1 Background

1.1 Chinese Characters

Diffusion of Chinese Characters
Writing systems of East Asia have been based on Chinese characters (scripts) formed around 3rd century BC, and became the basis of writing systems in the region. Each Chinese logographic (ideographic) character has meanings and readings that evolved through ages and geographic variations. The languages of China, Japan and Korea are different but all use Chinese characters under their own language conventions. The Chinese character is so robust in its logographic and semantic features that written materials can be commonly assimilated in the region. However, over the time and space, Chinese characters have evolved in China, Japan, Korea and Vietnam with variations in shapes and meanings tailored to local language conventions.

In China, the Government introduced simplified Chinese characters in 1956 for the national literacy policy. It imposed a vast impact of character conventions in neighboring countries. The shapes of simplified characters maintain the original forms of radicals therefore both people in Korea and Japan is able to assume the original characters.

Movable type printing was invented in 1234 AD in Korea. Hangul, the Korean phonetic alphabet, with originally 28 characters, was established by Sejong the Great of the Yi dynasty in 1443 AD. Hangul became the national characters of Korea after the World War II. There are differences in Hangul between the South and the North Korea.

It is believed that Dr. Wang In, a Korean monk, brought the Analects of Confucius and the Thousand Characters Text -a primer of Chinese characters into Japan in 285. Local developments were made to derive phonetic symbols of 48 Kana, based on Japanese pronunciations of Chinese characters, and it became the basic component, together with Chinese characters, of the Japanese writing system over the time.

The total number of Chinese characters is thought to be about 100,000. Variant shapes of Chinese characters exist in each language. New Chinese characters are constantly created by combining radicals for personal names especially in Hong Kong. However, the number of domestic creation of Chinese characters in Korea and Japan remain less than 100 in each
language after 1,700 years. Learning Chinese characters to master up to newspaper reading (3,000 characters in case of the Japanese language) takes a long time.

**Chinese Characters on Computers**

Computer diffusion in East Asia has been phenomenal especially since 1995\[2\]. Computer development work started in 1950s in each country. Until around mid 1970’s, Language support was unavailable in each country because of multi scripts and the large number of characters in the East Asian languages. Character codes/sets for local languages were necessary for national (natural) language processing. In terms of software applications, the Western products were localized in the early stage. It should be noted that Chinese characters are commonly used in three languages but the language and convention are different between one another. The fundamental characteristics of Chinese character are its open-end nature, i.e. new characters can emerge by government policy, by voluntary addition, or by mistake. Thus it is theoretically impossible to get a complete set of Chinese characters in each language. In the last 30 years of the 20th century, efforts were made to establish standard character code/set in three languages. During 1970s, all three countries established national standards for computer character sets in one byte based on ASCII, followed by the development of national standards of domestic Chinese characters in two bytes. They are Japanese JIS C 6226 in 1978, Chinese GB 2312 in 1980, Chinese (Taipei) CNS 11643 in 1986, and Korean KS C 5601 in 1987. CCCII code created in Taiwan in 1980 became the East Asian Common Character (EACC) by the US Research Libraries Group (RLG) and others, and then became ANSI Z 39.64: 1989.

In the computer industry, de facto standards are common practice. The Big 5 was developed in Taiwan in 1984 for Chinese characters, and the Shift JIS code was developed for Japanese PCs during 1970’s. Both de facto standards are widely used.

The publication of the Unicode 1st edition in 1980 and UCS (Universal Character Set: ISO 10646) in 1993 gave an impact to the computer industry, consumers, the governments in the East Asia, and worldwide users of Chinese character (or East Asian languages) have been involved\[3\]. The three governments made a tremendous effort to harmonize the development of Unicode, ISO/UCS and national standards of computer character sets. In the beginning of the 21st century, it seems that the technical harmonization is achieved among the Unicode, UCS and the national standards. The next step is the change over to the Unicode/UCS environment among users. It is estimated that a company-wide change over of the character codes in big companies needs investment in a scale of several million USD.

**1.2 National Bibliography Databases and Library Networks**

**National MARCs**
Computer capabilities of national (natural) language processing made possible the creation and maintenance of national bibliography databases (MARC) in East Asian national languages. They are the China MARC, Japan MARC and the KOR MARC. House keeping processing, typically circulation control function, was started during 1970’s.

The National Diet Library (NDL)\(^4\), Tokyo, founded in 1948, is the national parliamentary library under the management of the legislature. It started to computerize its operations in 1970. Prior to the Japan MARC distribution in 1981, the cataloging system for Japanese materials (1977), and weekly list printing (1978) were implemented in NDL. The Japan MARC is IFLA UNIMARC-compatible and covers 2.7 million catalog records since 1864. Web OPAC of NDL holdings is one of the most popular Web sites. The second NDL, the new Kansai-Kan was opened in 2002 in Nara near Osaka.

