

**Cataloguing Code Comparison for the
IFLA Meeting of Experts on an International Cataloguing Code
July 2003**

AACR2: Anglo-American Cataloguing Rules, 2nd ed. 2002 revision. - Ottawa :
Canadian Library Association ; London : Chartered Institute of Library and Information
Professionals ; Chicago : American Library Association, 2002.

**AAKP (Czech): Anglo-americká katalogizační pravidla. 1.české vydání. – Praha,
Národní knihovna ČR, 2000-2002 (updates)**
[translated to Czech from Anglo-American Cataloguing Rules, 2nd ed. 2002 revision. -
Ottawa : Canadian Library Association ; London : Chartered Institute of Library and
Information Professionals ; Chicago : American Library Association, 2002.

AFNOR: AFNOR cataloguing standards, 1986-1999
[When there is no answer under a question, the answer is yes]

BAV: BIBLIOTECA APOSTOLICA VATICANA (BAV)
Commissione per le catalogazioni
AACR2 compliant cataloguing code

KBARSM (Lithuania): Kompiuterinių bibliografinių ir autoritetinių įrašų sudarymo
metodika = [Methods of Compilation of the Computer Bibliographic and Authority
Records] / Lietuvos nacionalinė Martyno Mažvydo biblioteka. Bibliografijos ir
knygotyros centras ; [parengė Liubovė Buckienė, Nijolė Marinskienė, Danutė
Sipavičiūtė, Regina Varnienė]. – Vilnius : LNB BKC, 1998. – 132 p. – ISBN 9984 415
36 5

REMARK: *The document presented above is not treated as a proper complex
cataloguing code in Lithuania, but is used by all libraries of the country in their
cataloguing practice as a substitute for Russian cataloguing rules that were replaced
with IFLA documents for computerized cataloguing in 1991.*

**KBSDB: Katalogiseringsregler og bibliografisk standard for danske biblioteker. – 2.
udg. – Ballerup: Dansk BiblioteksCenter, 1998**

KSB (Sweden): Katalogiseringsregler för svenska bibliotek : svensk översättning och
bearbetning av Anglo-American cataloguing rules, second edition, 1988 revision /
utgiven av SAB:s kommitté för katalogisering och klassifikation. – 2nd ed. – Lund :
Bibliotekstjänst, 1990.

Translation of the rules for multi-level description, one major, national adaptation
in our translation of AACR2 for AACR2, ch. 13, Analysis.

**MSZ: For decisions on headings for the bibliographic entries, national standard
family MSZ (Magyar Szabvány = Hungarian Standard) 3423 "Choice of headings
for descriptive catalogues".**

For the form of heading, prescriptions of the national standard family MSZ 3440
"Heading elements of the bibliographic description".

The data elements and punctuation of the bibliographic description are defined by
standard family MSZ 3424 and KSZ (Könyvtári Szabályzat = Rules for libraries)

PPIAK (Croatia): Verona, Eva. Pravilnik i priručnik za izradbu abecednih kataloga. - Zagreb : Hrvatsko bibliotekarsko društvo.

1. dio : Odrednice i redalice. - 2. izmijenjeno izd. - 1986.

2. dio : Kataložni opis. - 1983.

PPIAK Macedonia: (ISBD's and PPIAK): Pravilnik i priručnik za izradu abecednih kataloga by Eva Verona. [The official language is Macedonian, so the rules are adapted for the specifications of the Cyrillic alphabet.]

PPIAK (Slovenia): Verona, E.: Pravilnik in priručnik za izradbu abecednih kataloga. – Zagreb : Hrvatsko bibliotekarsko društvo, 1983-1986.

RAK: Regeln für die alphabetische Katalogisierung in wissenschaftlichen Bibliotheken : RAK-WB / Die Deutsche Bibliothek. [Erarb. von der Expertengruppe Formalerschließung im Auftr. des Standardisierungsausschusses. Hrsg. von der Arbeitsstelle für Standardisierung, Die Deutsche Bibliothek. Red. Bearb.: Gudrun Henze]. – 2., überarb. Ausg. – Leipzig ; Frankfurt am Main ; Berlin. – Losebl.-Ausg.

1. Ausg. geb. Ausg. – Bis 1990 erarb. von der Kommission des Dt. Bibliotheksinst. für Alphabetische Katalogisierung. Ab 1991 erarb. von der Expertengruppe RAK des Dt. Bibliotheksinst. – Red. Bearb. bis Erg.-Lfg. 3 (1998): Hans Popst. - Bis Erg.-Lfg. 3 (1998) verl. vom Dt. Bibliotheksinst., Berlin

Grundwerk. – 1993

Erg.-Lfg. 1 (1995)

Erg.-Lfg. 2 (1996)

Erg.-Lfg. 3 (1998)

Erg.-Lfg. 4 (2002)

RAKK (Bulgaria): Rakovodstvo za azbučni katalozi na knigi. – Sofia : Narodna biblioteka Sv.Sv. Kiril i Metodii, 1989 (Manual for alphabetical catalogues of books. – Sofia : SS Cyril and Methodius National Library)

RC (Spain): Reglas de catalogación, ed. nuevamente rev., 1999. – Madrid : Ministerio de Educación y Cultura, Centro de Publicaciones : Boletín Oficial del Estado, 1999

RCR: Russian Cataloguing Rules. Part 1. General Positions. – Moscow : Russian Library Association, Interregional Committee of Cataloguing, 2003.-242 p.

RICA: Regole italiane di catalogazione per autori – RICA. Rome : ICCU, 1979

RT: Regels voor de titelbeschrijving / Federatie van Organisaties op het gebied van het Bibliotheek-, Informatie- en Dokumentatiewezen (FOBID). - Den Haag : Nederlands Bibliotheek- en Lektuur Centrum, 1978-1994. - 12 dl.

SL (Finland): Suomalaiset luettelointisäännöt. - Uud. laitos. -

Helsinki : Kirjastopalvelu
ISBN 951-692-224-4 (koko teos, nid.)
Monografioiden kuvailu / Luettelointisääntöryhmä.
1989. - 112 s. ; 30 cm
ISBN 951-692-226-0 (nid.)
Suomalaiset luettelointisäännöt. - Helsinki : Kirjastopalvelu
ISBN 951-692-224-4 (koko teos, nid.)
Hakutiedot / [Luettelointisääntöryhmä].
Uud. laitos. - 1991. - 248 s. ; 30 cm.
ISBN 951-692-260-0 (nid.)

3. PERSONAL NAMES

3.A. PRINCIPLES

3.A.1. Do your rules have a goal to collocate the works of an author under the controlled name of the person?

AACR2: Yes. See Paris Principle 7.1 and 8 above

AAKP (Czech): Yes.

AFNOR: Yes

BAV: Validation of headings is of the utmost importance in Vatican Library's cataloguing procedures. We used to identify authors and check variations of personal names.

KBARSM (Lithuania): It is usual practice in Lithuania to collocate the works of an author under the controlled name of the person.

KBSDB: Yes

MSZ: YES

PPIAK (Croatia): Yes.

PPIAK Macedonia: Yes

PPIAK (Slovenia): Yes

RAK: According to RAK-WB, a heading for a person is, in general, made under the same name and in the same form of name. The RAK-WB do not prescribe a differentiation of a name of a person. Therefore a collocation of works by a particular author is not possible when authors bear the same name.

RAKK (Bulgaria): Yes

RC (Spain): Yes, our RC rules state a uniform heading and indicate when reference which direct from non-authorized to authorized form have to be done.

RCR: Yes

RICA: Yes. [RICA par. 49]: "For headings of personal authors it should be adopted always the same form of the name (uniform heading). From other names or forms of the name..., see reference entries should be made".

RT (Netherlands): Yes.

SL (Finland): Yes.

3.A.2. What other underlying principles guide your treatment of personal names?

AAKP (Czech): Library of Congress Rules Interpretations (embedded in names we take from LC names, Czech interpretations of AACR2, that allow us e.g. to use qualifiers in Czech).

AFNOR: AFNOR Standard NF Z 44-061 [*Form and structure of names of persons headings, titles headings, filing headings and "titres forgés"*]

§1. [*Names of persons headings : general recommendations*] :

In general each author should have just one heading.

BAV: We add person's dates (birth, death, etc.) as the last element of a heading.

KBARSM (Lithuania): No other principles are applied for treatment of personal names.

KBSDB: We are working after 4 principles: 1) Choosing the preferred term 2) Decision for how the name is structured 3) How do we distinguish the personal name from other terms 4) What reference do we considered as needed

PPIAK (Croatia): Uniform heading for author's name; use of reference structure.

PPIAK Macedonia: All personal names are written in their original form latin or cyrillic.

PPIAK (Slovenia): There should be only one uniform heading for each author (exception: if the author uses also one or more pseudonyms and does not want us to disclose them; in this case we can make more than one uniform heading for one author - under his real name and under the pseudonyms).

Exceptionally, there can be more than one uniform headings if an author has established separate bibliographic identities (we agreed on that recently).

