



Documentation — ISO bibliographic filing rules (International Standard Bibliographic Filing Rules) — Exemplification of bibliographic filing principles in a model set of rules

Documentation — Règles de classement bibliographique de l'ISO (Règles standards internationales de classement bibliographique) — Concrétisation des principes de classement bibliographique par des règles modèles

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- type 1, when the necessary support within the technical committee cannot be obtained for the publication of an International Standard, despite repeated efforts;
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The reasons which led to the decision to publish this document in the form of a technical report type 2 are explained in the Introduction.

Contents

	Page
0 Introduction	2
1 Scope and field of application	2
2 References	3
3 Definitions	3
4 Principles of presentation of filing information	6
5 Principles of construction of filing sequences	6
6 Filing rules	25

0 Introduction

The question of bibliographic filing has been studied by ISO/TC 46, *Documentation* at least since 1967 and was allocated to sub-committee 4 of ISO/TC 46 in 1971. Working group 3 undertook several attempts to solve this difficult problem.

In 1980, working group 3 submitted two documents to ISO/TC 46, one concerning bibliographic filing principles which underlie filing rules, and the other concerning bibliographic filing rules.

The former eventually became International Standard ISO 7154, the latter was later submitted for voting, in November 1981, as ISO/DP 7154/2. Although ISO/DP 7154/2 received substantial support, ISO/TC 46 taking into account that the subject in question is still under technical development as some member bodies are at present defining their filing rules, resolved to issue the ISO bibliographic filing rules first as a Technical Report of type 2.

1 Scope and field of application

This Technical Report may be used as a model set of rules for the definition and for any future revision of already existing national bibliographic filing rules for alphabetical, subject, and dictionary catalogues. It is also intended for the use of international organizations and in databases, and bibliographies. One of the aims of this Technical Report being to achieve more international uniformity in bibliographic filing, and hence justify the definition of an International Standard on bibliographic filing rules.

The ISO bibliographic filing rules (International Standard Bibliographic Filing Rules, ISBFR) are an implementation of ISO 7154, reflecting the filing practices of a substantial number of national filing rules. The overriding principle, however, is that they avoid being too complicated, since they may have to be used by people with very different backgrounds and skills. As a consequence of the relative simplicity of the ISO bibliographic filing rules related materials may become separated. This is evident in the rejection of canonical and classified arrangements (for example for collective titles and subject subdivisions) by the ISO bibliographic filing rules. Equally, since these filing rules avoid making too many distinctions, because this would make them rather complicated, it is acknowledged that some works may interfile at random for which a defined order of precedence could have been elaborated, if more detailed distinctions had been made.

ISO 7154 makes provision for three-, four-, and five-level filing hierarchies. This Technical Report selects from ISO 7154 the principles that apply to a four-level hierarchy consisting of (from highest to lowest)

- filing entry;
- filing area;
- filing section;
- filing character.

2 References

ISO 6630, *Documentation — Bibliographic control characters*.¹⁾

ISO 7154, *Documentation — Bibliographic filing principles*.

3 Definitions

For the purpose of this Technical Report the following definitions apply.

NOTE — A term printed in italic type face in a definition has the meaning given to it in another definition.

3.1 alphabetical order: The *filing criterion* for *letters* according to the order of an alphabet.

3.2 arrangement code: *Filing characters* designed to achieve *classified* and *canonical order* in filing, and to identify class and *type distinctions*.

NOTE — Although generally implicit in manual filing, arrangement codes have to be inserted into the string of *filing characters* in the construction of a sort key for computer sorting.

3.3 bibliographic entry: An item of bibliographic information treated as one entity, as presented in a catalogue or bibliography according to the provisions of cataloguing rules.

Examples:

main entries
added entries
references
subject entries

3.4 canonical order: A *filing criterion* which derives from a convention associated with the material to which the *bibliographic entries* refer and which specifies the order of these entries.

NOTE — Canonical order is rejected by this Technical Report.

3.5 character: A graphic symbol which, for filing purpose, is to be translated into one or more *filing characters*, or which forms part of a *filing character*, or which is ignored in filing.

Examples:

Character(s)	Filing Character(s)	Explanations:
a	a	One character translated into one filing character
ß	ss	One character translated into two filing characters (filing of German sharp s)
?		One character which is ignored for filing (filing of non-alphanumeric sign question mark)
9	9	One character translated into one filing character
10	01	Two characters each of which forms part of the filing character "number 10" (i.e. every number is <i>one</i> filing character)

¹⁾ At present at the stage of draft.

