To: RDA Steering Committee

From: Gordon Dunsire, Chair, RSC Technical Working Group

Subject: RDA 9.2: Addition of elements for Given name and Surname

Abstract

This paper proposes the addition of *given name* and *surname* as sub-elements of RDA *name of the person*.

Justification

A task (#9.3) for the JSC Technical Working Group in 2016 is to consider adding the RDA elements *family name* and *given name* as sub-elements of *name of the person*, recommendation #3a of 6JSC/TechnicalWG/5, noting that recommendation #3b will be carried out by the RDA Development Team, and prepare a proposal paper.

The RDA Development Team published *Person* properties for *given name* and *surname* in release v4.5.0 of RDA Vocabularies prior to the August 2016 release of RDA Toolkit. "Surname" was used instead of "family name" because it already had an entry in the Toolkit Glossary. The definitions are:

given name: A name given to a person at birth or at some later point in addition to, or instead of, a surname.

surname: A name used as a family name. Names used as family names by Romans of classical times are excluded.

Issues requiring resolution

Element hierarchy

The current instructions for the *name of the person* element treat surname and given name as components; see RDA 9.2.2.9, RDA 9.2.2.18-20, and RDA 9.2.2.23. This suggests that the *given name* and *surname* elements are sub-elements of the aggregating element *name of the person*.

It is also possible to treat *surname* and *given name* as variants of a person's name, used in isolation to label the *Person*. For example, friends and relations will use a given name as the name of a person, while academic colleagues may use a surname on its own. This suggests that *given name* and *surname* might also be element sub-types of *name of the person*.

There is no restriction in RDF on a property being a sub-property of a super-property and also being specified in a syntax encoding scheme as a component of the super-property.

It is not clear what will be the impact of the proposed FRBR-LRM entity *Nomen*. *Given name*, *surname*, and *name of the person* are refinements of the LRM *appellation* relationship, so each implies a different type of *Nomen*.

Recommendation 1: The *given name* and *surname* elements should be treated in the RDA instructions as sub-elements of *name of the person* until further review of the impact of the LRM is undertaken.

Name of the family

There is an overlap in the semantics of *surname* and *name of the family*, reflected in the definition of *surname* and the instructions at RDA 10.2.2.8.

The context of use is different, and it is likely that the semantics are not completely equivalent.

Recommendation 2: The *surname* and *name of the family* elements should be related only by instruction references, and not semantic relationships, until further review of the impact of the LRM is undertaken.

Patronymic

RDA 9.2.2.19 treats a patronymic as a separate piece of data in a similar way to the current instructions for surname in RDA 9.2.2.9. The examples emphasize the separation of "patronymic" from *given name*, and *surname* from "name", respectively.

Recommendation 3: Add *patronymic* as a separate sub-element of *name of the person* to complement *given name* and *surname*.

Components of a name of a person

If the revisions and Recommendation 3 are accepted, RDA will accommodate data for components of a name of a person in the discrete elements listed in Table 1. Components are treated in RDA as parts of a name and qualifiers of a name, but there is no clear distinction between these functions.

Table 1: RDA components of name of the person

Element	Instruction number
surname	9.2.1.5
given name	9.2.1.6
patronymic	tba

title of the person	9.4
fuller form of name	9.5
other designation associated with the person	9.6

Instance data that cannot be assigned to any of these sub-elements can be accommodated in the parent element *name of the person*. If there is a further regular pattern or semantic structure in such data, it may indicate additional components for consideration as sub-elements.

All of these elements are assigned to the *Person* entity. In the LRM, they would be treated as components of a name and assigned to the *Nomen* entity.

Recommendation 4: Review the RDA accommodation of components of *name of the person* as distinct sub-elements of LRM *Nomen*, using IFLA's Names of Persons service as a source of data.

Recommendations

Recommendation 1: The *given name* and *surname* elements should be treated in the RDA instructions as sub-elements of *name of the person* until further review of the impact of the LRM is undertaken.

Recommendation 2: The *surname* and *name of the family* elements should be related only by instruction references, and not semantic relationships, until further review of the impact of the LRM is undertaken.

Recommendation 3: Add *patronymic* as a separate sub-element of *name of the person* to complement *given name* and *surname*.

Recommendation 4: Review the RDA accommodation of components of *name of the person* as distinct sub-elements of LRM *Nomen*, using IFLA's Names of Persons service as a source of data.

