To: Joint Steering Committee for Development of RDA

From: Alan Danskin, Chair, JSC

Subject: Initial articles - Revision of RDA 0.5; 6.2.1.7; 9.2.2.25; 9.2.2.26; 11.2.2.8;
           Appendix C: Initial articles

The following proposal has been received from the Office for Library Standards, German National Library.

Constituency responses to this proposal are invited by 28 September 2011.

Background

The omission of initial articles from titles, or from names of persons, and corporate bodies is well established in the Anglo-American tradition, but this is not the case in other cataloguing traditions, especially in those with inflected languages.

An inflected language is "one which changes the form or ending of some words when the way in which they are used in sentences changes."[1] German is an inflected language and even in the English language omitting of initial articles can cause odd results.

German language examples:

1) An article defines the meaning of the noun.

Der Band (volume)
Das Band (cord, lace)
Die Band (music group)

The word Band without an article does not reveal its meaning.

2) The omission of initial articles can imply a compound where it is not.

"Des Lebens Sinn" could be "Lebens-Sinn" without the article.

3) The omission of initial articles could lead to grammatically incorrect forms. The sentence has to be modified, when an article was omitted.

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[1] Definition of inflected language noun from the Cambridge Advanced Learner's Dictionary, downloaded 2 May 2011. <http://dictionary.cambridge.org/dictionary/british/inflected-language>

Der Blaue Reiter [corporate name, famous artist group].
An omission would lead to "Blaue Reiter", which is grammatically incorrect and which is not the name of the artist group. Grammatically correct, after omitting the initial article would be "Blaue**r** Reiter", but that is not the name of the artist group either!

"Der seidene Faden" would be "Seidene**r** Faden" without the article.

Der Alte Mystische Orden vom Rosenkreuz [corporate name].
An omission of the article would lead to: Alte**r** Mystische**r** Orden vom Rosenkreuz

„Das müssen Sie wissen".
An omission of what seems to be an article but indeed is a demonstrative pronoun would lead to: „müssen Sie wissen" which does not make any sense.

There are a lot more cases and examples in the German language.

The German National Library commented on this issue in its response to the full draft of RDA and reiterated the comments in 2010, in response to JSC6/Sec/1.

> http://www.rda-jsc.org/docs/5rda-fulldraft-chairfolup6.pdf
> http://www.rda-jsc.org/docs/6JSC_Sec_1_Chair_follow_up.pdf

We think, that instructions in cataloguing rules to omit initial articles are mainly relevant for card catalogs but not for contemporary (integrated) library systems. In an online environment omitting an initial article is no longer necessary and unimportant. To omit articles even leads to odd results in English language, as well as in other (especially inflected) languages. Therefore we see the handling of initial articles as a task for bibliographic formats, and based on this, for computer programs, but not for cataloguing rules. MARC 21 and other formats provide techniques to handle display and sorting of the data in different ways. Initial articles should be recorded in any case. All titles, names of persons, and names of corporate bodies should be treated the same. This would avoid distorted titles and names, would lead to consistency and would simplify the cataloguing process. For the sorting in an OPAC or a bibliography the initial article can be disregarded.

Scope

The scope of the topic would include the following instructions:

> **0.5** [Structure]
> **1.7** [Transcription]
> **2.3.1.4** [Recording Titles]
> **6.2.1.7** [Title of the Work] Initial Articles

9.2.2.25 [Recording Names Consisting of a Phrase] Characterizing the Word or Phrase

9.2.2.26 [Recording Names Consisting of a Phrase] Phrase Naming Another Work by the Person

11.2.2.8 [Preferred Name of the Corporate Body]

Appendix C

The scope of the <u>change</u> would include the following instructions:

> **0.5** [Structure]
>
> **6.2.1.7** [Title of the Work] Initial Articles
>
> **9.2.2.25** [Recording Names Consisting of a Phrase] Characterizing the Word or Phrase
>
> **9.2.2.26** [Recording Names Consisting of a Phrase] Phrase Naming Another Work by the Person
>
> **11.2.2.8** [Preferred Name of the Corporate Body] Initial Articles
>
> **Appendix C**

Recommendations

As JSC has to balance the principle of representation and the objective of international compatibility with the requirements for cost efficiency and continuity, the German National Library would like to propose a revision according to these goals. Accepting the proposal would enable both traditions to be accommodated. This could be achieved by introducing new instructions, which do not specify the omission of articles. The existing instructions, to omit the articles, could be retained, as alternatives to these new instructions.

