

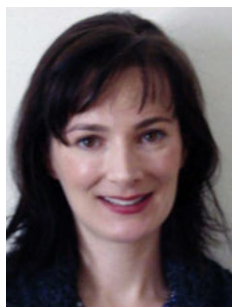
# Foucault, the Author, and Intellectual Debt: Capturing the Author-Function Through Attributes, Relationships, and Events in Knowledge Organization Systems†

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**Abstract:** Based on Foucault's exploration of the author-function, the current study investigates knowledge organization systems' (KOS's) treatment of persons who are also authors and the ability to record attributes, relationships and events related to those persons. FRBR and FRAD do well to extend the information in library authority records beyond the personal name as a character string to include attributes of the person, yet aspects of the person as an author and author-function can be enhanced. This paper begins with a discussion of the author-function as identified by Foucault and the complexities of identity that arise. Next, it reviews the Library and Information Science (LIS) literature on authorship and name authorities, then briefly discusses the current library content standard (*Resource Description and Access*, (RDA)) and the current library encoding standard, (MACHine Readable Cataloging, (MARC)). It then examines four projects making use of person data to enhance the author-function: Europeana, AustLit, The American Civil War: Letters and Diaries, and DBpedia. We conclude that additional attributes, relationships, and events are pivotal to moving toward more Foucault-friendly KOS's in libraries. Concerns with this more robust model of recoding information include the ethics of recording attributes of persons and problems of end-user searching in current systems.

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## 1.0 Introduction

The question of how author data should be compiled and made available in controlled vocabulary systems and in knowledge organization systems (KOS's) is the subject of current interest in the knowledge organization (KO) community, with significant interest around the IFLA Study Group on the Functional Requirements for Bibliographic Records's *Functional Requirements for Bibliographic Records: Final Report* (FRBR 1998). FRBR designates three groups of entities in the bibliographic universe, with Group 2 representing "those responsible for the intellectual or artistic content, the physical production and dissemination, or the custodianship of the entities in the first group" (p. 14). Group 1 represents "the different aspects of user interests in the products of intellectual or artistic endeavour" (p. 13), and Group 3, "an additional set of entities that serve as the subjects of works" (p. 17). FRBR also demonstrates relationships between entities within and between groups. The sibling document, *Functional Requirements for Authority Data* (FRAD) (Patton 2009), builds on FRBR and designates fourteen attributes that can be recorded in authority records for *persons*, a Group 2 entity. These attributes are: 1) Dates associated with the person; 2) Title of the person; 3) Gender; 4) Place of birth; 5) Place of death; 6) Country; 7) Place of residence; 8) Affiliation; 9) Address; 10) Language of person; 11) Field of activity; 12) Profession/occupation; 13) Biography/history; and 14) Other information. Persons identified by the access points and described by the attributes are, according to FRBR, associated with Group 1 entities: works, expressions, manifestations, and/or items. In the bibliographic universe, people create (i.e. have relationships with) works, have attributes, and are represented by a character string that includes their name, yet they are never specifically identified as authors.

It is seldom considered exactly what an author is or what constitutes an author as the subject who is responsible for a work. The question, "who is the author" may be asked, but the corollary (yet distinct) question, "what is an author" is seldom a matter of inquiry. Michel Foucault's influential early-period work, "What Is an Author?" (1977b) explores the notion of authorship and has informed studies of KOS's. The current paper extends the Foucauldian inquiry into authorship in KOS's, continuing Budd and Moulaison's (2012) work and Moulaison, Dykas, and Budd's (2013) work on the topic. It also addresses issues first raised by Smiraglia, Lee, and Olson (2011) when they asked, "What role does the name of an author represent in the interplay between publishing, bibliography, and cataloging?" (p. 137). We will examine the relationship between the information recorded and retained for authors in KOSs and the information required to support a com-

prehensive understanding of the author-function. Foucault's analysis of the complexities of the author-function and authorship are examined first. Next, we look to the literature in KO and (LIS) to explore concepts related to authorship and authority records. We then discuss and compare current systems as they stand, and end with recommendations for rendering library-based KOSs more amenable to representing authors, and subsequently allowing for the establishment of the author-function through the addition of information about events.

## 2.0 Foucault: *What is an author?*

Foucault responded to Roland Barthes's essay, "The Death of the Author" in his 1969 essay, "What Is an Author?" (published in translation in 1977). Barthes (1977) preceded Foucault by saying that the author can no longer be considered a meaningful construct "for the good reason that writing is the destruction of every voice, of every origin. Writing is that neutral, that composite, that oblique space where our subject slips away, the negative where every identity is lost, starting with the identity of the very body which writes" (p. 142). He further says that "the modern writer (scriptor) is born simultaneously with his text; he is in no way supplied with a being which precedes or transcends his writing" (p. 140). Barthes's goal in the essay was effectively to replace "the Author" (as the primary creative signifier) with *writing* (or the process of creation rather than what he saw as an arbitrary creator (see Wilson 1999, p. 340). Barthes's effort to replace the author with writing—and thus to privilege writing as both act and product—caught Foucault's attention and led him to attempt a correction of Barthes's thinking.

In his essay Foucault (1977b) asks: "What, in short, is the strange unit designated by the term, work? What is necessary to its composition, if a work is not something written by a person called an 'author'?" (p. 118). In asking these questions, Foucault transcends Barthes and introduces a different "unit" of analysis that has its own criteria and effects. Foucault (1977b) actually anticipated many of the challenges that would eventually arise in the field of KO as he diminished the "noun" that has been taken to signify an author and replace that inadequate speech act with "name" as classification (p. 123). In other words, the name attributed to a work, while imminently important both to reading and to categorization, has traditionally been removed from the human being attached to works. What is much more important is a completely revised conception of "authority." The authority no longer exists solely within the realm of a person who has been connected to a work. Greater attention must be paid to the discourse that is enabled by the work. The author is transformed into the "author," or, more appropriately, the site

of the author-function. The author-function does not signal, as some commentators contend, the disappearance of the author. As Foucault (1977b) wrote, “We can conclude that, unlike a proper name, which moves from the interior of a discourse to the real person outside who produced it, the name of the author remains at the contours of texts—separating one from the other, defining their form, and characterizing their mode of existence” (p. 123). Foucault’s intention, as Wilson (1999) proposes, is not only to “problematize” author and authorship, but to place them both at the center of enquiry, to examine precisely where they fit into the creation of the work (and, by extension, of knowledge).