Impact of the revisions
The recommended revisions will serve user needs to identify persons based on the information recorded in these sub-elements.

The new sub-elements will support greater flexibility in constructing access points for persons in the future.

Change: Recommended revisions for RDA

Marked-up version:

9.2   Name of the Person

CORE ELEMENT

Preferred name for the person is a core element. Variant names for the person are optional.

9.2.1   Basic Instructions on Recording Names of Persons

9.2.1.1   Scope

A **name of the person**▼ is a word, character, or group of words and/or characters by which a person is known.

When identifying persons, there are two categories of names:

a) preferred name for the person (see 9.2.2)
b) variant name for the person (see 9.2.3).

A name of a person may consist of a surname (see 9.2.1.5), a given name (see 9.2.1.6), and other components (see 9.4-9.6).

9.2.1.2   Sources of Information

Take the name or names of the person from any source.

For additional guidance on sources of information for the preferred name for the person, see 9.2.2.2.

9.2.1.3   General Guidelines on Choosing Names of Persons

Choose a preferred name for the person by applying the instructions at 9.2.2.3 and 9.2.2.5–9.2.2.7.

If an individual has more than one identity, choose a preferred name for each identity (see 9.2.2.8).

Names and forms of the name not chosen as the preferred name may be recorded as variant names (see 9.2.3).

9.2.1.~~3~~4   General Guidelines on Recording Names of Persons

Record the name chosen as the preferred name. Apply the instructions at 9.2.2.4 and 9.2.2.9–9.2.2.26.

When recording a name of a person, apply the general guidelines on recording names at 8.5. When those guidelines refer to an appendix, apply the additional instructions in that appendix, as applicable.

~~Choose a preferred name for the person by applying the instructions at 9.2.2.3 and 9.2.2.5-9.2.2.7.~~

~~If an individual has more than one identity, choose a preferred name for each identity (see 9.2.2.8).~~

~~Record the name chosen as the preferred name. Apply the instructions at 9.2.2.4 and 9.2.2.9-9.2.2.26.~~

~~Names and forms of the name not chosen as the preferred name may be recorded as variant names (see 9.2.3).~~

9.2.1.5   Surname

9.2.1.5.1   Scope

A **surname▼** is a name used as a family name.

Names used as family names by Romans of classical times are excluded.

9.2.1.5.2   Sources of Information

Take the surname from any source.

9.2.1.5.3   Recording Surname

Record the surname as the first element in the name of a person.

Apply the additional instructions at 9.2.2.9, as applicable.

9.2.1.6   Given Name

9.2.1.6.1   Scope

A **given name▼** is a name given to a person at birth or at some later point in addition to, or instead of, a surname.

9.2.1.6.2   Sources of Information

Take the given name from any source.

9.2.1.6.3   Recording Given Name

If a name of the person contains both a surname and a given name, apply the instructions at 9.2.2.9, as applicable.

If a name of the person contains a given name but not a surname, apply the
instructions at 9.2.2.18–9.2.2.19 and 9.2.2.22–9.2.2.23 as applicable.

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9.2.2.9   General Guidelines on Recording Names Containing a Surname

The instructions at 9.2.2.9–9.2.2.12 apply to all names containing a surname (or a
name that functions as a surname) (see 9.2.1.5).

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9.2.2.18   General Guidelines on Recording Names Containing Neither a Surname nor a Title of
Nobility

[*1st-3rd paragraphs and their examples unchanged*]

Treat a roman numeral associated with a given name (see 9.2.1.6) as an integral part
of the name (e.g., in the case of some popes, royalty, and ecclesiastics).

[*remainder of instruction unchanged*]

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9.2.2.19   Names Including a Patronymic

Record a name consisting of one or more given names (see 9.2.1.6) and a
patronymic▼ by applying the general guidelines at 8.5.

 [*remainder of instruction unchanged*]

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9.2.2.22   General Guidelines on Recording Names Consisting of a Phrase

If:
    a person is commonly identified by:
    a) a phrase or appellation that does not contain a given name
      or
    b) a phrase that consists of a given name (see 9.2.1.6) or names preceded by
    words other than a term of address or a title of position or office
then:
    consider this phrase or appellation to be the preferred name for the person.
    Record the phrase or appellation by applying the general guidelines on
    recording names at 8.5. Record the name in direct order.

