



Office for Library Standards
Expert Group for Descriptive
Cataloguing

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

Regeln für die alphabetische Katalogisierung in wissenschaftlichen Bibliotheken : RAK-WB / Die Deutsche Bibliothek. [Erb. 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)

Response submitted on April 25th 2003

The main cataloguing code for descriptive cataloguing is commonly cited as “RAK-WB”. This code does not include rules for subject cataloguing. “Regeln für die alphabetische Katalogisierung in wissenschaftlichen Bibliotheken” means „Rules for the descriptive cataloguing in scientific libraries“.

“Descriptive” in this context comprises more than just bibliographic description, as the code includes rules for headings and entries.

The cataloguing code for public libraries is called „Regeln für öffentliche Bibliotheken : RAK-ÖB“ (1986).

Regeln für öffentliche Bibliotheken : RAK-ÖB / [hrsg. von der Kommission des Dt. Bibliotheksinst. für Alphabetische Katalogisierung. Red. Bearb.: Hans

Popst]. – Wiesbaden, 1986. – XXXII, 433 S. – (Regeln für die alphabetische Katalogisierung ; 2)

The RAK-WB and RAK-ÖB are accompanied by cataloguing codes for special materials, among these, e.g., rules for the descriptive cataloguing of non-book materials (RAK-NBM, 1996, with amendments), rules for the descriptive cataloguing of printed music, musical sound carrier and musical image sound carrier (RAK-Musik, 1986; 1997), and rules for cartographic materials (RAK-Karten, 1987).

Regeln für die alphabetische Katalogisierung von Nichtbuchmaterialien : RAK-NBM ; Sonderregeln zu den RAK-WB und RAK-ÖB / Deutsches Bibliotheksinstitut. [Erb. von der Expertengruppe RAK des Deutschen Bibliotheksinstituts. Hrsg. von der Kommission des Dt. Bibliotheksinst. für Erschließung und Katalogmanagement. Red. Bearb.: Hans Popst]. – Berlin. – Losebl.-Ausg.

Grundwerk. – 1996

Präzisierungen. – Stand Februar 2000. – Nur in elektron. Form verfügbar
ftp://ftp.ddb.de/pub/rak-nbm/Nbm_Praezisierungen.pdf. -- 2002

Regeln für die alphabetische Katalogisierung von Musikdrucken, Musikonträgern und Musik-Bildtonträgern : RAK-Musik ; Sonderregeln zu den RAK-WB und RAK-ÖB / [erarb. von der Expertengruppe RAK-Musik des Dt. Bibliotheksinst. Hrsg. von der Kommission des Deutschen Bibliotheksinst. für Erschließung und Katalogmanagement. Red. Bearb.: Erwin Hardeck]. – Berlin. – Losebl.-Ausg.
[Hauptbd.]. – 1997

Sonderregeln für kartographische Materialien : RAK-Karten / [hrsg. von der Kommission des Dt. Bibliotheksinst. für Alphabetische Katalogisierung. Red. Bearb: Peter Baader und Dietrich Poggendorf]. – Wiesbaden, 1987. – XII, 66 S. – (Regeln für die alphabetische Katalogisierung ; 4)

The „Zeitschriftendatenbank“, the German Union Catalogue for Serials, uses application rules called “ZETA : Format und Konventionen für die Zeitschriften-Titelaufnahme in der Zeitschriftendatenbank (ZDB)” (Formats and conventions for the cataloguing of serials in the German Union Catalogue for Serials), partly differing from RAK-WB or interpreting them.

1. PARIS PRINCIPLES

1.1. Is your cataloguing code based on the Paris Principles for choice and form of headings and entry words?

Yes.

The International Conference on Cataloguing Principles (ICCP, 1961) gave decisive impulses which led to the development of "RAK".

The predecessor "Instruktionen für die alphabetischen Kataloge der preußischen Bibliotheken (PI)" – Instructions for the alphabetical catalogues of prussian libraries – dated from 1899 (1. edition) and 1908 (2. edition). Its rules resulted in a grammatical order of titles and were stamped by a scholarly classical philological approach. The non-consideration of corporate bodies for headings or added entries and the grammatical order, which was difficult to understand for modern 20th century users, were by then impediments for a modern cataloguing practice.

The Paris Principles were incorporated into the new cataloguing code "RAK". Work on the new code was started in 1962. After drafts and preprints, the final code was published in 1977. A second, revised edition for academic libraries was published in 1986, together with an edition for public libraries.

The RAK-WB follow the principle to give the heading for personal names and corporate names in the original language.

1.2. In what ways do you vary from the Paris Principles and why (to meet what needs)? (Please address each of the following Paris Principles, indicating how your rules address each, e.g., cite your rule that corresponds or give the alternative that your rule provides. You only need to respond to those Paris principles where your rules differ.) Note: Paris Principle 1 is just the scope so is omitted here.

Paris Principle 2. Functions of the Catalogue: the catalogue should be an efficient instrument for ascertaining

2.1 whether the library contains a particular book specified by

- a) its author
- b) if the author is not named in the book, its title alone, or
- c) if author and title are inappropriate or insufficient for identification, a suitable substitute for the title; and

2.2 (a) which works by a particular author and

(b) which editions of a particular work are in the library.

Concerning principle 2.2 (a) see also Questions 3.A.1 and 3.E:

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.

Paris Principle 3. Structure of the Catalogue: To discharge these functions the catalogue should contain

3.1 at least one entry for each book catalogued, and

3.2 more than one entry relating to any book, whenever this is necessary in the interests of the user or because of the characteristics of the book – for example:

3.21 when the author is known by more than one name or form of name, or

3.22 when the author's name has been ascertained but is not on the title-page of the book, or

3.23 when several authors or collaborators have shared in the creation of the book, or

3.24 when the book is attributed to various authors, or

3.25 when the book contains a work known by various titles.

Paris Principle 4. Kinds of Entry: Entries may be of the following kinds: main entries, added entries and references.

4.1 One entry for each book – the main entry – must be a full entry, giving all the particulars necessary for identifying the book. Other entries may be either added entries (i.e. additional entries, based on the main entry and repeating under other headings information given in it) or references (which direct the reader to another place in the catalogue).