### 2.1 Complexities of identity

Foucault’s author-function extends beyond the attributes of a person, a human being who lives in a certain place at a certain time and who has other identifiable attributes that can be recorded as authority data in an authority record. The author-function maintains a kind of authority, but one that is present in works instead of “personalities.” The author-function is more object than subject—an object representative of creation. To comprehend Foucault’s conception most fully, it is best to turn to another of his (1977a) essays, where he says, “The imaginary is not formed in opposition to reality as its denial or compensation; it grows among signs, from book to book, in the interstice of repetitions and commentaries; it is born and takes shape in the interval between books. It is a phenomenon of the library” (p. 91). The author-function, then, is likewise interstitial; it is woven from the starting point of the author throughout the discursive thread thus begun and continued in a labyrinthine path.

A particular example of Foucault’s expansion of the author-function can be illustrated by using Sigmund Freud. Freud, of course, was an author of definable and attributable works. The discourse surrounding Freud, though, extends beyond the person or the proper name. Freud gave birth (intentionally or not) to Freudianism, or the discursive practice that draws in some ways from his works. He also gave birth to psychoanalysis, a school of psychiatric and psychological practice. Psychoanalysts might or might not be Freudians, but they all either draw from or react against Freud and his works. Particular individuals are also connected to Freud; Otto Rank, an Austrian contemporary of Freud and member of his psychoanalytic movement, would be one such person. There are also contemporaries that have complex connections to Freud, such as the Swiss psychologist and psychoanalyst Carl Jung. Jung and Freud are together responsible for works on dreams, but Jung departed from Freud’s orthodoxy. Freud has further given rise to those who have,

through time, reacted against his works and expressions including the United States feminist and author of *The Feminine Mystique*, Betty Friedan. As Foucault (1977b) remarks, authors who can be seen as embodying author-functions, such as Freud, are “‘initiators of discursive practices,’ [who] not only made possible a certain number of analogies that could be adopted by future texts, but, as importantly, they also made possible a certain number of differences” (p. 132). Friedan represents one such difference as a detractor of Freudianism.

Perhaps a more effective way to demonstrate the author-function (building on the example of Freud) is by means of graphic illustration. Figure 1 points out that Freud, by means of the totality of his works, rendered subsequent works and ways of thinking possible. That is, without Freud’s works, the works of other psychologists might not have been created, or at least might not have been created and expressed in the forms they took. Would Carl Jung have developed his conceptualizations in precisely the way he did had Freud not written the works he did? Would there have been a practice of psychoanalysis if Freud had not articulated principles? The figure illustrates notable psychologists who owe a debt to Freud’s work, as well as ideas that stem from the influence of Freud. In short, “author-function” is much more than something akin to a citation process; it is recognition of intellectual debt that can be traced back to the works of the progenitor of concepts. The author-function is a demonstration and acceptance that some things are possible because of who and what has preceded them. Mechanisms to make explicit the intellectual debt of an author and indeed, the intellectual debt that an author inspires, are increasingly of interest in KOS’s where relationships are key. Current systems in use in libraries are not, as will be shown below, capable of robustly demonstrating the author-function despite the importance of the discursive function to scholarship.

### 3.0 Review of the literature

In this brief review of the literature, we focus on the related concepts of authorship and authority records as a potential means for supplying information about authors. The principle of authorship has guided the field of librarianship in its work to organize information, and the implementation of name authorities has permitted the practical retrieval of surrogates in KOS’s. One way to provide further information about authors that would help clarify aspects of the author-function is through the addition of information about possible influences on the authors, be they human (positive or negative), geographic, situation-based events, or other.

