Identifying, choosing, and recording preferred and variant names for persons (RDA 9.0-9.2)

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Note: this page was created with music cataloging in mind.

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(9.0) Identifying persons

The **preferred name** for the person is used as the basis for the authorized access point.
The **variant name or names** for the person are
  ° the name or form of name by which a person is known that differs from the name or form of name chosen as the preferred name for that person
  ° used as the basis for variant access points. Other identifying attributes of the person may also be included in the access point.
Persons include fictitious entities, such as literary figures, legendary figures, etc.

(9.1) General guidelines on identifying persons

(9.1.1) Sources of information

Take the name or names of the person from any source.
  For additional guidance on sources of information for the preferred name for the person, see [9.2.2.2](#).
Take information on other identifying attributes of the person from any source.

(9.1.2) Using access points to represent persons

An authorized access point is one of the techniques used to represent either a person associated with a resource (18.4.1) or a related person (30.1).
Constructing authorized access points representing persons: 9.19.1
Constructing variant access points representing persons: 9.19.2.

(9.2.1) Basic instructions on recording names of persons

A name of the person is a word, character, or group of words and/or characters by which a person is known.
When identifying persons, there are two categories of names:
  ° preferred name for the person ([9.2.2](#))
  ° variant name for the person ([9.2.3](#)).

(9.2.1.2) Sources of Information

Take the name or names of the person from any source.
  For additional guidance on sources of information for the preferred name for the person, see [9.2.2.2](#).

(9.2.1.3) General guidelines on recording names of persons

Apply the general guidelines on recording names at [8.5](#) [3]. When those guidelines refer to an appendix, apply the additional instructions in that appendix, as applicable.

Choose	**Apply**
a preferred name for the person:	[9.2.2.3](#) and [9.2.2.5](#)-[9.2.2.7](#).
a preferred name for each identity when an individual has more than one:	[9.2.2.8](#)
Record	**Apply**
a preferred name for the person:	[9.2.2.4](#) and [9.2.2.9](#)-[9.2.2.26](#).
names and forms of the name not chosen as the preferred name as variant names:	[9.2.2.3](#)

(9.2.2) Preferred name for the person

the name or form of name chosen to identify the person.
It is also the basis for the authorized access point representing that person.

(9.2.2.2) Sources of information

Determine the preferred name for a person from the following sources (in order of preference):
- ° the preferred sources of information (2.2.2 [4]) in resources associated with the person
- ° other formal statements appearing in resources associated with the person
- ° other sources (including reference sources).

When the name of a person	Apply
appears in more than one language	9.2.2.5.2
is found in a script that is not a preferred script of the agency creating the data	9.2.2.5.3

(9.2.2.3) Choosing the preferred name

Generally choose the name by which the person is commonly known. The name chosen can be the person's real name, pseudonym, title of nobility, nickname, initials, or other appellation.

When a person is known by	Apply
more than one form of the *same* name	9.2.2.5
by *more than one name*	9.2.2.6-9.2.2.8

(9.2.2.4) Recording the preferred name

Apply the general guidelines on recording names at 8.5 [3]. When those guidelines refer to an appendix, apply the additional instructions in that appendix, as applicable.

If the name consists of several parts, record as the first element that part of the name under which the person would normally be listed in authoritative alphabetic lists in the person's language, country of residence, or country of activity. Record the other part or parts of the name following the first element.

Exception: If a person's preference is known to be different from normal usage, follow that preference when choosing the part of the name to be recorded as the first element.

(9.2.2.5) Different forms of the same name

If a person is known by more than one form of the same name, choose the preferred name by applying these instructions, as applicable:

Fullness (9.2.2.5.1):
- ° If the forms of a person's name vary in fullness, choose as the preferred name the form most commonly found.
- ° If no one form predominates, choose the latest form as the preferred name.
  - » In case of doubt about which is the latest form, choose the fuller or fullest form.
- ° Record the other forms of the name as variant names (9.2.3.10).

Language (9.2.2.5.2):
- ° If a person's name has appeared in different language forms in resources associated with the person, choose as

the preferred name the form that corresponds to the language of most of the resources.

Alternative: Choose a well-accepted form of name in a language and script preferred by the agency creating the data.

LC practice/PCC practice for Alternative: Do not apply the alternative.

