

# Memorandum

LIBRARY OF CONGRESS

5JSC/LC/6

TO: Joint Steering Committee for Revision of AACR      DATE: Feb. 28, 2006 rev.

FROM: Barbara B. Tillett, LC Representative

SUBJECT: Family names

The Library of Congress was asked by the JSC to prepare a proposal for including family names as name headings in response to requests primarily from the archival community. Because family names are tagged now in MARC 21 as personal names, the proposal is presented in that context. The JSC may wish to consider the option of providing instructions for family names as a totally separate category apart from personal name rules. We would not recommend combining them with corporate names.

AACR in the past has attempted to make names and uniform titles unique whenever possible. However, due to the problem of selecting appropriate qualifiers for family names, LC is proposing a non-unique approach to the form of heading for family names: the same heading would be used by any family using that surname. *Describing Archives: A Content Standard (DACS)* follows the same approach.

LC decided not to define “family” because the agency preparing the description will be making the decision about the boundaries of what constitutes a family in the context of the resource they are cataloguing.

This proposal does not explicitly suggest treatment for such “family” groups as dynasties, royal families, families of nobility (with inverted qualifiers like House of, Dukes of, etc.), etc. Such groups are not included in archival rules that we could find, but the JSC constituents may wish to suggest additions for such names. LC currently provides for these names in subject headings.

We also have not adjusted the AACR2 rules to accommodate any changes that may result from change of the “rule of three.” We would expect such changes to be part of transfer into *Resource Description and Access*.

Because the proposed revisions are minor, LC is not also providing “clean copy” versions of each rule.

## Proposed revisions

### **21.1A. Works of personal authorship.**

**21.1A1. Definition.** A personal author is the person or family chiefly responsible for the creation or artistic content of a work. [remainder of rule as given]

**21.1A2. General rule for persons.** Enter a work by one or more persons ... [remainder of rule as given]

**21.1A3. General rule for families.** Enter a work by a family under the heading for the family (see 21.4A), the principal family (see 21.6B), or the probable family (see 21.5B). In some cases of shared family authorship (see 21.6) and mixed authorship (see 21.8-21.27), enter under the heading

for the person or family named first. Make added entries as instructed in 21.29-21.30.

## **21.4. WORKS FOR WHICH A SINGLE PERSON, FAMILY, OR CORPORATE BODY IS RESPONSIBLE**

### **21.4A. Works of single personal authorship**

**21.4A1. Works of single personal authorship.** Enter a work, a collection of works, or selections from a work or works by one personal author (or any reprint, reissue, etc., of such a work) under the heading for that person whether named in the item being catalogued or not.

[examples as given]

**21.4A2. Works of family authorship.** Enter a work, a collection of works, or selections from a work or works by members of a family under the heading for that family.

The Bailey family papers. 1759-1819.  
(A plantation account book, including records for the hiring out and medical care of slaves, medical fees and records of Zachariah Bailey, and Bailey family genealogical material)  
Main entries under the heading Bailey family.

## **21.5. WORKS OF UNKNOWN OR UNCERTAIN AUTHORSHIP OR BY UNNAMED GROUPS**

**21.5A.** If a work is of unknown or uncertain authorship or if it emanates from a body that lacks a name, enter it under title.

[examples as given]

If such a work has been attributed to one or more persons, families, or corporate bodies, either in editions of the work or in reference sources, make added entries under the headings for these persons, families, or corporate bodies.

[examples as given]

**21.5B.** If reference sources indicate that a person or a family is the probable author of such a work, enter under the heading for that person or family. If a work falling into one or more of the categories given in 21.1B2 probably emanates from a particular corporate body, enter under the heading for that body. Make added entries under the headings for other persons, families, or bodies to which the work has been attributed, and under title

[examples as given]

## **21.6. WORKS OF SHARED RESPONSIBILITY**

### **21.6A. Scope**

**21.6A1.** Apply this rule to:

- a) works produced by the collaboration of two or more persons or families
- b) works for which different persons or families have prepared separate contributions
- c) works consisting of an exchange between two or more persons or families
- d) [as given]
- e) [as given]
- f) works resulting from a collaboration or exchange between a person, a family, and a

corporate body. [remainder of rule as given]

**21.6B1.** If, in a work of shared responsibility, principal responsibility is attributed (by the wording or the layout of the chief source of information of the item being catalogued) to one person, family, or corporate body, enter under the heading for that person, family, or body. If the name of another person, family, or corporate body appears first in the chief source of information, make an added entry under the heading for that person, family, or body. Make added entries under the headings for other persons, families, or bodies involved if there are not more than two.

[examples as given with the following addition for family names]

The family letters of Thomas Jefferson / edited by  
Edwin Morris Betts and James Adam Bear, Jr.  
Main entry under the heading for Jefferson  
Added entries under the headings for Jefferson family, Betts, and Bear.

**21.6B2.** If principal responsibility is attributed to two or three persons, families, or bodies, enter under the heading for the first named of these. Make added entries under the headings for the others. If a work is by two principal persons, families, or corporate bodies and one collaborating person, family, or body, make an added entry also for the third person, family, or body.