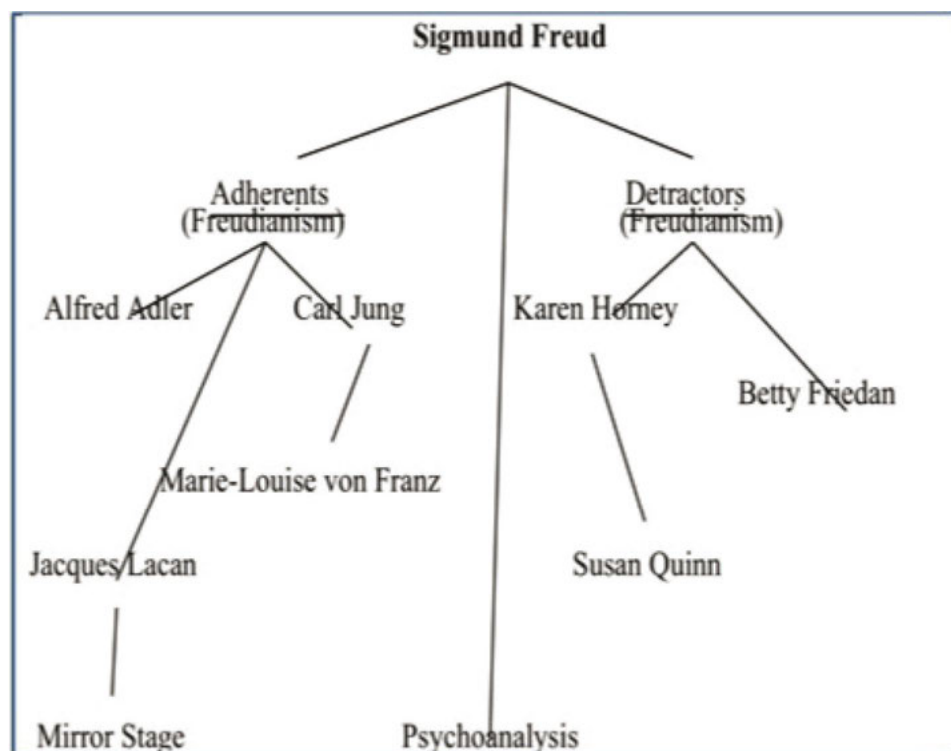


Figure 1. Aspects of the Author-Function of Freud

### 3.1 Authorship

The basis of the modern notion of authorship arose in the West as a result of the printing press. “It seems reasonable to conclude ... that the advent of print and its development in the late fifteenth and early sixteenth centuries played no small part in the rise of authorial self-consciousness among vernacular writers in Paris. It may ultimately have effected a change in the concept of literature itself” (Brown 1991, 142). The principle of authorship is pivotal to the design and use of KOS’s (Smiraglia, Lee, and Olson 2011). In speaking of the creation and diffusion of knowledge, authors “facilitate discourse” (Smiraglia and Lee 2012, 36) and accordingly, are essential components of surrogate records describing works. In the modern tradition, the author is “in the narrower sense ... the person who writes a book; in a wider sense it may be applied to him who is the cause of the book’s existence” (Cutter 1904, 14). Authors, therefore, exercise an essential function in the creation of a work, and in the Western tradition, are credited in the bibliography (Smiraglia, Lee, and Olson 2011).

The concept of authorship may be evolving at present (see Smiraglia and Lee 2012), especially given the collaborative environment that the web represents. It is also possible to imagine limited situations where users are seeking specific information and where in those instances, the author of the content retrieved may not matter (Svenonius

2000). Given the evolution of circumstances for the creation of works and the information needs of a broader variety of users, the concept of authorship is one that continues to be addressed in KO and LIS.

### 3.2 Name authorities

Information about people who are either authors (Group 2 entities) or subjects (Group 3 entities) is retained in the KOS in a complementary database, the authority file. Authority files contain records about individuals playing a role in the bibliographic universe and are consulted by information professionals in the creation of surrogate records. Name authority work “provides a preferred form of name with cross-references to different forms and related names” (Burke and Shorten 2013, 365), with the assumption that the name itself might change over time. To facilitate changes in names, non-text-based (presumably numerical) identifiers have been proposed as a complement to the traditional name-based but perpetually-updating headings entered into surrogates (Niu 2013). Barrionuevo Almuzara, Alvite Díez, and Rodríguez Bravo (2012) point out that the “collaborative area is the most appropriate place for the development of projects on authority control” (p. 97). VIAF, the Virtual International Authority File, is an example of a collaborative project (Barrionuevo Almuzara, Alvite Díez and Rodríguez Bravo 2012) that provides unique identifiers (Niu 2013). VIAF



also supplies URIs for name authority records (VIAF 2012), potentially allowing VIAF records to become part of the linked data web, a web of machine-readable relationships (Bizer, Heath and Berners-Lee 2009).

Increasing the ease with which authority records are updated, disseminated, and used is crucial, but if the information housed in the authority record cannot be used efficiently in the search process, it will not benefit the end-user in the long run. Yee (2005) warns of the issues that arise in doing a keyword search for Samuel Clemens and *Tom Sawyer* in the online library catalog if the authority record for Mark Twain is not also searched as part of the query. In the library context, the contents of the records serves to help in the creation of the bibliographic record and for searching the name in the system, based on the authorship principle.

#### 4.0 Analysis of current initiatives

Current projects and initiatives implement and expand the ideas of authorship presented in the FRBR and FRAD models. The standards and projects discussed below are geared toward providing identifying and contextual information for FRBR Group 2 entities and relationships between entities. Standards used by the library community and related projects are analyzed for their ability to make explicit elements of the author-function in KOS's.

##### 4.1 Selected standards

The library community has been using a cataloging content standard (*RDA (Resource Description and Access)*); until 2013, the *Anglo-American Cataloguing Rules*, second edition (*AACR2*) along with an encoding standard, MARC (MACHine Readable Cataloging), to encode library data for a generation. *RDA* represents an expansion on that tradition through its backward compatibility with *AACR2* records and through its basis on the FRBR model; MARC has been adapted within the limits of the standard to accommodate new needs presented as well. Below, we discuss the content standard and the encoding standard in turn.

*RDA* (2010), as based on FRBR and FRAD, clarifies and delineates relationships between bibliographic entities and defines attributes for Group 2 entities. *RDA* “moves beyond what is required for an access point and toward a record for the person” (Oliver 2010, p. 60). In doing so, it makes a substantial move toward providing information that supports the author-function. In libraries, authority records with the new *RDA* attributes are available in the Library of Congress Name Authority File; these records also are included in VIAF.

Attributes of persons that can be recorded in *RDA* records include both traditional and new content. The name of the person (including the “see from” character string, or the variant access point, which is optional in *RDA*), the fuller form of the name, dates associated with the person, title of the person, and other designations associated with the person are traditional attributes that have historically been recorded in library metadata. New fields considered important include profession or occupation, field of activity of the person, associated groups, and identifiers for the person. *RDA* core elements are the preferred name of the person, an identifier for the person, and, when known, dates of birth and death. Selected titles (those associated with royalty, nobility, ecclesiastical rank or office, or a religious vocation) and designations for saints or spirits also are core. Other titles, designations, and dates, fuller form of name, and profession or occupation are core only when needed to differentiate person's names (American Library Association, 2010). All of the enhanced elements are new attributes. Enhanced elements include language of the person, gender, address of the person, country associated with the person, place of residence, place of birth and place of death. See Figure 2 for examples of both traditional and new attributes in a personal name authority record.

Making explicit references to relationships between entities and even between and among attributes represents a major advance in the *RDA* as a cataloging code. The relationships now cover a broader range of associations and there is greater specificity and consistency in delineating the nature of the relationships. Yet, the identified relationships are geared toward the bibliographic relationships traditionally provided in catalog/bibliographic records and they primarily appear in bibliographic records. Written expressions that have been adapted as performances are a primary example of a relationship that is effectively handled in *RDA*. Despite the focus on bibliographic relationships and relationships between Group 1 and Group 2 entities, relationships between Group 2 entities in *RDA* are beginning to be included in authority records as exhibited by the authority record for the following example record (<http://lccn.loc.gov/no2011033681>), showing employers of the person directly in the authority record as “see also” references (authorized access points for related entities). See Table 1 below for an example of the references.