3.6 classified order: A *filing criterion* which determines the order of precedence according to principles associated with the material to which the *bibliographic entries* refer.

NOTE — Classified order is rejected by this Technical Report.

3.7 filing area: *Filing unit* at the second highest *filing level*, immediately subordinate to the *filing entry*. This unit contains an independent part of the entire filing information. Filing areas are distinguished by type, the individual types of filing areas having a specific *filing value*.

Examples:

The name of a person, the name of a corporate body, the title, the date of publication are all filing areas of different types.

3.8 filing character: *Filing unit* at the lowest *filing level*; it cannot be subdivided.

NOTE — Filing characters are distinguished by type, the individual types of filing characters having a specified *filing value*.

Examples:

Letters, numbers written as numerals, non-alphanumeric signs, and signals to identify type distinctions are all filing characters of different types.

3.9 filing criterion: A principle according to which an order of precedence of *filing units* is established.

NOTE — For bibliographic entries the following filing criteria apply: alphabetical, numeric, arrangements by type distinction, and a specified order for non-alphanumeric signs.

3.10 filing entry: *Filing unit* at the first and highest *filing level*. It contains the entire filing information for a *bibliographic entry* in an ordered sequence.

NOTE — Filing entries are distinguished by type, the individual types of filing entries having a specific *filing value*.

Examples:

A main entry, a reference, a subject entry are all filing entries of different types.

3.11 filing hierarchy: The arrangement of *filing units* according to the principle of subordination, by defining *filing levels* to which the *filing units* are assigned.

NOTE — The *filing units* of the different hierarchical levels are distinguished by specific names.

Examples:

In the four-level filing hierarchy of this Technical Report the names for the filing units of the four levels are from highest to lowest: filing entry, filing area, filing section, filing character.

3.12 filing level: The relative position of a *filing unit* in a *filing hierarchy*.

3.13 filing qualifier: Supplementary filing information attached to certain *filing units* to distinguish filing units which are otherwise identical.

NOTE — In this Technical Report filing qualifiers may be attached to filing areas and filing sections in order to distinguish filing units of those filing levels which would otherwise be identical.

3.14 filing section: *Filing unit* at the third *filing level*.

NOTE — It is subordinate to the *filing area* and contains a specific part of it.

Examples:

The surname and the forename(s), as parts of the name of a person, are the two filing sections of the personal name filing area.

3.15 filing sequence: The succession, in a defined order, of *filing units* below the highest *filing level* as component parts of the *filing entry*.

3.16 filing signal: An indicator which identifies, distinguishes, and/or delimits the different *filing units* of the entire filing information.

Examples:

The following indicators may all serve as filing signals:

- print or display positions or typographical style, for example the heading;
- significant punctuation, for example the comma after a surname, indicating the end of a filing section;
- symbols, for example for non-filing units;
- expressions, for example those identifying a see-reference.

3.17 filing unit: A defined entity, for filing purposes, which is part of the *filing hierarchy*. The filing units of the different levels of the *filing hierarchy* are distinguished by specific names.

Examples:

Filing area is the name for the filing unit at the second-highest level; filing character is the name for the filing unit at the lowest filing level.

3.18 filing value: The relative position of a *filing unit* in an order of precedence according to a defined *filing criterion*.

3.19 filing word: In a five-level *filing hierarchy* the *filing unit* at the second-lowest *filing level* between the *filing character* and the *filing section*. This *filing level* does not apply to this Technical Report.

3.20 heading: A term, derived from a print or display position in the *bibliographic entry*, which may be used as an equivalent for the first *filing area* of a *filing entry*.

3.21 letter: A *filing character*, for which the *filing criterion* is *alphabetical order*.

3.22 non-alphanumeric sign: A *filing character*, for which the *filing criterion* is neither alphabetic nor numeric. In this Technical Report, non-alphanumeric signs, with the exception of the space, are not considered in filing.

NOTE — Non-alphanumeric signs may also be used as significant punctuation.

3.23 non-filing unit: A unit within a *filing unit* of the *bibliographic entry* that is not considered in filing.

Examples:

- the initial article in a title;
- function designators,
- non-alphanumeric signs (with the exception of the space).

3.24 number: A *filing character*, for which the *filing criterion* is a numerical value (applies only to numbers written as numerals).

3.25 numeral: A symbol used to represent a *number*.

3.26 numeric order: The *filing criterion* for *numbers* according to a numerical value.

