

Provisions for Preferred Names of Creative Japanese Personal Names

May 20, 2019

0. Background
 - 0.1. Some NARs for creative Japanese personal names (e.g., *カベルナリア吉田, ぶーた, ゆかしなもん*, et cetera) have been contributed to and changed in the LC/NACO Authority File.
 - 0.2. More and more cases of that sort appear forthcoming, while some cases would cause difficulty in NARs preparation.
1. N.B.
 - 1.1. Since each case of creative Japanese personal name is unique, careful review and application of relevant provisions collected and presented below are expected.
 - 1.2. Thorough search of pre-existing NARs is required (see [2.1](#) below). Whenever a NAR is found for the bibliographic identity in question, changes to the pre-existing AAP is restricted to specific categories of cases (see [3.1](#) and [3.2](#) below).
 - 1.3. Among various related topics not covered below, in connection with pseudonyms, proper procedures for determination of the number of NARs to be created, and, in case of multiple NARs, for establishment of their linkage are outside the scope of this document entitled "Provisions for preferred names of creative Japanese personal names." Abidance by the following and additional provisions is presupposed.
 - RDA, 9.2.2.8
<http://access.rdatoolkit.org/document.php?id=rdachp9&target=rda9-1870#rda9-1870>
 - LC-PCC PS, 9.2.2.8
<http://access.rdatoolkit.org/document.php?id=lcpschp9&target=lcps9-92#lcps9-92>
 - DCM, Z1, Variable data fields, 663
<http://www.loc.gov/catdir/cpso/dcmz1.pdf>
 - "FAQ-LC/PCC practice for creating NARs for persons who use pseudonyms"
<http://www.loc.gov/catdir/cpso/pseud.pdf>
 - "CJK pseudonyms best practices"
<https://www.loc.gov/aba/pcc/naco/CJK/CJK-Pseudonyms-Best-Practices.docx>
2. Preamble
 - 2.1. NACO participants' manual, Section I, Workflow, Authority file searching

Search the LC/NAF, using ... OCLC, or the LC database. ... When searching, determine if the proposed heading already exists either in the form proposed or some variant. This will require careful searching of both the proposed heading and cross-references to avoid conflicts and duplicates. Keep in mind that although searching the entire name is the

most efficient method, it may not be an adequate search in NACO work because it will prevent the discovery of variants crucial to the formulation of the name authority record. (For example, a search on Smith, William Peter will not produce hits on W.P. Smith, William P. Smith, Will Smith, etc.).

3. Handling of Pre-Existing NARs

3.1. DCM, Z1, 1XX, General, para. 4

Note: in order to minimize the impact of database maintenance with associated bibliographic records and/or related authority records catalogers are urged to refrain from making unnecessary changes to 1XXs.

3.2. LC-PCC PS, 9.19.1.1, Changes to authorized access points for persons

LC practice/PCC practice: Generally, do not change the authorized access point in an existing authority record coded "rda" that is fully established unless one or more of these conditions applies:

...

4. a person has requested a change to their authorized access point that can be accommodated by current cataloging instructions
5. there has been a change in cataloging instructions affecting the authorized access point.

On rare occasions, a person requests that the formulation of their authorized access point be changed (e.g., to remove a date of birth or a fuller form of name). LC and PCC should attempt to honor such requests by changing the appropriate fields in the record, and indicate in a note that the person's preference has been followed.

For instructions on updating authorized access points on records that are not coded "rda" (e.g., AACR2 or AACR2-compatible) see the [PCC Post RDA Test Guidelines](#).

4. Recording of Symbols (other than Sino-Japanese characters) in New NARs

4.1. LC-PCC PS, 8.5.1

LC practice/PCC practice: ... Follow additional guidance for the substitution of certain characters (e.g., eszett) in Policy Statement 1.4 for "Characters That Cannot Be Reproduced by the Facilities Available" and Policy Statement 1.7.5 for signs and symbols.