*RDA*, Appendix I identifies terms for relationships between a resource and persons, families, and corporate bodies associated with the resource, and Appendix J identifies terms for relationships between works, expressions, manifestations, and items. Some derivative relationships provide linkages among entities in bibliographic families. As mentioned, written expressions that have been adapted as performances are especially well-represented.

<b>Descriptive conventions</b>	rda
<b>Personal name heading</b>	Foucault, Michel, 1926-1984 <i>Browse this term in <a href="#">LC Authorities</a> or the <a href="#">LC Online Catalog</a></i>
<b>Variant(s)</b>	Fūkūh, Mishīl, 1926-1984 Foucault, Michael, 1926-1984 Fuko, Misel, 1926-1984 P'uk'o, 1926-1984 P'uk'o, Misyel, 1926-1984 Phoukō, Misel, 1926-1984 Fuke 福柯 Fuko, Mishel, 1926-1984
<b>Birth date</b>	19260101
<b>Death date</b>	19840625
<b>Place of birth</b>	Poitiers, France
<b>Place of death</b>	Paris, France
<b>Profession or occupation</b>	Philosopher Historian Author
<b>Special note</b>	Non-Latin script reference not evaluated
<b>Found in</b>	His Madness and civilization, 1965. Becker, H. Die Logik der Strategie, 1981: t.p. (Michael Foucaults) Coloquio Foucault (1985 : São Paulo, Brazil). Recordar Foucault, 1985: p. 7

Figure 2. Labeled view of an RDA authority record for Michel Foucault (<http://lcn.loc.gov/n79065356>)

<b>Personal name heading:</b>	Woodward, Hugh M. (Hugh McCurdy), 1881-1940
<b>See also:</b>	Employer: United States. Works Progress Administration
	Employer: Brigham Young University
	Employer: Dixie Normal College
	Employer: St. George Stake Academy

Table 1. Personal name authorized access point and employer authorized access points for related entities for Hugh M. Woodward

The encoding standard MARC (MACHine Readable Cataloging) allows for the encoding of content and data, and it also serves as a content standard in its own right for some of the fields and fixed fields it proposes. Content added in these fields goes beyond content required by the cataloging codes in use, and help the system with storage and permit additional retrieval and collocations of items. MARC field tags map precisely to the FRAD attributes for personal names. Fields exist supporting all fourteen FRAD-identified person attributes, including dates, titles, other attributes, places, field of activity, group associations, occupation, language, and biographical data. Many of these same fields are used for both the core elements and enhanced elements in *RDA*. Fields previously used primarily for separate bibliographic identities (pseudonyms) in MARC are now being used to support the relationships mentioned in the *RDA* sub-section above. Figure 3 is an excerpted example of a MARC record (<http://lcn.loc.gov/no2012144973>) with a “see also” reference for the person’s husband. In this example record, the person being described is Clara Snyder. A “see” reference (a variant access point) is created from her maiden name, and a “see also” reference (an authorized access point for a related entity) is created from the authorized form of the access point for her spouse, Roy Snyder. It is interesting that the relationship to her husband is designated by an eye-readable character string, and not by machine-readable data. These relationships are important to indicate, but are not yet fully machine-actionable. As additional relationships are added to enrich the network of connections between and among persons for whom personal name records are created and as the semantics are enhanced so that machines understand the relationships in a meaningful way, the potential for discovery is greatly enhanced. In supplying this additional information, even if it is not fully machine-actionable, *RDA* records encoded in MARC include

gov/no2012144973) with a “see also” reference for the person’s husband. In this example record, the person being described is Clara Snyder. A “see” reference (a variant access point) is created from her maiden name, and a “see also” reference (an authorized access point for a related entity) is created from the authorized form of the access point for her spouse, Roy Snyder. It is interesting that the relationship to her husband is designated by an eye-readable character string, and not by machine-readable data. These relationships are important to indicate, but are not yet fully machine-actionable. As additional relationships are added to enrich the network of connections between and among persons for whom personal name records are created and as the semantics are enhanced so that machines understand the relationships in a meaningful way, the potential for discovery is greatly enhanced. In supplying this additional information, even if it is not fully machine-actionable, *RDA* records encoded in MARC include

supplementary information to encourage users to be able to contextualize, find, identify, and justify personal names, according to the FRAD user tasks. In doing so, these records also enhance users' understanding of the author-function and the robustness of the attributes of the person in conjunction with the richness of that person's relationships.

#### 4.2 Selected projects

In this section, we examine four projects that record attributes and other information about persons as authors, and consider how these attributes have the potential to support the author-function. Europeana, AustLit, American Civil War Diaries and Letters, and DBpedia maintain data in a way that will be of interest to KOS users. When we examine each in turn, we see that these projects are innovative in their use of authority data to drive organization, search, and retrieval. Although the KOS environment in which each functions is fundamentally different from the KOS environment used in libraries described above, the approaches to indicating attributes and relationships is nonetheless instructive.

Europeana (<http://www.europeana.eu/>) retains information similar in scope to FRAD for persons, with a few notable differences. Similarities include the ability to record attributes such as dates, occupation, gender, and biography. One difference is that the Europeana data model (Europeana 2012) is linked-data-friendly, and information encoded using this model can be accessed as linked data. Another difference is the inherent potential for the presence in the Europeana data model of information about relationships and events: *hasMet*; *isRelatedTo*; *wasPresentAt*. These person- and event-based potential influences permit an additional contextualizing of the author-function based on the additional information supplied and semantically linked. See Table 2 for more details.

AustLit, the Australian Literature Resources (<http://austlit.edu.au/>), implemented the FRBR model to describe literary and creative works. Data included in authority records

includes author attributes and relationships. Like Europeana, these relationships include such things as *Influence-Agent* and *Influence-Work*. Along with these, AustLit also includes FRAD attributes, including dates, other attributes, affiliation, occupation, gender, language, and biography. Figure 4 shows related links for the author Patrick White.

