Two CSM instruction sheets are titled *Filing Rules*, F 10 and G 100. These instruction sheets provide a distillation of the practices and situations that are encountered most frequently in cataloging.

The rules in the CSM were selected from a publication entitled *Library of Congress Filing Rules*, which was published in 1971 and implemented at LC in 1981. *Library of Congress Filing Rules* is the manual that provides the complete filling rules that are in force at the Library of Congress. It is available through Cataloguer’s Desktop.

In this module we will discuss many of the rules contained in the CSM, and will include a few basic principles that are included in *Library of Congress Filing Rules*.

The CSM and *Library of Congress Filing Rules* should be consulted for full information on the order of entries in a catalog, including what to do with identical filing entries, the functional order of fields, and so forth.
The general principle is to file entries in exactly the way they appear. It does not matter how the entry sounds when it is pronounced; all that is important is how it looks.

Further, filing is word-by-word and letter-by-letter, according to the order of the English alphabet.

No distinction is made between capital and lowercase letters.
The first key concept to remember is that “Nothing comes before something” when filing. Another is that hyphens and internal periods are treated like spaces.

The first entry in this example is for the organization named **N.E.L.S.O.N.**
Because a period is treated as a space, the six letters that begin the heading are treated as six separate words. *N-space* comes before *N-something*.
The next entry is for Naggy. N-A follows N-space, because a space has a filing value of zero. As we said, nothing (a blank space) comes before something (an alphanumeric character).
Alphabetically, Nelson comes after Naggy.


It does \textit{not} become Nelson-comma-space-J-space-space-R.

It is just Nelson-comma-space-J-space-R.
Filing Values

- Nothing comes before something
- A space has a filing value of 0 (zero)
- Treat hyphens and internal periods like spaces

N.E.L.S.O.N. (Organization)  N E L S O N (Organization)
Naggy, Catherine        Naggy, Catherine
Nelson, J. R.            Nelson, J R
Nelson, J. R. (Jane Rosa) Nelson, J R (Jane Rosa)
Nelson, James Francis    Nelson, John

Nothing comes before something, so the entry below that, Nelson, J. R. (Jane Rosa) files next.
The next entry is **Nelson, James Francis** because James is longer than the letter “J.”

Finally in this list, **Nelson, John** comes last because John files after James.

### Filing Values
- Nothing comes before something
- A space has a filing value of 0 (zero)
- Treat hyphens and internal periods like spaces

<table>
<thead>
<tr>
<th>Entry</th>
<th>Filing Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>N.E.L.S.O.N. (Organization)</td>
<td>N E L S O N (Organization)</td>
</tr>
<tr>
<td>Naggy, Catherine</td>
<td>Naggy, Catherine</td>
</tr>
<tr>
<td>Nelson, J. R.</td>
<td>Nelson, J R</td>
</tr>
<tr>
<td>Nelson, J. R. (Jane Rosa)</td>
<td>Nelson, J R (Jane Rosa)</td>
</tr>
<tr>
<td>Nelson, James Francis</td>
<td>Nelson, James Francis</td>
</tr>
<tr>
<td>Nelson, John</td>
<td>Nelson, John</td>
</tr>
</tbody>
</table>
While periods and hyphens are treated like spaces, apostrophes are simply dropped and the letters around them are closed up.

Filing Values

• Treat words with apostrophes as one word
• Apostrophe drops out and word “closes up”
  - Cathy and the prince
  - Cathy in love
  - Cathy’s ball
  - Cathy’s in love
Cathy and the prince precedes Cathy in love due to general alphabetical order.
Cathy’s ball with an apostrophe becomes C-a-t-h-y-s-space-b-a-l-l, without an apostrophe. Cathys is longer than Cathy, so it files after Cathy.
Finally, **Cathy’s in love** files after **Cathy’s ball** because b comes before i.
Like everything else, abbreviations are filed exactly as written. Therefore, S-a-i-n-t Ambrose files before Smiles all around. And, S-t Catherine files after that, because s-t comes alphabetically after s-m.
Here is another example. **M-o-u-n-t Everest** files before **M-o-v**, **Moving mountains**.

**M-t Etna** comes after that.
Surnames beginning with **M-c** and **M-a-c** are also filed exactly as written. They used to be interfiled before any other names beginning with M-a, but that practice ended in 1981. Now they are filed strictly alphabetically, as you can see in this example.
Articles are ignored when they appear at the beginning of titles, in any language.

It is essential to remember that an initial article in one language may be spelled like a significant word in another. For example, the letter “y” is a definite article (translating to *the*) in Welsh, but in Spanish it means *and*.