[examples as given]

[NOTE from LC: We also wish to have an option in RDA to limit when there are more than three families, so suggest using wording such as that found in *DACS* as follows:

*DACS* 2.3.14. If responsibility for the creation of the materials is dispersed among more than three families, record only the name of the family whose material predominates. If no one family's material predominates, choose the name considered most appropriate. (p. 19)

*DACS* 2.3.15. Optionally, include all the names of the families who are credited with, or predominantly responsible for, the creation of the materials. (p. 20)

We have an example in our collections of the title for a well-established family reunion documented by the Library of Congress and the American Folklife Center last year: “Roberts, Borders, Mauney, Howell, Briggs and related families reunion collection” and the programs and other publications from the 100th year anniversary of this family reunion use “Roberts, Borders, Mauney, Howell, Briggs and Related Families.”]

### **21.6C. Principal responsibility not indicated**

**21.6C1.** If responsibility is shared between two or three persons, families, or bodies and principal responsibility is not attributed to any of them by wording or layout, enter under the heading for the one named first. Make added entries under the headings for the others.

[examples as given with the following addition for families]

Anderson, Aitkin, and Dorman family's papers, 1832-1879.

*Main entry under the heading for Anderson family*  
*Added entries under the headings for Aitkin family and Dorman family*

If the names of the persons, families, or bodies appear in a different order in the chief sources of information of different editions of the work, enter each edition under the heading for the person, family or body named first in that edition.

[examples as given]

If the persons, families, or bodies are not named in the item, enter under the one named first in a previous edition or, if there is no previous edition, under the one whose heading comes first in English alphabetic order.

**21.6C2.** If responsibility is shared among more than three persons, families, or corporate bodies and principal responsibility is not attributed to any one, two, or three, enter under title. Make an added entry under the heading for the first person, family, or corporate body named prominently in the item being catalogued. ...[remainder of rule as given]

## **21.7. COLLECTIONS OF WORKS BY DIFFERENT PERSONS, FAMILIES OR BODIES**

### **21.7A. Scope**

**21.7A1.** Apply this rule to:

- a) collections of independent works by different persons, families, or bodies
- b) collections consisting of extracts from independent works by different persons, families, or bodies
- c) works consisting partly of independent works and partly of contributions by different persons, families, or bodies. ...[remainder of rule as written]

### **21.7B. With collective title**

**21.7B1.** Enter a work falling into one of the categories given in 21.7A under its title if it has a collective title. Make added entries under the headings for the compilers/editors if there are not more than three and if they are named prominently in the item being catalogued. If there are more than three compilers/editors named prominently, make an added entry under the heading for the principal compiler/editor and/or for the one named first.

[examples as given]

If such an item includes two or three works, make name-title added entries for each of them.

[examples as given]

If there are more than three works but only two or three persons, families, or bodies responsible, make an added entry (or name-title added entry when appropriate) under the heading for each person, family, or body

[examples as given]

If more than three persons, families, or bodies are named in the chief source of information, make an added entry under the first person, family or body named there.

[examples as given]

## **21.8. WORKS OF MIXED RESPONSIBILITY**

### **21.8A. Scope**

**21.8A1.** A work of mixed responsibility is one to which different persons, families, or bodies make intellectual or artistic contributions by performing different kinds of activity (e.g., writing, adapting, illustrating, editing, arranging, translating).

The rules in this section are divided into the following two types of mixed responsibility:

- a) previously existing works that have been modified (e.g., translations, musical arrangements, adaptations, see 21.9-21.23)
- b) new works to which different persons, families, or bodies have made different kinds of contributions (e.g., collaborative works by a writer and an artist, works reporting interviews, see 21.24-21.27).

**21.29B.** Make added entries under headings for persons, families, corporate bodies, and titles as instructed in 21.30.

If considered necessary for access, make added entries for persons, families, and corporate bodies as instructed in 21.30 in the following situations ... [remainder of rule as given]

**21.29C.** In addition, make an added entry under the heading for a person, family, or a corporate body... [remainder of rule as given]

**21.29F.** If the reason for an added entry is not apparent from the description (e.g., if a person, family, or body whose name is used as the basis for an added entry heading is not named in a statement of responsibility or in the publication details, provide a note giving, as appropriate, the name of the person, family, or body (see 1.7B6) and/or the title (see 1.7B4).

### **21.30F. Other related persons, families, or bodies**

**21.30F1.** Make an added entry under the heading for a person, family, or corporate body having a relationship to a work not treated in 21.1-21.28 if the heading provides an important access point (e.g., the addressee of a collection of letters; a person honoured by a Festschrift; a museum in which an exhibition is held).

**22.1A.** In general, choose, as the basis of the heading for a person or family, the name by which ~~he~~ ~~or she~~ the person or family is commonly known. For persons ~~t~~This may be the person's real name, pseudonym, title of nobility, nickname, initials, or other appellation. Treat a roman numeral associated with a given name (as, for example, in the case of some popes, royalty, and ecclesiastics) as part of the name. For the treatment of the names of authors using one or more pseudonyms or a real name and one or more pseudonyms, see 22.2B. For the form of name used in headings, see 22.4-22.16.