The American Civil War: Letters and Diaries (<http://alexanderstreet.com/products/american-civil-war-letters-and-diaries>), available via Alexander Street Press, is a subscription database allowing access to diaries, letters, and memoirs of individuals impacted by the American Civil War (<http://solomon.cwld.alexanderstreet.com/cwld.help.html>). A series of metadata fields (see Table 2) are filled out for each letter's author, permitting a powerful target search. The advanced search feature permits users to search specific attributes of authors, including their age when writing, race, religion, military rank, as well as the schools they attended (see Figure 5). Drop-down menus permit users to search with the controlled vocabularies values appropriate to each field.

DBpedia (<http://wiki.dbpedia.org/About>), the linked data version of Wikipedia (<http://dbpedia.org/About>) maintains all of the information that FRAD indicates be recorded as attributes as well as a variety of additional attributes that KOS's have not traditionally retained. These attributes are not purely scholarly, although it seems plausible that the bust size, astrological sign, or tattoos of an author might somehow impact her authorship. These attributes along with additional information about influences, sexual orientation, ideologies, and relationships might help not only understand the author in context, but lay the groundwork for thinking about the author-function. See Table 2 for a more complete listing of attributes, relationships, and events in Wikipedia.

#### 5.0 Discussion

Access to the resource has traditionally been the focus of KOS's. Cutter's *Rules for a Dictionary Catalog* (1904) describes principles for access, or "objects," focusing on the

```
100 1_ |a Snyder, Clara, |d 1919-2005
370 __ |a Strausburg, Ont. |e Waterloo, Ont. |v It was all worthwhile, 2010
375 __ |a female
377 __ |a eng
378 __ |q Clara Belle
400 1_ |a Weber, Clara Belle, |d 1919-2005
500 1_ |w r |i Spouse: |a Snyder, Roy, |d 1915-
```

Figure 3. Snippet of a MARC authority record for Clara Snyder with spouse as an authorized access points for related entities



**Patrick White** (191 works by) (a.k.a. Patrick Victor Martindale White )  
 Also writes as: Alex Xenophon Demirjian Gray  
 Born: 28 May 1912 London ENGLAND ; Died: 30 Sep 1990 Sydney NEW SOUTH WALES  
 Gender: Male

**AUTHOR**

- Works By (191)
- Works About Author (1222)
- Works About Their Works (1525)
- Awards (11)

*Most Referenced Works*

- 1 **Voss** Patrick White , 1957 novel

Figure 4. AustLit metadata about Patrick White, plus categories (<http://www.austlit.edu.au/austlit/page/A27473>)



**The American Civil War: Letters and Diaries**

Home Browse Find Search Help

**Advanced Search**

**Search Texts:**  (e.g., plantation)

**Note:** the vertical line ( | ) serves as the OR operator (e.g., uneasy|apprehensive or poor man|boy).  
 For pattern matching one may employ **wildcard characters** (e.g., doubt\* retrieves doubt, doubts and doubted).

**Select a Search Option:**

A. (Default) Single Term and Phrase Search ☒

B. Proximity Searching: in the same Sentence ☐  
 or Paragraph ☐  
 or Separated ☐ by  words or fewer  in the same sentence.

**Limit your search by the following fields:**

**Author:**   (e.g., Ellis)

**Gender:**  (Select an option)

**Age When Writing:**  (e.g., 42 or 30-45)

**Allegiance:**  (Select an option)

**Residence:**   (e.g., Pennsylvania)

**Race:**   (e.g., White)

**Religion:**   (e.g., Quaker)

**Occupation:**   (e.g., Teacher)

**School(s) Attended:**   (e.g., West Point)

**Educational Level:**   (e.g., Finished college)

**Military Rank:**   (e.g., Maj-General)

Figure 5. Advanced search options, The American Civil War: Letters and Diaries classification



System	Attributes		Relationships	Events
Europeana	rdaGr2:dateOfBirth * edm:begin rdaGr2:dateOfDeath *	edm:end dc:date * rdaGr2:gender *	edm:hasMet * edm:isRelatedTo * edm:wasPresentAt *	skos:note rdaGr2:biographical Information * edm:wasPresentAt *
AustLit	Year of Birth Year of Death Arrived in Australia	Departed from Australia Affiliation Is Storyteller	Gender Awards Cultural heritage Is Expatriate Is Visitor	Biography
American Civil War: Diaries and Letters	Year of Birth Year of Death Place of Birth Place of Death Gender Residence	School (s) Attended Occupation Age at Death Age When Writing Allegiance Cause of Death	Parental Status (When Writing) Race Religion Survived War Educational Level Ethnicity Marital Status (When Writing) Military Rank Military Status	Personal Events
DBpedia	birthdate birthYear deathDate deathYear dateOfBurial electionDate retirementDate weddingParentsDate birthPlace deathPlace hometown buriedPlace restingPlace stateOfOrigin residence	discipline sportDiscipline discipline sportDiscipline careerStation dubber occupation profession sex sexualOrientation achievement age	astrologicalSign award bodyDiscovered bustSize citizenship complexion deathCause education ethnicity eyeColor hairColor hasNaturalBust hipSize honours ideology	child influenced influencedBy opponent parent partner patent personFunction relatedFunctions relation relative sibling spouse titleDate description

Table 2. Attributes, Relationships, and Events as Part of the Author-Function (\* Items with an asterisk were not used in the first implementation of Europeana.)

materials. Cutter outlines tasks pertaining to the finding function (permitting users to find a surrogate for a work if the author, title, or subject is known), the collocation function (bringing together works by author, subject or some other feature), and the selection function (permitting users to understand if the book will be useful based on information about the item). These objects are the basis for current catalog systems, and underlie FRBR's approach to user tasks (see Tillett 2003). Is there little doubt that, in a system dedicated to bibliographic records, the book would be the central focus?

In the traditional KOS's used in libraries, information about attributes of authors not included in access points such as gender, affiliations, profession, and field of study has been and remains hidden from patrons. Limited information through the *Library of Congress Subject Headings* has been available to patrons, but access to detailed information about authors has not traditionally been part of the user experience, making the newly envisioned FRAD user tasks of contextualize, find, identity, and justify, revolutionary in their scope. This is not to imply that authors are completely without importance in traditional KOS's, especially those used in libraries. Personal name main entries and primary access points are, according to cataloging rules, based on the author; secondary access points can as be based on authorship. Some of the importance of the author in the traditional KOS is lost in the fact that he is reduced to a name—a character string that can be collocated with identical character strings as a way of meeting the objects of the system. Systems with authority records created using AACR2 only have information about the author as it pertains to the choice of the character string that forms the heading.