After the implementation of authority control into our system COBISS (in April) we have a possibility to take over the names of English and other authors directly from LC Names (we agreed to take over only the names of contemporary authors, mostly the names of authors who write in English). We do not change the headings although they are not always made according to our rules (two important differences are: 1) the use of dates as an element of a heading – according to our rules the dates can only be added if the heading is otherwise identical to another, according to AACR2 the use is optional; and 2) if a person is a contemporary author the entry is made under the name found in a publication – it is not according to our rules).

RAK: In general, the heading for a modern personal name in countries with European languages is made in the usage of the country of which the person is citizen.

RC (Spain): An illustrative basic principle is that we pretend that the personal heading identify an author, to avoid ambiguities or false attributions. Therefore we enable several processes to avoid or break up homonyms.

An important underlying principle is to attempt getting closer to the name form which for the author, in reference and bibliographic sources, is identified. It is accepted that the author, as a last resort, define its name and the way he wants to be known, or it is intended to evaluate the form how the person is commonly known.

Occasionally we provide the access to subjects search or useful to the users.

RCR: Personal name heading should be the most information saturated but at the same time as simple as possible.

RICA: Principles underlying RICA [pars. 50-53] are those of the form with which authors are “commonly” referred to in bibliographies/bibliographic tools and in the common use.

A personal author should be represented in the catalogue only from one heading (uniform heading) and each uniform heading should be referred only to one entity. Therefore, if a person is known with more than one name, or form of the same name, only one of these should be adopted for the heading.

For classical authors, Greeks and Byzantines, the Latin form of the name is preferred; for authors better known in the Western World in a form which is not

corresponding to the original transliteration, RICA [par. 53] prefer the first one; for saints [par. 60] the forename is always preferred.

SL (Finland): See Paris principle 7 and 8

3.B. CHOICE:

3.B.1. Which name used by a person is the preferred name for your rules?

AACR2: See Paris Principle 7.1 and 8 above

AAKP (Czech): Foreign authors: LC names and names taken from national bibliographies. Czech names and foreign names not found in other resources are formed according to AACR2 (Czech authors with fuller dates).

AFNOR: AFNOR Standard NF Z 44-061 [*Form and structure of names of persons headings, titles headings, filing headings and "titres forgés"*]

§1. [*Names of persons headings : general recommendations*] :

Generally, the name of the author is used as heading under the form adopted by the author himself or under the form the author is commonly known, taking into account of the graphic forms of the name (spaces, abbreviations, etc. [spelling]). This heading may be a real name (surname and possibly first name), a pseudonym, a title of nobility, a religious name, a first name, initials or other appellation. [...] Generally, one unique heading is made for each author.

§1.1 [*Choice among different names*] :

When it is necessary to choose among different names for one person, choose the name that appears most frequently in the person's works ; refer from the other forms.

§1.1.1. [*Successive changes of names*]

If a person has changed his or her name (married women, etc.) choose the latest name unless the person is better known under an earlier name.

§1.1.2. [*Use of different names simultaneously*]

If there is no predominant name, different headings may be established connected each other by "see also" references, if each name is used for a distinguished group of works (see also below §3. F.2.).

§1.1.3. [*Pseudonyms*] (see below §3.D)

§1.1.4. [*Collective pseudonyms*] (see below §3.D)

See also above Paris Principles §7, §8.21

§2.4. [*Erroneous or disputed attributions : so-called author*]

"A so-called author is an author who usurps the identity of another author when this usurpation is known, or is an author traditionally designated by the expression "Pseudo-"".

§2.4.1. [*The real identity of the author is unknown*]

The uniform heading is made of the usurped name followed by the addition "so-called author" [auteur prétendu]

example :

uniform heading : Hyginus (auteur prétendu)

reference from : Pseudo-Hyginus

example :

uniform heading : Zola, Emile (auteur prétendu)

comment : author in 1978 of a work entitled "Amoco Cadiz" the pages of which are all blank

§2.4.2. [*The real identity of the author is known*]

The uniform heading is based on the real name and a reference is made from the usurped name.

example :

uniform heading : Chorier, Nicolas

reference from : Meursius, Johannes (auteur prétendu)

comment : to sign his licentious works, Chorier usurped the name of Meursius who was an author of religious books.

BAV: We add person's dates (birth, death, etc.) as the last element of a heading.

KBARSM (Lithuania): In our cataloguing tradition the uniform heading is the name by which the author is most frequently identified in editions of his works, in the fullest form commonly appearing there.

KBSDB: The sources for a choice 1) What is the preferred term in the National bibliography publishing the original documents 2) What is the generally used form in the literature 3) What form are used formerly in the catalogue 4) What is the latest used form. The local catalogues in DK are generally using 2) and 3) to choose the preferred term. An added entry of the full names is preferred even the author always use initials. The form in the originals language is important. For names in other alphabet we use standard-list for the transliteration to latin characters

MSZ: THE NAME WHICH THE AUTHOR USES ON HIS/HER WORKS, WHETHER IT IS HIS/HER REAL NAME OR A PSEUDONYM, AN ASSUMED NAME, A NICKNAME OR AN APPELLATION THE NAME BY WHICH HE/SHE IS IDENTIFIED IN REFERENCE WORKS AND IN THE BIBLIOGRAPHIC PRACTICE

THE NAME CHOSEN FOR AN AUTHOR HAS TO BE ALWAYS WRITTEN IN THE SAME FORM

PPIAK (Croatia): The name which (1) most frequently appears in editions of author's works, and (2) the name that has been established in general usage in references and biographical works.

PPIAK (Slovenia): The most frequently used name in the original editions of the works or the name that has become established in general usage in references to the author in biographical works (older authors).

RAK: In general, the name used by the person himself/herself in the form used by himself/herself is the preferred name. If a person is known under different names or forms of names and the name or form of name used by himself/herself is not known, the better known or common name or form of name is used for the heading. Reference sources are used to decide the latter.

RAKK (Bulgaria): Family name. V. 3.A.1

RC (Spain): The RC 15.1.1A includes the PP 8 "the personal name whether is commonly known as the author according to the works edited in his own language"

The RC 15.1.1Ba says that in those cases where the person is known by more than one name and we cannot choose the name by which the person is closely most commonly known, choose one name or form of name according to the following order of preference:

- 1. The name that appears most frequently in the person's work.*
- 2. The name that appears most frequently in reference sources.*
- 3. The latest name.*

In the RC 15.1.1Bd there are given some rules in case that a name appears in different ways, and depending on how it appears, you can choose:

- 1. The way commonly used.*
- 2. The latest form used.*
- 3. The most completed form.*

The author's name script is respected but if there are any changes, we choose the current one, or the predominant one (RC15.1.1Be).

If there are linguistic changes (RC 15.1.1Bf), we choose the used form for the most of its works, and if we have any doubt, we have to follow the reference sources of the country where the author lived or wrote, as a general rule but if:

- *A name occurs in reference sources and/or in the person's works in a Latin form as well as in a form in the person's vernacular, choose the form most commonly found in reference sources.*
- *We use the Latin form of the name with Byzantine authors.*
- *And we accept the Spanish form for: Saints, Devotes, Popes, Emperors, Kings, reigning Prince, classic Greeks and Latins.*

In relation to alphabetical changes (RC 1.1.Bg) in the personal names written in non Latin form, we will choose the form that appears in the reference source, and if we cannot choose this one, we have to change the original form to the Latin writing.

RCR: The most well-known or most frequently used in publications.

RICA: The name with which is mainly and constantly identified in his/her works' editions in the original language [RICA par. 49-53], also if this is not his/her real name or in its original form. When an author appears in the editions of his/her works with different names, the most frequently used will be chosen for the uniform heading. If the real name is between the variants used by the author, this will be the preferred one for the uniform heading.

RT (Netherlands): The form of the name is based on the principle of nationality of the author. (Cf. 7.1 and 8 above).

SL (Finland): See Paris principle 7 and 8

3.C. STRUCTURE

3.C.1. Do you follow the IFLA Names of Persons when formulating the structure of a personal name?

AACR2: Not specifically, although some AACR2 rules reflect the same structure as the IFLA Names of Persons. For names in languages for which there are no specific rules in AACR2, the cataloguer is referred to the IFLA Names of Persons (22.21, footnote 17)

AAKP (Czech): If they are embedded in AACR2.

AFNOR: Yes. AFNOR Standard NF Z 44-061 [*Form and structure of names of persons headings, titles headings, filing headings and "titres forgés" (§6.3. IFLA Recommendations)*]: the Names of persons are mentioned.

BAV: No, we don't. We formulate our headings according to AACR2 and the above mentioned local variations.

KBARSM (Lithuania): As to formulation of a personal name structure we follow the IFLA Names of Persons.

KBSDB: Yes, mainly. If we can't find any guiding in the Danish rules, we always consult the IFLA Names of Person

MSZ: YES

PPIAK (Croatia): Yes.