[examples as given]

**22.1B.** Determine the name by which a person is commonly known from the chief sources of information (see 1.0A) of works by that person issued in his or her language. If the person works in a nonverbal context (e.g., a painter, a sculptor) or is not known primarily as an author, determine the name by which he or she is commonly known from reference sources [1] issued in his or her language or country of residence or activity. For families, determine the name from the chief sources of information of works by that family or from reference sources.

[1] Reference sources, as used in this chapter, includes books and articles written about a person or family

**22.3C. Names written in a nonroman script** [no change to caption, footnote, or rules 22.3C1 or 22.3C2]

**22.3C3. Family names.** Choose the form of name that has become well-established in English-language reference sources for a family name in a language written in nonroman script. If variant English-language forms are found, choose the form that occurs most frequently. As required, make references from other forms. If the family name is not found in English-language reference sources, romanize the name according to the table for the language adopted by the cataloguing agency.

**22.3D1.** If variant spellings of a person's name are found and these variations are not the result of different romanizations, choose the form resulting from an official change in orthography, or, if this does not apply, choose the predominant spelling. In case of doubt, choose the spelling found in the first item catalogued. For spelling differences resulting from different romanizations, see 22.3C. For family names with variant spellings, choose the predominant spelling.

**22.5A1. Names of persons.** Enter a name containing a surname or consisting only of a surname under that surname unless subsequent rules (e.g., 22.6, 22.10, 22.28) provide for entry under a different element.

[examples and remainder of rule as given]

**22.5A2. Family names.** Enter a family name under the surname, appending the word "family" to the surname.

Johnson family

**22.5C3. Hyphenated surnames.** [rule and examples as given but add the following example for family]

Bowen-Colthurst family

**22.5D. Surnames with separately written prefixes**

**22.5D1. Articles and prepositions.** If a surname includes an article or preposition or combination of the two, enter under the element most commonly used as entry element in alphabetically arranged directories, etc., in the person's or family's language or country of residence or activity. The rules listed under languages and language groups below summarize entry element practice.

If such a name is listed in a nonstandard fashion in reference sources in the person's or family's language or country of residence, enter under the entry element used in those sources.

[remainder of rule with examples as given but also add examples of family names with articles or prepositions, such as the following]

*DUTCH.* If the surname is Dutch enter under the part following the prefix unless the prefix is ver. In that case, enter under the prefix.

[examples as given with the following addition for families]

Gogh family  
*x Van Gogh family*

*ENGLISH.* Enter under the prefix.

[examples as given with the following addition for families]

Van Buren family  
*x Buren family*

*FRENCH.* If the prefix consists of an article or of a contraction of an article and a preposition, enter under the prefix.  
[examples as given]

Otherwise, enter under the part of the name following the preposition.

[examples as given with the following addition for families]

Gaulle family  
*x De Gaulle family*

*ITALIAN.* Enter modern names under the prefix.

[examples as given with the following addition for families]

Della Porta family  
*x Porta family*

## **22.20. UNDIFFERENTIATED NAMES**

**22.20A. Names of persons.** If no suitable addition (fuller form of name, dates, or distinguishing term) is available, use the same heading for all persons with the same name.

[examples as given]

**22.20B. Family names.** Use the same heading for all families with the same surname.

**26.1B1.** Make a see reference from a form of the name of a person, family, ~~or a~~ corporate body, or title of a work that might reasonably be sought to the form that has been chosen as a name or uniform title heading, or as a title entry.

**26.1F1.** In making a reference, give the name of a person, family, place, or corporate body from which reference is made in the same structure as it would have as a heading.

[examples and remainder of rule as given]

## **26.2 NAMES OF PERSONS OR FAMILIES**

**26.2A1. Different names.** Refer from a name used by a person or family, or found in reference sources, that is different from the name used in the heading for that person or family. (For persons entered under two or more different headings, see also 26.2C1 and 26.2D1.) Typical instances are:

[examples as given]

**26.2A2. Different forms of the name.** Refer from a form of name used by a person or family, or found in reference sources, or resulting from a different romanization of the name, if it differs significantly from the form used in the heading for that person or family.

[examples as given]

**26.2A3. Different entry elements.** Refer from different elements of the heading for a person or family under which that name might reasonably be sought. Typical instances are:

[examples as given with the following additions for family names]

*Different elements of a compound name*

Colthurst family  
see Bowen-Colthurst family

*Part of surname following a prefix*

Porta family  
see Della Porta family

*Prefix to surname used as entry element (see also 26.2D2)*

Van Gogh family  
see Gogh family

**26.2C. See also references.**

[rule as given with addition for family names]

**26.2C3.** If the works of families are entered under variant spelling of the same name or under a compound surname, such as when these are determined to be different families, make see also references from the variant forms under which that name might be sought. Typical instances are:

Green family

See also Greene family

Lloyd-Jones family  
see also Lloyd family  
see also Jones family