Recommendation: Initial articles should be recorded in any case. All titles, names of persons, and names of corporate bodies should be treated the same. This would avoid distorted titles and names, would lead to consistency and would simplify the cataloguing process.

<div align="center">*</div>

Proposed revisions: marked version

0.5 Structure

RDA is divided into ten sections: sections 1–4 cover elements corresponding to the entity attributes defined in FRBR and FRAD; sections 5–10 cover elements corresponding to the relationships defined in FRBR and FRAD.[18]

The initial chapter in each section sets out the functional objectives and principles underlying the guidelines and instructions in that section, and specifies core elements to support those functional objectives.

Subsequent chapters within each section cover attributes or relationships that support a specific user task as follows: [19]

Attributes

Section 1 covers the attributes of manifestations and items that are most commonly used to identify a resource (chapter 2 RDA), to select a resource appropriate to the user's requirements with respect to format and encoding (chapter 3 RDA), and to obtain a resource (chapter 4 RDA).

Section 2 covers the attributes of works and expressions that are most commonly used to identify a work or expression (chapter 6 RDA), and to select a work or expression appropriate to the user's requirements with respect to content (chapter 7 RDA).

Section 3 covers the attributes of persons (chapter 9 RDA), families (chapter 10 RDA), and corporate bodies (chapter 11 RDA) that are most commonly used to identify those entities.

Section 4 covers the attributes of concepts (chapter 13 RDA *ruhroh2), objects (chapter 14 RDA *ruhroh2), events (chapter 15 RDA *ruhroh2), and places (chapter 16 RDA) that are most commonly used to identify those entities.

Relationships

Section 5 covers the primary relationships between a work, expression, manifestation, and item (chapter 17 RDA).

Section 6 covers the relationships that are used to find works (chapter 19 RDA), expressions (chapter 20 RDA), manifestations (chapter 21 RDA), and items (chapter 22 RDA) associated with a particular person, family, or corporate body.

Section 7 covers the relationships that are used to find works on a particular subject (chapter 23 RDA *ruhroh2).

Section 8 covers the relationships that are used to find related works (chapter 25 RDA), related expressions (chapter 26 RDA), related manifestations (chapter 27 RDA), and related items (chapter 28 RDA).

Section 9 covers the relationships that are used to find related persons (chapter 30 RDA), related families (chapter 31 RDA), and related corporate

bodies (chapter 32 RDA).

Section 10 covers the relationships that are used to find related concepts (chapter 34 RDA *ruhroh2), objects (chapter 35 RDA *ruhroh2), events (chapter 36 RDA *ruhroh2), and places (chapter 37* RDA).

Supplementary guidelines and instructions are provided in appendices as follows: [20]

Appendix A RDA provides guidelines on capitalization for English and a selected number of other languages that are to be applied when transcribing specified elements.

Appendix B RDA lists abbreviations in English and a selected number of other languages that are to be used when recording specified elements.

Appendix C RDA lists initial articles in ~~English and~~ a selected number of ~~other~~ languages ~~that are to be omitted when recording preferred titles for works and preferred names for persons and corporate bodies~~.

Appendix D RDA provides mappings of RDA data elements used to describe a resource to a selected number of related metadata schemes for encoding or presentation of resource description data (e.g., ISBD, MARC 21, Dublin Core).

Appendix E RDA provides mappings of RDA data elements used to describe an entity associated with a resource to a selected number of related metadata schemes for encoding or presentation of access point and authority data (e.g., MARC 21).

Appendix F RDA provides instructions on choosing and recording names of persons in a number of specific languages, supplementing the general guidelines and instructions provided in chapter 9 RDA.

Appendix G RDA provides information on titles of nobility, terms of rank, etc., used in a number of specific jurisdictions.

Appendix H RDA provides information on recording dates in the Christian calendar.

Appendix I RDA lists terms used as designators to indicate the nature of a relationship between a resource and a person, family, or corporate body associated with the resource more specifically than is indicated by the defined scope of the relationship element itself. The appendix also provides definitions for terms used as relationship designators and instructions on their use.