With the focus on access to information about the book and its features, access to information about an intellectual debt owed to and by the author historically has been overlooked. Based on the analysis of the four systems described above, we put forth that personal attributes, relationships, and events are the best approximation of the author-function that can be envisioned at present in library systems.

### 5.1 The author-function and KOS's

The four systems examined above permit an inclusion of the author-function as described by Foucault to varying degrees. Table 2 summarizes the attributes, relationships, and events that can be included in each system. In each of the four systems, attributes of the author are the most available option, with DBpedia offering the largest number of options. Relationships between the author and other individuals are likewise available in the systems, but are not as numerous as the attributes overall. In terms of

events where authors participated, finding inspiration or creating relationships, minimal options exist in each system.

Revisiting the earlier example of Freud and the intellectual debt owed to him, Freud's author-function can be reasonably embodied in the systems provided if adequate information is supplied. DBpedia is a good example of a system supporting the author-function. Information about Freud that appears on his English-language Wikipedia page ([http://en.wikipedia.org/wiki/Sigmund\\_Freud](http://en.wikipedia.org/wiki/Sigmund_Freud)) includes date and place of birth, date and place of death, nationality, fields, institutions/alma mater, academic advisors, work known for, persons who influenced Freud, persons whom Freud influenced, awards, spouse, dates married, and his signature. Relationships, including hyperlinked names of persons, and names of events appear throughout the article on Freud. Links to two of the three individuals mentioned in the introduction to this article are included in the "Influenced" section (i.e. to Rank and Jung). A link to Friedan appears in the section on Freud's influence on feminism. Elements of the intellectual debt and the discourse surrounding Freud, although not explicitly indicated, are evident in the Wikipedia entry for Freud; it remains the task of the user to understand and internalize them for the purpose of searching in this or related systems.

### 5.2 The expanded role of attributes and relationships

In libraries, FRBR and FRAD expand on the notion of author-as-character-string, adding information about the author as a person to the authority record. The fourteen attributes identified in FRAD provide enriched authority records for use in KOS's and take an author from being a character string to becoming a more three-dimensional individual with the characteristics (attributes) of a person. Increased information about the author that can be leveraged to carry out searches in future KOS's is a great benefit to users and is indisputably an improvement over the previous name-only methods. Information about attributes and about relationships goes a long way toward making personal name records reflect the person-ness of the authors they represent. They are less able, however, to indicate how those attributes and relationships were engendered if they were the result of an event in the author's life.

### 5.3 The author-function and events

Based on our understanding of Foucault and the author-function, FRBR and FRAD do not go far enough in permitting users to understand an author in light of her author-function and to collocate (works, authors, movements,

etc.) based on that author-function. In short, they do not extend the semiotics far enough, and do not take full advantage of the author-function as an essential signifier. The bibliographic universe, or at least the bibliographic representation, is a sign system, in which the author-function plays a special and important representational role. In keeping with the intentions of FRBR and FRAD, the author-function is not defined by the spontaneous attribution of a text to its creator, but through a series of precise and complex procedures (as do FRBR and FRAD); it does not refer, purely and simply, to an actual individual insofar as it simultaneously gives rise to a variety of egos and to a series of subjective positions that individuals of any class may come to occupy (Foucault 1977b, 130-31).

Extending farther still, beyond the author-function, there is content pertaining to authors (and even to people) that can and should be included in authority records or be accessible through the authority file via rich relationships. This additional content, going beyond documentation of a choice of entry terms for a personal name heading as well as going beyond the fourteen additional attributes designated by FRAD, would allow library KOS's to be searched in a more robust manner.

Scenarios that involve the selection of works based on criteria of authorship are easy to imagine. Researchers could examine books on a topic that were authored by 20-year-olds versus 70-year-olds. Information about age at the time of publication would need to be included in the authority records in library KOS's for this to happen in FRBR-compliant systems. Researchers could also want to read all of the works written by members of a particular group, such as the Bloomsbury Group from England in the 1920s or by authors who frequented a certain Parisian salon as the Enlightenment took shape.

Events, additionally, can be defining aspects of an author's life, bringing about changes in relationships and statuses that may in turn affect the author-function. An example of an event could be a wedding. By virtue of the marriage, the participants change their statuses from single to married. They also enter into a new relationship with another person and with that person's family. Attendees at events also have the potential to be marked by it – they may meet future marriage partners at a wedding; they may also meet people in passing who do not, ultimately, affect their attributes or relationships. The interactions at events have the potential to influence persons, providing fodder for a fictionalized account of the events in the form of a work, or by overhearing conversations that influence thinking on, for example, a work in progress. Of the selected projects described above, only Europeana is considering implementing information about events to be recorded in authority records. Europeana will do this through the *wasPresentAt* element.

Linked data projects have been exploring the importance of events already with some success. For example, in NNBD Mapper (<http://mapper.nndb.com/>), Barbara Walters's participation in gala events can be traced, and moments when she overlapped with other celebrities can be assessed, with appropriate visualizations supporting the interactions (<http://mapper.nndb.com/start/?id=23371>). See Figure 6 for a visualization of Barbara Walters's participation in events, along with professional work and personal affiliations.

Events can be a defining factor in the life of any person, including an author. One way to record information about an author that would support an understanding of the author-function would be to record information about events in which she participated. This information would be recorded as well as attributes she possesses and relationships she has had, even if these attributes and relationships were attained as a result of participation in events. Being able to create a bibliographic network of events permits users to search more and better content about the context of authors.

Although the intention is certainly laudable, the visualizations permitted by the Library of Congress Linked Data Service are currently less robust. Consider the visualization for Freud (see Figure 7). The only node on the graph is for Freud himself; none of his attributes or relationships are represented in the Visualization tab. Users would not be expected to use this feature; it is on the Library of Congress website and is not an integral part of the KOS the Library of Congress offers online. It is, however, sparse in comparison to the kinds of information that surely could be represented here, as in Barabara Walters's visualization (Figure 6).