4.2. LC-PCC PS, 1.4, Characters that cannot be reproduced by the facilities available

<http://access.rdatoolkit.org/document.php?id=lcpschp1&target=lcps1-58#lcps1-58>

4.3. LC-PCC PS, 1.7.5, Signs and symbols

<http://access.rdatoolkit.org/document.php?id=lcpschp1&target=lcps1-747#lcps1-747>

5. Selection of Preferred Personal Names for New NARs
 - 5.1. *RDA*, 9.2.2.5.2, para. 1
If a person's name has appeared in different language forms in manifestations associated with the person, choose as a preferred name the form that corresponds to the language of most of the manifestations.
 - 5.2. *RDA*, 9.2.2.5.2, para. 3
If the name does not appear in manifestations associated with the person, or in case of doubt, choose the form most commonly found in reference sources published in the person's place of residence or place of activity.
 - 5.3. *RDA*, 9.2.2.5.2, para. 4
If the form of name chosen is in a script that differs from a preferred script of the agency creating the data, apply the instructions at 9.2.2.5.3.
 - 5.4. *RDA*, 9.2.2.5.3, para. 2
If a name is found in more than one non-preferred script, transliterate it according to the scheme for the original language of most of the works.
 - 5.5. *RDA*, 9.2.2.5.3, para. 3
If a name of person is found only in a transliterated form in manifestations associated with the person, choose the transliterated form as a preferred name.
 - 5.6. *RDA*, 9.2.2.5.3, para. 4
If a name of person is found in more than one transliterated form in manifestations associated with the person, choose the form that occurs most frequently.
 - 5.7. *LC-PCC PS*, 9.2.2.5.3, Language and script preferred by LC and PCC
For the instructions related to *RDA* 9.2.2.5.3, the language preferred by the Library of Congress for reference sources is English; the preferred script is the Latin script. Authorized access points in authority and bibliographic records should be in the Latin script. When transliteration is necessary, follow the ALA-LC Romanization Tables: Transliteration Schemes for Non-Roman Scripts, approved by the Library of Congress and American Library Association, with note to the exceptions recorded at <http://hdl.loc.gov/loc.standards/docs.roman> .
 - 5.8. *LC-PCC PS*, 9.2.2.5.3, Applicability
LC practice/PCC practice: Persons who bear names derived from a non-Latin script but who write in a Latin script language should not be treated under this instruction. The decision that the person is writing in a Latin script language is based on the first item cataloged, i.e., the fact that the text of this item was originally written in a Latin script language.

5.9. *LC-PCC PS*, 9.2.2.5.3, Alternative, Chinese, Japanese, Korean, Cyrillic

Apply the alternative when the first element of the preferred name begins with either a given name or a surname. If a person is likely to appear in general English-language reference sources, search Academic American Encyclopedia, The Encyclopedia Americana, and the New Encyclopaedia Britannica. If the name is found in all three sources in a single form, use that form. If the form varies in these three sources, use the form found in New Encyclopaedia Britannica. If the name is not found in all three of these sources, use the systematically romanized form of the name. Exception: For famous persons entered under given name but not found in all three of the general English-language encyclopedias because of specialized fame, consult major specialized encyclopedias (e.g., New Catholic Encyclopedia, The Oxford Classical Dictionary) to determine if there is a well-established English-language form of the name. ("Found in" the reference source means that there is an article under the person's name.)

For persons of too recent fame to be included in the three general English-language encyclopedias named above (e.g., new authors, dancers, persons recently becoming famous as political or cultural figures), consult the yearbooks of the encyclopedias and such major newspapers as The New York Times and The Washington Post to determine if there is a well-established English-language form of the name.

(full texts and examples of relevant RDA provisions: <http://access.rdatoolkit.org/document.php?id=rdachp9&target=rda9-1123#rda9-1123> ; <http://access.rdatoolkit.org/document.php?id=rdachp9&target=rda9-1208#rda9-1208>)

6. Sequencing of Preferred Personal Name Elements in New NARs

6.1. *RDA*, 9.2.2.9, para. 5

Record the surname as the first element.