Appendix J RDA lists terms used as designators to indicate the nature of a relationship between works, expressions, manifestations, and items more specifically than is indicated by the defined scope of the relationship element itself. The appendix also provides definitions for terms used as relationship designators and instructions on their use.

Appendix K RDA lists terms used as designators to indicate the nature of a relationship between persons, families, and corporate bodies more specifically than is indicated by the defined scope of the relationship element itself. The appendix also provides definitions for terms used as relationship designators and instructions on their use.

Appendix L RDA lists terms used as designators to indicate the nature of a

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relationship between concepts, objects, events, and places more specifically than is indicated by the defined scope of the relationship element itself. The appendix also provides definitions for terms used as relationship designators and instructions on their use.

[18] Sections and chapters covering the attributes of concept, object, and event defined in FRAD, and the "subject" relationship defined in FRBR will not be developed until after the initial release of RDA.

[19] Chapters marked with an asterisk will not be developed until after the initial release of RDA.

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Clean version

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6.2.1.7 Initial Articles

Transcribe the title for a work as it appears on the source of information, without modification. Do not omit an initial article.

EXAMPLE

The Invisible Man

Der seidene Faden

Eine kleine Nachtmusik

La vida plena

Alternative

Omit an initial article (see appendix C) unless the title for a work is to be accessed under that article (e.g., a title that begins with the name of a person or place, or which is originated from an inflected language).

EXAMPLE

Taming of the shrew
not The taming of the shrew

Ángeles borrachos y otros cuentos
not Los ángeles borrachos y otros cuentos

Enfant et les sortilèges
not L'enfant et les sortilèges

~~Kleine Nachtmusik~~

~~Not~~ ~~Eine kleine Nachtmusik~~

but

Los Angeles street map

L'Enfant and Washington, 1791–1792

Le Corbusier et l'architecture sacrée

El Salvador y su desarrollo urbano en el contexto centroamericano

La Niña and its impacts

Eines langen Tages Reise in die Nacht

Der goldene Topf

Clean version

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Der goldene Topf

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9.2.2.25   Characterizing Word or Phrase

Record a characterizing word or phrase as it appears on the source of information, without modification.

Consider such a word or phrase to be the name for a person if that person is commonly identified by it in resources associated with the person and in reference sources.

EXAMPLE

A Physician

Statement of responsibility: by a Physician

A Military Chaplin

Statement of responsibility: by a Military Chaplin

A Teacher of Book-keeping

Statement of responsibility: by a Teacher of Book-keeping

The Daughter of a Wesleyan Minister

Statement of responsibility: by the Daughter of a Wesleyan Minister

Une Femme de ménage

Statement of responsibility: par une Femme de ménage

If the person is commonly identified by a real name or another name (see 9.2.2.6 RDA), and a word or phrase characterizing that person has appeared in resources associated with the person, record the word or phrase as a variant name (see 9.2.3.10 RDA).

Alternative

Record a characterizing word or phrase applying the general guidelines on recording names given under 8.5 RDA

Record the phrase in direct order. Omit an initial article (see appendix C RDA).

Consider such a word or phrase to be the name for a person if that person is commonly identified by it in resources associated with the person and in reference sources.

EXAMPLE

Physician

Statement of responsibility: by a Physician

Military Chaplin

Statement of responsibility: by a Military Chaplin

Teacher of Book-keeping

Statement of responsibility: by a Teacher of Book-keeping

Daughter of a Wesleyan Minister

Statement of responsibility: by the Daughter of a Wesleyan Minister

Femme de ménage

Statement of responsibility: par une Femme de ménage

If the person is commonly identified by a real name or another name (see 9.2.2.6 RDA), and a word or phrase characterizing that person has appeared in resources associated with the person, record the word or phrase as a variant name (see 9.2.3.10 RDA).

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> **EXAMPLE**
>
> A Physician
>
> Statement of responsibility: by a Physician
>
> A Military Chaplin
>
> Statement of responsibility: by a Military Chaplin
>
> A Teacher of Book-keeping
>
> Statement of responsibility: by a Teacher of Book-keeping
>
> The Daughter of a Wesleyan Minister
>
> Statement of responsibility: by the Daughter of a Wesleyan Minister
>
> Une Femme de ménage
>
> Statement of responsibility: par une Femme de ménage

If the person is commonly identified by a real name or another name (see 9.2.2.6 **RDA**), and a word or phrase characterizing that person has appeared in resources associated with the person, record the word or phrase as a variant name (see 9.2.3.10 **RDA**).

