OLAC/CAPC Task Group on Treatment of Non-Human Entities, etc.

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CAPC is distributing the following proposal for comment. We'd like to see whether you think this is a worthwhile change to pursue and whether it would impact your work. Can you think of any more pros and cons?

While most personal names are in the Name Authority File (NAF) and are formulated according to AACR2, there are categories of names which are established according to subject cataloging rules (SCM, the Subject Cataloging Manual) and are tagged as topical subjects rather than as names. These are animals, imaginary or legendary characters and deities. This leads to confusion over tagging, particularly when the existence or non-existence of the bearer of a name is unknown or difficult to ascertain. The task group therefore recommends:

Have all names of animals, imaginary or legendary characters and deities tagged 100 in the authority records, but formulated according to subject rules and residing in the subject file (and used as 600 in bibliographic records).

Pro:

- Most rules are already in the SCM
- Greater flexibility in changing rules
- In systems which have a search labeled Name instead of Author, these names could be searched in the Names file. One could theoretically even have "Name as Subject" search
- Would also solve some long-standing confusion for catalogers in figuring out which categories of names are tagged as names (biblical characters, quasi-legendary persons such as Homer, Aesop, Menes, King Arthur, saints of dubious authenticity like Saint Christopher) and which are tagged as subjects (real named animals, imaginary characters, legendary characters like Queen Guinevere and Santa Claus but not Nicholas, Saint). There has also been concern expressed from time to time on AUTOCAT that LC's policies are Judeo/Christian-centric in regards to the tagging of name headings.
- Could cross reference some heading which by policy cannot have references now (Santa Claus and Nicholas, Saint, Bishop of Myra for example)
- Could coordinate with ARLIS on their similar building proposal

**Con:**

- Would only be able to use the names as subjects, not added entries
- Irrelevant in most systems
- Current headings would need to be retagged and would need their qualifiers subfielded as $c$
- Will still be some problem headings (how about God-is that a name or not? Jehovah is a cross reference to God-Name, and Allah is a cross reference to God (Islam))
- Need to change H405 division of the world and examples in SCM
- Would still have some names created under AACR2 and some created under subject rules (could investigate the possibility of changing the subject rules to be compatible with AACR2 name formulation and could tag names according to MARC 100 instead of MARC 150 rules)

**Background Information:**

Nancy Olson's original proposal recommended that rule changes be proposed to CC:DA to allow the names of puppets, animals, animated characters, robots, and other non-human characters appearing primarily in motion pictures and television productions be traceable as added entries rather than subjects. She also brought up the related issue of characters in literature. Currently all of these names are created under LC's Subject Cataloging Manual (SCM) rules rather than AACR2, so by definition cannot be used as added entries. We consulted with Martha Yee on this issue, and she agreed with Nancy Olson that patrons think of these names as names akin to those of actors, and would be unlikely to look for them in the subject file. She also added that in a catalog which uses the term "Name" rather than "Author" for its author searches, a patron would not be unreasonable in thinking that all names were included in the "Name" file.

Though the task group agreed that all person names be tagged as names, we found the rest of the Olson proposal more problematic.

Upon reviewing these issues, the task group members could not find a rationale for considering the names of characters to be appropriate added entries. Such characters are created and controlled entirely by human beings and are, therefore, imaginary characters, even when embodied by a puppet, animated character, or a robot with an actor's voice. Therefore, we recommend that these continue to be used as subjects-
though tagged as 600 rather than 650.

However, we did agree that animals are actual beings capable of some limited authorial functions—acting, painting, and in the case of some signing apes, the functional equivalent of limited speech. In addition, some actual animals have been credited as authors, though these are fictitious attributions (Millie the Dog, Sneaky-Pie Brown). Technological advances in artificial intelligence or space exploration could theoretically create new categories of non-humans capable of creative activity. Regretfully, however, there are difficulties in making this policy workable. It seems relatively rare that such a rule would be used and much hair splitting involved in deciding when it is appropriate. Details are provided below.