PPIAK (Slovenia): Yes

RAK: The RAK follow the general rule as described in the IFLA UBCIM publication "Names of persons", page 75 ff.¹ The prescription to form artificial compounds for a prefix and a surname (e.g. "ZurMühlen" instead of "Zur Mühlen") has been

¹ Names of persons : national usages for entry in catalogues / [International Federation of Library Associations and Institutions, IFLA Universal Bibliographic Control and International MARC Programme, Deutsche Bibliothek, Frankfurt am Main]. - 4th rev. and enlarged ed. - München, New Providence ; London ; Paris : Saur, 1996 (UBCIM publications ; N.S., Vol. 16)

abolished by the fourth amendment of RAK-WB (2002). The general rule for the order of elements in catalogue headings is:

Type of name	Entry element	Examples
1. surname	surname	Morgenstern, Catharina Schmidt, Karl Heinz
2. Feminine ending of surname	surname without feminine ending	Welser, Philippine (i.e. Welserin, Philippine)
3. Surname with prefixes		
- a preposition	part following the preposition	Beethoven, Ludwig van
- a titular prefix followed by a preposition	part following the preposition	Schack, Adolf Friedrich von
- a titular prefix before the surname and a preposition	part following the preposition	Preussen, Louis Ferdinand von
- a preposition and an article written separately	part following the article	Hagen, Friedrich von der
- a preposition and an article of Roman origin	prefix, if it is an article in a name of Romanic origin	Le Fort, Gertrud von (i.e. Gertrud von le Fort)
- a contraction of a preposition and an article	prefix	Vom Berg, Fritz
- a contraction of a preposition and an article elided	prefix	Aus'm Werth, Ernst (i.e. Ernst aus'm Weerth)
- a preposition and a contraction of a preposition and an article	prefix, if it is a preposition and an article combined in one word	Zur Mühlen, Heinrich von (i.e. Heinrich von zur Mühlen)
- more than one prefix linked by a conjunction	part following the last preposition	Urff, Georg Ludwig von und zu

4. Compound surname		
- consisting of two surnames usually hyphenated	first part of compound	Meyer-Hofmann, Ernst
- consisting of a name and a hyphenated place name	first part of compound	Müller-Meiningen, Ernst
- consisting of a name and a place name linked by a preposition	first part of compound	Meyer zu Selhausen, Hermann
- consisting of the prefix <i>von</i> and two surnames linked by a conjunction	part of compound following the prefix	Strauss und Torney, Lulu von
- with titular prefix followed by the preposition combined with an article and two hyphenated surnames	prefix starting the compound, if it is a preposition and an article combined in one word	Zur Lippe-Weissenfeld, Franz Clemens Ulrich (i.e. Franz Clemens Ulrich Prinz zur Lippe-Weissenfeld)
- consisting of a name and a place name with a prefix contracted of a preposition and an article	prefix starting the compound, if it is a preposition and an article combined in one word	Vom Stein zum Altenstein, Karl (i.e. Karl Freiherr vom Stein zum Altenstein)
- consisting of a surname with the attributive prefix <i>Sankt</i>	first part of compound	Sankt Goar, Ludolph
- consisting of two surnames joined by the word <i>genannt</i>	first part of surname, <i>genannt</i> being replaced by a blank	Gnevkow Blume, Rudolf (i.e. Rudolf Gnevkow genannt Blume)
- consisting of a surname and a place name with title of nobility	first part of compound	Rauh- von der Schulenburg, Julia (i.e. Julia Rauh- Gräfin von der Schulenburg)

RAKK (Bulgaria): Yes

RC (Spain): Yes, we do. Nowadays we follow RC that briefly shows some of the most common examples of the IFLA publication. It is followed the IFLA's work not only to assign that structure to the names according to nationality but in relation to their language, although sometimes we accept the national decisions (from the National Bibliographic Agency) within different options of the same language.

RCR: Yes

RICA: Yes [RICA par. 55]

RT (Netherlands): Yes.

SL (Finland): If we cannot find any guidance in the Finnish rules or in the national authority files of the author, we may consult the IFLA Names of persons.

3.C.2. What is the structure of personal names (headings and references) in your code?

AACR2: Generally inverted order, surname followed by forename[s], with additions as needed to make headings unique.

AAKP (Czech): Entry element, other part of name, dates, Roman numbers, titles, extensions of initials and other qualifiers.

AFNOR: AFNOR Standard NF Z 44-061 [*Form and structure of names of persons headings, titles headings, filing headings and "titres forgés"* (§2 Structure of the name of person heading)] "The name of person heading is composed of three elements : entry element, rejected element, qualifier [=addition according to the AACR2]. According to the type of name, this composition differs".

BAV: Apart from the choice among different names or different forms of the same names, the structure of personal names is given by the order of elements: entries under surname/title of nobility/given name, etc. or under phrase. Then there are additions to name such as titles of nobility and terms of honour, dates and other distinguishing terms. In other words a person's name consists of several parts and we select as the entry element that part of the name under which the person is listed in our authoritative alphabetic lists.

KBARSM (Lithuania): The structure of personal names (headings and references) is based on UNIMARC/Authorities Format in our cataloguing practice.

**KBSDB: The first term is the family name the second term the name.
The names are keyed in inverted forms**

MSZ: FOR MODERN NAMES:

THE FIRST ELEMENT IS THE SIMPLE SURNAME

COMPOUND NAMES, CONSISTING OF TWO SURNAMES OR TWO OR MORE WORDS NOT THEMSELVES SURNAMES SOMETIMES LINKED BY A HYPHEN

COMPOUND NAMES CONSISTING OF TWO SURNAMES OF WHICH ONE IS CONSISTENTLY DENOTED BY AN INITIAL OR INITIALS ONLY

COMPOUND NAME OF A MARRIED WOMAN, CONSISTING OF INITIAL OR INITIALS ONLY OF HER HUSBAND' SURNAME WITH THE SUFFIX -NÉ FOLLOWED BY THE MAIDEN NAME

THE SECOND ELEMENT IS THE SIMPLE FORENAME OR FOR A MARRIED WOMAN, FORMED BY THE ADDITION OF THE SUFFIX -NÉ TO HER HUSBAND'S FORENAME

FOR ALL THE DETAILED RULES SEE THE NAMES OF PERSONS ... CITED IN 3.C.1.

Examples:

Modern names:

Bókay János (1922-) Bókay János (1892-1961) Tótfalusi Kis Miklós (1650-1702)

Demény-Dittel Lajos (1949-) Erdész Ferencné (1943-)

Kosáryné Réz Lola (1892-1985) reference: Réz Lola → Kosáryné Réz Lola

Historical names:

Eukleídes References: Euclides → Eukleídes, Euklidesz → Eukleídes

Zēnōn (elai)

Zēnōn (kítiōni)

Ancient names:

Vergilius Maro, Publius Reference: Virgil → Vergilius Maro, Publius

Ovidius Naso, Publius Reference: Ovid → Ovidius Naso, Publius

Medieval names:

Abélard, Pierre References: *Abailard, Pierre* → *Abélard, Pierre*
Abaelardus, Petrus → *Abélard, Pierre*
Petrus Abaelardus → *Abélard, Pierre*

When the person has no family name and a word or phrase (place of origin) is associated with the name:

Guido da Siena
Walter von der Vogelweide Reference: *Vogelweiede* → *Walter von der Vogelweide*

Emperors, kings, other rulers:

Béla (Magyarország: király), III.
Marcus Aurelius (Római Birodalom: császár)
Konstantinos (Kelet-római Birodalom: császár), VIII.
Napoleon (Franciaország: császár), I. Reference: *Bonaparte, Napoléon* → *Napoleon* (Franciaország: császár), I.

When the person has neither family nor associated name:

Biduinus (12.sz.) (szobrász)
Bálint (15.sz.) (festő)

Popes, bishops, cardinals, priest, saints, biblical persons, etc.:

János (pápa), XIII. References: *Ioannes* (pápa), XXIII. → *János* (pápa), XIII.
Roncalli, Angelo → *János* (pápa), XIII.
Pilgrim (passaui püspök) (10.sz.)
Newman, John Henry (kardinalis)
Francesco d'Assisi Reference: *Ferenc, Szent, Assisi* → *Francesco d'Assisi*
Ézsaiás (próféta) References: *Ésaiás* (próféta) → *Ézsaiás* (próféta)
Isaiás (próféta) → *Ézsaiás* (próféta)
Izaiás (próféta) → *Ézsaiás* (próféta)

Pseudonym, nom de plume, pen-name:

Voltaire Reference: *Arouet, François Marie d'* → *Voltaire*
Eluard, Paul Reference: *Grindel, Eugène* → *Eluard, Paul*
Elin Pelin Reference: *Ivanov, Dimitar* → *Elin Pelin*

When the name is a phrase:

Meister des Marienlebens (15.sz.)
Meister M. Z. (16. sz.)
M. S. Mester (16. sz.)

PPIAK (Croatia): The structure follows the original structure of names as formulated in IFLA Names of Persons.

PPIAK (Slovenia): Generally inverted order - surname(s) (the entry element) followed by forename(s); additions if necessary.

RAK: For headings of modern names see 3.C.1. The general structure of a heading for a modern name is “surname, comma, forename”.

References are possible to track other forms of names or parts of compounds. E.g., references from parts of compounds surnames are made, with the second part as first entry element for the reference (followed by comma given name first part of compound surname).

Example:

Heading	Gnevkow Blume, Rudolf
References	Blume, Rudolf Gnevkow Gnevkow genannt Blume, Rudolf

The heading for members of royal houses is made under the given name. Territory, title and numbering are given in angle brackets in the language of the reigned country.