Paris Principle 5. Use of Multiple Entries: The two functions of the catalogue (see 2.1 and 2.2) are most effectively discharged by

5.1 an entry for each book under a heading derived from the author's name or from the title as printed in the book, and

5.2 when variant forms of the author's name or of the title occur, an entry for each book under a uniform heading, consisting of one particular form of the author's name or one particular title, or, for books not identified by author or title, a uniform heading consisting of a suitable substitute for the title, and

5.3 appropriate added entries and/or references.

Paris Principle 6. Function of Different Kinds of Entry

6.1 The main entry for works entered under author's names should normally be made under a uniform heading. The main entry for works entered under title may be either under the title as printed in the book, with an added entry under a uniform title, or under a uniform title, with added entries or references under the other titles. The latter practice is recommended for the cataloguing of well-known works, especially those known by conventional titles (see 11.3)²

²The principles established for treatment of works entered under title may be followed also in arranging entries under any particular author heading.

6.2 Entries under other names or forms of name for the same author should normally take the form of references; but added entries may be used in special cases.³

³e.g. when a particular group of works is associated with a particular name.

6.3 Entries under other titles for the same work should normally take the form of added entries; but references may be used when a reference can replace a number of added entries under one heading.⁴

⁴e.g. when a particular variant title has been used in a number of editions.

6.4 Added entries (or in appropriate cases references) should also be made under the names of joint-authors, collaborators, etc., and under the titles of works having their main entry under an author's name, when the title is an important alternative means of identification.

Paris Principle 7. Choice of Uniform Heading: The uniform heading should normally be the most frequently used name (or form of name) or title appearing in editions of the works catalogued or in references to them by accepted authorities.

7.1 When editions have appeared in several languages, preference should in general be given to a heading based on editions in the original language; but if this

language is not normally used in the catalogue, the heading may be derived from editions and references in one of the languages normally used there.

Paris Principle 8. Single Personal Author:

8.1 The main entry for every edition of a work ascertained to be by a single personal author should be made under the author's name. An added entry or reference should be made under the title or each edition in which the author's name is not stated on the title-page.

8.2 The uniform heading should be the name by which the author is most frequently identified in editions of his works⁵, in the fullest form commonly appearing there, except that

⁵Subject to section 7.1

8.21 another name or form of name should be taken as the uniform heading if it has become established in general usage either in references to the author in biographical, historical and literary works, or in relation to his public activities other than authorship;

8.22 a further identifying characteristic should be added, if necessary, to distinguish the author from others of the same name.

The RAK-WB do not prescribe a differentiation of a name of a person. Identifying additions (e.g. "père", "fils", "der Ältere", "der Jüngere") are only added to the names of very well known persons that are regularly cited with differentiating additions (e. g. Lucas Cranach, Alexandre Dumas).
(see also 3.E.1)

Paris Principle 9. Entry under Corporate Bodies:

9.1 The main entry for a work should be made under the name of a corporate body (i.e. any institution, organized body or assembly of persons known by a corporate or collective name),

9.11 when the work is by its nature necessarily the expression of the collective thought or activity of the corporate body,⁶ even if signed by a person in the capacity of an officer or servant of the corporate body, or

⁶e.g. official reports, rules and regulations, manifestoes, programmes and records of the results of collective work.

9.12 when the wording of the title or title-page, taken in conjunction with the nature of the work, clearly implies that the corporate body is collectively responsible for the content of the work.⁷

⁷e.g. serials whose titles consists [sic] of a generic term (Bulletin, Transactions, etc.) preceded or followed by the name of a corporate body, and which include some account of the activities of the body.

9.2 In other cases, when a corporate body has performed a function (such as that of an editor) subsidiary to the function of the author, an added entry should be made under the name of the corporate body.

9.3 In doubtful cases, the main entry may be made either under the name of the corporate body or under the title or the name of the personal author, with an added entry in either case under the alternative not chosen for the main entry.

9.4 The uniform heading for works entered under the name of a corporate body should be the name by which the body is most frequently identified in its publications, except that

9.41 if variant forms of the name are frequently found in the publications, the uniform heading should be the official form of the name;

9.42 if there are official names in several languages, the heading should be the name in whichever of these languages is best adapted to the needs of the users of the catalogue;

9.43 if the corporate body is generally known by a conventional name, this conventional name (in one of the languages normally used in the catalogue) should be the uniform heading;

9.44 for states and other territorial authorities the uniform heading should be the currently used form of the name of the territory concerned in the language best adapted to the needs of the users of the catalogue;

9.45 if the corporate body has used in successive periods different names which cannot be regarded as minor variations of one name, the heading for each work should be the name at the time of its publication, the different names being connected by references⁸;

⁸It is a permissible alternative, when it is certain that the successive names denote the same body, to assemble all the entries under the latest name with references from the other names.

The RAK-WB does not make use of the alternative described in the footnote.

9.46 a further identifying characteristic should be added, if necessary, to distinguish the corporate body from others of the same name.

9.5 Constitutions, laws and treaties, and certain other works having similar characteristics, should be entered under the name of the appropriate state or other territorial authority, with formal or conventional titles indicating the nature of the material. Added entries for the actual titles should be made as needed.

The RAK-WB do not apply this principle for laws. The main entry for laws of a state or other governmental authority is made under the title. In general, the uniform title is the official title of the law.

9.6 A work of a corporate body which is subordinate to a superior body should be entered under the name of the subordinate body, except that

9.61 if this name itself implies subordination or subordinate function, or is insufficient to identify the subordinate body, the heading should be the name of the subordinate body as a subheading;

9.62 if the subordinate body is an administrative, judicial or legislative organ of a government, the heading should be the name of the appropriate state or other territorial authority with the name of the organ as a subheading.

Paris Principle 10. Multiple Authorship: When two or more authors⁹ have shared in the creation of a work,

⁹In this section the word "author" is used to include a corporate body under whose name entries are made (see section 9).

10.1 if one author is represented in the book as the principal author, the others playing a subordinate or auxiliary role, the main entry for the work should be made under the name of the principal author;

10.2 if no author is represented as the principal author, the main entry should be made under

10.21 the author named first on the title-page, if the number of authors is two or three, added entries being made under the name(s) of the other author(s);

10.22 the title of the work, if the number of authors is more than three, added entries being made under the author named first in the book and under as many other authors as may appear necessary.