The National Library of China (the Beijing Library)\(^5\), established in 1909, now holds 23 million items, started computer utilization in the middle of 1980’s and established the China MARC production in 1990. China MARC format is IFLA UNIMARC compatible, and was established as a cultural professional standard (WH/T 0503-96) in 1996. The China MARC database covers 1.1 million bibliographic records of Chinese books published since 1979.

The National Library of Korea (NLK)\(^6\), Seoul, established in 1945, started computerization of bibliographic services in 1976, backed by the government plan of computer application for administration, and the KOR MARC printed card distribution was started in 1983. The number of the KOR MARC is 4.1 million records in 2001. Its format is a national standard (KS X 6006-2), US MARC-compatible, and covers 1.8 million bibliographic records, and is being operated on KOLIS system (KOrean LIbrary System) based on the Windows system. NLK has run the Korean Library Information Network (KOLIS-NET) since 1991. The Digital Library Program was started in 1998 and holds 59 million pages of scanned images.

**National MARC Authority Files**

The National Diet Library, Tokyo, started the Japan MARC Authority file distribution service in 1997, and began the distribution in CD-ROMs in January 2001 with 60,000 records. NDL studied the IFLA UNIMARC (A) in detail and added data elements to meet their own needs such as the Notes for Dates (birth/death, establishment/abolition) as 301, and the Notes for Kanji (character) as 831.

The National Library of China established the China MARC (CN MARC) format based on the UNIMARC Handbook 1983, and the "China MARC Format / Authority 1990" was established in 1990 based on UNIMARC Authority 1991. Both formats were revised in 1998. The number of distributed name authority records is 300,000 by 2001.

The National Library of Korea established the name authority format in 1999 based on the US MARC Authority, and started input in 2000. The number of the KOR MARC Authority is 60,000. Authority files exist among universities and large public library systems in Korea because computer application was started in 1980’s. The total number of these authority records
exceeds 1.15 million. Harmonization between KOR MARC Authority and these existing authority records will be a task of the immediate future.

<table>
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<tr>
<th>National MARC Authority files</th>
<th>No. of records in 2001</th>
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<td>Name Authority File Creation</td>
</tr>
<tr>
<td>Japan MARC</td>
<td>1997</td>
</tr>
<tr>
<td>China MARC</td>
<td>1998 ?</td>
</tr>
<tr>
<td>KOR MARC</td>
<td>2000</td>
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</table>

**Library Networks**

Bibliographic utilities were developed in the region during 1980s and 90s. They are NII/NACSIS (Japan)\(^7\), KERIS (Korea)\(^8\) and CALIS (China)\(^9\) among others. The common feature is that these three organizations were established primarily for academia and maintained by government fund and for non-profit. Also the academia or higher education institutions in each country are being subject to reformation process by the governments. And the reformation affects the future development of these bibliographic utilities.

In 1984, a shared cataloging system was installed in Japan, which became NACSIS-CAT. It was designed on a relational database system based on the entity-relationship model. As of 2001, 1,200 libraries of 900 universities among 1,200 higher education institutions in Japan are participating in NACSIS-CAT that holds 6.1 million bibliographic records and 58.6 million holding records. The annual growth is slowly decreasing as the total amount of the database system becomes larger. It is expected a few hundred thousand records are added to the name authority file annually. Reference MARCs are also offered such as US MARC Authority (3.4 million) as well as Japan MARC Authority (320,000). NACSIS/NII offers online shared cataloging system, ILL requests transfer, online journal (scanned journal articles), and Web-Cat. NACSIS was transformed to the National Institute of Informatics (NII) in 2000.

In 1994, the Korea Research Information Center was established by the Ministry of Education and transformed into the Korea Education and Research Information Services (KERIS) in 1999. The mission of KERIS is development, management, and provision of education and research information on a national level such as (1) management of Research Information Sharing Union, (2) management of the integrated retrieval system, (3) digital thesis collection and service, (4) development of research information meta DB, and (5) management of the inter-library loan system (L2L). KERIS has not developed any original authority control function yet, and continues surveys on authority databases of its core participating universities among 155 member libraries. As a result of 20 years development of individual library systems, there exists variation of format, description rules, and data contents. 155 university libraries are participating in the KERIS system in 2001 with a total of 5.4 million bibliographic records. It seems that KERIS system needs some time until it establishes an integrated authority systems.
In 1998, the China Academic Library and Information System (CALIS) was established by funding of the government with 70 participating university libraries and core subject-centers at the Beijing University, the Tsinghua University, the China Agriculture University and the Beijing Medical University as well as seven regional sub-centers covering the whole country. CALIS’ missions are shared cataloging, ILL, document delivery, document digitization, the Internet portal, online journal licensing consortium, among others.

