

## **ACCESS POINTS in a revised RAK**

### **Names of persons and corporate bodies, titles, numbers and other controlled terms or numbers as access points**

(§§ 601-630)

*A draft cited as RAK2*

*worked out by the Expertengruppe RAK of the Deutsches Bibliotheksinstitut  
formulated by Hans Popst*

#### ***Introduction***

*(by Monika Münnich and Hans Popst)*

The former Expertengruppe Formalerschließung (the Working Group on Descriptive Cataloging) worked from 1996 to the beginning of 2000 on writing new rules (RAK2) that would better consider

- the online environment
- international developments
- and more efficient and economic cataloging.

We were able to complete

- new definitions for basic cataloging terms (similar to the glossary of AACR2, but omitting terms that were not directly related to the practice of cataloging)
- new rules for title headings
- codes for use in place of material designations
- new rules for differentiating persons
- and new rules for access points.<sup>1</sup>

Following an organizational rearrangement within the German library community, work on the new rules RAK2 was interrupted.

In the meantime a feasibility study is taking place to determine whether Germany should migrate to AACR and MARC.

The present provisions for main and added entries in RAK-WB are quite lengthy and are often difficult to understand. The new rules for access points take up only a third of the space occupied by RAK-WB's rules for main and added entries, and are hopefully comparatively easy to understand.

We think that this part of the cataloging code is better suited to the online environment and responds to the need for more efficient cataloging. All provisions have been simplified considerably. The rules allow for many optional access points over and above the access points that are considered mandatory.

For AACR catalogers some provisions may sound unfamiliar, especially with regard to access points for corporate bodies. RAK has a more formal way of approaching access points for corporate bodies: They have to be active agents (as opposed to subjects), and if the work's title is generic, the name of the corporate body must be added to the title. Of course, one has

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<sup>1</sup> German text of the whole draft: [www.ddb.de/professionell/pdf/rak2\\_entwuerfe.pdf](http://www.ddb.de/professionell/pdf/rak2_entwuerfe.pdf)

the option of assigning access points for corporate bodies even if the above provisions are not met.

Nevertheless it has to be said that this draft doesn't take the elements of FRBR into account, due to the fact it was developed several years ago. So far it is manifestation- and book-centered – a situation that could be corrected at some future point.

We think the new code might be of interest to other rule makers. Of course we would gratefully accept other proposals that could make these rules even more modern and efficient – perhaps even more international.

*May 14, 2003*

# ACCESS POINTS in a revised RAK

## Names of persons and corporate bodies, titles, numbers and other controlled terms or numbers as access points

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§§ 601-613 Access points under names of persons and corporate bodies

§ 601 Form of access points

1. Access points under names of persons and corporate bodies are made using the authorized form of the name.
2. Designations of function can be added to the names of other participating persons.

§ 602 Personal authors

1. If a work has a single personal author, an access point is made for that person.
2. If a work has more than one personal author, access points are made for up to three authors who are prominently named on a title page. If none of the authors is more prominently named than the others, access points are made for up to three authors following the order in which the names are presented in the item.
3. Provisions 1 and 2 are applied to continuing resources only if all parts of the continuing resource are the work of one personal author or the same two or three authors.
4. If desired, access points may be made for additional (i.e. more than three) authors, if they are named on the title page.

Note 1: For access points under authors with different functions see § 603.

Note 2: For the treatment of authors named in items containing more than one work, with or without collective titles, see § 622.

§ 603 Personal authors with different functions

1. In works in which different personal authors perform different functions, access points are generally made for those authors named first within each group of persons performing the same function. This does not apply, however, to authors named only in a list of sources published in a work containing images or art reproductions.
2. Other authors performing different functions may be assigned access points if they are named on the title page.

§ 604 Other participating persons

1. In collections of works by a single author, in items containing works by two or three authors, and in finite anonymous works, an access point is assigned to an editor named on the title page (either prominently named or first-named).
2. Additional other participating persons may be assigned access points.

§ 605 Non-participating persons

1. If a work is published in honour or memory of one or more persons, access points may be made under their name or names, if they are named on the title page or in a formal statement.
2. Addressees of letters are assigned access points if they are named on the title page.
3. Other non-participating persons may be assigned access points.

§ 606 Participating corporate bodies<sup>2</sup> which are named in the title

1. In general, access points are assigned to one, two or three corporate bodies when these are named in the title of a work.  
If more than three such bodies are named, access points may be assigned for the additional bodies as well, if desired.
2. However, an access point is not assigned to the name of a commercial publisher if the publisher's name merely occurs within the title of a series, a serial, a collection, a cartographic work or a calendar which it has published (as for example in the case of a "publisher's series").
3. A corporate body is considered to be named in the title
  - a) even if the body's name appears in a form that differs from the most frequently used form, e.g. in a conventional or short form, as an acronym, in an adjectival phrase or in translated form;
  - b) if only the following parts of the body's name are contained:
    - ba) the term that expresses the idea of a corporate body, when the rest of the name is lacking;
    - bb) initials or acronyms that refer to the corporate body;
    - bc) in the case of a subordinate body, if only other parts of the name appear that are insufficient to identify the body in the absence of the higher body's name;
    - bd) in the case of the name of a firm, when only the surname of the founder or proprietor appears.