10.3 Collections¹⁰. The main entry for a collection consisting of independent works or parts of works by different authors should be made

¹⁰A large minority of the Conference did not accept the text of 10.3 but favoured the following alternative text [see 10.3 Minority text]

The RAK-WB apply the main text as given under 10.31, 10.32, 10.33.

10.31 [Main text] under the title of the collection, if it has a collective title;

10.3 [Minority text] The main entry for a collection consisting of independent works or parts of works by different authors should be made

10.31 when the collection has a collective title

10.311 under the name of the compiler (i.e. the person responsible for assembling from various sources the material in the collection) if he is named on the title-page;

10.312 under the title of the collection if the compiler is not named on the title-page;

10.32 [Main text] under the name of the author, or under the title, of the first work in the collection, if there is no collective title

10.32 [Minority text] when the collection has no collective title, under the name of the author, or under the title, of the first work in the collection.

10.33 [Main text] in both cases, an added entry should be made under the name of the compiler (i.e. the person responsible for assembling from various sources the material in the collection) if known.

10.33 [Minority text] An added entry should always be made under the name of the compiler (if known), when not chosen as heading for the main entry; and under the title, of the main entry is under the compiler.

10.34 [Main text] Exception: if the name of the compiler appears prominently on the title-page, the main entry may be made under the name of the compiler, with an added entry under the title.

10.4 If successive parts of a work are attributed to different authors, the main entry should be made under the author of the first part.

Paris Principle 11. Works entered under Title:

11.1 Works having their main entry under the title are

11.11 works whose authors have not been ascertained;

11.12 works by more than three authors, none of whom is principal author (see 10.22);

11.13 collections of independent works or parts of works, by different authors, published with a collective title;

11.14 works (including serials and periodicals) known primarily or conventionally by title rather than by the name of the author.

11.2 An added entry or reference should be made under the title for

11.21 anonymous editions of works whose authors have been ascertained;

11.22 works having their main entry under the name of the author, when the title is an important alternative means of identification;

11.23 works whose main entry is made under the name of a corporate body, but which have distinctive titles not including the name of the corporate body;

11.24 collections whose main entry is made exceptionally under the compiler.

11.3 The uniform heading (for main or added entries, see 6.1) for works entered under title should be the original title or the title most frequently used in editions of the work¹¹, except that

¹¹Subject to Section 7.1

11.31 if the work is generally known by a conventional title, the uniform heading should be the conventional title.

11.4 The uniform heading for works of which successive parts or volumes bear different titles should be the title of the first part, unless the majority of the parts of volumes bear another title.

11.5 When a serial publication is issued successively under different titles, a main entry should be made under each title for the series of issues bearing that title, with indication of at least the immediately preceding and succeeding titles. For each such series of issues, an added entry may be made under one selected title.¹² If however, the variations in title are only slight, the most frequently used form may be adopted as a uniform heading for all issues.

¹²If it is desired to collect information about the serial publication as a whole in one place in the catalogue.

When only slight variations in the title of a serial publication occur, RAK-WB allows to give the title used most commonly as title for all issues and parts. ZETA differs and stipulates to give always the latest form of title when only slight variations occur.

11.6 Multi-lateral international treaties and conventions and certain other categories of publications issued with non-distinctive titles may be entered under a uniform conventional heading chosen to reflect the form of the work.¹³

¹³If it is desired to group these publications in one place in the catalogue.

Paris Principle 12. Entry Word for Personal Names: When the name of a personal author consists of several words, the choice of entry word is determined so far as possible by agreed usage in the country of which the author is a citizen, or, if this is not possible, by agreed usage in the language which he generally uses.

1.3. Do your rules call for a main entry and added entries (per the Paris Principles) or what other device is used for arranging bibliographic records in your catalogue/bibliography/list?

The rules of the RAK-WB call for a main entry and added entries (per the Paris Principles). Chapter 7 of the RAK-WB includes rules concerning main and added entries under persons, corporate bodies and titles.

1.4. What is the most typical "main entry" for works according to your rules (e.g., author then title; first author/title; all authors/title; title only when there is no author; other?)

The definition of "author" in RAK-WB pertains to persons that have worked out – single or together- a work or parts of a work, even if they are not named or not explicitly named as authors.

"Anonymous work" in RAK-WB pertains to a work whose author is not named nor detected. A work to which several authors have contributed with distinguishable parts/contributions is treated as an anonymous work.

"Urheber" – in the meaning of a corporate author – in RAK-WB pertains to corporate bodies that have – single or together- worked out or originated/induced *and* edited an anonymous work or parts of it.

The most typical "main entry" for works according to the RAK-WB is "first author/title" when there are up to three joint personal authors, and name-title-added entries are made for the second and third personal authors.

The RAK-NBM prescribes an exception, insofar as for audiovisual materials, games and electronic resources the main entry, in general, is made under the title. This has led to different entries: A print dissertation, e.g., gets a main entry under the author, whereas the online dissertation gets a main entry under the title and an added entry under the author.

The decision about the main entry according to RAK-WB is made in the following order:

1. Main entry under the only or prominently given or first named author of up to three authors of a work (joint responsibility)
2. Main entry under the title if an anonymous work has no "Urheber" (corporate author) or if an anonymous work has an "Urheber" (corporate author) which is neither part of the title proper nor has to be added to the title proper
3. Main entry under the only or prominently given or first named corporate body that is an "Urheber" (corporate author) and is part of the title proper or has to be added to the title proper

As a work emanating from a corporate body is an anonymous work according to RAK-WB, there is no conflict between works of personal authorship and works emanating from a corporate body.

Some general stipulations of RAK-WB:

A joint work of more than three personal authors is treated as an anonymous work. An added entry is made for the prominently named or first named personal author of a joint work of more than three personal authors.