We would like to note that ARLIS has been pursuing a similar change with named buildings—wanting them all to be tagged as corporate headings rather than split between corporate and subject. LC would not consider an RI because AACR2 did not currently cover buildings which were not also actual corporate bodies, so ARLIS is now working with the SAC to get LC to make changes to the SCM and H405 to tag them as 110 even when they are governed by subject rules (though some in their group still feel strongly about using name rules and want to pursue that eventually).

However, we also note that since AACR2 is going through a complete rewrite, this would be an appropriate time to work in a major conceptual change in expanding the types of names covered by the rules and expanding the categories covered by added entries.

The task group provided CAPC with two alternative proposals, with pros and cons of each, along with our formal recommendation. CAPC agreed with the task groups recommendation and asked that it be made a formal proposal. For background, here are the alternative proposals:

**Have animal names governed by name rules (AACR2) and able to be used as added entries when appropriate, but imaginary names covered by subject rules, all to be tagged 100.**

**Pro** (see recommended proposal above, plus):

- Animal names could be used as descriptive entry points (main or added entry) when appropriate, as well as subjects
- Would conform to the same rules as most names (since most are AACR2)
  - Could be created by NACO catalogers instead of going through SACO—faster and more cost-effective

**Con** (see recommended proposal above, plus):
Would need to add rules to AACR2, involving long editorial changes
  o Add something to 22.1 explaining that persons may include non-humans (such as individual named animals)
  o Add a rule for individually named animals (this should be probably be another numbered section following either 22.14 or 22.16, which would require the renumbering of the rest of the section)

Low Utility
  o The cases of prominently billed animal performers in films occurs very seldom after the early 1930s
  o The task group has failed thus far to find an exhibition catalog by a single animal artist or work by a signing ape

Difficult to decide when to use and may involve research to establish whether an animal name is a real one, pseudonym, or a character
  o It may be difficult to distinguish between animals which are true actors (performing under their own names, i.e. the original Rin-Tin-Tin), and named animal characters (i.e. fictitious characters) which may be enacted by a number of different, often unbilled animals (Lassie, the later Rin-Tin-Tin). Animal actors are frequently unbilled, or billed under the name of their character instead of their real name, particularly after 1930 or so. Though one could conclude that the acting dog "Skippy", who was billed as "Asta" (his character's name) in the Thin Man movies of the 1930s was acting under a stage name of "Asta," he is unbilled in his often prominent performances in other films.
  o It isn't always easily discernable whether animals as "authors" are real or not. Millie the White House dog was a relatively simple case, but it took some research to establish that Sneaky-Pie Brown is a real cat, especially as she behaves within the books like a fictitious character.

Have all names of individuals of all sorts governed by name rules (AACR2) and reside in the Name Authority File.

Pro:
  • Could be used as descriptive entry points (main or added entry) or subjects
  • Would conform to the same rules as most names (since most are AACR2)
    o Could be created by NACO catalogers instead of going through SACO--faster and more cost-effective

Con:
  • AACR2 does not currently cover whole categories of names that would only be used as subjects and would be inconceivable as main or added entries.
• Names usable only as subjects is out of scope for CC:DA
• Would need to add rules to AACR2, involving long editorial changes
  o Change 21.3C1 which forbids making added entries for characters not real
  o Add something to 22.1 explaining that persons may be real or imaginary, or may include non-humans (such as individually names animals).
  o Add a rule for individually named animals (this should be probably be another numbered section following either 22.14 or 22.16, which would require the renumbering of the rest of the section)
  o Add a rule for imaginary or legendary characters, deities, spirits not associated with formerly living persons, etc. (Probably would need to be just before or after the animal rule, with the same numbering problem ensuing. Or maybe it could be added to the rule on spirits in 22.14--though the purpose of that rule seemed to be that JSC was not taking sides on whether they were real or not)
• Even if these proposals were favorably received by CC:DA or the Joint Steering Committee, it would be many years before they could be implemented.
• LC would be unlikely to write an RI about this unless preceded by AACR2 changes.
• Would need to change NACO documentation to enable NACO participants to create names usable only as subjects