Examples:

Albrecht <Bayern, Herzog, V.>
Victoria <Great Britain, Queen>

The heading for members of royal houses no longer reigning is made under the surname like for modern persons.

Example:

Habsburg, Otto von

Titles of nobility, “Fürst” e.g., and titles of honour are not used as part of the heading.

Example:

Bismarck, Otto von

The heading for popes is made under the pope name in the Latin form. “Papa” and numbering is added in angle brackets.

Example:

Johannes Paulus <Papa, II.>

The heading for bishops that were clerical sovereigns of the “Römisch-Deutsches Reich” (till 1806) is made under the given name. Territory, clerical title and numbering are given in angle brackets. Name, territory and title are given in the form most commonly used in German.

Example:

Johann Philipp <Mainz, Erzbischof>

Other clerical dignitaries are, in general, treated as persons of their time.

Example:

Newman, John Henry

The heading for persons of the Middle Ages is made, in general, under the given name. Associated phrases (names) are added in angle brackets. Names and associated names are given in the language in which the person has written, in cases of doubt in the language of the country in which the person has operated.

If there are different forms of the same name in one language, the form that is most commonly used today is chosen for the heading. If different associated names are passed down by tradition, the most commonly used one is chosen.

Examples:

Wolfram <von Eschenbach>

Hildegardis <Bingensis>

Thomas <Becket>

Names of persons of the Bible are entered under the given name. If applicable, associated phrases (e.g. Apostolus, Evangelista, Propheta) are added in angle brackets.

Example:

Daniel <Propheta>

The heading for ancient Greek names is made under the given name. Associated phrases are added in angle brackets. Personal name and associated phrase are given in Latin form.

Examples:

Aristophanes

Homerus

Aristides <Apologeta>

The heading for ancient Roman names is made under the name used most commonly. If the first name is the one used most commonly, further names are added in angle brackets. If the name used most commonly is preceded by other names, these other names follow after a comma.

Names and associated phrases are given in Latin form.

Examples:

Martianus <Capella>

Cicero, Marcus Tullius

The heading for Byzantine names is made under the given name. Associated phrases are added in angle brackets even if they have adopted the character of a surname. Names and associated phrases are given in Latin form.

Example:

Johannes <Chrysostomus>

RAKK (Bulgaria): For Bulgarian and Russian authors:

Family name, Forename Father's forename in full or abbreviated form

For authors with other nationality in conformity with IFLA's Names of persons

RC (Spain): RC always shows that we must make a reference of the non chosen form as a heading, and that we must write it following the same structure as to the heading.

The initial element (RC15.1.2): when several elements form the name, we can choose as initial element the part under which the personal name appears ordered in an authorized list in its language or in the country where it lives.

As a general rule: if the name has one or several surnames, this/these will be the initial element, followed by the other parts of the name separated by a comma. With several surnames, you can choose the first surname as the first element but it had to be taking into account the national peculiarities that in some cases the initial element will be the last part of the name.

In the case of the married women (RC15.1.2 Ba4) that use the last name of the husband, this one will be used. But if she uses different surnames depending of the date, we can choose the modern one. The same way is if she uses the maiden names followed by the husband's surname, the initial element will be the husband's surname, except for Spanish, Italian, French, Czech and Hungarian nationalities in which the initial element will be the first surname that appears.

In the use of particles (RC 15.1.2Ba5) we follow the IFLA Names of Persons publication.

With those names containing a title of nobility (RC 15.1.2Bb), this can be used as initial element, being the determinative of the title, separated by a comma of the name in direct order and the word that indicates the term of rank, in its own language. Or it cannot be the initial element, but is added to the name when the author uses it frequently, adding it after the form selected for the heading of the author.

If it has not surnames, nor term of rank, the proper name is the initial element plus geographic place where the author was born, followed by the nicknames or the religious determinative if it has (RC 15.1.2. Bc).

Structures for particular cases in which headings are formed of additions (RC 15.1.2 Bd):

Royal families or kings, emperors, reigning princes, for works written before or after ascending the throne, but not when they are acting in official capacity of his authority (in such a case the structure would be different, being the initial element the jurisdiction area, so it will be studied in the corporate names chapter.

In this case the initial element will be the name or names that they used as such sovereign, followed by the ordinal number in roman number and followed by the title and name of the State separated by a comma (in Spanish form).

E.g.: Felipe IV, Rey de España

If they are also Saints, they should be added next.

E.g.: Luis IX, Rey de Francia, Santo.

We must do references from the known nicknames.

In the case of a consort of a person with the highest royal status within a state or people, after the name we have to add his or her title followed by “consort of” and the name of the royal person.

E.g.: Sofia, Reina consorte de Juan Carlos I, Rey de España

When we have a nonreigning prince, infants and other members of royal families, we follow the general rule, that is: enter the last name, adding the rank in its own language.

E.g.: Borbón, Gabriel de, Infante de España

Saints and Devotes: The initial element will be the name by which it is known, or name and birthplace, religious name or full name and surname in direct order, followed by the word Saint or Devout, in Spanish form.

E.g.: Tomás de Aquino, Santo

Popes: The initial element is the name identifying a Pope, followed by the ordinal number in romans, separated by a comma from the word Pope, adding in this case Saint or Devote if he is, in Spanish form.

E.g.: Pío X, Papa, Santo

Ecclesiastical entities - this element must be added when these authors only use the Christian name, following this one and separated by a comma.

E.g.: Filoxeno, Obispo de Hierápolis

Names of persons of religious vocation: the initial element will be the name, followed by the nickname or vocational religion and adding the initials of religious order, and if it goes with a nickname, we have to write it in its vernacular language, separately with a comma and followed of the initials of the religious order.

E.g.: María Isabel de Jesús, Madre (R.C.F.)

The structure followed in the special cases of initials, loose letters and phrases (RC 15.1.2. Bf):

When they are initials, loose letters or numbers, the direct order is followed, respecting the punctuation.

If the sentence does not include a personal name, follow the direct order.

If the sentence includes a personal name or similar, preceded of a term indicating relationship, rank, title, work, etc., the initial element will be the personal name. On the contrary, it will go in a direct form making a reference of the form not chosen.

If the sentence includes a personal name to which the work has been wrongly attributed, we follow the direct order, giving a reference of the opposite order.

When the person identifies himself as the author of other work, we form the heading with this sentence in a direct order, making a reference of his form if we know the real name of the author.

For graphic material, there are some special headings whose structures are:

In the case that we do not know the name of the author but if it is used the name of a workshop or circle in the heading of the work, the heading must be made up by the name of the artist by which the workshop is known in the form that the general rules say, followed by the right word Circle or Studio from...

E.g.: Velázquez, Diego (1599-1660). Círculo de

In those cases in which the word “anonymous” is the access point, we must complete this word with those terms that better delimit the geographic and /or cultural field in which we register the work, in any case, we have to write in brackets a chronological requirement.

E.g.: Anónimo (s. XVIII)

E.g.: Anónimo español. Madrid (s.XVIII)

RCR: [name] (identifying characteristics)

Name can be:

- (1) name in indirect order (surname, personal name, patronymic name),
- (2) name in direct order (for special types of authors, e.g. monarchs, clericals, etc.)

RICA: RICA are providing [par. 54] for *Name's elements order*.

“When the name of an author is formed by more than one element, the first position in the heading will be taken by the element which will better identifying the author.”

We could therefore have:

- a) Simple forename or other kind of name (given name, pseudonym, etc.) usually followed by a qualifier/s, between angle brackets, or by the second part of the name, preceded by a colon : [direct form];
- b) Compound/double forename (separated or not by an hyphen) or other kind of name (given name, pseudonym, etc.) usually followed by a qualifier/s, between angle brackets, or by the second part of the name, preceded by a colon : [direct form]
- c) Simple family name or other similar part of the name, usually followed by a simple or compound forename (if any), both preceded by a comma [inverted form];
- d) Compound family name or other similar part of the name, usually followed by a simple or compound forename (if any), both preceded by a comma [inverted form];
- a place name, followed by the name, preceded by a comma, and by the second part of the name, preceded by a colon, will be treated accordingly to its form (Palestrina, *Giovanni Pierluigi* : da = see c) above);
- prefixes: [RICA par. 56.1 and App. II] Family names, starting with a separated prefix, formed by an article, a proposition or a combination of both, are treated according to the use of the various countries. For Italian family names, prefixes are always in the first position, before the family name, and are

always linked, in the order of elements, to the following name (es. La, Lo, Di, De, Da, Dalle, Delle, etc.: De_Panicis; de_Pinedo; Delle_Piane; La_Lumia etc.). For Italian names of persons, who lived before the 19th century, formed by prefixes such as: *degli, de', dei, de li*, the heading is formed by the word following the prefix; in case of doubt a see reference entry should be made for the not accepted form.