Alternative

Record a characterizing word or phrase applying the general guidelines on recording names given under 8.5 **RDA**

Record the phrase in direct order. Omit an initial article (see appendix C **RDA**).

Consider such a word or phrase to be the name for a person if that person is commonly identified by it in resources associated with the person and in reference sources.

> **EXAMPLE**
>
> Physician
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> Statement of responsibility: by a Physician
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Statement of responsibility: by a Teacher of Book-keeping

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Femme de ménage

Statement of responsibility: par une Femme de ménage

If the person is commonly identified by a real name or another name (see 9.2.2.6 **RDA**), and a word or phrase characterizing that person has appeared in resources associated with the person, record the word or phrase as a variant name (see 9.2.3.10 **RDA**).

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9.2.2.26   Phrase Naming Another Work by the Person

Record a phrase naming another work by the person applying the general guidelines on recording names given under 8.5 RDA.

Consider such a phrase to be the name for a person if that person is commonly identified by it in resources associated with the person and in reference sources.

EXAMPLE

The Author of Honesty the best policy

Statement of responsibility: by the Author of Honesty the best policy

The Editor of The young gentleman's book

Statement of responsibility: by the Editor of The young gentleman's book

The Writer of The Lambton worm

Statement of responsibility: by the Writer of the Lambton worm

L'Auteur de l'Adresse au peuple breton

Statement of responsibility: par l'auteur de l'Adresse au peuple breton

Der Autor des Buches Traumberuf Buschpilot

Statement of responsibility: vom Autor des Buches Traumberuf Buschpilot

Record as a variant name a form using the title of the other work as the first element followed by a comma and the word or words that precede the title in the phrase (see 9.2.3.10 RDA).

If the person is commonly identified by a real name or another name (see 9.2.2.6 RDA), and a phrase including the title of another work has appeared in resources associated with the person, record the word or phrase as a variant name (see 9.2.3.10 RDA).

Alternative

Record a phrase naming another work by the person applying the general guidelines on recording names given under 8.5 RDA.

Record the phrase in direct order. Omit an initial article (see appendix C RDA).

Consider such a phrase to be the name for a person if that person is commonly identified by it in resources associated with the person and in reference sources.

EXAMPLE

Author of Honesty the best policy

Statement of responsibility: by the Author of Honesty the best policy

Editor of The young gentleman's book

Statement of responsibility: by the Editor of The young gentleman's book

Writer of The Lambton worm

Statement of responsibility: by the Writer of the Lambton worm

Auteur de l'Adresse au peuple breton

Statement of responsibility: par l'auteur de l'Adresse au peuple breton

Autor des Buches Traumberuf Buschpilot

Statement of responsibility: vom Autor des Buches Traumberuf Buschpilot

Record as a variant name a form using the title of the other work as the first element followed by a comma and the word or words that precede the title in the phrase (see 9.2.3.10 RDA).

If the person is commonly identified by a real name or another name (see 9.2.2.6 RDA), and a phrase including the title of another work has appeared in resources associated with the person, record the word or phrase as a variant name (see 9.2.3.10 RDA).

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9.2.2.26 **Phrase Naming Another Work by the Person**

Record a phrase naming another work by the person applying the general guidelines on recording names given under 8.5 RDA.

Consider such a phrase to be the name for a person if that person is commonly identified by it in resources associated with the person and in reference sources.

EXAMPLE

The Author of Honesty the best policy

Statement of responsibility: by the Author of Honesty the best policy

The Editor of The young gentleman's book

Statement of responsibility: by the Editor of The young gentleman's book

The Writer of The Lambton worm

Statement of responsibility: by the Writer of the Lambton worm

L'Auteur de l'Adresse au peuple breton

Statement of responsibility: par l'auteur de l'Adresse au peuple breton

Der Autor des Buches Traumberuf Buschpilot

Statement of responsibility: vom Autor des Buches Traumberuf Buschpilot

Record as a variant name a form using the title of the other work as the first element followed by a comma and the word or words that precede the title in the phrase (see 9.2.3.10 RDA).

If the person is commonly identified by a real name or another name (see 9.2.2.6 RDA), and a phrase including the title of another work has appeared in resources associated with the person, record the word or phrase as a variant name (see 9.2.3.10 RDA).