Note: The corporate body is not considered to be named in the title, if only other parts of the body's name appear in the title.

- c) if the corporate body's name is part of a uniform title or a parallel title, if an access point has been made under that title.

§ 607 Participating corporate bodies whose names must be appended to the title

1. Up to three corporate bodies are assigned access points when it is necessary to append their names to the title of the work in question (i.e. when the addition of their names to a work's title is necessary in order to fully identify the work).  
Access points may be assigned to more than three such bodies, if desired.
2. The name of a corporate body is to be appended to the title if the title consists only of a generic term or of a generic term modified by some formal attribute (i.e. a modifier that is unrelated to the content of the work). This rule applies also to uniform titles or parallel titles for which access points are made.

Note 1: Generic terms include such terms as "yearbook," "statistics," "handbook," "pocket guide" and equivalent terms in other languages.

Note 2: Formal attributes include modifiers such as "official," "bibliographic," "statistical," "technical," "scientific," and equivalent terms in other languages.

§ 608 Participating corporate bodies that are not named in the title and whose names are not necessary additions to the title

Access points may also be assigned to participating corporate bodies that are not named in the title and whose names are not necessary additions to the title.

§ 609 Non-participating corporate bodies<sup>3</sup>

1. For festschrifts issued in honour of corporate bodies, an access point is assigned to the corporate body that is prominently named on the title page (or to the corporate body named first).
2. Access points may be assigned to additional non-participating corporate bodies.

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<sup>2</sup> A „participating corporate body“ (*beteiligte Körperschaft*) is defined as a corporate body that has issued a work or has caused it to be issued.

<sup>3</sup> A „non-participating corporate body“ (*nicht beteiligte Körperschaft*) is defined as a body honored in a festschrift or named as the collector or owner of collections of books, artworks, or other objects, or a body named as the subject of a work rather as an active agent in the work's production.

§ 610 Governments and religious bodies

1. In general, the provisions of §§ 606-609 also apply to governments and to religious bodies.
2. An access point is always assigned to a government or a religious body in the case of a work containing the constitution or constitutions of such bodies.
3. In the case of treaties between governments, between religious bodies, or between a religious body and one or more governments, and in the case of collections of such treaties, an access point is assigned to the prominently named, or first-named, body. If the Federal Republic of Germany (or one of its predecessor states) is a party to such a treaty, an access point is additionally assigned to the Federal Republic of Germany or its predecessor state.
4. In the case of publications containing records of official activity (such as official bulletins, budget reports, etc.) access points are assigned to up to three prominently named or first-named governments or religious bodies.
5. Access points may be assigned to governments and religious bodies in the case of publications of laws, decrees or resolutions (or collections thereof) which these bodies have issued.

§ 611 Government agencies and agencies of religious bodies

1. Provisions of §§ 606 – 609 are applied to government agencies and agencies of religious bodies unless the bodies to which they are subordinate have already been assigned access points according to § 610.
2. Optionally, government and religious agencies may be assigned additional access points even if the bodies to which they are subordinate have already been assigned access points.

§ 612 Meetings, conferences etc. that are treated as corporate bodies

1. Meetings that are considered to be corporate bodies and which are named in titles or whose names are necessary additions to titles are assigned access points according to §§ 606 and 607.
2. Meetings, conferences etc. that are considered to be corporate bodies and which are neither named in nor added to a title may be assigned access points if they are named on the title page.
3. Further meetings, conferences etc. that are considered to be corporate bodies may be assigned access points even if they are not named on the title page.

§ 613 Corporate bodies holding or sponsoring meetings<sup>4</sup>

1. Corporate bodies that hold or sponsor a meeting are assigned access points if they are named in or added to the title according to §§ 606 and 607.
2. A corporate body that holds or sponsors a meeting, but which is not named in the title or added to the title, is assigned an access point if its name appears on the title page. If several such bodies are named on the title page, the prominently named or first-named body is assigned an access point.
3. Further corporate bodies holding or sponsoring meetings may be assigned access points if desired.

§§ 614-623 Access points under titles

§ 614 Title proper

An access point is always made for the title proper.

§ 615 Uniform title

1. A uniform title is assigned an access point if it differs from the title proper.
2. This also applies to uniform titles of
  - a) works that are the subject of a commentary, when their texts are contained in the commentary, either fully or in part;
  - b) indexed works;
  - c) the original work, when the work being catalogued is a continuation or supplement;
  - d) a work for which illustrations have been made, when the item being catalogued consists of the illustrations alone, without the text of the work itself.

§ 616 Variant titles

1. Variant titles are assigned access points if they appear on the title page or on the cover.
2. Access points may be assigned for additional variant titles if desired.

§ 617 Parallel titles

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<sup>4</sup> In RAK those bodies (e.g. annual meeting of the Society of ...) are not considered to be separate, subordinate bodies but publications of the higher body. This rule might change if a further approach to AACR can be achieved.