° If the name does not appear in resources associated with the person, or in case of doubt, choose the form most commonly found in reference sources of the person's country of residence or activity.
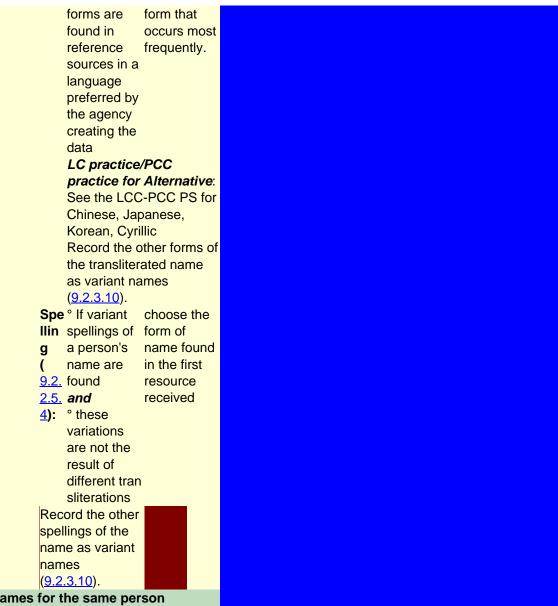
Exception: *Established form in a language preferred by the agency creating the data.*:

° If the first element of a person's preferred name consists of a given name and/or a word or phrase associated with the person (9.2.2.18), determine the well-established form or forms of the name in reference sources.

° If there is a well-established form of the name in a language preferred by the agency creating the data, choose that form of name as the preferred name.

» In case of doubt, choose the form in the person's native or adopted language or the Latin form.
° Record the other forms of the name as variant names ([9.2.3.10](#))

Names in a non-preferred script ([9.2.2.5.3](#)):	If the name is found:	Transliterate the name:
	in a script that differs from a preferred script of the agency creating the data:	according to the scheme chosen by the agency
	in more than one non-preferred script:	according to the scheme for the original language of most of the works

	If the name is found:	Choose:
	only in a transliterated form in resources associated with the person:	the transliterated form as the preferred name
	in more than one transliterated form in resources associated with the person:	the form that occurs most frequently

Alternative:

If there is a well-established form of name in reference sources in a language preferred by the agency creating the data	choose that form of name as the preferred name.
If different	choose the

	forms are found in reference sources in a language preferred by the agency creating the data	form that occurs most frequently.
	LC practice/PCC practice for Alternative: See the LCC-PCC PS for Chinese, Japanese, Korean, Cyrillic Record the other forms of the transliterated name as variant names ([9.2.3.10](#)).	
Spelling (9.2.2.5.4):	° If variant spellings of a person's name are found ***and*** ° these variations are not the result of different transliterations	choose the form of name found in the first resource received
	Record the other spellings of the name as variant names ([9.2.3.10](#)).	

(9.2.2.6) Different names for the same person

° If a person is known by more than one name, choose the name by which the person is clearly most commonly known.
° If a person has changed his or her name, see [9.2.2.7](#)
° If a person has more than one identity, see [9.2.2.8](#)
° Otherwise, choose the preferred name according to the following order of preference:
  » the name that appears most frequently in resources associated with the person
  » the name that appears most frequently in reference sources
  » the latest name.
Record the other names by which the person is known as variant names ([9.2.3.10](#)).

(9.2.2.7) Change of name

° If a person has changed his or her name, choose the latest name or form of name as the preferred name.
Exception:
° If there is reason to believe that an earlier name will persist as the name by which the person is better known, choose that name as the preferred name.

(9.2.2.8) Individuals with more than one identity

° When an individual has more than one identity, choose the name associated with each identity as the preferred name for that identity.
  » record the relationships between these separate identities applying the instructions in chapter 30.
° Consider an individual to have more than one identity when the individual:
  » uses one or more pseudonyms[*] (including joint pseudonyms)
  » uses his or her real name as well as one or more pseudonyms
° Record as a variant name a name that was not chosen as the preferred name for an identity ([9.2.3.10](#)).

*RDA definition of pseudonym: A name used by a person (either alone or in collaboration with others) that is not the person's real name.

Exception:
° If an individual uses only one pseudonym and does not use his or her real name as a creator or contributor, choose the pseudonym as the preferred name.
   » Record the individual's real name as a variant name (9.2.3.10).

