

18. Filing Rules

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18. Filing Rules

Filing rules. (From SCM Shelflisting G100). Filing rules come into play when author or geographic cutters need to be subarranged, in subarranging by main entry, or in situations 10-11, when the main entry is the same and subarrangement by title is needed. The basic rule is "file as is." For complex filing arrangements, refer to and base decisions on the Library of Congress Filing Rules (available on the Cataloger's Desktop) rather than the computer sorting order.

While the computer sorting order affects searches on names, the call number search generally follows the order of arrangement of the card shelflist, which is closest to the filing sequence laid out in G100 and the LC Filing Rules. Therefore, we will continue to follow G100 and the LC Filing Rules for shelflist filing order since this appears to be the least disruptive to file integrity.

18a. Personal name filing arrangement:

- file single forenames before single surnames;
- file single surnames before compound forenames;
- file compound forenames before compound surnames.

Note that the forename is demarcated by the comma if there are subordinate elements such as dates, place of origin, or title. Exceptionally, if a forename has enumeration, usually a roman numeral, the demarcation is before the number.

Shelflisting (filing) order (name in subfield c is in italics):

Giovanni II, *Bishop of Città di Castello*, fl. 1204-1226

Giovanni, 15th cent. <files as 1400-1499>

Giovanni, *da Capua*, 13th cent.

Giovanni, *da San Giovanni*, 1592-1636

Giovanni, *di Paolo*, ca. 1403-ca. 1482

Giovanni, *Fiorentino*, 14th cent.

Giovanni, André

Giovanni, Fabio, 1958-

Giovanni, José, 1924-

Giovanni, Nikki

Giovanni Bernardo, d. 1503 or 4

Giovanni del Virgilio, fl. 1319

LC Filing Rules, 5.1. Forename Fields: "The leading element of a forename field may be followed by one or more of the following categories of subordinate elements: 1) numeration; 2) dates; 3) additional words. When forename fields have identical leading elements, they are grouped in the following order:

a. Forename alone	
b. Forename with numeration/Forename, date	Filed in one numerical sequence
c. Forename, additional word(s). Additional words may include titles, a characterizing word or phrase, and the full form of initials used in the name. In arranging additional words within a group, differences in punctuation are ignored."	

18b. Treat a **prefix** that is part of a name or place as a separate word unless it is joined to the rest of the name

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directly or by an apostrophe without a space. File letter by letter.

Darby, Joseph R.
D'Arcy, Paula, 1947-
De, S. C
De La Cruz, Jessie Lopez, 1919-
De Lange, Elaine
DeAndrea, William L.
D'Ebneth, Maria Scholten de
Deformation of solids
Del Balzo, Giulio
Delaurier, William J.

18c. Ignore **initial articles** in titles. BUT: initial articles in personal names and place names are accounted for in filing, e.g. El-Ad, Avri; Las Lomas, California.

18d. File **abbreviations** (e.g. Mc) as written, not as spelled out. Generally start a new file sequence in areas where the old filing rules were used in shelving, but keep previously established authors, artists, etc. together. Search under both the abbreviated form and the spelled out form to avoid split files.

Mabney, William
MacDonald, Joan E., 1916-
Marshall, Catherine, 1914-
McGrath, Suzanne
Metal products manufacturing

18e. Words separated by **hyphens** are treated as separate words.

18f. **Numerals in titles** :

- If a number is written out, file alphabetically (Seventy-six trombones files to S)
- If number is in notation form (Arabic, roman numerals), use A12-A19. A12 and A19 are BOUNDARIES and number combinations are infinite, so never assign A12 (or A122 or other low number) or A19. Otherwise, the next shelflister will have a hard time inserting a new number. Entries beginning with numerals should file before entries beginning with letters
- Arrangement of numbers in notation form is in numerical order rather than decimal/computer order; file 12 before 111; punctuation is ignored. (BUT: if there is no number before a decimal point, it is filed before 1!)

Number written out:

LC Call number a b	Author	Title Long	Imprint
BM723.F43 2003	Feinstein , Edward, 1964-	Tough questions Jews ask : a young adult's guide to building a Jewish life / Edward Feinstein.	Woodstock, Vt. : Jewish Lights Pub., c2003.
BM723.F44 2002	Feuerman , Simcha, 1967-	How to have fun without getting into trouble / Simcha Feuerman & Chaya Feuerman.	Northvale, N.J. : Jason Aronson, c2002.
BM723.F48 1996		Fifty-eighth century : a Jewish renewal sourcebook / edited by Shohama Harris Wiener.	Northvale, N.J. ; London : Jason Aronson, c1996.
BM723.F527 1996	Fisdell , Steven A.	Practice of kabbalah : meditation in Judaism / Steven A. Fisdell.	Northvale, N.J. : Jason Aronson, c1996.

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Number in notation form:

LC Call number a b	Author	Title Long	Imprint
E846.A17 2004		1964 / Kristen Rencher, book editor.	San Diego : Greenhaven Press, c2004.
E846.A18 2004		1965 / Terrie Petree, book editor.	San Diego : Greenhaven Press, c2004.
E846.A183 2004		1966 / Carol Carwie Head, Tom Head, book editors.	San Diego : Greenhaven Press, c2004.
E846.A185 2004		1967 / Norman Loukes, book editor.	San Diego : Greenhaven Press, c2004.
E846.A186 2004		1968 / Mary E. Williams, book editor.	San Diego : Greenhaven Press, c2004.
E846.A62 1998	Andrew, John A.	Lyndon Johnson and the Great Society ...	Chicago : I.R. Dee, c1998.
E846.A73	Archer, Jules.	1968 : a year of crisis.	New York : J. Messner, [1971]

Caution: book numbers for literary authors based on the literature tables may not fit into the A12-A19 range. For literary authors based on the P-PZ40 table, for example, the book number range is x.A61-x.Z458. However, a title beginning with numerals will still need to file before the first title beginning with letters.

LC Call number a b	Author	Title Long	Imprint
PS3558.A353 A614 1995	Haldeman, Joe.	1968 / Joe Haldeman.	New York : Morrow, c1995.
PS3558.A353 C36 1995	Haldeman, Joe.	Camouflage / Joe Haldeman.	New York : Ace Books, 2004.
PS3558.A353 F59 1999	Haldeman, Joe.	Forever free / Joe Haldeman.	New York : Ace Books, 1999.
PS3558.A353 F6 1997	Haldeman, Joe.	Forever peace / Joe Haldeman.	New York : Ace Books, 1997.
PS3558.A353 F67 2003	Haldeman, Joe.	Forever war / Joe Haldeman.	New York : EOS, 2003.
PS3558.A353 N66 1996	Haldeman, Joe.	None so blind / Joe Haldeman.	New York : William Morrow, c1996.
PS3558.A353 S28 1997	Haldeman, Joe.	Saul's death & other poems / Joe Haldeman ; foreword by Keith Allen Daniels.	San Francisco : Anamnesis Press, 1997.

18g. Modified Letters

NAME	ON ITEM AS:	FILE AS:

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a with diacritic	ä å å	A
o with diacritic; Scandinavian o	ö ø	O
u with diacritic	ü	U
Greek alpha	α	A
ligature ae	æ	AE
Greek beta	β	B
Eth	Ð	D
Greek gamma	γ	G
Ligature œ	Œ, œ	OE
Turkish (undotted) i	ı	I
Thorn	þ	TH

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