#### 5.4 Concerns

A number of concerns arise when recording attributes supporting the author-function in KOS's. The first and most important concern is the ethical provision of this information. A second concern is the feasibility of including this information in KOS's in a way that ultimately supports retrieval.

##### 5.4.1 The ethics of recording person attributes

In the *RDA* content standard, attributes of persons that can be recorded in library authority records can pose ethical dilemmas due to the private nature of the information. Information about historical figures that includes birth and death dates, address, gender, and profession help users contextualize the person. Indeed, contextualize is one of the user tasks identified in FRAD (Patton 2009), and since information professionals are also clearly identified

as users, this kind of additional information about persons will only help them as information intermediaries tasked with the creation of metadata to provide access. Additionally, such content is expected to be known of individuals of whom archives are held in public institutions or anyone whose opus is the object of formal study.

The proper balance between the ethical obligation to observe a living individual's privacy and the professional obligation to ensure the best access via the most comprehensive sets of metadata attributes is less clear. Attributes should therefore only be drawn from publicly available information. In carrying out their work, information professionals strive to provide unbiased access to content, yet the classification tools they use are fraught with biases. Library catalogs, it has been suggested, can be considered texts, the biases of which can be studied (Drabinski 2013). It is unreasonable to expect that library systems will be neutral, and library metadata may invite polemics. Libraries have the obligation to respect the wishes of persons in regards to their recorded attributes within the parameters of their policies. Libraries also have the obligation to re-

cord information that will be useful for retrieval. When challenges arise, libraries should consider retaining the challenged attributes, but keeping them in a dark archive that is not accessible by anyone other than staff persons of the specific library institution. When such information has already been shared outside of the walls of the institution, the library community should do its best to respect the wishes of the person by not displaying content that the persons consider a violation of his privacy.

#### 5.4.2 End-user searching

No matter the sophistication of an authority file's records and contents, search will be hindered until KOS's permit the kind of targeted retrieval that *The American Civil War: Letters and Diaries* permits with its advanced search's series of drop-down menus (see Figure 4). We suggest that the first step to ensuring robust access to works via sufficient information about their authors is to begin to include the kinds of attribute and relationship data that can appear in DBpedia records and event data

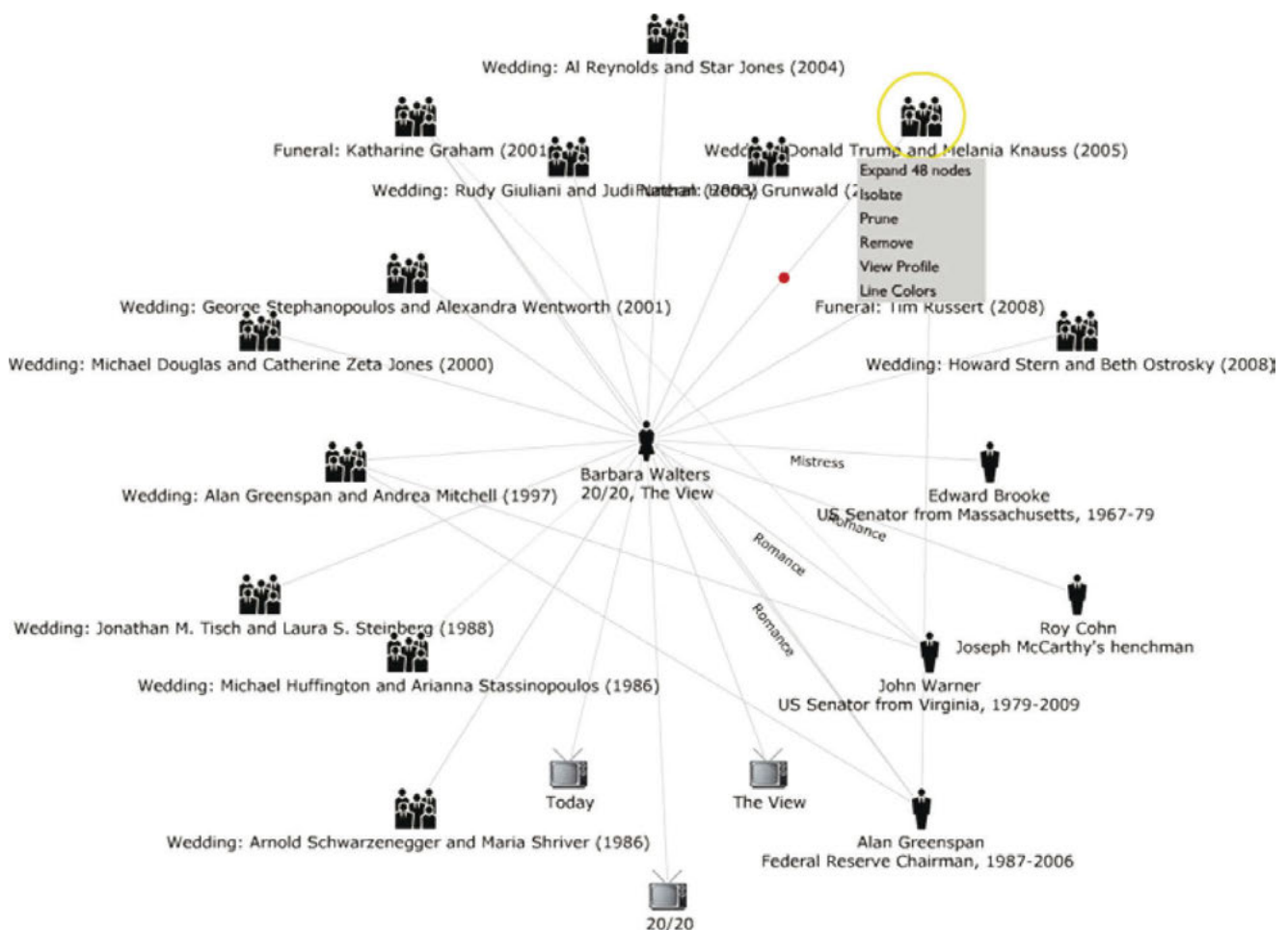


Figure 6. Barbara Walters's participation in events, professional work, and personal relationships in NNDB Mapper (<http://mapper.nndb.com/start/?id=23371>)



that can appear in Europeana records for individuals in the authority records in library KOS's. The necessary second step is to permit retrieval based on that data. A third more challenging step is to show metadata for persons to users in much the same way that printed subject heading lists were made available to searchers in the days of the card catalog. There is no concrete reason for not supplying information on persons that may help with author searches other than that, traditionally, such access was not reasonable or feasible to provide.