1. An access point is assigned to a parallel title appearing on the title page or the cover if this parallel title is in one of the following languages: German, English, French, Russian, Latin, Spanish or Italian.
2. If an edition has several parallel titles, the provision of section 1 is to be applied to the prominently featured or first-named parallel title, and also to any parallel title in German, if the German parallel title is neither the prominently featured title nor the first parallel title.
3. Further parallel titles may be assigned access points if desired.

§ 618 Titles of continuing resources that have subseries or supplements

1. When a separate record is made for the subseries or supplement of a continuing resource, an access point is assigned consisting of the title proper of the continuing resource followed by the title of the subseries or supplement, in the form appearing on the item in hand.
2. If a uniform title is assigned in such a case, an access point is made for that uniform title.

§ 619 Title of accompanying material

A title of accompanying material that may be cited independently is assigned an access point.

§ 620 Different titles proper of editions of a work to which no uniform title has been assigned

If no uniform title has been assigned to a work, and a differing title appears in another edition of that work, an access point is assigned to this differing title, if it appears in the item in hand or can easily be determined.

Generally, this access point is only assigned to the edition immediately preceding or following the edition in which the title change occurred.

§ 621 Different comprehensive titles in different volumes of multipart works

1. If a multipart work with different comprehensive titles in volumes or parts is assigned a comprehensive entry under the comprehensive title, follow the instructions of §§ 614-618.  
If a single (comprehensive) record is prepared for a multipart work, and the title varies from part to part, apply the provisions of § 614-618 to the title chosen as title proper for the purposes of the comprehensive record.
2. Those titles which are not selected as the title proper of the comprehensive record are assigned as access points following the provisions of § 614-618.

§ 622 Titles with abbreviations, symbols or other characters

1. If a German title contains abbreviations, symbols or other characters that would be pronounced as complete words in speech, an access point is made for the title with these abbreviations or symbols spelled out.
2. In similar cases involving foreign titles, access points for titles with spelled-out forms may be made if desired.
3. These provisions do not apply to
  - a. abbreviated forenames preceding family names,
  - b. abbreviations of terms indicating juridical phrases in names of corporate bodies,
  - c. abbreviations for units of measure or currency,
  - d. initialisms or acronyms,
  - e. symbols and other characters in mathematical or chemical formulas, and such symbols or characters occurring as parts of words

§ 623 Titles with numerals

1. If a title contains
  - a. whole arabic numerals from 0 to 100,
  - b. dates,
  - c. round numbers (consisting of numbers from 1 to 9 followed by zeros),
  - d. numbers in the context of anniversary statements (e.g. "100 years ..."),
  - e. other numbers that are commonly given in spelled-out form (e.g. "1001 nights" rather than "Thousand and one nights")an access point may be made for the title with spelled-out forms of the numbers rather than the arabic numerals.
2. If the title contains roman numerals, an access point may be made for the title with the roman numerals in spelled-out form.  
If the title contains roman numerals, an access point may be made for the title with arabic numerals in place of roman numerals, if this is considered necessary.

3. If numbers are spoken or spelled in various ways, additional access points may be made, if desired.

§ 624 Titles with words in different spellings

1. If a title contains words with inaccuracies, an access point is made for the title containing the correct spelling.
2. If a title contains words with typographical peculiarities, an access point is made for the title written according to conventional present-day orthography.
3. If a title contains words whose spellings have changed, access points may be made for the title with words in former or later spellings, unless a uniform title has been assigned.
4. If a title contains words with slight variations (e.g. British or American spelling) the titles with the differing spellings may be assigned access points.

§§ 625-629 Further access points

§ 625 Key words in other title information

1. Key words in other title information are assigned access points.
2. If the other title information contains key words whose spelling has changed, access points may be made for the former or later spellings.
3. If the other title information contains key words whose spellings sometimes differ slightly (e.g. British or American orthography), an access point may be assigned for the variant spelling of the key word.

§ 626 Publication and distribution area

1. The publication year always is assigned an access point.
2. Places of publication, publishers, and other names from the publication and distribution area may be assigned access points.

§ 627 Standard numbers, publisher's numbers, and other numbers

1. International standard numbers (ISBN, ISSN, ISMN, ISRN etc.) and report numbers are assigned access points.
2. Publisher's numbers and other numbers may be assigned access points.

§ 628 Meeting, conference etc. dates

Numbers of the conference, year and place it was held are assigned access points.

§ 629 Codes

1. Mandatory codes are assigned access points.
2. Optional codes may be assigned access points.

§ 630 Collections with or without collective titles

1. Apply the provisions of §§ 602-629 to works contained within collections with or without collective titles for which analytic records are prepared.
2. If analytic records are not prepared, apply §§ 602-624 to the most prominent work, or to the first-named work.
3. Optionally, if analytic records are not prepared, additional access points may be made as desired for personal authors and titles of contained works.

A slightly free translation by Monika Münnich and Charles Croissant