- a) If a name consists of a surname preceded by other parts of the name, such as given names, record the surname and follow it by a comma and the parts of the name that precede it.
- b) If a name consists of a surname followed by other parts of the name, record the surname and follow it by a comma and the parts of the name that follow it.
- c) If the name consists only of a surname, record the surname alone.

6.2. *RDA*, 9.2.2.9, para. 6

Omit terms of honour and terms of address from any name that includes a surname unless:

- a) the name consists only of a surname (see 9.2.2.9.3)
- or

b) the name is of a married person identified only by a partner's name and a term of address (see 9.2.2.9.4).

6.3. RDA, 9.2.2.9.1

If:

a surname is represented by an initial
and
one or more other parts of the name are given in full

then:

record the initial that represents the surname as the first element.

6.4. RDA, 9.2.2.9.2

If:

the name does not contain a surname
and
the name contains a part that identifies the individual and functions as a surname

then:

record the part that functions as a surname as the first element, followed by a comma and the rest of the name.

6.5. RDA, 9.2.2.9.3

If:

the name by which a person is known consists of a surname only
and
the surname is associated with a word or phrase, either in manifestations that are associated with the person or in reference sources

then:

treat the word or phrase associated with the name as an integral part of the name. Record the surname, followed by a comma and the word or phrase.

6.6. RDA, 9.2.2.9.5, para. 2

For languages other than Portuguese, record similar terms (e.g., Jr., Sr., fils, père) and numbers (e.g., III) following the person's given name or names, preceded by a comma.

6.7. RDA, 9.2.2.11.2

If the prefix is neither an article, nor a preposition, nor a combination of the two, record the prefix as the first element.

6.8. RDA, 9.2.2.18

If:

a person is identified by a name that does not include a surname
and
this person is not identified by a title of nobility

then:

...

Record as the first element the part of the name under which the person is listed in reference sources. In case of doubt, record the last part of the name as the first element. Apply the instructions at 9.2.2.9.2.

If a person is commonly associated with a place of origin or domicile, an occupation, or other characteristics (in manifestations associated with the person or in reference sources), include these words or phrases as an integral part of the name. Precede such words or phrases by a comma.

...

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

6.9. *RDA*, 9.2.2.21, para. 2

Record the initials, letters, or numerals in direct order. Include any typographic devices when they appear as part of multi-letter abbreviations of a name, but omit them when they follow single-letter initials. Include any words or phrases associated with the initials, letters, or numerals as an integral part of the name.

6.10. *RDA*, 9.2.2.22, para. 1

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 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 a preferred name for person. ... Record the name in direct order.

6.11. *RDA*, 9.2.2.22, para. 3

A name consisting of a phrase sometimes has the appearance of a name consisting of a given name or initials, and a surname. When this occurs, record as the first element the word that has the appearance of a surname.

6.12. *RDA*, 9.2.2.23

If a person is commonly identified by a phrase consisting of a given name preceded by a term of address or a title of position or office, consider this phrase to be a preferred name for person. ...

Record the given name as the first element. Record words or phrases commonly associated with the person (e.g., those denoting place of origin, domicile, occupation, or other characteristics) by applying the instructions at 9.2.2.18.

6.13. *RDA*, 9.2.2.24

If a person is commonly identified by a phrase that contains the name of another person, consider this phrase to be a preferred name for person. ...

Record the phrase in direct order.

6.14. RDA, 9.2.2.25

If a person is commonly identified by a characterizing word or phrase in manifestations associated with the person and in reference sources, consider this word or phrase to be a preferred name for person. ...
Record the phrase in direct order.

6.15. RDA, 9.2.2.26

If a person is commonly identified by a phrase naming another work by the person in manifestations associated with the person and in reference sources, consider this phrase to be a preferred name for person. ...
Record the phrase in direct order.

