

## 22.1B. GENERAL RULE.

*Persons Treated in the Same Manner as Authors*

In determining the name by which a person is commonly known, the rule distinguishes between “authors” and others. For purposes of simplification, generally use the approach applied to authors also to

1) persons who work in a context other than that of writing text, e.g., a painter, a sculptor, a performer whose name appears in a formal statement found in the item (e.g., statement of responsibility)

2) composers, regardless of whether their names appear in a statement of responsibility or not.

*Form of Name*

1) *Surname alone—single author.* For a person known primarily as an author, if the chief source of information shows this person as the single author and shows his/her surname without other names, search briefly to see if there are other publications that are his/her works. If the search is successful, use the form found most frequently. Otherwise, use the surname without other names as the heading. Change the heading if subsequently received items show other names with the surname in the chief source of information. *N.B.* See LCRI 22.5C4 for a different treatment of authors writing in Portuguese.

2) *Surname alone—multiple authors.* For persons known primarily as authors, if the chief source of information shows more than one person as author and shows each surname without other names, add the forenames provided they can be found in the item being cataloged. Otherwise, follow the preceding instructions for single authors represented by surnames alone.

3) *Abbreviated name.* If the name selected for the heading for a person known primarily as an author contains a name represented by an abbreviation other than by an initial, use the abbreviated form in the heading. (If the full form of the name for the particular person is available at the time the heading is established, add it within parentheses, cf. 22.18.)

*name:* Wm. Brownridge

*heading:* 100 1# \$a Brownridge, Wm. \$q (William)  
400 1# \$a Brownridge, William

*name:* Manuel Fdez.-Rivera García

*heading:* 100 1# \$a Fdez.-Rivera García, Manuel \$q  
(Fernández-Rivera García)  
400 1# \$a Fernández-Rivera García, Manuel

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*name:* Sa. Freeman

*heading:* 100 1# \$a Freeman, Sa. \$q (Samuel)  
400 1# \$a Freeman, Samuel

*name:* Th. Ziehen

*heading:* 100 1# \$a Ziehen, Th. \$q (Theodor)  
400 1# \$a Ziehen, Theodor

*name:* Th. de Waal

*heading:* 100 1# \$a Waal, Th. de

*name:* Mohd. Taib Osman

*heading:* 100 0# \$a Mohd. Taib Osman

4) *Phrase or other appellation.* For persons (either authors or others) known by only a phrase or other appellation that does not contain a real name (cf. 22.11), use the form found in English-language reference sources if the phrase, etc., was not used by the person but was assigned to him/her by scholars later.

### *Sources for Names Treated as Authors*

1) The rule does not limit the consideration of chief source of information to publications issued during the person's lifetime; this is deliberate: consider also posthumous publications.

2) For persons living before 1801, when chief sources of information show one form of name and another form is used in modern reference sources in the person's language, prefer the latter.

3) Determine the name of a composer from the form found in the chief sources of information in publications of the printed music in the composer's language. If no form in these chief sources of information is in the composer's language, determine the name from reference sources of the composer's country of residence or activity. If the name is not listed in reference sources of the composer's country of residence or activity, use the form found in the chief sources of information.

### *Sources for Names Not Treated as Authors and Persons Who Appear Primarily as Subjects*

1) The "reference sources" mentioned in footnote 1 of the rules must be issued in the person's language or in the language of his/her country of residence or activity.

2) For persons who are found both in the usual reference tools (encyclopedias, etc.) and in other sources such as works about the person, two different forms may be seen, each consistently appearing in one of the two types of sources. In that case, use judgment and choose the form that is most likely to be the one sought by library users.

3) If the only reference source is the item being cataloged, generally use the fullest form found anywhere in the item whenever the name varies in fullness. If the item gives both a nickname

and a real name, generally use the real name. When a less full form or a nickname is clearly the one by which the person is best known, however, use this less full form or the nickname in the heading.

### **Punctuation/Spacing Conventions in Personal Name Heading Access Points in Name Authority and Bibliographic Records**

These guidelines appear also in LCRI 1.0C.

#### 1) *Initials/letters*

##### a) *Name portion of heading*

*Periods.* If the name of a person consists of or contains initials, input a period after an initial if it is certain that the letter is an initial. In case of doubt, do not input a period.

```
100 1# $a Eliot, T. S.
100 0# $a H. D.
```

If the name consists of separate letters that are presumed not to be initials, omit or include periods according to the predominant usage of the person.

```
100 0# $a X Y Z
```

*Spaces.* If the name contains two or more forenames represented by initials, consists entirely of initials, or consists entirely of separate letters that are not initials, input a single space between the initials/letters in all cases.

```
100 1# $a Eliot, T. S.
100 0# $a H. D.
100 0# $a X Y Z
```

##### b) *"Additions" to name headings*

*Periods.* With initials, include periods unless the author's predominant usage makes it clear that the author omits them.

*Spaces.* Do not leave spaces between single initials/letters.

```
100 1# $a Brown, G. B., $c F.I.P.S.
```

Treat an abbreviation consisting of more than a single letter as if it were a distinct word, separating it with a space from preceding and succeeding words or initials/letters.

```
100 1# $a Brown, G. B., $c Ph. D.
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2) *Names with portions abbreviated or missing.* If a part of a name is abbreviated (two or more letters present as opposed to a single letter used as an initial) or if a forename is missing from a name entered under surname, do not leave open space after the abbreviation or missing forename. Instead, insert, as appropriate,

a period;

100 1# \$a Tissot.  
*(Add period at end in bibliographic record, but not in authority record)*  
100 1# \$a Corpeleijn, W. F. Th.  
100 1# \$a Junager, Sv.-Aa.  
*(The hyphen reflects the usage of the language of the name)*

a period and one space;

100 1# \$a Enschedé, Ch. J.

a period and a comma.

100 1# \$a Jones, Th., \$d 1910-  
100 1# \$a Calles Ll., Alfonso  
100 1# \$a Dahlan Aman, Mohd., \$c Haji  
*(For these names, add period at end in bibliographic record, but not in authority record)*

3) *Surnames alone including prefixes/particles.* If a name heading consisting entirely of one or more surnames also contains a separately written prefix/particle, see instructions in LCRI 22.5D.

4) *Bibliographic description.* Note that the spacing and punctuation conventions applied to personal names used in access points differ from those used in the descriptive portion of a bibliographic record; for the latter, see LCRI 1.0C.