

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

[Music Cataloging at Yale](#) [1] ? [RDA](#) [2]

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

[Basic instructions on recording names of persons](#) (9.2.1) | [Choosing the preferred name](#) (9.2.2.3) | [Recording the preferred name](#) (9.2.2.4) | [Different forms of the same name](#) (9.2.2.5) | [Different names for the same person](#) (9.2.2.6) | [Individuals with more than one identity](#) (9.2.2.8) | [Recording names containing a surname](#) (9.2.2.9) | [Compound Surnames](#) (9.2.2.10) | [Surnames with one or more separately written prefixes](#) (9.2.2.11) | [Names containing neither a surname nor a title of nobility](#) (9.2.2.18) | [Variant names for persons](#) (9.2.3)

[\(9.0\) 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: **Full**

- ° If the forms of a person's name vary in fullness, choose (as the preferred name the form most commonly found.
- 1): ° 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](#)).

- Lan** ° 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
[\(9.2.3.10\)](#)

Na If the name Transliteration is found:
 in a script according to the scheme chosen by the agency
 non that differs the scheme chosen by the agency
 -pre from a the agency
 ferr preferred the agency
 ed script of the
 cript agency
 t creating the
 (data:
[9.2.](#) in more than according to
[2.5.](#) one non- the scheme
[3\):](#) preferred for the
 script: original
 language of
 most of the
 works

If the name Choose:
is found:
 only in a the transliteration
 transliterated form as
 form in the
 resources preferred
 associated name
 with the
 person:

in more than the form that
 one occurs most
 transliterated frequently
 form in
 resources
 associated
 with the
 person:

Alternative:
 If there is a choose that
 well- form of
 established name as the
 form of preferred
 name in name.
 reference
 sources in a
 language
 preferred by
 the agency
 creating the
 data
 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](#)).

Spe ° If variant spellings of a person's name are found in the first resource received
lin ° these variations are not the result of different transliterations

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:

a surname preceded by other parts of the name, such as given names

a surname followed by other parts of the name

only a surname

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](#)

Record:

the surname, followed by a comma and the parts of the name that precede it

the surname, followed by a comma and the parts of the name that follow it

the surname alone

Additional instructions:

(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

Record:

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.

record *Filho*, *Junior*, *Neto*, *Netto*, or *Sobrinho* as part of the surname.

record similar terms (e.g., *Jr.*, *Sr.*, *filis*, *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.,
Jr., ‡d
1915-1988

Doyle Bramhall II Bramhall, Doyle,
Jr., ‡d 1968-

Loudon Wainwright, III Loudon, Jc III, ‡d
1946-

Grachan Moncur, Moncur,

(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 is 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: ◦ 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.

an article or preposition, or a combination of the two
» See appendix F.11, summarized here: [Recording surnames that include an article and/or preposition](#) [5] (RDA F.11)

LC practice/PCC practice: For the application of this instruction, treat English as the preferred language of the agency creating the data.
◦ 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: ◦ 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](#)).
not an article or a preposition, or a combination of the two

(9.2.2.12) Prefixes hyphenated or combined with surnames: ° 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](#)).

not an article or a preposition, or a combination of the two

(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:

(9.2.3.4) Real name If the preferred name or names for an individual are pseudonyms

Record:

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
		the alternative linguistic forms as variant names
		<ul style="list-style-type: none"> ◦ different language ◦ different script ◦ different spelling ◦ different transliteration
(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
		<ul style="list-style-type: none"> ◦ 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>