**International Utilization of National MARC databases**

Utilization of the US MARC in the Far East was started in the middle of 1980’s such as by the National Diet Library and NACSIS/NII. Mutual utilization of the source MARCs of the Far East countries had just started in the beginning of 2000’s because of slow development processes of national bibliography databases as well as the development speeds of domestic national network for bibliographic information, together with the progress of computer processing of national (natural) languages among these countries. For example, NACSIS/NII installed the China MARC in January 2000, and the KOR MARC in February 2002 as reference source MARCs in its system. It took 5 years to start the service after setting up a feasibility study committee in 1995.

1.3 How Personal Names are displayed in Neighboring Countries

Translation is a common practice for paper publications. Author names appear in different languages. Or, one person appears in newspapers in various countries in different forms of local languages. This presents a task for bibliographic control. The name of a person is transcribed into different script systems. A typical example is a Chinese poet, most probably his name was written in the old Chinese script. His name appears in the art column of newspapers magazines, or scholarly publications in foreign languages in translated form, transcription, Romanization, as well as in modern Chinese scripts of domestic conventions.
One author, however, would appear in three databases of China, Japan and Korea. For example, the name of a Japanese novelist, AKUTAGAWA Ryunosuke, appears in three languages because of his original and translated works. In Japanese bibliographic databases, his name is assigned a variety of data strings.

Similar example of "KUROSAWA Akira" is shown in Appendix 1. If his work is translated into the Chinese language, then a record could be added with data for Chinese users:

- Chinese characters used commonly in China
- Romanization in the standard Chinese (Pin Yin)
- Chinese character in Japanese original way if available
- Original Japanese data (additional)

The same happens in Korea. For Korean uses, this record is assigned Korean script of Hangul and Korean readings of foreign names, etc. Chinese and Korean authors appear in foreign language databases in a similar manner without standard rules and conventions. An example of Korean name appearing in the Japanese language is shown in Appendix 2. Other examples, prepared by YONEZAWA Makoto are shown in Appendix 3. These variant forms or variations are drastically increasing, and creating a lack of integrity for retrieval precision.

**Sources of Appendix 3 examples**

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<td>3-5</td>
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2 Three Workshops

National Institute of Informatics hosted three workshops were held in Tokyo entitled "Authority Control among Chinese, Korean and Japanese Scripts (CJK Authority)" supported by National Diet Library (NDL), Japan. The 1st and 2nd workshops were a part of an international research program entitled "International Sharing of Japanese Information" funded grant-in-aid by the Japanese Ministry of Education, Culture, sports and Technology for fiscal year 1998 through 2000. The third workshop in March 2002 was supported by NII initiative as part of the leadership program.

2.1 Aims, Scope, and Project Target

The aim of this project is to pursue a standardised or harmonised cumulating of the name authority data of Chinese, Korean and Japanese language in other countries. Focus of the workshop is "Name." Names are, in the first instance, "Author Name". In future if the project factors allow, there will be coverage of proper nouns used locally in other countries. The target of this project is a "CJK Interchange Format of Authority Data" that conforms to the IFLA UNIMARC Authorities Format.

2.2 Time and Reports

Time and reports of three workshops are listed below:

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<thead>
<tr>
<th>Time</th>
<th>Date</th>
<th>Report</th>
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<tr>
<td>1st</td>
<td>January 10-11, 2001</td>
<td>Record of Workshop…compiled by YONEZAWA Makoto (ISBN 4-924600-97-0)</td>
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2.3 Participants
Five East Asian national libraries and national bibliographic utilities explored the way for sharing bibliographic information among the region. For more than the last two decades, these institutions have been creating national bibliography and national union catalogs through computer networks, and shared similar situations and demands: a large number of characters, different shapes of the same character, font problems, pronunciations and semantic variations. Ms Marie-France PLASSARD (IFLA UBCIM) was invited to the 2nd Workshop, and Dr. Barbara B. TILLETT of the US Library of Congress was invited to the 3rd Workshop. The invited participants are as follows:

- National Library of China, Beijing
- National Library of Korea, Seoul
- Korean Education and Research Information Services (KERIS), Seoul
- National Diet Library, Tokyo
- National Institute of Informatics (NII), Tokyo

2.4 Development

The target of the project is a CJK Interchange Format that conforms to the IFLA UNIMARC Authorities Format. However, domestic conditions are all so different among these three countries that it is not so simple and easy a task to design a common format for meeting the demands that exist in three countries. The primary task of the workshop was to find and understand facts about one another.