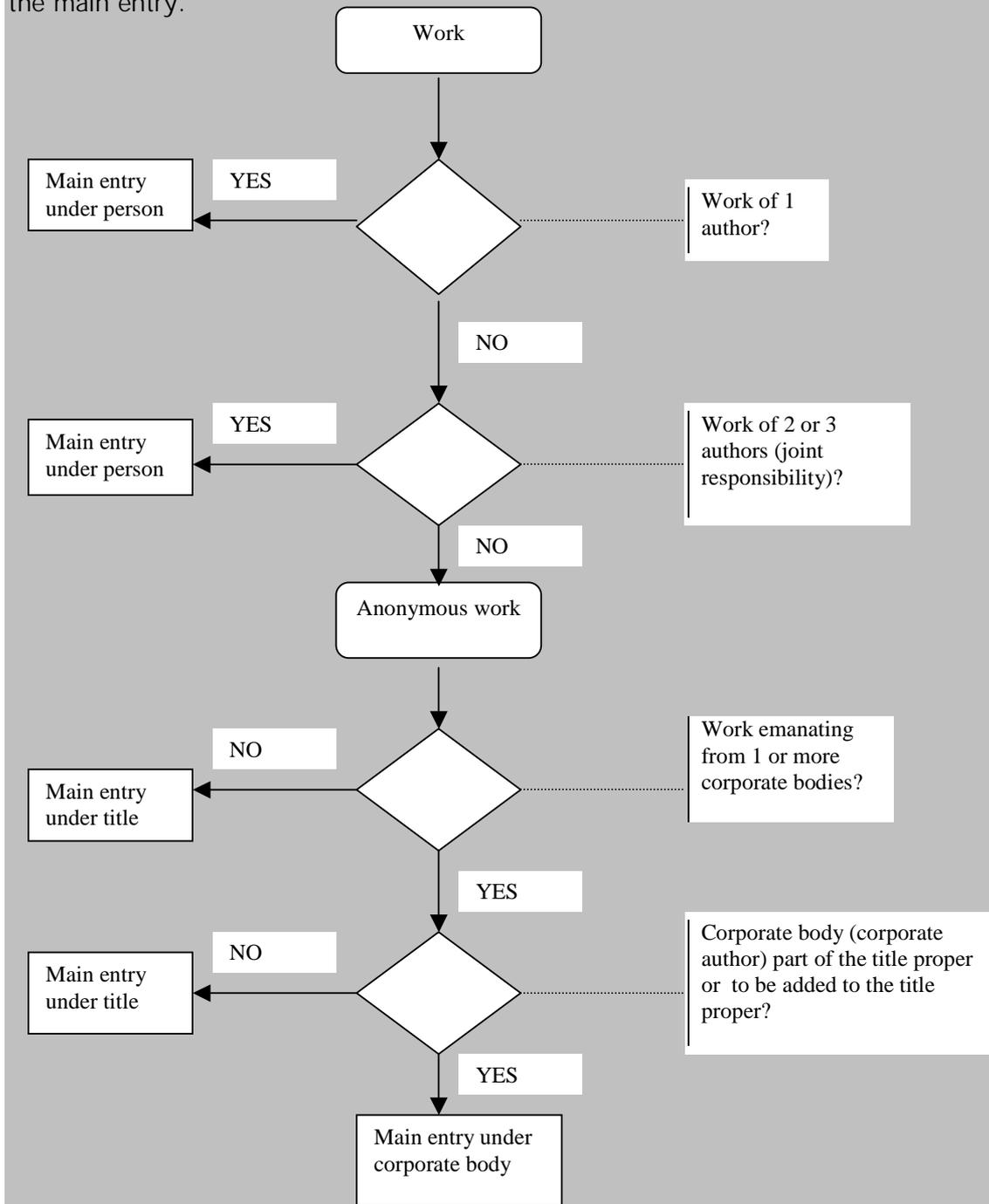
An added entry is made for contributing persons of a finite work (e.g., prominently named or first named editor, translator, illustrator).

A continuing resource like a serial, newspaper, series is treated as an anonymous work; the main entry is under title or under a corporate body, if the corporate body is regarded as "originator" and part of the title or has to be added to the title.

The main entry is made under a corporate body that is regarded as "Urheber" (corporate author) of an anonymous work (that means it has compiled the anonymous work or parts of it OR it has induced and edited the anonymous work or parts of it) if the corporate body is part of the title or has to be added to the title.

According to the rules the corporate body is added to the title in cases when the title consists only of general terms or of general terms expanded by formal attributes.

The following graphic¹ shall illustrate the steps undertaken for the decision about the main entry.



¹ The graphic on page 181 of this publication is used as a basis:
 Haller, Klaus: Katalogisierung nach den RAK-WB : eine Einführung in die Regeln für die alphabetische Katalogisierung in wissenschaftlichen Bibliotheken / Klaus Haller ; Hans Popst. – 5., überarb. Aufl. – München ; New Providence; London; Paris : Saur, 1996. – ISBN 3-598-11305-6

2. ISBD (INTERNATIONAL STANDARD BIBLIOGRAPHIC DESCRIPTION)

2.1. Is your cataloguing code based on ISBD for rules for description?

2.2. In what ways do you vary from the ISBDs and why (to meet what needs)? Please cite your rules that differ.

The cataloguing code RAK is principally based on ISBD for rules for description. RAK-WB was based on ISBD(M) edition 1974. For the special codes of RAK, other ISBDs were partly, but not thoroughly used. Revisions and changes of the past years, though, have not been taken into account continuously.

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?

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.

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

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.

3.B. CHOICE:

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

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.

3.C. STRUCTURE

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

The RAK follow the general rule as described in the IFLA UBCIM publication "Names of persons", page 75 ff.² The prescription to form artificial compounds for a prefix and a surname (e.g. "ZurMühlen" instead of "Zur Mühlen") has been 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

² 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)

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)

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

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 >

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

See 3.C.1

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?

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.

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

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

3.E. DIFFERENTIATING

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

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 >

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

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).

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

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.

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

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

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?

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.

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?

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.

4. CORPORATE NAMES

4.1. What entities do your rules consider as corporate bodies? (e.g., ships, spacecraft, government or private agencies, institutions, corporations, societies, expeditions, performing groups, named meetings and conferences, festivals, exhibitions, etc.)