Personal Heading Elements:

Direct form

Main group:		Secondary groups:	
<i>Forename</i>		<i>2nd pt. of the name</i>	<i>Qualifiers</i>
a)	<i>Simple Forename</i>		
	Francesco	: d'Assisi	<santo>
	Gregorius		<papa ; 23.>
	Ioannes	: Diaconus	
	Le_Corbusier		
	Nasser		
	Stendhal		
	Thant		<U>
b)	<i>Compound-double forename</i>		
	Alain-Fournier		
	Giovanni Crisostomo	: da Cittadella	<padre>
	Ioannes Paulus		<papa ; 2.>
	Vittorio Emanuele		<re d'Italia ; 2.>
	Vittorio Emanuele		<re d'Italia ; 3.>

Indirect form

Main group:		Secondary groups:	
<i>Family name</i>	<i>Forename</i>	<i>2nd pt. of the name</i>	<i>Qualifiers</i>
b)	<i>Simple Family name</i>		
	Azeglio,	Massimo	: d'
	Cavour,	Camillo	: Benso, conte di
	Propertius,	Sextus	
	Rossi,	Pietro	<1856-1931>
	Savoia,	Luigi Amedeo	<duca degli Abruzzi>
c)	<i>Compound Family n.</i>		
	Axel Castelli,	Giusto Adolfo	: van
	Tomasi di Lampedusa,	Giuseppe	

RT (Netherlands): Generally inverted order: surname followed by forename(s), with additions needed for distinction. There are special rules for names of authors of the classical antiquity, authors from before 1500, monarchs and popes.

SL (Finland): Usually surname, forename. Additions to differentiate identical names or for identifying purposes.

3.C.3. What are the guiding principles for structuring names in your code?

AACR2: Paris Principles

AAKP (Czech): AACR2 Chapter 22. Headings for persons

AFNOR: AFNOR Standard NF Z 44-061 [Form and structure of names of persons headings, titles headings, filing headings and "titres forgés"]

§2.1[The entry element is the name]

When the entry element is the name, the heading may possibly contain a rejected element (firstname, nobiliary particle, part of the name which is not used in the entry element) and one or more qualifiers [additions] to distinguish homonyms.[...]

§2.1.1. [*Choice of the entry element*]

If the name of an author is composed of different parts, the part of the name which is preferred as entry element is determined according to common use, either in the country the author is a citizen, either in the country where the author lives, either in the language used by the author [... see *Names of persons*], in this order of priority.
[...]

§2.1.2. [*Rejected elements*]

It concerns firstnames, part of a name which is not used in the entry element, particles, etc.

See also above Paris Principles n°7. [...]

Example :

In the uniform heading "La Fontaine, Jean de", the rejected elements are the firstname "Jean" and the particle "de".

§2.1.3. [*Additions [=qualifiers according to AFNOR rules]*]

Two types of additions exist : dates and distinguishing terms (title of nobility, function, etc.). When the entry element is a name, additions are used in the uniform headings only to distinguish homonyms. Date(s) always comes first. A function may be added to the date(s) if the date(s) is not enough to distinguish homonyms.

Special cases : date(s) cannot be added to "so-called authors" [(auteurs prétendus) or when the entry element is a firstname (see §2.2.).

[...]

See also above §3E Differentiating

§2.2. [*The entry element is the firstname*]

When the entry element is the first name, the heading is composed of the entry element and possibly of an addition. There is no rejected element [according to the AACR2 the heading is said "in direct order"].

This section does not concern contemporary authors using a first name to sign their works (e. g. Colette). These cases are assimilated with headings the entry element of which is a name, mainly for the choice of additions (see §2.1.3.).

§2.2.1. Entry element

In the entry element, the first name may be followed with a number, a territorial name, a country name, a family name, a religious name, etc.

Saints [...], popes and patriarchs [...], royal persons [...], consorts and children of royal persons, [...], Mediaeval names [...], religious names [...] can be distinguished.

§2.2.2. Additions [*qualifiers according to AFNOR rules*]

§2.2.2.1. An addition concerning the function is always given for saints, popes, patriarchs, religious persons entered under their first name, royal persons, children of royal persons, to contribute to their identification, even if there is no homonym.

example : uniform heading : Gregorius Turonensis (saint)

§2.2.2.2. If homonyms exist [...], see above §3.E Differentiating

§2.3. Initials, letters, numbers, phrases used as headings

When an author signs using initials of his/her name, separated letters, numbers, a phrase or any other designation which do not constitute a name in due form, these initials, letters, numbers, or designation should be taken as the heading in order their appear. Any typographic mark after the letters, or any word or expression used in connection with these initials, letters or numbers should be transcribed: three suspension points, asterisk, dashes, etc. Definite or indefinite articles which introduced this phrases, titlonyms, expressions are treated as rejected elements.

examples :

uniform heading : Author of "The Golden fountain", The

comment : the title page is : The Prodigal returns by the author of "The Golden fountain".

uniform heading : Lieutenant X

refer from : X, Lieutenant

uniform heading : Charpentier, Un

BAV: We formulate our headings according to AACR2 and the above mentioned local variations.

KBARSM (Lithuania): Our principles for structuring names are based on Guidelines for Authority Records and References (GARR).

KBSDB: We are always keying the fullest form of a persons name, if it's appear in the source or in heading of earlier records/documents. A name has often multiple term for instance double family names or prefixes, The rules are to code the preferred terms as it's normally are used in the country of the person

PPIAK (Croatia): The structure follows the original structure of names as formulated in IFLA Names of Persons.

PPIAK Macedonia: Surname, name, middle name

PPIAK (Slovenia): Paris Principles.

RAK: See 3.C.1

RAKK (Bulgaria): The agreed usage in the country of which the author is citizen, or, if this is not possible, by agreed usage in the language which he generally uses (PP 12)

RC (Spain): Paris Principles

IFLA: Names of Persons: national usages for entry in catalogs". 3^a ed., 1977 and the Supplement of 1980

Anglo-American Cataloguing Rules 2

Cataloguing tradition

RCR: The heading should include the name in direct or indirect order and all the additional information on the author needed for the users to distinguish authors with similar names.

RICA: The name with which is mainly and constantly identified in his/her works' editions in the original language [RICA par. 49-53]. Together with above structure's order, RICA are providing special rules for classical authors [par. 51], special categories of authors such as *popes, saints and members of sovereign families* [pars. 60-61]. For foreign authors RICA is following IFLA's Guidelines for *Names of persons: national usages for entry in catalogues* [par. 55].

RT (Netherlands): The Paris Principles.

SL (Finland): Paris principles 8.

3.D. PSEUDONYMS

3.D.1. Do your rules provide for the identification of "bibliographic identities" for the personas used by a person or group of persons?

AACR2: Yes

AAKP (Czech): Yes.

AFNOR: oui

BAV: If two or more persons collaborate and use a single pseudonym, we use the pseudonym as the heading for a work produced by their collaboration. Then we refer to the pseudonym from their names.

If a person has established two or more bibliographic identities, as indicated by the fact that works of one type appear under one pseudonym and works of other types appear under other pseudonyms or the person's real name we choose, as the basis for the heading for each group of works, the name by which works in that group are identified.

KBARSM (Lithuania): Our cataloguing practice anticipates the possibility to identify "bibliographic identities" for the persons used by a person or group of

persons (e. g., if the author signs his scientific works by his real name, whereas his poetry for children is signed by pseudonym).

KBSDB: Yes

MSZ: YES

PPIAK (Croatia): Yes.

PPIAK Macedonia: Yes.

PPIAK (Slovenia): Yes

RAK: The RAK-WB do not provide for the identification of “bibliographic identities” for the personas used by a person or group of persons. The code does not differentiate between work groups where different pseudonyms of a person are used. The general rule calls for one heading for a person.

RAKK (Bulgaria): Yes

RC (Spain): Yes, we accept the identity of the collective pseudonyms, and they are treated in the RC 15.1.1Bc, that is based on the AACR2.

RCR: Yes

RICA: Yes. [RICA par. 50.5] With the limitation that if the author uses more than one pseudonym and also his/her real name, RICA prefer the real name according to what said in 3.B.1 last par.

RT (Netherlands): Yes

SL (Finland): Yes.

3.D.2. How are pseudonyms treated (as references to a real name, as references to a predominantly used name, etc.)?

AACR2 rule 21.6D1 for a shared pseudonym (to use the pseudonym);

22.2B1 for one pseudonym, to use it with a reference from the real name to the pseudonym;

22.2B2 for separate bibliographic identities to enter under each with references to connect the names;

22.2B3 for contemporary authors using more than one pseudonym or pseudonym and real name to enter under each name with references to connect the headings.

AAKP (Czech): Both as a main form or reference to a uniform form of name.

AFNOR Standard NF Z 44-061 [Form and structure of names of persons headings, titles headings, filing headings and "titres forgés"]

§1.1.3. [Pseudonyms]

If one pseudonym is always used by an author, this pseudonym should be taken as the heading.

If both his/her pseudonym and his/her real name or different pseudonyms [...] are used by the author : the predominant name is taken as the heading and references are made from the other names. If there is no predominant name, see rules given in §1.1.2 [Use of different names simultaneously] (see above §3.B.1.)

§1.1.4. [Shared s pseudonyms]

When a shared pseudonym is used by authors, the shared pseudonym should be taken as the heading.

When the real name or one particular pseudonym is used by an author for his/her personal works, and a shared pseudonym for collective works, the rule given in §1.1.2 [Use of different names simultaneously] (see above §3.B.1.) should be followed. "See also" reference(s) to the shared pseudonym may be established from the other name(s).