(full texts and examples of relevant RDA provisions:
<http://access.rdatoolkit.org/document.php?id=rdachp9&target=rda9-2064#rda9-2064> ; <http://access.rdatoolkit.org/document.php?id=rdachp9&target=rda9-2354#rda9-2354> ;
<http://access.rdatoolkit.org/document.php?id=rdachp9&target=rda9-2548#rda9-2548> ;
<http://access.rdatoolkit.org/document.php?id=rdachp9&target=rda9-2768#rda9-2768> ;
<http://access.rdatoolkit.org/document.php?id=rdachp9&target=rda9-2834#rda9-2834> ;
<http://access.rdatoolkit.org/document.php?id=rdachp9&target=rda9-2931#rda9-2931> ;
<http://access.rdatoolkit.org/document.php?id=rdachp9&target=rda9-2951#rda9-2951> ;
<http://access.rdatoolkit.org/document.php?id=rdachp9&target=rda9-2968#rda9-2968> ;
<http://access.rdatoolkit.org/document.php?id=rdachp9&target=rda9-3000#rda9-3000>)

7. Examples

7.1.

```
LDR   czn
001   oca01170893
008   840808n■ azannaabn          ■a aaa
005   20180501102333.0
010   n 84079379
040   DLC #b eng #e rda #c DLC #d DLC #d MnHi #d DLC #d IEN
      #d DLC #d WaU #d NN #d DLC
046   #f 1958-06-07 #g 2016-04-21 #2 edtf
053   OML420.P974 #c Biography
1000  Prince
368   #c Jehovah's Witnesses #2 lcdgt
370   Minneapolis (Minn.) #b Chanhassen (Minn.) #c United
      States #2 naf
372   Popular music #a Funk (Music) #a Rhythm and blues
      music #a Rock music #2 lcgft
374   Composers #a Instrumentalists #a Sound recording
      executives and producers #a African American singers #2
      lcsh
377   eng
4000  Artist Formerly Known as Prince
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4001 Nelson, Prince Rogers
 4000 TAFKAP
 670 Ivory, S. Prince, c1985: #b CIP t.p. (Prince) pub. info. (musician and recording star; Prince Rogers Nelson; son of jazz musician, John Nelson, who performed under moniker Prince Rogers)
 670 Mabery, D.L. Prince, c1985: #b CIP galley (b. June 7, 1958)
 670 MnHi files #b (changed name to a symbol; was often referred to as The Artist Formerly Known as Prince or TAFKAP; at marriage in Feb. 1996 resumed his former name)
 670 Rock who's who, 2nd ed., c1996 #b (Prince; b. Prince Roger [sic] Nelson, June 7, 1958, Minneapolis; on his 35th birthday, changed his name to the combined male-female symbol used on his 1992 album)
 670 Purple reign, 1998: #b CIP t.p. (The Artist Formerly Known as Prince) galley (Prince; in an interview given Oct. 24, 1996, he said that he did not know what sound the symbol should represent)
 670 New York Times website, April 21, 2016 #b (Prince ... died Thursday at his residence, Paisley Park, in Chanhassen, Minn.)
 670 Wikipedia, May 7, 2016 #b (Prince (musician); Prince Rogers Nelson (June 7, 1958-April 21, 2016) was an American singer, songwriter, multi-instrumentalist, record producer, and actor; born Minneapolis, Minnesota; died Chanhassen, Minnesota; genres: Funk, pop, R&B, rock; Jehovah's Witness)