Independently from the juridical definition, the RAK-WB consider as corporate bodies:

- associations of persons, organisations and institutions, corporations and events that build an individually definable entity by their name, e.g. associations, clubs, societies, working groups
- political parties, cooperatives, trade unions, chambers for commercial matters
- academies, universities, schools
- institutes, archives, libraries, museums, theaters
- companies, firms
- banks, stock markets
- churches, fraternities, cloisters
- congresses* **
- fairs, festival weeks, exhibitions
- jurisdictions, e.g. states, countries, counties, districts, boroughs, and their subordinate bodies, e.g. parliaments, administrations, other authorities and departments, courts, military bodies, diplomatic representations.

*A congress is treated as a corporate body if its denomination consists of

- a) a corporate body term denominating a congress (which may be extended by formal attributes) *and* a grammatically connected term denominating a theme, a proper name, a place name which is a firm part of the congress denomination, or a group of persons or corporate bodies, the group being no corporate body itself and no part of a corporate body
- b) initials or acronyms

Examples:

Item: Reports of the First Conference of the Ministers for Environment of the European Communities, Bonn 1972

Corporate body: Conference of the Ministers for Environment of the European Communities < 1, 1972, Bonn >

Item: Interocean 1970. Bericht über die Tagung vom 10. – 15. Nov. 1970 in Düsseldorf

Corporate body: Interocean < 1970, Düsseldorf >

The RAK-WB *do not* consider as corporate bodies:

titles of newspapers and journals and their editorial offices that are used like corporate names;

actions, databases, research projects, campaigns, investment funds, pilot projects, awards shows, projects, programs, focal points, plans and competitions (except sportive competitions);
interpreters or music groups whose name is given with surname and family name of the contributing persons;
archaeological excavations, expeditions, courses of studies, series of lectures

** A congress is not treated as a corporate body if its denomination consists of

- a) only a simple term (which may be extended by formal attributes) denominating a congress term
- b) only a simple term (which may be extended by formal attributes) denominating a congress term and the name of the operating corporate body, even if the name of the corporate body and the congress denomination are written in a continuous order of letters
- c) only a theme without a congress denomination

Examples:

Item: Protokoll des 8. FDGB-Kongresses 1972

No corporate body: FDGB-Kongreß

Item: Institut für Organische Chemie der Johann Wolfgang-Goethe-Universität, Frankfurt am Main. Annual meeting

No corporate body: Annual meeting

Conferences and annual meetings of a corporate body are not given as a subordinate part of a heading. They are treated as publications of the corporate body itself.

4.A. PRINCIPLES

4.A.1. Do your rules have a goal to collocate the works of a corporate body under the controlled name of the corporate body?

Yes. In general, the official name of the corporate body is used as heading. In general, references with differing forms of names are made.

4.A.2. What other underlying principles guide your treatment of corporate body names?

Some other underlying principles that guide the treatment of corporate body names according to RAK-WB:

The heading for newer international corporate bodies is made under the English form of name, if this one is better known than the German form of name.

If a corporate body has several official names in different languages, the language for the heading is chosen in the following order: German, English, French, Russian, Latin, Spanish, Italian. In case of doubt, the languages used in official publications

of a corporate body and the corporate names in these languages are regarded as official.

Standardised forms are used for the headings of Austrian, German and Swiss universities etc. The following forms are used: "Universität", "Technische Hochschule", "Technische Universität", "Gesamthochschule". The place name of the university etc. is given in angle brackets as addition.

Example:

Official name: Justus-Liebig-Universität, Gießen

Heading: Universität < Gießen >

Articles at the beginning of a corporate name are, in general, not given as part of the heading. This is not applicable if

- the omission causes a grammatical change of the following words
- the articles are at the beginning of a corporate name in Arab or Hebrew language
- the article is a firm component of a proper name (personal name, geographic name)

Juridical phrases or terms at the beginning or at the end of a name of a corporate body are not given as part of the heading. This is not applicable if

- the juridical phrases or terms are an inseparable part of the name or
- if without them the character of a corporate body would not be recognisable

In a heading for a corporate body, the components are given with initial upper case letters for every word, except articles, prepositions and conjunctions within the corporate body name.

A corporate body which is attached to a certain place gets its heading, if possible, with the place name as an addition in angle brackets if the place name is not already included in the corporate body name.

Corporate bodies which are attached to a certain place are, e.g.:

- all local organisations like clubs and associations of a place
- all corporate bodies which have a stationary office as an integral part
- all corporate bodies that are subordinate to or belong to one of the above listed types

If a corporate body changes its name, splits or fusions, references are made that link every name to the former and the later name; if this is not possible, to another former and another later name.

4.A.3. Are there limits on what sub-bodies are considered for naming?

Executive organs (e.g. executive board, secretariat), organs with authority to decide (e.g. general meetings, plenary meetings) and information organs (e.g. press offices, information services) which represent a corporate body as a whole respectively which speak in its name are not given as subordinate bodies in a heading; their publications are regarded as publications of the corporate body itself.

This also applies to executive organs and information organs of e.g. regional territorial authorities like boroughs, districts, counties or cities that are not federal states.

4.B. CHOICE

4.B.1. Which name used by a corporate body is the preferred name for your rules?

In general, the official name of the corporate body is used as heading.

See also 4.A.2.

4.B.2. How are sub-bodies treated (are they established under their own name or subordinately under the name of a higher level body in the corporate hierarchy?)

Sub-bodies (subordinate or related bodies) are established under their own name if their name

- is sufficient as a denomination without the name of the higher level body
- is written together with the name of the higher level body in a continuous order of letters
- contains only parts of the name of the higher level body and the parts do not make clear that it is a corporate body

If the name of a sub-body consists solely of a general term like "archive", "library", "observatory" this term is not regarded as sufficient.

Sub-bodies are established as a subheading to the heading of the higher level body if their name

- is not sufficient as a denomination without the name of the higher level body
- denotes clearly a subordination, e.g. by terms like "department", "directorate", "class", "section", "branch" etc.
- is formed by terms that very often denote a subordination, e.g. by terms like "working group", "working party", "board", "advisory board", "faculty", "group", "commission", "committee", "seminar" etc.

In case of doubt, a corporate body is established under its own name. The RAK-WB include appendices with terms that denote a subordination and with terms that do not denote a subordination.