Example :

uniform heading : Vaz, Gil

: Azevedo, Guilherme de

see also reference from : Guerra Junqueiro, Abilio Manuel

Comment : Gil Vaz is the shared pseudonym of Guilherme de Azevedo and of Abilio Manuel Guerra Junqueiro who wrote under these names.

Uniform heading : Marie et Joseph

see also reference from : Mezinski, Pierre

see also reference from: Bouchard, Corinne

[etc.]

Comment : shared pseudonym of Corinne Bouchard (pseudonym Marie), and of Pierre Mezinski (pseudonym Joseph). They started to write separately under their own surnames in 1990. Two headings should be established under these surnames, connected to the shared pseudonym thanks to "see also" references.

BAV: According to AACR2, § 22.1A, we choose, as the basis of the heading for a person, the name by which he or she is commonly known. This may be the person's real name or pseudonym.

KBARSM (Lithuania): If the author is more known under pseudonym, the authority record is compiled under pseudonym and the reference is made from the real name to the pseudonym. If the authority record is made under the real name of the author and the author have any pseudonyms the references are made from all pseudonyms to a real name.

KBSDB: The preferred heading is normally the pseudonym with reference from the real name with a see reference. The rules make it possible to choose all appearing as headings with see also reference

MSZ: IF THE PSEUDONYM IS THE HEADING, THE OTHER FORM IS A REFERENCE

WHEN THE AUTHOR USES DIFFERENT PSEUDONYMS, THE HEADING IS THE AUTHOR'S REAL NAME, OR THE PSEUDONYM UNDER WHICH THE AUTHOR PUBLISHED HIS/HER WORKS REGULARLY AND WAS IDENTIFIED

PPIAK (Croatia): As uniform heading and as references depending on author's use of the pseudonym in published works and by which s/he is generally known (PPIAK 96, 111/6).

PPIAK Macedonia: As references to a real name.

PPIAK (Slovenia): If a person publishes under his/her real name and under one or more pseudonyms the entry is made under his/her real name (references are made to the pseudonyms). If a person always publishes under one pseudonym the entry is of course made under the pseudonym (if we are allowed or if a person is already dead we disclose his/her real name in the notes and make a reference); if a person never publishes under his/her real name, but uses more than one pseudonym the entry is made under the most commonly used pseudonym (references are made to other pseudonyms).

RAK: The RAK-WB prescribe for a Pre-20th century person

- heading in general under the real name; references with the pseudonym or pseudonyms used
- heading under pseudonym, best known pseudonym or a combination of real name and pseudonym if the person is better known under her pseudonym or a combination of real name and pseudonym or if the real name cannot be ascertained

The RAK-WB prescribe for a 20th century person

- heading in general under the name (real name or pseudonym) used in a work if a person has written under real name and under one or more pseudonyms; no references or links between real name and pseudonym(s)
- heading under the best known name (real name or pseudonym or combination of real name and pseudonym) if a person is best known under a name which is named in reference sources or editions of her/his own works

RAKK (Bulgaria): When the author goes by a pseudonym the main entry for his works is the pseudonym. The reference under the real name of the author is not obligatory.

When the author has several pseudonyms the most popular of them is used as a uniform heading for his works. References are made under other pseudonyms of the same person.

When the author is writing part of his works under pseudonym and part under his real name the more popular form is chosen for uniform heading. A reference is made under the form of the name, which is not chosen.

When several authors are publishing under a common pseudonym the uniform heading for their common work is the pseudonym. If those authors are publishing also under their real names a reference is made under those names (see also)

RC (Spain): In RC 15.1.1Bc it has been said that if all the works are published under one pseudonym or are always identified by this pseudonym in sources of information, it should be chosen as a uniform heading.

When the author's works are issues under different pseudonyms or under a real name and one or more pseudonyms, the most prevalent in the last manifestations of the work, or in the critical works or reference sources must be chosen.

But in a contemporary author that uses several pseudonyms, or his real name and one or more pseudonyms, the prevailing name for each work must be chosen and references linking one name to each other must be made.

It is the same when the different names correspond to the different types of work or different functions of responsibility, the name with which the author is identified for each work or function must be chosen, and reference to each other must be made.

But if the differences between names occur between different manifestations of a work, the predominant one must be chosen, or if this is not possible we must choose the name that appears in the last manifestation, making author-title references to the authorized form from not authorized ones.

RCR: Treatment of pseudonyms may be different for various situations.

RICA: [RICA pars. 50.1-2; 50.5] If the pseudonym is the form chosen as the main entry then it should be made a reference entry (see 3.A.1 and 3.B.1 above), directing the user from the author real name to the form chosen, according to *Paris Principles* provisions in 7.1 and 8.2 (The uniform heading should be the name by which the author is most frequently identified in editions of his works,... whichever the name could be: real name, pseudonym, assumed name etc.)

RT (Netherlands): Pseudonyms are considered as separate bibliographic entities, with references to the real name and other pseudonyms to connect the various name forms.

SL (Finland): One pseudonym: a reference from the real name to the pseudonym
 Separate bibliographic identities: to enter under each and see also references to connect the names

For contemporary authors using more than one pseudonym or pseudonym and real name: to enter under each name with see also references to connect the name headings

For shared pseudonyms: to use the pseudonym . References to the pseudonym from the other headings

3.E. DIFFERENTIATING

3.E.1. Do your rules differentiate the names of persons so each has a unique authorized form as heading?

AACR2: Yes and when cannot differentiate, AACR2 rule 22.20 covers undifferentiated names to use the same heading for all persons with the same name.

AAKP (Czech): Yes, in case of Czech authors we try to distinguish all authors, but there are still a lot of undifferentiated headings in our catalogue (not in authority files, such names are not part of our authority file).

AFNOR: Yes

BAV: Yes, of course.

KBARSM (Lithuania): It's characteristic to our cataloguing practice to differentiate the names of persons.

KBSDB: Yes. It's mandatory for the national bibliography. Some local catalogues are only coding the differences if it appears in the source or in earlier catalogue documents

MSZ: YES

PPIAK (Croatia): Yes.

PPIAK Macedonia: The automated processing has no system for differentiation of names of persons. In conventional cataloguing an identifying element was added such as profession.

PPIAK (Slovenia): Yes

RAK: The RAK-WB do not differentiate the names of persons. The guidelines for the authority file "Personennamendatei (PND)" include modes of differentiation, however the RAK-WB lead to differentiation only in the following cases:

- well-known persons, regularly cited with additions (e.g. Cranach, Lucas <der Ältere>; Cranach, Lucas <der Jüngere>
- the rules for sovereigns and popes lead to individualisation as result, because roman numerals are added if name, territory and title are identical (e.g. Ludwig <Bayern, König, I.>; Ludwig <Bayern, König, II.>
- if a numbering is not usual for members of royal houses, they are differentiated by dates (e.g. Catherine <England, Queen, 1521 – 1542>; Catherine <England, Queen, 1512 – 1548>

RAKK (Bulgaria): Yes, by using the full form of the author's name for uniform heading

RC (Spain): Yes, they do, all RC 15.1 is dedicated to obtain distinguished authorized personal headings.

RCR: Only certain categories of authors have unique authorized forms as headings, including clericals and monarchs; ancient authors (Greek, etc.); persons with common names; names, consisting of two parts, e.g. Sokolov-Sokolskii; authors, known under

pseudonyms; authors, whose works are published under various forms of the name; oriental names.

RICA: Yes

RT (Netherlands): Yes.

SL (Finland): Yes.

3.E.2. What elements are used to distinguish one name from another that is similar?

AACR2: Dates, fuller forms as qualifiers, distinguishing terms

AAKP (Czech): Dates of birth and death. In case of older (up to 19th century) authors qualifiers /but very seldom/. And newly authority record number is a part of heading in bibliographic record.

AFNOR: AFNOR Standard NF Z 44-061 [*Form and structure of names of persons headings, titles headings, filing headings and "titres forgés"*]

§2.1.3. [*Additions [=qualifiers according to AFNOR rules]*]

In headings in which the entry element is a name, additions are used only to distinguish homonyms. Addition of date(s) is always the first addition used. Addition of function may be added to addition of date(s) when this latter is not sufficient to distinguish homonyms.

See also above §3.C.3.

BAV: Distinguishing terms are: fuller forms, dates, qualifiers (e.g. term of address, title of position or office, initials of an academic degree, initials denoting membership in an organization).

KBARSM (Lithuania): Similar names are distinguished using the following elements: dates of birth and death, title of nobility, name in religion, secular, etc.

KBSDB: We can use date, titles, local names and numerals

MSZ: DATE OF BIRTH AND DEATH

GEOGRAPHIC NAME

NUMBER OF CENTURY

NAME OF PROFESSION

PPIAK (Croatia): Elements are used in the following order: profession, biographical elements (Jr., Sr.), dates (PPIAK 101).

PPIAK (Slovenia): We usually use dates (if the year of birth is publicly known; otherwise we can only use it if we have the author's permission). If we do not know the dates or we are not allowed to use them we use the terms of profession or education or abbreviations for "junior" and "senior" (in Slovene language).

RAK: The differentiation is performed by elements that are given in additions by the so-called "Ordnungshilfen" (additions for filing).