<table>
<thead>
<tr>
<th>Language</th>
<th>Initial Articles</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Arabic</td>
<td>al-, el-</td>
<td>(Arabic)</td>
</tr>
<tr>
<td>Dutch</td>
<td>de, het, ’t, een, eene, ’n</td>
<td>(Dutch)</td>
</tr>
<tr>
<td>English</td>
<td>a, an, the</td>
<td>(English)</td>
</tr>
<tr>
<td>German</td>
<td>das, der, die, ’s, ein, eine</td>
<td>(German)</td>
</tr>
<tr>
<td>Spanish</td>
<td>el, la, lo, las, los, un, una</td>
<td>(Spanish)</td>
</tr>
</tbody>
</table>
Some articles, such as those underlined on the screen, are also used as the cardinal numeral 1, and are therefore used when filing.

It is important to know the context of the word when you are filing.
Unlike in titles, in personal names and place names, initial articles are integral to the name, and should be included in the filing.

Initial Articles
- In personal names and place names
  - Integral to the name
  - File on them
  - In any language

El Maadni, Selma
Los Angeles (Calif.)
Finally, some languages do not have initial articles.

This list of languages that do not have articles is from CSM instruction sheet G 100.
As we have seen, some punctuation marks – periods, hyphens, apostrophes – are not significant for filing. Other marks of punctuation, however, are significant.

In personal name headings, the comma indicating the inversion is significant. If you like, you can think of it as a dividing line.
Punctuation

- Commas are significant in personal name headings
- File compound surnames after single surnames that begin with the same element

Smyth, Zedediah
Smyth-Black, Anne
Smyth Carlton, Joseph
Smyth Carlton, Michelle
Smyth-Mahoney, Lisa
Smythe, Aaron

All of the elements before the comma are arranged first, and then the elements after the comma are used to further subarrange the headings.
In this list of names, **Smyth** comes before **Smyth-Black**. They start with the same element, **Smyth**, and since nothing comes before something, the heading with the shorter element before the comma comes first.
Smyth-Black is followed by the headings for the two people named Smyth Carlton.
Those two names are then subarranged by the element after the comma, so **Joseph** comes before **Michelle**.
After Smyth Carlton comes Smyth-Mahoney.
She is followed by **Smythe, Aaron**. Smythe (S-m-y-t-h-e) is longer than Smyth (S-m-y-t-h).
In titles, there are two significant marks of ISBD punctuation: the *period* and the *slash*.

The slash separates the title from the statement of responsibility and the period appears at the end of the field.

For filing purposes, the title ends at the slash or the period, whichever comes first.

Ignore any other marks of punctuation in the title, including those that are transcribed from the resource and other ISBD punctuation, including colons, equals signs, and so forth.
The significant marks of punctuation are highlighted on this slide. Notice that the colons, equals sign, and exclamation point are not highlighted because they are insignificant for filing purposes.
The elements that we are alphabetizing are boldfaced, and we have removed the insignificant punctuation. Notice that now it just involves alphabetizing the elements.
Now we are going to look at modified letters. Letters with diacritical marks are filed as if they did not have diacritics at all.
Modified Letters

- Filed as if they were unmodified
- Diacritics

Jórasz, William
Jordá, Enrique, 1935-
Jorda, Henri
Jordá, Ignacio
Jorda, Robert M.
Jordaan, A. S.

Notice that Enrique, Henri, Ignacio, and Robert have different surnames, but the only difference is due to an acute accent. The diacritic is ignored when filing.
Letters that are modified in other ways – including letters that do not exist in the English alphabet – are filed according to their equivalents in the English language.

Here, the slashed “o” is filed as an English “o.”
There are some letters that do not have a direct English equivalent, and the most common are provided in this list from instruction sheet G 100.

They include the Greek alpha, beta, and gamma, the Turkish undotted i, and the Icelandic thorn.

They are filed as indicated, that is, the Greek alpha files as an “a” and the Icelandic thorn files as a “th.”
Numerals are filed before alphabetical characters, and they are filed in order of their numerical value. This includes both Arabic and Roman numerals.

In this example, the Roman numeral \textit{XIV} in the second title means \textit{14}.

\textit{10} is smaller than \textit{14}, and that is smaller than \textit{1,001}.

Numbers that are spelled out in letters are filed as words. Remember, we file just like the entry looks.

Therefore, \textit{One long day} – with the number spelled out, o-n-e – files after \textit{Best places to go}, and \textit{Ten years of travel}, with the number spelled out, files after \textit{Some great excursions}. 

Numerals also file numerically before alphabetical characters in personal names.

All of the surnames in this list are Murphy, so we subarrange by the elements following the comma that designates the inversion.