## 6.0 Conclusion

Works are created by persons (or corporate bodies) in the FRBR model; persons create, yet, in doing so, the person becomes an author who is associated with a discourse and

a context extending beyond his or her person-ness. The author-function as described by Foucault goes beyond the contextualization of entities in the bibliographic universe to include aspects of the person as an author including the intellectual debt created and extended.

In the past, the KOS author was not a person, he was a character string in a database. This weakness is being overcome in FRBR/FRAD, which include fourteen attributes of persons in records for authors (Patton 2009). DBpedia (<http://mappings.dbpedia.org/server/ontology/classes/Person>) permits many more kinds of attributes than FRAD's fourteen to be recorded in a person's record, thereby potentially giving a fuller perspective on the person as well as potentially allowing for retrieval of works based on attributes of authors. All four of the projects examined in this paper, Europeana, AustLit, American

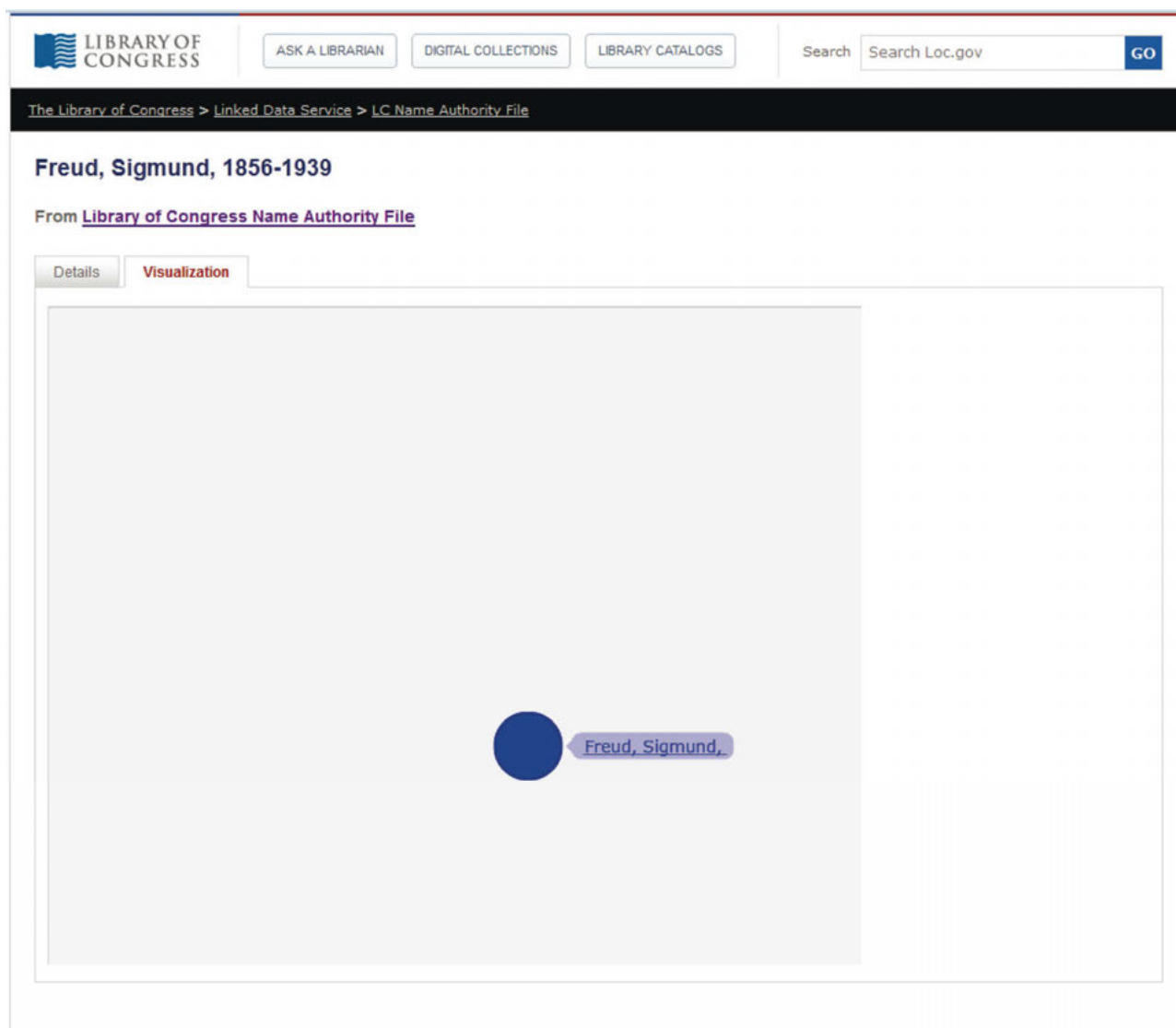


Figure 7. Visualization of Freud's authority record, Library of Congress Linked Data Service (<http://id.loc.gov/authorities/names/n79043849.html>)

Civil War: Letters and Diaries, and DBpedia, permit both attributes and relationships to be recorded in the authority record. These projects serve as examples of what the FRBR model could permit library-based KOS's to do if relationship information were recorded in the authority records.

Europeana is the only KOS encouraging the inclusion of machine-readable information about events in authority records for individuals. It is this final aspect that has the potential to make Europeana more Foucault-friendly than the other projects and the standards that were examined. This paper therefore makes a case for the inclusion not only of attributes in authority records, but also for the inclusion of information on relationships and events in those same records. To best make use of this additional data, it strongly encourages KOS's to implement retrieval systems that are robust enough to permit users to search for works within the context of the author, going beyond a simple search on a character string that is the author's name heading in the body of the bibliographic record and showing that information to users as a way of helping them to contextualize the author-function.

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