[*remainder of instruction unchanged*]

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9.2.2.23   Phrase Consisting of a Given Name or Given Names Preceded by a Term of Address, Etc.

If a person is commonly identified by a phrase consisting of a given name (see 9.2.1.6) preceded by a term of address or a title of position or office, consider this phrase to be the preferred name for the person. Record the phrase by applying the general guidelines on recording names at 8.5.

[*remainder of instruction unchanged*]

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Clean-copy version:

9.2   Name of the Person

CORE ELEMENT

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9.2.1   Basic Instructions on Recording Names of Persons

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A **name of the person**▼ is a word, character, or group of words and/or characters by which a person is known.

When identifying persons, there are two categories of names:

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A name of a person may consist of a surname (see 9.2.1.5), a given name (see 9.2.1.6), and other components (see 9.4-9.6).

9.2.1.2   Sources of Information

Take the name or names of the person from any source.

For additional guidance on sources of information for the preferred name for the person, see 9.2.2.2.

9.2.1.3   General Guidelines on Choosing Names of Persons

Choose a preferred name for the person by applying the instructions at 9.2.2.3 and 9.2.2.5–9.2.2.7.

If an individual has more than one identity, choose a preferred name for each identity (see 9.2.2.8).

Names and forms of the name not chosen as the preferred name may be recorded as variant names (see 9.2.3).

9.2.1.4   General Guidelines on Recording Names of Persons

Record the name chosen as the preferred name. Apply the instructions at 9.2.2.4 and 9.2.2.9–9.2.2.26.

When recording a name of a person, apply the general guidelines on recording names at 8.5. When those guidelines refer to an appendix, apply the additional instructions in that appendix, as applicable.

9.2.1.5   Surname

9.2.1.5.1   Scope

A **surname▼** is a name used as a family name.

Names used as family names by Romans of classical times are excluded.

9.2.1.5.2   Sources of Information

Take the surname from any source.

9.2.1.5.3   Recording Surname

Record the surname as the first element in the name of a person.

Apply the additional instructions at 9.2.2.9, as applicable.

9.2.1.6   Given Name

9.2.1.6.1   Scope

A **given name▼** is a name given to a person at birth or at some later point in addition to, or instead of, a surname.

9.2.1.6.2   Sources of Information

Take the given name from any source.

9.2.1.6.3   Recording Given Name

If a name of the person contains both a surname and a given name, apply the instructions at 9.2.2.9, as applicable.

If a name of the person contains a given name but not a surname, apply the instructions at 9.2.2.18–9.2.2.19 and 9.2.2.22–9.2.2.23 as applicable.

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     The instructions at 9.2.2.9–9.2.2.12 apply to all names containing a surname (or a name that functions as a surname) (see 9.2.1.5).

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9.2.2.18   General Guidelines on Recording Names Containing Neither a Surname nor a Title of Nobility

     [*1st-3rd paragraphs and their examples unchanged*]

     Treat a roman numeral associated with a given name (see 9.2.1.6) as an integral part of the name (e.g., in the case of some popes, royalty, and ecclesiastics).

     [*remainder of instruction unchanged*]

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9.2.2.19   Names Including a Patronymic

     Record a name consisting of one or more given names (see 9.2.1.6) and a patronymic▼ by applying the general guidelines at 8.5.

     [*remainder of instruction unchanged*]

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9.2.2.22   General Guidelines on Recording Names Consisting of a Phrase

     If:
         a person is commonly identified by:
         a) a phrase or appellation that does not contain a given name
           or
         b) a phrase that consists of a given name (see 9.2.1.6) or names preceded by words other than a term of address or a title of position or office
     then:
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9.2.2.23   Phrase Consisting of a Given Name or Given Names Preceded by a Term of Address, Etc.

If a person is commonly identified by a phrase consisting of a given name (see 9.2.1.6) preceded by a term of address or a title of position or office, consider this phrase to be the preferred name for the person. Record the phrase by applying the general guidelines on recording names at 8.5.

[*remainder of instruction unchanged*]

Changes to the RDA Element Set

This proposal adds these two element sub-types for the element Name of the person:

- Given name
- Surname

Application profile

Element	Aggregating or super element	Domain	Vocabulary encoding scheme	RDA instruction number
given name	name of the person	Person	n/a	9.2.1.6
surname	name of the person	Person	n/a	9.2.1.5

Compare with:

name of the family		Family	n/a	10.2