If a sub-body is subordinate or related directly to two or more higher level bodies, in general, the sub-body is established under its own name. The names of the higher level bodies are omitted in the heading unless the name of the sub-body is not sufficient as a denomination without the names of the higher level bodies or unless terms like "jointly" clearly express the affiliation to several corporate bodies.

4.C. STRUCTURE

4.C.1. Do you follow the IFLA Form and Structure of Corporate Headings when formulating the structure of a corporate body's name?

4.C.2. What is the structure of corporate body names in your code?

Qualifying elements are added in angle brackets < ... > .
Distinguishing elements may be added to different levels of a heading, e.g. to a higher level body name and to a subordinate level body name.
When there are different elements that qualify, the elements are separated with a comma blank (,): < New York, NY >
When there are several qualifiers at the same level, the levels are separated with a semicolon blank (;): < Frankfurt, Main; Düsseldorf >
To express subordination in a heading, the higher level body name and the subordinate body name are separated with a blank, slash, blank (/).
Examples:
Princeton University / Library
Universität < Göttingen > / Mathematisches Seminar < 1 >

4.C.3. What are the guiding principles for the structure of corporate body names in your code?

In general, the official name of the corporate body is used as heading.

A hyphen is added if words have to be connected by a hyphen according to the orthography rules of the language used. Abbreviations, numbers, symbols are, in general, given in the heading according to the official name.

The heading for some corporate bodies is made under the short form of their official name: Komsomol, NATO, Unesco, UNICEF.

The heading for Austrian, German and Swiss universities etc. is made under a standardised form ("Universität", "Technische Hochschule", "Technische Universität", "Gesamthochschule") with the place added in angle brackets as a distinguishing element.
Example:
Official form: Justus-Liebig-Universität, Gießen
Heading: Universität < Gießen >

Some parts of the name are omitted for the heading, e.g. articles at the beginning unless the omission causes grammatical changes or juridical terms at the end unless they are an integral part or the character of a corporate body is not recognisable without them.
Example:
Official form: Verein Deutscher Bibliothekare e.V.
Heading: Verein Deutscher Bibliothekare

Places at the end of the name are omitted if they convey the place that a corporate body is attached to; they are added in angle brackets as an additional and distinguishing element.

Example:

Official form: University of Birmingham

Heading: University < Birmingham >

Sub-bodies: see 4.B.2

4.C.4. What elements are used to distinguish one name from another that is similar?

The following elements are used as additions to corporate bodies' names:

- place name (added to a corporate body that is attached to a certain place if the place name is not included in the name)
- region (added to a corporate body that is not attached to a certain place if the addition is necessary to distinguish identical names or appropriate to characterise the corporate body)
- if the above mentioned elements are not suitable, other elements are used, e.g. the name of a higher level body, numbering, dates of foundation parts of the name that are not parts of the heading to distinguish jurisdictions
- river, mountain, place name – without preposition and article – to distinguish place names

If a corporate body is attached to two places, both are given. If a corporate body is attached to more places, only the prominently named or the first one is given.

The RAK-WB include several appendices, including e.g. an appendix with the form in which federal states of the USA have to be added to cities of the USA.

Examples of headings:

Loyola University < Chicago, Ill. >

Universität < Erlangen; Nürnberg >

Volkswagenwerk < Wolfsburg >

Labour Party < Great Britain >

Labour Party < New Zealand >

School of Education < New York, NY, Fordham University >

School of Education < New York, NY, New York University >

British Academy < London, 1712 gegründet >

Institut für Experimentalphysik < Hamburg, 1 > (official name: Erstes Institut ...)

Frankfurt < Main >

Frankfurt < Oder >

New York < NY >

Hannover

„City“ is not added to place names

Hannover < Landkreis >

Hannover < Regierungsbezirk >

4.C.5. When do you add these distinguishing elements?

The RAK-WB stipulate to add so-called "Ordnungshilfen" (additions for filing) to some kinds of corporate bodies, e.g. for those attached to a certain place and for artificial forms like the headings for universities.

Identical names of different corporate bodies are distinguished by so-called "Ordnungshilfen" (additions for filing).

If a heading differs from another heading only insofar as one heading has such distinguishing elements and the other one does not, this one is left without distinguishing elements.

If a heading differs from a reference only insofar as the reference includes such distinguishing elements, the heading is left without distinguishing elements.

If a heading is identical to a reference, only the reference gets distinguishing elements.

Identical references, in general, get distinguishing elements.

4.C.6. What elements are used to identify corporate bodies in headings?

The RAK-WB do not prescribe elements to identify corporate bodies in headings.

4.C.7. What elements do you include in authority records to identify the corporate body?

There are separate authority files e.g. for personal names and corporate bodies' names.

The authority file for corporate bodies' names "Gemeinsame Körperschaftsdatei (GKD)" may include a code denoting the type of a corporate body, e.g. "congress", "firm", "jurisdiction", "ecclesiastical corporate body", "musical corporate body", "United Nations corporate body".

4.D. AUTHORITY CONTROL

4.D.1. Do your rules call for the creation and maintenance of an authority file for controlling the forms of corporate bodies' names used as headings and references in your catalogs and national bibliographies.

The rules do not call for the creation and maintenance of an authority file. Authority files are widely in use – e.g. for corporate bodies' names the "Gemeinsame Körperschaftsdatei (GKD)".

The RAK-WB suggest "name entries", especially for corporate bodies. A "name entry" under the heading lists variations of the name and former and later names.

5. UNIFORM TITLES (work-level or expression-level citations) (main and added entries)

5.1. Do your rules consider uniform titles for works beyond anonymous classics? (If so, please describe when they are used.)

Yes. The RAK-WB consider uniform titles for works beyond anonymous classics.