Following the general rule of nothing comes before something, A. H. comes first. After that, the Andrews start.
Andrew who was born in 1920 and died in 1986 comes before Andrew who was born in 1954 because 1920 has a lower value than 1954 does.
Andrew who was born in 1954 files before all of the Andrew Cs because numerals file before letters.
Three of the Andrew Cs have a numeral added to their names, and those numerals are filed in numerical order. Two is less than four, which is much less than 1980.
Arabic and Roman Numerals

• In personal names

  Murphy, A. H.
  Murphy, Andrew, 1920-1986
  Murphy, Andrew, 1954-
  Murphy, Andrew C., II
  Murphy, Andrew C., 4th
  Murphy, Andrew C., 1980-
  **Murphy, Andrew C. (Andrew Caleb)**
  Murphy, Andrew Carl
  Murphy, Andrew T.
  Murphy, Andrew T. R.

Again, numerals file before letters so the **Andrew C** who was born in 1980 files before **Andrew C. (Andrew Caleb)**.
Nothing comes before something so the Andrew Cs are followed by Andrew Carl. Andrew T. comes after that because T follows C in the alphabet. Andrew T. R. follows Andrew T. because nothing comes before something.

<table>
<thead>
<tr>
<th>Arabic and Roman Numerals</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>In personal names</strong></td>
</tr>
<tr>
<td>Murphy, A. H.</td>
</tr>
<tr>
<td>Murphy, Andrew, 1920-1986</td>
</tr>
<tr>
<td>Murphy, Andrew, 1954-</td>
</tr>
<tr>
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<td>Murphy, Andrew C., 4th</td>
</tr>
<tr>
<td>Murphy, Andrew C., 1980-</td>
</tr>
<tr>
<td>Murphy, Andrew C. (Andrew Caleb)</td>
</tr>
<tr>
<td><strong>Murphy, Andrew Carl</strong></td>
</tr>
<tr>
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</tr>
<tr>
<td><strong>Murphy, Andrew T. R.</strong></td>
</tr>
</tbody>
</table>
There is one more topic to discuss: symbols.

The only symbol that has any filing value is the **ampersand**, and it files before numerals. In other words, it directly follows *nothing*.

In the example on your screen, **10** has a smaller value than **50**, so it comes first. We are ignoring the *dollar sign* in the second title because it is insignificant for filing purposes.
Now there are two titles that start with \textit{A & P}, but notice that the spacing is different. The first is \textit{A-space-ampersand-space-P}, which makes it file as three words. In the second, it is \textit{A-ampersand-P}, which is one word for filing purposes.

Nothing comes before something, so \textit{A-space} files before \textit{A-ampersand}. 

\begin{itemize}
  \item \textbf{Ampersand ( & )}
  \begin{itemize}
    \item Has the lowest filing value, excepting a space
    \item Files before numerals
    \item Other symbols have no value
    \item Ignore them
  \end{itemize}
\end{itemize}

- 10 dreamless nights
- $50$-a-day vacations
- \textbf{A & P Association}
- A&P application manual
- Apples and oranges
Then there is the title **Apples and oranges**. An ampersand has a lower value than a letter, so *A-ampersand* has to come before *A-p*. 
To conclude, we have a combined example for you.

An **ampersand** has the lowest filing value, so it comes first.
Numerals come next, and there is only one in this list: 21 mysteries.
Nothing comes before something, so the next entry is **A., Reynolds, 1820-**. It comes before **A & S** because of the comma in the personal name. Recall that in personal names with commas, the part after the comma is used *only* if needed to subarrange people with the same last name.
Now let’s look at the next two entries, A & S Automobile and A.A. White (Firm). The periods in the second entry will be dropped and treated as spaces, so let’s think about what that means.

The first entry will be A-space-ampersand-space-S and the second will be A-space-A. Both start with A-space, and an ampersand precedes any letters. This results in the order you see on the screen.
A is for *Albatross* is next. Here, the letter A is not being used as an indefinite article that should be ignored when filing, but as a significant part of the title. *A-space-*is follows *A-space-*A due to simple alphabetical filing.
Alberts comes next because nothing comes before something. The word $A$ is shorter than the word *Alberts*. 
The two Rosalind Alberts on the second column follow *Alberts, R.* because nothing comes before something (*R* comes before *R-o*). And, the Rosalinds are arranged in date order.
As you can see here, **Anchoring** follows **Alberts** alphabetically.
The apostrophe in Anchor’s is removed and the word is closed up to *a-n-c-h-o-r-s*, which is alphabetically after *a-n-c-h-o-r-i*. 
Andersen follows alphabetically, and the compound surname that begins with Andersen files after that.
Exercises

Click when you are ready to begin