In the first meeting (January 10 and 11, 2001), the participants carried out the fact-finding on institutional operation on authority control. However, the status of computer applications, the degree of domestic networking, and the development of shared cataloging systems among three countries were so different that the fact-finding was not as simple as expected. This also characterized the keen importance of this kind of professional meeting among the neighboring countries to maintain expert knowledge and professional discussion among the staff with the responsibility to maintain the authority control systems. The first meeting was also characterized by the fact that the entire participants did not share a common methodology or common work target. By the end of the first meeting, as there was a possibility to hold the second workshop, a homework was proposed to collect authority records of 10 authors from each language (total of 30 authors) in the database of the participating institutions for comparing them in the second meeting.

In the second meeting (March 28-29, 2001), a comparative study was carried out for 30 authors. The membership was maintained participants were the same as the first meeting. Mrs. Marie-France Plassard of IFLA UBC/IM was invited to give a presentation about the current status of IFLA’s promotion of authority control activities.
In 2001, after the two workshops, there was a difficult situation in and outside of NII for holding the Workshop 3. However, with the strong support by Dr. SUEMATSU Yasuharu, Director General of NII, NII managed to host the Third workshop in March 2002, in only less than a year since the Workshop 2. Therefore, it is too early to expect possible outcome of the cooperative activity. In the Workshop 3, the participants are to prepare "Situational Report" of their organizations. As the workshop recognized the implication of IFLA activities, Dr. Barbara B. TILLETT of the US Library of Congress was invited to give a presentation on the IFLA’s direction.

These are the development processes of the three workshops held in January, March 2001 and March 2002. So far, it was the first time for these institutions to get together at the expert staff level as well as to exchange facts and practices about how to share the common national task of bibliographic data integration. At least common ideas are shared of the responsibility, functions, future directions and the reality of counterparts. Standardization of this practice shall be the future task, but the time factor presses very hard because database creation in these three countries are so rapid that tremendous variations of data description are being created without coordination and control.

3 Future Tasks

3.1 Organizational Establishment

The expert meeting may not have been the first of this sort; however, it was the first time to hold a regional meeting of staff in charge of authority control. There are organizational principles and conventions among each country in the Far East, and there was a fear of creating organizational derangement. Also there are historical memories of the 19th and 20th centuries. There was an anxiety of political danger in the meeting for discussing names as one of core elements of cultural and political significance although in reality names are being used and exchanged in the region.

Furthermore, an expert meeting does not produce an immediate result. It depends intensively on organizational ecology. But the three expert meetings may have introduced a step towards the evolution of awareness. The meetings can be recognized as an opportunity to share knowledge such as technical contents, administrative elements, international and regional status, and it can also be recognized as a touchstone for modernizing and internationalizing organization management among institutions concerned.

3.2 Mutual Understanding by Staff
National libraries in the Far East, as those in any other region, have national responsibilities that it is rightful to administrate in domestic orientation. At the same time, a national library carries out national responsibility by having international views, perceptions, and opinions. This also applies to national bibliographic utilities, too. National institutions can bear national responsibilities by executing international roles.

It is assumed that the Internet revealed that the domestic responsibility synchronizes with the international role. This means that it is necessary for staff to sharpen consciousness on international trends for carrying out national responsibility. In this regard, it is a basic task for the staff to get acquainted with the counterparts in neighboring countries and maintain mutual understanding.

3.3 Possible Solutions in the Near Future

Directions of authority control are diverse, and greatly depends on technological foundations and financial conditions. The following possibilities can be listed from a professional viewpoint.

- Author name authority file is a unique database that is created by national bibliographic agency or by national bibliographic utility.
- The primary purpose of author name authority file is, currently, to maintain the integrity of bibliographic information, i.e. to maintain integrity among national bibliographies and national union catalogs.
- Potential of the author name authority file is high for secondary use, i.e. the application/usage of the file may be increased by linking with other databases such as journal articles, and biographical directory. This possible linking device would increase social responsibility of the profession.
- Technical direction of the author name authority control may depend on the adjustments to of the Internet application, the entity-relationship model, and the object-oriented model.
- The experience of creating and maintaining author name authority is unique to the profession, and it forms a basic skill for management of recorded knowledge. The skill can be applied to construction and linking work of quality knowledge base.
- The Name Authority Control requires a universal approach not limited to one language, and it is being pursued in many cases. The profession shall understand the policies and practices of data-producing agencies in other countries.
# List of Presentations

