To: RDA Steering Committee

From: Kathy Glennan, ALA Representative

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

ALA thanks the Technical Working Group for their proposal to add *given name* and *surname* as sub-elements of RDA *name of the person*. While we generally support the proposal, we have questions and concerns about the terminology and definitions for these sub-elements, as well as additional issues for consideration.

Terminology/Definitions

Identifying and naming sub-elements of "name of the person"

ALA believes that this proposal has put forward a simplified model for a complex situation. While many personal names are composed of one or more given names plus a surname, this is not always the case. For example, we think that patronymics and matronymics fall into neither of these categories. As explained further below, we are concerned about the Western bias inherent in the selected sub-element names and definitions. We also found the definitions too limiting and have suggested additional wording to clarify the application of the existing terms. We recommend further work to come up with a more nuanced model of naming structures. As a result of our review and analysis of the proposal, we have some hesitancy in moving forward with implementing the "surname" and "given name" sub-elements until that model is in place.

Surname

ALA is troubled by the Western bias inherent in the term "surname". Many cultures present the family name as the first element in the "name of the person". To address this problem, we would prefer to use the term "family name" instead. We have not proposed this change at this time, since we agree with the Working Group that there is some semantic overlap between this element and the "name of the family" element.

ALA assumes that the surname definition also encompasses pseudonyms or stage names, which are not actual "family names" but may function as such. We recommend making this explicit, mirroring the text in RDA 9.2.2.9. In addition, we recommend adding a statement to clarify that patronymics/matronymics are not considered surnames.

Finally, we see no need to retain the specific statement in 9.2.1.5.1 and the Glossary: "Names used as family names by Romans of classical times are excluded." While this carried over from AACR2, ALA believes that the special instructions already in F.8 address this situation.

Proposed revision

Marked-up copy (base text, Working Group proposal)

9.2.1.5.1 Scope

A surname▼ is a name used as a family name, <u>or a name that functions as a family name.</u>
<u>Patronymics and matronymics are excluded.</u>
~~Names used as family names by Romans of classical times are excluded.~~

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9.2.1.5.1 Scope

A surname▼ is a name used as a family name, or a name that functions as a family name.
Patronymics and matronymics are excluded.

Note: a similar change will be needed to the Glossary definition and the RDA Registry.

Given name

During the discussion of this proposal, ALA commenters wondered about replacing "given name" with "forename", since not all such names are "given" – some are chosen by the person in later life (pseudonyms, stage names, religious names, etc.). However, like "surname", "forename" carries an inherent Western bias. While we would like to recommend replacing "given name" with "personal name", we have not done so at this time. We anticipate that such a change could lead to confusion between this element and the element for the complete name of the person.

However, we recommend enhancing the definition of "given name" to offer more flexibility in determining what constitutes a given name.

Proposed revision

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9.2.1.6.1 Scope

A given name▼ is a name given to a person at birth or at some later point, <u>used in</u> addition to, or instead of, a surname. <u>Names that function as a given name, such as pseudonyms, religious names, etc., are included.</u>

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9.2.1.5.1 Scope

A given name▼ is a name given to a person at birth or at some later point, used in addition to, or instead of, a surname. Names that function as a given name, such as pseudonyms, religious names, etc., are included.

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Note: a similar change will be needed to the Glossary definition and the RDA Registry.

Instructions about recording surname and given name in a particular order

As the Working Group notes, creating these new sub-elements "will support greater flexibility in constructing access points for persons in the future." However, ALA observes that the proposed 9.2.1.5.3 specifies recording the surname first. This is not appropriate to introduce in this part of RDA. Instead, 9.2.2.4, *Recording the Preferred Name* (and specifically 9.2.2.9, *General Guidelines on Recording Names Containing a Surname*), should carry the weight of identifying which sub-element is recorded first. As written, the proposed 9.2.1.5.3 could conflict with the later instructions. Thus, we recommend removing the text "as the first element in the name" in this new instruction.

Proposed revision

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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.

ALA observes that 6JSC/TechnicalWG/5 suggested identifying sub-elements of "name of the person" to allow for different ways of combining the sub-elements into various aggregated forms. Thus, we were surprised to see continued use of "order" instructions in this proposal, with no further exploration of removing such instructions throughout RDA 9.2. If the appropriate sub-elements are created, the principle of common usage, already present in 9.2.2.4, could provide most of the appropriate guidance to identify the preferred name. Certainly order is most important when constructing authorized access points; perhaps the specific "order" instructions need to reside in RDA 9.19.

Technical Working Group Recommendations

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.**

    Agree.

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.**

    Agree.