According to RAK-WB, when well-known persons are regularly cited with additions, these elements are added in angle brackets, e.g. "der Ältere", "der Jüngere", "père", "fils".

If a numbering is not usual for members of royal houses, identical names of their members which have the same rank, territory and title are differentiated by dates (years of their regency or years of birth and death).

RAKK (Bulgaria): Bulgarian and Russian names are distinguished very often by the father's surname which is obligatory element in the uniform heading for author's name.

When the elements of the uniform headings for two or more authors coincide they are distinguished by adding an identifying characterization such as profession, dates of birth and death etc.

RC (Spain): In RC 15.1.2Bd, 6 and 7 other possibilities are given besides giving the dates of birth and death, that are always an optional element in any case at the moment of

formulating the heading. But if the homonym still persists or dates are not available, we can choose among the following additions to solve the problem:

fuller form of name

titles of nobility and terms of honor, initials of religious order, profession or the specific terms necessary to avoid the ambiguity.

RCR: Dates of life, words like “son”, “seniour”, “junior”, title, surname (for clericals). Also, if necessary, following data can be added: field of activities, profession, affiliation, academic degree, military rank, nickname.

RICA: [RICA pars. 59.2-4] **Qualifiers, such as:**

- **epithets normally associated with the name of a person,**
- **dates (born and /or died),**
- **formal name given by the cataloger.**
- **For modern authors, living contemporarily, a see reference entry will be entered with an expression, formulated by the cataloguer, as qualifier.**

Rossi, Mario <1946- >

x Rossi, Mario <autore di guide archeologiche>

Rossi, Mario <1950- >

x Rossi, Mario <poeta>

RT (Netherlands): *Initials or fuller names, dates, additions and other distinguishing elements.*

SL (Finland): Ordinal numbers (because of the privacy protection the dates are given only in internal notes of the authority file),

Fuller forms of the name and qualifiers. In the Viola database, which includes music, the role or function of the author is added to the name as qualifier.

3.E.3. When do you add these elements?

AACR2: As needed to distinguish identical names. Dates and fuller forms as qualifiers may optionally be added when known, even when there is no need to distinguish between headings. Some distinguishing terms, such as titles of royalty or words or phrases denoting place of origin, etc. are routinely added when associated with the name even when not needed to distinguish between headings. Other types of distinguishing terms are used only in cases of actual conflict with another person of the same name.

AAKP (Czech): In case of Czech authors we add dates always when we find them in a credible public source (or with a approval by person).

AFNOR: AFNOR Standard NF Z 44-061 [*Form and structure of names of persons headings, titles headings, filing headings and "titres forgés"*]

§2.1.3. [*Additions [=qualifiers according to AFNOR rules]*]

The AFNOR rule is : In headings in which the entry element is a name, additions are used only to distinguish homonyms.

But, the practice is different : in the BN-OPALE Plus catalogue, when we know the author's date of birth, additions of date(s) are part of the heading from its creation, without waiting for an homonym. This avoids to update the heading later.

§2.1.3.1. [*Addition of date(s)*]

Dates of birth and of death are given when they are known. [...] When these dates are unsettled, the age (century) during which the author lived and produced is given [...]. A question mark should follow the approximate dates.

§2.1.3.2. [*Additions of functions*]

When the addition of date(s) is not sufficient, an addition of function is added to the addition of date(s) : military rank, title of politeness, function, academic distinction, honorary title, etc., separated from each other by space, semicolon, space.

Nobiliary title are used just for distinguishing homonyms.

When two homonyms have identical dates and function, a third element should be added : the dates of activity.

Examples :

Masson, André (1896-1987)
Masson, André (1919-....)
Masson, André (1950-.... ; médecin)
Masson, André (1950-.... ; polytechnicien)

Smith, John (18.-19.. ; architecte)
Smith, John (18.-19.. ; médecin : actif en 1940)
Smith, John (18.-19.. ; médecin : actif en 1960)
Smith, John (1806- 1850?)
Smith, John (1837-1896)

§2.2. [The entry element is the firstname]

§2.2.2. When homonyms an addition of date(s) is added to distinguish the headings constituted of an entry element and of an addition of function.

examples :

Augustinus (saint ; 354-430)

Augustinus (saint ; 5.-605 ?)

§2.2.3. Concerning the other headings for which the entry element is the firstname [...], the additions are used only to distinguish homonyms..

examples :

Guillaume le Clerc (12.-.... ; de Normandie)

Guillaume le Clerc (12.-.... ; de Picardie)

BAV: During the authority control, when we have two or more undifferentiated names.

KBARS (Lithuania): The above-mentioned elements are added in order to identify several similar names of persons.

KBSDB: The use of those elements are to distinguish between the same form of names and are obligate for the national bibliography. For the local catalogues the date are used to give a full entrance of the author and are commonly added when the date appears in the sources or in earlier catalogued documents.

MSZ: THE NAME OF A HUNGARIAN AUTHOR IS ALWAYS DIFFERENTIATED WITH DATE OF BIRTH/DEATH, WHEN THE DATA IS ASCERTAINABLE

WE USE UNIFORM NAMES IN THE CASE OF HUNGARIAN PERSONS IN THE CATALOGUES OF THE NATIONAL LIBRARY AND IN THE NATIONAL BIBLIOGRAPHIES

DATA ELEMENTS FOR AN ENTRY WRITTEN IN A NON-LATIN ALPHABET ARE TRANSLITERATED ACCORDING TO ISO STANDARDS AND DRAFTS

PPIAK (Croatia): Only when the names are the same.

PPIAK (Slovenia): Only if the heading is otherwise identical to another.

(Exception: when more names are very similar and one author could be mistaken for another, it is optional to add these elements – there are very few examples and only the national library can decide on that).

RAK: According to RAK-WB, identifying additions like “der Ältere”, “der Jüngere”, “fils”, “père” are added to the names of very well known persons that are regularly cited with differentiating additions (e.g. Lucas Cranach; Alexandre Dumas).

Dates are given when members of royal houses have identical names, territory and title.

RAKK (Bulgaria): Only when the full forms of author's names are identical

RC (Spain): The dates, they are an optional element in RC, are always added, when available, at the moment of formulating the heading, but when it is not so, we add them to the pre-existent headings without dates when they are used again.

The rest of additions are only added when the homonym appears.

RCR: Dates of life, words like “son”, “seniour”, “junior”, title, surname (for clericals) are added every time when we need to distinguish one name from another and if the data is available or can be found in references. Other elements are added only if above data is not sufficient for unambiguous identification.

RICA: Only in case of homonymous to distinguish one entity from others.

But qualifiers are mandatory, independently by the need of differentiating and distinguishing one name from another [RICA pars. 59.5; 61], in the case of particular categories of authors (popes, saints and members of sovereign families)

RT (Netherlands): If needed to distinguish identical names.

SL (Finland): Mainly for identifying purposes and for differentiating the similar names. National bibliography does this as daily routine for all names of the authors existing in publications received. This is for the needs of the future as well.

3.E.4. Which elements do you add to the heading and which do you include in an authority record for that person?

AACR2: See 3.E2 above for additions. Such additions are included in the heading for the person in the authority record. Authority records also may include such information as references, catalogers' notes, sources where identifying information or variant names were found, classification numbers associated with the person, etc.

AAKP (Czech): The dates and qualifiers are part of heading. Biography note and source of name are parts of the authority record.

AFNOR: Concerning the elements added to the headings, see above §2.1.3. and §3.E.2

Concerning the elements included in the authority record and supposed to be used in the headings : the same, but dates are entered according to the schema YYYYMMDD when only the year is taken into account in the heading. In INTERMARC(A) biographical dates and dates of activity are keyed in a fixed length data coded field ; other biographical information (the function) are keyed in note field. These data are used to establish the additions of date and of function to be added to the heading when homonyms. Biographical dates and dates of activity are used as search criteria in some by-products published from the authority file (on CD-ROM for example). Data included in the authority record used or not used in the heading are displayed for the users. (see also example under §3.F.1)

To identify the person, are included :

- nationality
- languages used by the person in his/her publications
- the type of responsibility : artistic or commercial
- notes : on how to use the heading, information notes, note on the nationality, the biography, the sources.
- "see" and "see also" references

Example of authority record

000	c0 ap22		
001	FRBNF11930177X		
008	850502871228frfre	19500304	a 1

045	\$aa
100	\$w 0 b.....\$aMasson\$mAndré\$d1950-....\$emédecin
600	\$aDocteur en médecine
610	\$aLe Soleil, l'homme et la santé / A. Masson, 1977 (thèse)

Masson, André (1950-.... ; médecin)

Nationalité : France

Langue : français

Naissance : 1950-03-04 -

Docteur en médecine

Sources : Le Soleil, l'homme et la santé / A. Masson, 1977 (thèse)

Notice n° : FRBNF11930177

BAV: See § 3.E.2

KBARS (Lithuania): Dates of birth and death, title of nobility, name in religion, secular, and other elements are added to the heading and included in an authority record for the particular person.

KBSDB: The elements are the same in the authority records as in the heading of the bibliographic records.

MSZ: THERE ARE NO AUTHORITY FILES IN THE DATABASE OF THE NATIONAL LIBRARY, WE USE ONLY THE INDEX FILES FOR CHOOSING OR CREATING THE CORRECT FORM

PPIAK (Croatia): Additions to name are the same elements in authority and bibliographic records.

