> Parallel entry
> Nationality
> Relationship

5.1.5   The name of any company used in the index should be that used at the time of the creation of the documents or the latest name of the company in a series of records, with suitable cross references (NCA Rules §4.2.3).

5.1.6   Similarly the name of the administrative body at the time of the creation of the document should be used as the indexing term.

Conclusion: Nottinghamshire Archives complies with the guidance laid down in the NCA Rules for the indexing of corporate names and conforms to the requirements of ISAAR (CPF).

5.2   Persons

5.2.1   The mandatory elements in ISAAR (CPF) are
                Type of entity ie personal name
                Authorised form of name ie the full indexing entry
                Dates of existence
                Authority record identifier; on CALM this is a unique number which is automatically generated.

5.2.2   In the NCA Rules the mandatory elements are (§2.1.2A):
                Surname
                Pre-title (mandatory where applicable)
                Forename (mandatory where applicable)
                Additional elements of name (mandatory where applicable)
                Dates

5.2.3   At NA the following elements are prescribed:
                Type of entity ie personal name
                Surname
                Forename/initial
                Dates of existence: full dates are mandatory for persons of national importance and members of the aristocracy; for other persons the minimum requirement is a floruit date or a century
                Authority record identifier

        The first and last of these are generated automatically on CALM.

5.2.4   At NA the following elements are optional:
                Pre-title
                Title
                Epithets (although wherever possible a place eg 'of Lowdham' should be entered here)
                Gender
                Parallel form of name
                Other forms of name
                Dates and places

History (formerly nationality)
Relationships

Conclusion: Nottinghamshire Archives conforms to the requirements of both the NCA Rules and ISAAR (CPF) for the indexing of personal names.

5.3   Families

5.3.1   The mandatory elements in ISAAR (CPF) are
Type of entity ie family name
Authorised form of name ie the full indexing entry
Dates of existence
Authority record identifier; on CALM this is a unique number which is automatically generated.

5.3.2   In the NCA Rules the mandatory elements are (§2.6.2):
Name
Epithet 'family'
Title or occupation (mandatory where applicable)

5.3.3   At NA the following elements are prescribed:
Type of entity ie family name
Family name
Dates of existence (minimum compliance being a century or a floruit date)
Authority record identifier

The first and last of these are generated automatically on CALM.

5.3.4   At NA the following elements are optional:
Title or occupation
Territorial designation
Parallel forms of name
Dates and place: this is used for families of note who are associated with a particular estate
History (formerly nationality)
Relationships

Conclusion: Nottinghamshire Archives conforms to the requirements of both the NCA Rules and ISAAR (CPF) for the indexing of family names

6   Caveat concerning the use of full dates and centuries

6.1   For personal names under the NCA Rules and for personal, family and corporate names under ISAAR (CPF), NA fulfils all the requirements

except in the use of **full** dates for **all** entries, a requirement which appears in both standards.

To put this into context, the NCA rules state:
> *'The primary purpose of these Rules is to assist…in forming names for persons, places and corporate bodies which are unique and readily identifiable by users'* (§ 1.2.3) and
> *'A personal name is constructed…so that the person can be identified with certainty and distinguished from others bearing similar names'*
> *An individual should only have one authorised form of name and each name should only apply to only one individual. In cases where it is unclear whether or not an existing authorised name applies to the person being described, another containing a distinguishing component must be created.'*(§ 2.1.2B)

6.2   It is unfortunately impracticable for collections held by a county record office to be indexed with every name being entered as an identifiable person rather than just as a personal name; without extensive research in parish registers etc it is not possible to attach a personal name to a particular unique individual (and even then it may prove impossible). As Appendix 1 of chapter 2 of the Rules clearly shows the Rules were drawn up with well-known persons in mind; ie those who would be found in major reference books eg the Dictionary of National Biography etc.

6.3   Therefore the compromise has been adopted of making the provision of dates for the names of persons of significant international, national or local note prescriptive, while other names have been qualified with a floruit date or a century based on the documents being listed. For the researcher this has the benefit of narrowing down the number of matches obtained when interrogating the catalogue to just those at a certain period of time. In the latter case the index needs to be considered as an index of names rather than an index of people.

6.4   This complies with the NCA Rules and ISAAR (CPF) which were both drawn up to address the indexing of specific people, rather than the indexing of names.

7   Indexing subjects/terms

7.1   There are several national and international subject thesauri available: viz:
- Unesco (United Nations Educational, Scientific and Cultural Organisation)Thesaurus (http://databases.unesco.org/thesaurus/) as used with A2A
- UK Archival Thesaurus (http://www.ukat.org.uk) which is based on the Unesco Thesaurus and can be imported into CALM.

- AIM25 Subject Thesaurus
  (http://www.aim25.ac.uk/search/thesaurus/)
- Library of Congress Subject Headings
  (http://www.archiveshub.ac.uk/lcsh/)

7.2   Being national or international indexes these are often too broad in their concepts or too detailed for use in a local repository; eg UKAT based on UNESCO has 10 narrower terms under the broad term 'television' which in turn comes under Information Industry. In a local record office, 'television' as a term on its own is considered sufficient. Obviously if a repository had the papers of the BBC then a broader set of terms would be required.

7.3   The present subject index used at Nottinghamshire Archives is not truly hierarchical although the attempt was made in the 1980s to give it some structure. The terms included are based on the holdings at the time. It will continue to be the basis of the subject index with terms being added to it as required, using the UK Archival Thesaurus (UKAT) as a guide.