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

    ALA agrees to add "patronymic", but we also recommend incorporating "matronymic" throughout RDA where applicable. Although in most societies, matronymic names are far less common than patronymic names, the exclusion of the former means that we are making unwarranted cultural assumptions. This affects the following RDA instructions:
    - 9.2.2.19, Names Including a Patronymic
    - F.1.1.3, Essential Parts of the Name
    - F.1.1.4, Order of Parts
    - F.4.1, Additional Instructions on Icelandic Names
    - Glossary (new term and definition needed)

    ALA's proposed revisions below attempt to take the simplest path to incorporate the term "matronymic" wherever possible. In relation to the proposed changes to F.1.1.3, we have consulted with the Arabic NACO Funnel coordinators to provide the appropriate revisions.

    Proposed revisions – all based on the current RDA text

    1. *9.2.2.19, Names Including a Patronymic*

        Update text to incorporate the term "matronymic."
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        ### 9.2.2.19 Names Including a Patronymic or Matronymic

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

Record the first given name as the first element. Follow it by the rest of the name in direct order. If the patronymic or matronymic precedes the first given name, transpose the parts of the name to bring the first given name into first position.

[examples unchanged, although one could be added for a matronymic]

See appendix F for additional instructions on patronymics or matronymics contained in names in the Arabic alphabet (F.1) and in Icelandic (F.4) and Romanian names (F.9).

Variant names. Record as a variant name a form using the patronymic or matronymic as the first element (see 9.2.3.10).

2. *F.1.1.3, Essential Parts of the Name*

Update text to incorporate the term "matronymic". Add additional specific guidance for Arab names.

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Determine the essential parts of the name to be included in the preferred name.

If the first element is not the given name (ism), include the given name unless it is not customarily used in the name by which the person is known.

If the first element is not a patronymic or matronymic derived from the name of the ~~father~~ parent, include the patronymic or matronymic unless it is not customarily used in the name by which by the person is known. For names in the Arabic alphabet, a patronymic or matronymic is a name usually following the given name and compounded with ibn or bint. Arab names traditionally trace lineage through the paternal line, but either a patronymic or matronymic may be used if it occurs in the name by which the person is known.

Include an additional name, descriptive epithet, or term of honour that is treated as part of the name if it assists in identifying the individual.

Generally omit other parts of the name, particularly patronymics derived from anyone other than the father.

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Determine the essential parts of the name to be included in the preferred name.

If the first element is not the given name (ism), include the given name unless it is not customarily used in the name by which the person is known.

If the first element is not a patronymic or matronymic derived from the name of the parent, include the patronymic or matronymic unless it is not customarily used in the name by which by the person is known. For names in the Arabic alphabet, a patronymic or matronymic is a name usually following the given name and compounded with ibn or bint. Arab names traditionally trace lineage through the paternal line, but either a patronymic or matronymic may be used if it occurs in the name by which the person is known.

Include an additional name, descriptive epithet, or term of honour that is treated as part of the name if it assists in identifying the individual.

Generally omit other parts of the name, particularly patronymics derived from anyone other than the father.

3. **F.1.1.4, Order of Parts**

Update text to incorporate the term "matronymic". Include supporting examples. Marked-up copy; no clean copy provided

When the parts of the name have been determined (see F.1.1.3), determine the order of the parts. Record first the best-known part or combination of parts. Record the other parts in the following order: khiṭāb, kunyah, ism, patronymic, matronymic, any other name.

[existing example boxes unchanged; add the following as a new 5th example box]

> EXAMPLE
> Matronymic (typically a compound with *Ibn* or *Bin* (son of) or *Bint* (daughter of) as the first word)
> Ibn Taymi yah, ʻAbd al-H ali m ibn ʻAbd al-Sala m, -1283 or 1284
> Ibn ʻAnqa ʼ, Muh ammad ibn al-Kha lis , -1643
> Mura di ibn Umm Qa sim, al-H asan ibn Qa sim, -1348 or 1349
> Ibn H ama mah, ʻAli ibn Saʻi d, -1207
> Ibn Bi bi , Na s ir al-Di n H usayn ibn Muh ammad, -1284 or 1285

[remainder of instruction unchanged]

4. *F.4.1, Additional Instructions on Icelandic Names*
   Update text to incorporate the term "matronymic".
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>   For Icelandic names, record names in this order:
>
>   a) the first given name
>
>   b) other given names (if present)
>
>   c) the patronymic or matronymic
>
>   d) the family name, in direct order.
>
>   If a phrase naming a place follows the given name(s), patronymic, matronymic, or family name, treat it as an integral part of the name.
>
>   > [examples unchanged, although one could be added for a matronymic]
>
>   *Variant names.* Record as variant names both a form using the patronymic or matronymic as the first element and a form using the family name as the first element (see 9.2.3.10).

5. *Glossary –*
   Add entry for "matronymic".

>   matronymic A name derived from the given name of a mother.

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.**

   Agree.