PPIAK (Slovenia): All the elements stated above (3.E.2) are added to the heading. Authority records may also include bibliographical data about the author (for display to the public), dates (even if they are not necessary to distinguish one name from another that is the same or very similar), cataloguers' notes (intended to guide cataloguers, not for display to the public), variant names, sources where variant names were found, etc.

RAK: The elements as described in 3.E.1 and 3.E.2 are added to the heading according to RAK-WB. They are given in angle brackets.

The authority file "Personennamendatei (PND)" includes non-differentiated and differentiated names of persons.

An authority record of the "PND" with differentiating elements has to include at least either dates of birth / dates of birth and death or a term of profession/function. It may further include:

- place of birth
- other terms of address or descriptive phrases

corporate body to which the person is connected or affiliated

RAKK (Bulgaria): The same elements which are used to distinguish one name from another are added to the heading in both places. They are always included in the authority record and in the catalog only when it is necessary to distinguish similar forms of names

RC (Spain): Except dates, we add the elements strictly necessary to differentiate the heading, giving the other elements and value information in an authority record, for a possible major further differentiation and to make the correct attribution of the works easier for the cataloguer librarian.

In this way, in an homonym heading with initials in the forename, we only develop the initials as a fuller form it is enough to solve the problem, but if it is not we give the surnames as a fuller form in direct order.

In the authority record all these elements useful to solve the homonym are included, besides information such as: nationality when it is known and it is different from Spanish one, literary genders handled by the author, subjects about which he writes, officials he possesses, family relations with other authors of similar name with whom he can be mistaken, works he has written and occasionally works he has not written but have been attributed to him, personal names with whom he must not be mistaken.

To sum up, any information that help to identify and differentiate an author.

RCR: Elements, listed in 3.E.3, are added to the heading. Besides, an authority record includes see references from variant forms; note fields include any relevant biographical information and above elements, not included in the heading. Also a source of information is indicated – title of the source, where in data was taken from.

RICA: [RICA pars. 59.2-4] Homonymous are distinguished by opportune qualifiers, following the name, between angle brackets. Qualifiers, normally accompanying the name, are preferred and given in their shortest and, usually, original form. Lacking such kind of data, chronological specifications are added to the name. Lacking both the previous kinds of qualifiers, an expression formulated by the cataloguer will be added to the name. We are very cautious (see 3.E.2 above) to assign this third kind of qualifiers, related to persons' professions or activities, since different interpretations could automatically cause duplications.

The above elements are added to the personal author in a catalogue only in presence of homonymous entities. Elements added to an heading for a personal author in an authority record will include always, together to those indicated above, also sources and biographical information in information notes.

RT (Netherlands): *The heading should include only those elements that differentiate with homonyms. In practice the available information is recorded in an authority file, but the rules do not prescribe this.*

SL (Finland): The authority record consists of fixed length information including coded information, and of the variable-length fields including data information. So, these codes may indicate e.g., the source of the record, language or script or translation scheme used. There is information about the level of description etc. Besides the uniform heading the variant forms of the name are given as references. There are different kinds of notes concerning the identity, profession, history and activities of the author. The source/sources of the of the authorized and variant forms of the name are also added to the authority record.

3.F. AUTHORITY CONTROL

3.F.1. Do your rules call for the creation and maintenance of an authority file for controlling the forms of personal names used as headings and references in your catalogs and national bibliographies?

AACR2: Not specifically except mention in rule 26.1Ab) “there is a record of every reference under the name heading or uniform title to which it refers in order to make possible the correction or deletion of the reference.” The Joint Steering Committee for AACR (JSC) currently is exploring the addition of a section of the rules devoted to authority control.

AAKP (Czech): Yes.

AFNOR: Yes. AFNOR Standard NF Z 44-061 [*Form and structure of names of persons headings, titles headings, filing headings and "titres forgés"*]

§ [*Modifications (section on the title page of the standard)*]

In the present standard the structure of the headings is simplified, in so far as this structure is focussed on the elements quite necessary to identify the authors, to distinguish possibly homonyms and to arrange the headings. These modifications are in connection with the existence of authority records which contain any information concerning the author and which manage links between all references and associated forms to the heading.

\$0.2/Definitions

authority record : record made for the uniform heading of a name of person, of a corporate body, a title or a subject, under an authorized form according to the national rules. In addition to the heading, the record may contain information allowing identification of the heading, see and see also reference tracings, and the mention of the sources used.

6.3./IFLA Recommendations

Guidelines for authority and reference entries

Example of authority record

Kersauson, Olivier de (1944-....)

Nationalité : France

Langue : français

Naissance : 1944-07-20 -

Navigateur

Forme(s) rejetée(s) :

< *Kersauson, Olivier de*

< *Kersauson de Pennendreff, Olivier de*

< *Pennendreff, Olivier de Kersauson de*

Sources : Vieil océan / Olivier de Kersauson, 1990. - Quid 1994

Notice numéro : FRBNF XXX

However a lot of small libraries in France don't manage authority files. This is why in the *Bibliographie nationale française* published on CD-ROM in UNIMARC, parallel and reference forms coming from the authority records linked to a given bibliographic record through 6XX and 7XX fields are reproduced in this bibliographic record in 9XX fields. So that full index can be managed in local catalogues.

BAV: we have a central service for the authority control and we establish our authority records according to NACO recommendations.

KBARSM (Lithuania): Our cataloguing practice is fully in-line with the article 3.F.1.

KBSDB: Yes.

We don't created relation/reference from the form of the authors with initials even if the author generally appears in that form in the documents and when the headings is the full name

MSZ: SEE 3.E.4.

PPIAK (Croatia): Yes.

RAK: The rules do not call for the creation and maintenance of an authority file. Authority files are widely in use – e.g. for personal names the “Personennamendatei (PND)”. The PND is listed in an appendix of RAK-WB as a reference source among other reference sources.

RAKK (Bulgaria): There is no such obligation in the cataloguing rules. The authority control is carried out by using references under the forms of personal

names which are not adopted for uniform headings. In the catalog those references are included in common alphabetical order with the bibliographical records. An authority file for personal names is created and maintained since 1992 with the beginning of machine-readable cataloguing. The National bibliographical agency is maintaining an authority file for personal names of Bulgarian authors based on data required by UNIMARC/Authorities.

RC (Spain): The rules do not call for the creation and maintenance of authority files, as are intended in GARR and MLAR. But in RC the 15th and 16th chapter deal with how the uniform headings and references must be, and 17th chapter is only dedicated to references of any kind

RCR: Yes

RICA: Yes, for what concerns uniform headings, but not expressly for what concerns the creation and maintenance of an authority file [RICA par. 49].

Our union shared on-line database, SBN, has created and maintains an authority file for controlling the forms of personal names, corporate bodies and uniform titles too.

RT (Netherlands): There is no specific mention of this. It may be said to follow from the basic rule that prescribes to always enter an author under the same heading. For anonymous classics the IFLA publication is used as reference.

SL (Finland): No special rules

3.F.2. Do you provide links between names of individuals that are part of groups and the corporate name for the group? If so, in what situations?

AACR2: Such links are not specifically mentioned in AACR, but may be authorized under application of rule 26.2C for See also references.

AAKP (Czech): No.

AFNOR: Yes, when the individuals pertaining to the group produced also individually.

Example :

Uniform heading for a name of person :

Lennon, John (1940-1980)

See also refence "is a member of" :

The Beatles (groupe)

Sources : Éclats de ciel, écrits par ouï-dire / John Lennon, 1988

The Beatles anthology / [par les Beatles] ; [trad. par Philippe Paringaux], 2000

BAV: No, we don't.

KBARSM (Lithuania): Links between names of individuals and corporate body name are provided in the case if the name of individual is related with the corporate body name.

KBSDB: We don't have any rules about that, but there is a practice for cataloguing to the national bibliography, when it's known. For example two authors have a part-name. You key a preferred term for the real name and the pseudonym and make the reference as se also. In the local catalogues we will do the same.

MSZ: NO

PPIAK (Croatia): No.

RAK: Links between names of individuals that are part of groups and the corporate name for the group are not provided.

However, an authority record for a person may include a corporate body to which the person is connected or affiliated.

RAKK (Bulgaria):

- a) When several persons are publishing under a common pseudonym references are made under their real names

- b) When two or three authors are publishing under a common family name (brothers Grimm) references are made under their individual names.

RC (Spain): No, we do not.

RCR: Yes, if the individual that is part of a group was also an individual author.

RICA: Yes. In the case of a pseudonym used by a group of persons, RICA [par. 50.5] require see reference entries to be created from the real names of each person, if known. When each person is also separately author of autonomous works, the single headings will be created for each one of them. In this case the reference will report that the *corporate* pseudonym is referred only to works made in cooperation.

RT (Netherlands): We make references if the group is no larger than three, but there is no specific rule for this situation.

SL (Finland): Yes: Shared pseudonyms. All kinds of references and cross references are needed to link the real names and sometimes other pseudonyms of the persons involved. Sometimes there is a link between the name of the individual and the musical group he/she belongs to.