Uniform titles are used for

- constitutions of territorial corporate bodies and treaties of international law
- texts to musical compositions
- holy scriptures, classic liturgical works and confessions
- laws, regulations, decrees etc. of jurisdictions and religious communities and other communiques of the Catholic Church
- works of ancient times, Middle Ages and early modern times
- works of modern times which are translated from European languages (but: the uniform title for works of personal authorship and for works emanating from a corporate body is only given when it is mentioned in the item at hand or when it is easily ascertained)
- works of modern times which are translated from non-European languages (but: the uniform title is only given when it is mentioned in the item at hand or when it is easily ascertained)
- other works which are published in several editions

5.A. PRINCIPLES

5.A.1. Do your rules have a goal to identify and collocate works and/or expressions through the use of uniform titles for the names of the works/expressions? [NOTE: The terms work, expression, manifestation, and item are from the IFLA FRBR report, available at: the IFLA Publications Web site, under the Saur publications; UBCIM Publications - New Series v. 19

<http://www.ifla.org/V/saur.htm>

(available as a pdf file, 559K)]

The RAK-WB do not yet include the FRBR terminology. The term "Werk" used in RAK-WB means an intellectual or artistic creation that is published in one or more manifestations. The definition of the RAK-WB term "Ausgabe" includes FRBR-attributes of both "expression" and "manifestation".

The RAK-WB stipulate to use, in general, a title heading as a uniform title for a work in order to identify and collocate "Ausgaben" of a work with different titles.

5.A.2. Is the use of uniform titles mandatory, or only in certain situations, or never used? (Please explain)

The use of uniform titles is mandatory in the cases listed in 5.1.

The uniform title for works of personal authorship and for works emanating from a corporate body is only given when it is mentioned in the item in hand or when it is

easily ascertained. Therefore an overall collocation by the means of uniform titles is not possible.

A uniform title is *not used*

- for collections (two or more works or parts of works from the same personal author) – however, there are some exceptions, e.g. when the author has assigned a superordinate title
- for expressions of lyrics
- for works of art which get the main entry under the artist
- in general, for works that are published in parallel in different expressions/manifestations with different titles proper
- for works whose different expressions/manifestations have changes e.g. for the first author or first corporate body from whom the work is emanating

5.B. CHOICE

5.B.1. Which name used for a work or expression is the preferred name for your rules? (e.g., for a work-level uniform title, what is the preferred source; what is the source for an expression-level uniform title – is it the “best known” or most frequently used or other?)

In general, the title proper of the first complete manifestation in the original language of the work is used as a uniform title. If another title proper in the original language is more customary, this one is used as a uniform title.

If a work is published first in a translation, not in the original language, the title proper of the translation is used as uniform title until a manifestation in the original language is published. If different expressions are published in parallel with different titles and none expression may be regarded as “original”, no uniform title is used.

If the first manifestation in the original language is lost and its title unknown, the title proper of a manifestation that has reached the reputation of an original is used as a uniform title.

For ancient Greek, Byzantine and older oriental works, in general, the most common Latin form of the title is used as a uniform title.

For works of ancient times, the Middle Ages and early modern times, the denomination used in scientific tradition is used as a uniform title.

For holy scriptures, classical liturgical works and confessions, the denomination used traditionally are used as a uniform title.

For laws etc. of jurisdictions, in general, the official title is used as a uniform title. However, if a short official title exists, this one is used as a uniform title.

For constitutions of jurisdictions, a formal title “Verfassung” is used as a uniform title.

5.C. STRUCTURE

5.C.1. What elements comprise your uniform titles?

The title itself may have additional elements. To distinguish different languages of translations, a denomination for the language is added in abbreviated form in angle brackets.

Example:

Item at hand:	The maid of Orleans
Uniform title and qualifying element:	Die Jungfrau von Orleans < engl. >

The language element may be expanded by dialect terms or other language level terms.

If there are already qualifying elements of a uniform title, a denomination for the language is added to these qualifying elements.

Example:

Item in hand:	Die Verfassung der République française vom 27. Oktober 1946
Uniform title and qualifying element:	Verfassung < 1946.10.27, dt. >

5.C.2. Do you use author/title uniform titles or other work-level or expression-level uniform titles to uniquely identify works and expressions?

See 5.A.1

5.D. AUTHORITY CONTROL

5.D.1. Do your rules call for the creation and maintenance of an authority file for controlling the forms of uniform titles used as headings and references in your catalogs and national bibliographies?

The rules do not call for the creation and maintenance of an authority file.

6. GMDs (GENERAL MATERIAL DESIGNATORS)

6.1. Do your rules call for using GMDs in area 1 of the ISBD areas of description?

The RAK-WB do not include a list of general material designations, but the rules of RAK for special materials include such.

6.2. If so, what list of terms do you follow (please provide the list)?

The RAK-NBM, e.g., give as general material designations (English translations are given in parentheses):

- Bildliche Darstellung (image)
- Tonträger (sound carrier)

- Bildtonträger (moving image sound carrier)
- Medienkombination (combination of several materials)
- Mikroform(microform)
- Spiel (game)
- Elektronische Ressource (electronic resource)

The RAK-NBM prescribe to give the general material designation in the bibliographic description in square brackets. If two general material designations apply, the one denoting the carrier form is given.

6.3. Have you considered alternatives to GMDs that would clarify the element as being a mode of expression versus a form of manifestations? If so, please explain.

No. Alternatives to GMDs with the purpose to differentiate "expression" and "manifestation" have not yet been considered by the expert group. See 6.5 for considerations about encodings.

6.4. Do you use a GMD as an identifying element in a uniform title?

No. A GMD is not used as an identifying element in a uniform title.

6.5. For the future, what are your views about using the GMD in area 1 of description? Or where else does it "belong" in a bibliographic record?

An expert group for encodings worked on a list of encodings denoting

- form of issuance
- type of media
- type of document
- intended audience
- level of presentation

which might replace GMDs in the future.

7. SERIALITY

7.1. Do your rules cover "continuing resources" in the current ISBD(CR) parlance?

The RAK-WB do not cover fully "continuing resources" in the current ISBD(CR) parlance.

The RAK-WB cover continuing resources like journals, newspapers, serials, series, looseleaf publications. Ongoing integrating resources like databases are not yet covered.

An expert group for electronic resources has worked out recommendations for the cataloguing of online continuing integrating resources which were based on ISBD(CR) and AACR2 revision definitions and stipulations.

7.2. How is the topic of seriality as a characteristic of a publication (mode of issuance) treated in your rules?

The RAK-WB include definitions. (The following terms are no exact translations; the translations aim at conveying the meaning.)