(9.2.2.9) Recording names containing a surname

Apply the general guidelines on recording names at 8.5 [3].
Record the surname as the first element:

If a name consists of:	Record:
a surname preceded by other parts of the name, such as given names	the surname, followed by a comma and the parts of the name that precede it
a surname followed by other parts of the name	the surname, followed by a comma and the parts of the name that follow it
only a surname	the surname alone

Omit terms of honour and terms of address from any name that includes a surname unless:
   ° the name consists only of a surname (9.2.2.9.3
   or
   ° the name is of a married person identified only by a partner's name and a term of address 9.2.2.9.4

Additional instructions:		Record:
(9.2.2.9.1) Surname represented by an initial	If a surname is represented by an initial **and** one or more other parts of the name are given in full	the initial that represents the surname as the first element
(9.2.2.9.2) Part of the name treated as a surname	If the name does not contain a surname **and** the name contains a part that identifies the individual and functions as a surname	the part that functions as a surname as the first element, followed by a comma and the rest of the name.
(9.2.2.9.3) Persons known by a surname only	If the name by which a person is known consists of a surname only **and** the surname is associated with a word or phrase, either in resources that are associated with the person or in reference sources	the surname, followed by a comma and the word or phrase, treating the word or phrase associated with the name as an integral part of the name the name in direct order as a variant name (9.2.3.10).
(9.2.2.9.4) Married person identified only by a partner's name	If a married person is identified only by a partner's name	the term of address following the part of the partner's name that is recorded as the last element in that name. Include a suffix attached to the name of a married woman as part of her name.
(9.2.2.9.5) Words, etc., indicating relationship following surnames	Portuguese surnames	record *Filho*, *Junior*, *Neto*, *Netto*, or *Sobrinho* as part of the surname.
	Surnames in languages other than Portuguese	record similar terms (e.g., *Jr.*, *Sr.*, *fils*, *père*) and numbers (e.g., *III*) following the person's given name or names, preceded by a comma. **Examples:** Recorded name: Authorized access point:
		Thomas Kerr **Jr.** Kerr, Thomas H., **‡c Jr.,** ‡d 1915-1988
		Doyle Bramhall **II** Bramhall, Doyle, **‡c II,** ‡d 1968-
		Loudon Wainwright **III** Wainwright, Loudon, **‡c III,** ‡d 1946-
		Grachan Moncur, Moncur,

	III	Grachan, **‡c III**, ‡d 1937-

(9.2.2.10) Compound Surnames

Treat a surname as a compound surname when it
  ° consists of two or more proper names, sometimes connected by a hyphen, or conjunction, and/or preposition
  ° has the appearance of compound surnames

Take regular or occasional initializing of a part preceding a surname as an indication that the part is not used as part of the surname.

Record as variant names forms of the name using other parts of the compound surname as the first element (9.2.3.10).

Additional instructions: **Record as the first element:**

(9.2.2.10.1) Established usage	° the part of the compound surname by which the person prefers to be listed, if known ° the part of the name under which the person is listed in reference sources in the person's language or country of residence or activity

(9.2.2.10.2) Established usage not determined	° the usage for the person's country of residence as specified in *Names of Persons: National Usages for Entry in Catalogues* when:
	  » the preference of the person in unknown
	  » established usage cannot be determined in reference sources in the person's language or country of residence or activity
	° the first part of the compound surname as the first element when:
	  » the usage for the country of residence or activity of the person is not covered in *Names of Persons: National Usages for Entry in Catalogues*

(9.2.2.11) Surnames with one or more separately written prefixes

Apply the guidelines at 9.2.2.9 and the additional instructions below.

Record as a variant name a form using another part as the first element (9.2.3.10). The first element of the variant name can be another part of the prefix or the part of the name following the prefix.

Additional instructions: **Record as the first element:**

(9.2.2.11.1) Articles and prepositions:
an article or preposition, or a combination of the two
 	
LC practice/PCC practice: For the application of this instruction, treat English as the preferred language of the agency creating the data.
	° the part most commonly used as the first element.
	  » Determine common usage by consulting alphabetically arranged lists in the person's language or country of residence or activity.
	  » See appendix F.11, summarized here: Recording surnames that include an article and/or preposition [5] (RDA F.11)
	° the part of the name used as the first element in references sources in the person's language or country of residence or activity, even when it is in a non-standard form in those reference sources.
	
	° If a person has used two or more languages, record the name by applying the instructions for the language of most of that person's works.
	
	° In case of doubt, apply the following instructions in this order of preference:
	  » apply the instructions for a language preferred by the agency creating the data if that is one of the languages used by the person
	  » if the person is known to have changed country of residence, apply the instructions for the language of the person's adopted country
	  » apply the instructions for the language of the name.
	
	° Record as a variant name a form using another part as the first element (9.2.3.10). The first element of the variant name can be another part of the prefix or the part of the name following the prefix.

(9.2.2.11.2) Other prefixes: *not* an article or a preposition, or a combination of the two	° the prefix ° Record as a variant name a form using the part of the name following the prefix as the first element (9.2.3.10).