Alternative

Record a phrase naming another work by the person applying the general guidelines on recording names given under 8.5 RDA.

Record the phrase in direct order. Omit an initial article (see appendix C RDA).

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EXAMPLE

Author of Honesty the best policy

19

Statement of responsibility: by the Author of Honesty the best policy

Editor of The young gentleman's book

Statement of responsibility: by the Editor of The young gentleman's book

Writer of The Lambton worm

Statement of responsibility: by the Writer of the Lambton worm

Auteur de l'Adresse au peuple breton

Statement of responsibility: par l'auteur de l'Adresse au peuple breton

Autor des Buches Traumberuf Buschpilot

Statement of responsibility: vom Autor des Buches Traumberuf Buschpilot

Record as a variant name a form using the title of the other work as the first element followed by a comma and the word or words that precede the title in the phrase (see 9.2.3.10 **RDA**).

If the person is commonly identified by a real name or another name (see 9.2.2.6 **RDA**), and a phrase including the title of another work has appeared in resources associated with the person, record the word or phrase as a variant name (see 9.2.3.10 **RDA**).

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11.2.2.8   Initial Articles

Do not omit an initial article (see appendix C **RDA**) in a name of a corporate body.

EXAMPLE

The Library Association

Der Wehrbeauftragte

Alternative

Omit an initial article (see appendix C **RDA**) unless the name is to file under the article (e.g., a corporate name that begins with an article that is the first part of the name of a person or place, or a corporate name which is originated from an inflected language).

EXAMPLE

Amis de la terre du Morvan

not Les Amis de la terre du Morvan

Library Association

not The Library Association

Danske Præsteforening

not Den Danske Præsteforening

but

El Niño Task Force

Le Corbusier Sketchbook Publication Committee

Los Angeles Philharmonic Orchestra

Der Alte Mystische Orden vom Rosenkreuz

Clean version

11.2.2.8   Initial Articles

Do not omit an initial article (see appendix C RDA) in a name of a corporate body.

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The Library Association

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Omit an initial article (see appendix C RDA) unless the name is to file under the article
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Proposed revisions: marked version

Appendix C INITIAL ARTICLES

C.0 Scope

This appendix lists initial articles in ~~English and~~ a selected number of ~~other~~ languages ~~that are to be omitted when recording preferred titles for works and names of persons and corporate bodies~~.

C.1 General Instructions

Do not ~~O~~omit ~~the~~ initial articles except the initial articles listed in alternative rules under ~~C.2 RDA and C.3 RDA as instructed in~~ 6.2.1.7 RDA (titles of works), 9.2.2.25 RDA (characterizing word or phrase used as the name of a person), 9.2.2.26 RDA (phrase naming another work by the person), and 11.2.2.8 RDA (names of corporate bodies). ~~Consider only those definite and indefinite articles in the languages included in the lists under C.2 RDA and C.3 RDA. The lists do not cover articles in all languages.~~

Generally consider those articles identified for a language also to apply to a dialect of that language.

When applying the alternative rules under 6.2.1.7 RDA (titles of works), 9.2.2.25 RDA (characterizing word or phrase used as the name of a person), 9.2.2.26 RDA (phrase naming another work by the person), and 11.2.2.8 RDA (names of corporate bodies): For languages not included in the lists in C.2 RDA and C.3 RDA, consult reference sources to determine if the language uses definite and/or indefinite articles.

C.2 Articles Listed by Language

An asterisk (*) after an indefinite article indicates that the same form is also used in other contexts (e.g., the cardinal numeral one); take care to distinguish the meaning.

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Appendix C	INITIAL ARTICLES

C.0   Scope

This appendix lists initial articles in a selected number of languages.

C.1   General Instructions

Do not omit initial articles except the initial articles listed in alternative rules under 6.2.1.7 RDA (titles of works), 9.2.2.25 RDA (characterizing word or phrase used as the name of a person), 9.2.2.26 RDA (phrase naming another work by the person), and 11.2.2.8 RDA (names of corporate bodies).

Generally consider those articles identified for a language also to apply to a dialect of that language.

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C.2   Articles Listed by Language

An asterisk (*) after an indefinite article indicates that the same form is also used in other contexts (e.g., the cardinal numeral one); take care to distinguish the meaning.