There are "finite publications" like single works, collections (of two or more works or parts of works of the same author) and finite collections (of two or more works or parts of works of different authors).

On the other hand there are "continuing publications" like collections (of two or more works or parts of works) that do not have a determined ending and that are published in several parts/issues.

The RAK-WB differentiate the following types among continuing resources: Zeitungen (newspapers), Zeitschriften (journals), zeitschriftenartige Reihen (journal-like series) and Schriftenreihen (series). These definitions include phrases about terms of frequency of publication.

7.A. PRINCIPLES:

7.A.1. What principles guide the decision on when to make a new record for a continuing resource (serial or integrating resource) as the various identifying elements change over time?

If the issues/volumes have differing titles, in general each of the titles gets a record. If the title differs only slightly or if the difference occurs in a place that is not relevant for filing or if a corporate body is partly a component of the title, partly to be added to the title proper, only one bibliographic record is made

- under the first title in hand
- or under the most common title
- or under the most usual title
- or under the last title in hand.

The following is regarded to be relevant for filing:

- the first six filing words of a title proper if the main entry is under title
- the first two filing words of a title proper if the main entry is under a corporate body

For corporate names, the decision about relevant changes in the name is made in individual cases.

The German union catalogue for serials "Zeitschriftendatenbank" has special stipulations for split entries in its stipulations called "ZETA : Format und Konventionen für die Zeitschriften-Titelaufnahme in der Zeitschriftendatenbank (ZDB)".

7.B. CHOICE

7.B.1. What do your rules require for the name (title or author/title) given to a continuing resource?

A corporate body ("Urheber" (corporate author)) has to be added to the title proper

- if the title proper consists only of simple terms or of simple terms expanded by formal attributes that do not pertain to the content (e.g. "yearbook", "report", "scientific" etc.)
- if the title can be misunderstood without the name of the corporate body

8. MULTIPART STRUCTURES

8.A. COMPONENTS VERSUS AGGREGATES

8.A.1. Do your rules prescribe the cataloging treatment for collections (or aggregates) of works (not including serials)? (Please describe)

The RAK-WB stipulate:

If the item in hand is part of a whole and the item in hand has a title for the whole as well as a title for the part, in general the whole gets a bibliographic record as well as the part.

The bibliographic record for the whole is called "Gesamtaufnahme" in German, the bibliographic record for the part is called "Stücktitelaufnahme".

In the bibliographic record for the whole data belonging to the parts become part of the volume description.

In the bibliographic record for the part the title of the whole is given in the series area.

A bibliographic record for the part *is not made* if

- the title of the part makes sense only in combination with the title of the whole
- the title of the part is only a general subsuming indication for the enclosed features
- it is a part of multi-volume single publications, except it is an anonymous work
- it is a part of a multi-volume collection, except the title of the whole is named in a hidden source of information
- it is a publication of literary groups a library does not wish to make analytical entries for
- it is a part of a scientific journal whose title does not have its own title page, in fact without text (single or together with the title of the whole)
- it is a title on the cover of a journal issue, except it is a conference report

8.A.2. Do your rules prescribe the cataloguing treatment for works that consist of components of other works? (Please describe, e.g., do your rules require separate bibliographic records for every physical component; do your rules allow optional ways to catalog such materials, such as all on a single record with notes and added entries for the individual works within the whole; other?)

The RAK-WB define that single articles, essays, contributions, letters, documents, speeches etc. are regarded as single works as an intellectual or artistic creation.

The RAK-WB differentiate the types of "enthaltene Werk" and "beigefügtes Werk". "Enthaltene Werk" means a work that is part of a collection of works with collective title; it has to be mentioned on the title page.

"Beigefügtes Werk" means a work that is part of a collection of works without a collective title; it has to be mentioned on the title page or it has to have a title page of its own.

The parts of a collection of works with collective title and of a collection of works without collective title may be given in footnotes; the maximum is two titles. It is also possible to convey informations in the footnotes like e.g. "includes a collection of Heidegger", "includes works of and about ...".

A draft cataloguing code "Sonderregeln für unselbständig erschienene Werke (RAK-UW)" (Special rules for dependently published works) was published in 1986.

8.A.3. What devices are used to link the parts with the whole and vice versa? (E.g., series statements, notes, added entries for the uniform titles of the main work, contents notes for the parts, etc.)

In the bibliographic record for the whole, data belonging to the parts become part of the volume description.

In the bibliographic record for the part the title of the whole is given in the series area.

8.B. PRINCIPLES

8.B.1. Do your rules have a goal to describe each work within each publication (relates to 8.A.2 above), or is that decision left to the cataloguer/cataloguing agency?

The RAK-WB do not have a goal to describe each work within each publication.

8.B.2. If there are such rules or principles, for what materials do they apply?

A draft cataloguing code "Sonderregeln für unselbständig erschienene Werke (RAK-UW)" (Special rules for dependently published works) was published in 1986.

8.C. WORK-LEVEL

8.C.1. What options do your rules provide for describing the individual works within multi-volume publications that contain multiple works?

See 8.A.1

8.D. EXPRESSION-LEVEL

8.D.1. How do your rules handle multiple expressions of the same work? (e.g., one record for every expression, separate records for separate editions and translations, a single record for all expressions, etc.)

The RAK-WB call for separate records.

A separate record is used for every edition of a single-volume work. Every edition in a different physical form of a multi-volume finite work gets a separate record. However, if only single parts have a differing physical form, only one record is made. Continuing resources that are published e.g. in reprints or print runs get one record.

8.D.2. When do your rules instruct a cataloger to make a new or separate bibliographic record when there is change in content (i.e., what sorts of changes to content require a new bibliographic description)?

The RAK-WB do not give special instructions for changes in content. The stipulations pertain to changes in title and changes in main entry.

8.E. MANIFESTATION-LEVEL

8.E.1. How do your rules instruct catalogers to handle multiple manifestations of the same expression of a work? (i.e. different physical formats for the same content) (Please indicate if there are multiple options, such as single record, multiple records, linking devices if multiple records are used, etc.)

see 8.D.1

9. **What else** do we want to know and compare to see if we can work towards an international code? (Please provide any additional issues or comments here.)