7.2.

LDR czn
 001 oca04708878
 008 980408n■ azannaabn ■b aaa c
 005 20190418073127.0
 010 nr 98012996
 040 NIC #b eng #e rda #c NIC #d OCoLC #d NNC
 046 #f 1937 #g 2019-04-11 #2 edtf
 1000 Monkī Panchi, #d 1937-2019
 370 Hokkaido (Japan) #2 naf
 374 Cartoonists #2 lcsh
 4000 Monkey Punch, #d 1937-2019
 4001 Katō, Kazuhiko, #d 1937-2019
 4001 Katou, Kazuhiko, #d 1937-2019
 4001 Punch, Monkey, #d 1937-2019
 4000 #w nne #a Monkī Panchi, #d 1937-
 4000 モンキーパンチ, #d 1937-2019
 4000 モンキー・パンチ, #d 1937-2019
 4001 加藤一彦, #d 1937-2019
 667 Machine-derived non-Latin script reference project.
 667 Non-Latin script references not evaluated.
 670 Shin Rupan Sansei, 1990: #b v. 1, cover (Monkī Panchi)
 670 Mangaka, Anime sakka jinmei jiten, 1997: #b p. 440 (Monkī Panchi, b. 1937, real name Katō Kazuhiko, comics artist)
 670 Lupin III FAQ WWW Home page, Apr. 7, 1998: #b (Monkey Punch; this is the pen name used by Katou Kazuhiko, the Japanese creator of Lupin III)

670 Asahi.com, Apr. 17, 2019 #b (モンキー・パンチ = Monkī Panchi [in kana]; real name: 加藤一彦 = Katō Kazuhiko; r; b. Hokkaidō; d. Apr. 11, 2019 at age 81)
 670 JTNDL in VIAF, Apr. 16, 2019 #b (access point: モンキー・パンチ, 1937- = Monkī Panchi, 1937- [in kana])
 670 BnF in VIAF, Apr. 16, 2019 #b (access point: Monkey Punch 1937-....)
 670 DnB in VIAF, Apr. 16, 2019 #b (access point: Monkī Panchi, 1937-)
 670 BIBSYS in VIAF, Apr. 16, 2019 #b (access point: Punch, Monkey)
 670 JP-ToKJK in VIAF, Apr. 16, 2019 #b (access point: モンキー・パンチ = Monkī Panchi [in kana])

7.3.

LDR nzn
 001 oca11811175
 008 190213n■ azannaabn ■b aaa c
 005 20190214073114.0
 010 no2019022364
 040 NNC-EA #b eng #e rda #c NNC
 046 #f 1975 #2 edtf
 1001 Shinamon, Yuka, #d 1975-
 370 Aichi-ken (Japan) #2 naf
 373 Shōwateki Gārī Bunka Kenkyūjo
 377 jpn
 4001 Cinnamon, Yuka, #d 1975-
 4000 Yukashinamon, #d 1975-
 4000 Yukashinamon, #c Shochō, #d 1975-
 4000 Yukacinnamon, #d 1975-
 4001 しなもんゆか, #d 1975-
 4000 ゆかしなもん, #d 1975-
 4000 ゆかしなもん, #c 所長, #d 1975-
 667 Non-Latin script references not evaluated
 670 '80s gārī zasshi kōkoku korekushon, 2018: #b t.p. (ゆかしなもん = Yuka Shinamon [in kana]) colophon (b. 1975; Aichi-ken; dir., Shōwateki Gārī Bunka Kenkyūjo)
 670 Shōwateki Gārī Bunka Kenkyūjo WWW home page, Feb. 13, 2019: #b index (ゆかしなもん = Yuka Shinamon [in kana]; Yukacinnamon; Yuka [in rom.])
 670 JTNDL in VIAF, Feb. 13, 2019 #b (access point: ゆかしなもん所長, 1975- = Yukashinamon Shochō, 1975- ; r; x-ref.: Yukashinamon)
 670 JP-ToKJK in VIAF, Feb. 13, 2019 #b (access point: ゆかしなもん = Yukashinamon; r; x-refs.: Yukacinnamon; ゆかしなもん所長 = Yukashinamon Shochō)
 672 0'80s gārī zasshi kōkoku korekushon #b '80s girly magazine ad collection #f 2018 #w (OCoLC)1027572713 #w (OCoLC)1033511295