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<td>Barbara B. TILLETT (LC)</td>
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Appendix 1: Japanese Personal Name

Appendix 2: Korean Personal Name in Japanese Usage
Appendix 3: Sample of Name Authority Records from East Asia

Appendix 3-1: Japan MARC created by the National Diet Library, Tokyo

001 00001509
005 20001071503000.0
100 $a19790401ajpnj0112 da
152 $aNCR
200 1$6a01$a芥川$b鴫之介
200 1$6a01$7dc$aアクタガワ,$bリュウノスケ
200 1$6a01$7ba$aAkutagawa,$bRy'unosuke
300 0 $a号: 澄江堂主人
300 0 $a号: 寿陵余子
300 0 $a俳号: 我鬼
301  $a1892—1927
400 1$6a02$aあくだがわ$bりゅうのすけ
400 1$6a02$7dc$aアクタガワ,$bリュウノスケ
400 1$6a02$7ba$aAkutagawa,$bRy'unosuke
400 1$6a03$a芥川$b龍之介
400 1$6a03$7dc$aアクタガワ,$bリュウノスケ
400 1$6a03$7ba$aAkutagawa,$bRy'unosuke
400 0$6a04$a澄江堂主人
400 0$6a05$a寿陵余子
400 0$6a06$a我鬼
801 0$aJP$bND$L$c20001122
810  $a生きることへの懸疑
810  $a根拠 大人名事典
830  $a作家
Appendix 3-2: NACSIS Union Catalog Database Record, Tokyo

Appendix 3-3: KORMARC created by the National Library of Korea, Seoul

001 KAC199631100
005 20001223101355
008 960908 n aznnnabbn a a a a
040 ▼a011001▼c011001
100 1 ▼a아쿠타가와 류노스케, ▼d1892-1927
400 1 ▼a개천용지가=▼h芥川龍之介, ▼d1892-1927
400 1 ▼aAkutagawa, Ryunosuke, ▼d1892-1927
678 ▼a일본작가

Appendix 3-4: Name Authority Record created by the Seoul National University Library, held at KERIS, Seoul

ID = DA00187353
CRIJD = 19860624
SOUCE = JP
MARCID = IN0000384X
RNWDT = 19911212
HEADG = 芥川, 龍之介(1892-1927)
HEADGR = アクタガワ, リュウノスケ
TYP = p
TIM = 1892-1927
SEEFM = 芥川, 龍之介(1892-1927)
SEEFM = *Akutagawa, Ryunosuke, 1892-1927
SEEFM = Akutagawa, R., 1892-1927
SEEFM = Актуагава, Р., 1892-1927
SEEFM = アクタガワ, リュウノスケ
SEEFM =
SEEFM =
SEEFM =
Appendix 3-5: Name Authority Record created by the Yonsei University Library, held at KERIS, Seoul

100 1 ▼a거래현용지개▼h芥川龍之介
400 1 ▼aアクトガワ, リュウノスケ
400 1 ▼aAkutagawa, Ryu'nosuke
400 1 ▼a아부타가와, 류노스케
400 1 ▼a아부타가와, 류노스케

Appendix 3-6: China MARC Name Authority Record created by the National Library of China, Beijing

00564nx###2200181a##45##
001 A9801495
005 ## 19971201120120.0
100 ## $a19971201achiy0110####ea
200 #0 $c(日)$a芥川龙之介
    $f(1892~1927)
200 #0 $7ba$ajie chuan gui zhi jie
300 0# $a小说家。别号柳川隆之介、寿
    陵余子、我鬼等。著有《地域
    变》、《玄鹤山房》等，出版《芥
    川龟之介全集》凡20卷。
400 #0 $6a01$a柳川隆之介
400 #0 $6a01$7ba$saliu chuan long zhi
    jie
400 #0 $6a02$a寿陵余子
400 #0 $6a02$7ba$sashou ling yu zi
810 ## $a日本人物辞典

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[2] Windows 95 was released in 1995. It can be recognized as the preceding background, that national information policies arrived around 1995 at a certain stage that has passed the initial phase in the Far East countries.
[10] This part was delivered at AFSIT-15 November 7-8, 2001, Katmandu, Nepal in "Identification, Integration and Links for Recorded Knowledge: standards, standard frameworks for accessing"
YONEZAWA Makoto, (Tohoku University Library, E-mail: yonezawa@library.tohoku.ac.jp). Entries are included in the main report. YONEZAWA Makoto [and OGIWARA Hiroshi] ed., "Record of Workshop on Authority Control among Chinese, Korean and Japanese Languages." NII. April 2001, 326 p. ISBN 4-924600-97-0