(9.2.2.12) Prefixes hyphenated or combined with surnames: *not* an article or a preposition, or a combination of the two	° the prefix when the prefix is regularly or occasionally hyphenated or combined with the surname ° Record as a variant name a form using the part of the name following the prefix as the first element (9.2.3.10).

(9.2.2.18) Names containing neither a surname nor a title of nobility

If a person is identified by a name that does not include a surname

and

this person is not identified by a title of nobility

See RDA 9.2.2.13-9.2.2.17 for instructions for names containing a title of nobility

record the name by which the person is identified by applying the general guidelines at 8.5 [6].

Record as the first element the part of the name under which the person is listed in reference sources.

In case of doubt, record the last part of the name as the first element, applying the instructions at 9.2.2.9.2.

If a person is commonly associated with a place of origin or residence, an occupation, or other characteristics (in resources associated with the person or in reference sources), include these words or phrases as an integral part of the name, preceding such words or phrases by a comma.

Treat a roman numeral associated with a given name as an integral part of the name (e.g., in the case of some popes, royalty, and ecclesiastics).

Record as variant names, as appropriate:
° forms using the associated words or phrases as the first element (9.2.3.10)
° other language forms of the name (9.2.3.9)
° other names by which the person is known (9.2.3.10)

See RDA for:
9.2.2.19 Names including a patronymic
9.2.2.20 Names of royal persons
9.2.2.22 Names consisting of initials, or separate letters, or numerals
9.2.2.23 Names consisting of a phrase
9.2.2.24 Phrase consisting of a given name(s) preceded by a term of address, etc.
9.2.2.25 Phrase containing the name of another person
9.2.2.26 Names consisting of a characterizing word or phrase

(9.2.3) Variant names for persons

The **variant name or names** for the person are
° the name or form of name by which a person is known that differs from the name or form of name chosen as the preferred name for that person
° used as the basis for variant access points. Other identifying attributes of the person may also be included in the access point.

(9.2.3.2) Sources of information

Take variant names from resources associated with the person and/or from reference sources.

(9.2.3.3) General guidelines on recording variant names for persons

Record variant names for a person by applying the general guidelines on recording names at 8.5 [6].

Record a variant name when it is different from the name recorded as the preferred name.

Record as a variant name:
° a name or form of name used by a person
or
° a name or form of name found in reference sources
or
° a form of name resulting from a different transliteration of the name.

Also apply instructions about recording variant names at 9.2.2.5 [7]-9.2.2.26, as applicable.

Additional instructions:		**Record:**
(9.2.3.4) Real name	If the preferred name or names for an individual are pseudonyms	the individual's real name as a variant name for each pseudonym

	and the individual does not use his or her real name as a creator or contributor *and* the individual's real name is known	
(9.2.3.5) Secular name	If the preferred name for a person of religious vocation is the person's name in religion	the person's secular name as a variant name
(9.2.3.6) Name in religion	If the preferred name for a person of religious vocation is the person's secular name	the person's name in religion as a variant name
(9.2.3.7) Earlier name of person	If the preferred name for a person is a name used after a change of name	the person's earlier name or names as variant names
(9.2.3.8) Later name of person	If the preferred name for a person is a name used before a change of name	the person's later name or names as variant names
(9.2.3.9) Alternative linguistic form of name	If the name recorded as the preferred name for a person has one or more alternative linguistic forms ° different language ° different script ° different spelling ° different transliteration	the alternative linguistic forms as variant names
(9.2.3.10) Other variant name	Record other variant names and variant forms of the name not covered by the instructions above if considered important for identification or access ° family, dynastic, etc., name of ruler ° name or family name as saint ° phrase used to name a person ° difference in fullness of name ° full form consists of initials ° different part of a compound surname ° part of surname following a prefix ° prefix to surname ° first given name of person without surname ° epithet or byname ° last part of name ° inverted form of initials ° direct form of a phrase or appellation or inverted form of an appellation ° honorary titles and terms of address ° first word in title forming part of a phrase	

Source URL:https://web.library.yale.edu/cataloging/music/prefvariantname

Links
[1] http://web.library.yale.edu/cataloging/music [2] http://web.library.yale.edu/cataloging/music/rda [3] http://web.library.yale.edu/cataloging/music/recordnames#8.5 [4] http://web.library.yale.edu/cataloging/music/prefsource [5] http://web.library.yale.edu/cataloging/music/RDAentryele [6] http://web.library.yale.edu/cataloging/music/recordnames [7] http://web.library.yale.edu/cataloging/music/prefname#9.2.2.5