3.27 qualifier: Supplementary information attached to *filing units* which may, or may not, be filing information. See also 3.13, *filing qualifier*.

3.28 significant punctuation: *Non-alphanumeric signs* in bibliographic data which are not part of the filing information as such, but serve as *filing signals* to delimit *filing units*.

Example:

The comma after the surname is significant punctuation, which delimits the filing section of the surname within the personal name filing area.

3.29 type distinction: A *filing criterion* according to which the order of precedence is determined by the type of *filing unit*.

Example:

According to type distinction by type of filing entry in this Technical Report, a main entry headed "Shakespeare, William" is filed before a subject entry headed "Shakespeare, William".

4 Principles of presentation of filing information

4.1 Comprehensiveness

The entire filing information which determines the position of an item of bibliographic information in a catalogue or bibliography, shall be indicated, if not explicitly, in the bibliographic entry.

4.2 Distinction

The individual filing units which are the component parts of the filing information as a whole, shall be evident either from their position in the bibliographic entry or by other filing signals.

4.3 Order

The order in which the individual filing units are arranged to make up the filing sequence that constitutes the entire filing information shall be evident from the bibliographic entry.

NOTE — The order of filing units need not be identical with the order of bibliographic elements displayed in the bibliographic entry nor need all elements in the bibliographic entry be considered in filing.

4.4 Filing criteria

The filing criteria for the individual units shall be made explicit.

4.5 Form

Filing units shall be filed in the form in which they appear in the bibliographic entry. If the information as filed does not correspond to the information as printed or displayed, users shall be made aware of deviations from this principle by general instructions, references, or explicit indication of filing data.

5 Principles of construction of filing sequences

5.1 Filing sequence

The entire filing information for a bibliographic entry consists of an ordered sequence of filing units, belonging to different hierarchical levels.

5.2 Filing hierarchy

The number of filing levels is four. They are defined as follows (in descending order from highest to lowest):

- filing entry
- filing area
- filing section
- filing character.

5.3 Filing entry

5.3.1 Types of entry

The following types of entry are defined:

a) General explanatory references

General explanatory references are references that apply to more than one entry. One general explanatory reference is made for a group or category of similar *see* or *see also* references, thereby reducing the need for many specific filing references.

*Examples:**Explanations:*

Mac...

First filing area

see also

Filing signal

Mc...

Second filing area

Aktiebolaget...

First filing area

Names of corporate bodies beginning with this word are entered under the next word in the name

Not a filing area

b) *See* references.c) *See also* references.

d) Specific explanatory references.

e) Main entries.

f) Added entries.

g) Subject entries for works on individual works.

h) Subject entries for personal and corporate (including geographic) names.

j) General explanatory references for topical subject matter.

k) *See* references for topical subject matter.m) *See also* references for topical subject matter.

n) Specific explanatory references for topical subject matter.

p) Topical subject entries (other than personal or corporate names or titles of works).

5.3.2 Composition of filing entries

Filing entries are composed of one or more filing areas.

5.3.2.1 General explanatory references

General explanatory references consist of either one or two filing areas.

First filing area: contains the information which is being referred from.

Second filing area: contains the information which is being referred to.

If there is no specific information which is referred to, but a brief explanation of a filing or cataloguing rule instead, the latter is not regarded as a filing area.

NOTE — See examples in 5.3.1 a).

5.3.2.2 *See* references.

Two filing areas, see 5.3.2.1.

NOTE — The word “*see*” is not a filing area, but a filing signal.

5.3.2.3 *See also* references.

Two filing areas, see 5.3.2.1.

5.3.2.4 Specific explanatory references.

One or two filing areas, see 5.3.2.1.

5.3.2.5 Main entries

The number of filing areas varies according to bibliographic circumstances

First filing area:

- a) either the name of person, or
- b) the name of a corporate body, or
- c) the title

NOTE — The title may be either a uniform title or the title proper.

Second filing area:

when the first filing area is a) or b):

the title;

when it is c):

the date of publication, distribution, manufacture, etc., filed in chronological order.

NOTE — Entries without a date file before otherwise identical entries with dates.

Third filing area:

when the first filing area is a) or b):

the date of publication, distribution, manufacture, etc., filed in chronological order;

when it is c):

the place of publication, distribution, manufacture, etc.

NOTE — If it is necessary to distinguish further, this can be achieved by filing according to the publisher and the edition statement.

Fourth filing area:

when the first filing area is a) or b):

the place of publication, distribution, manufacture, etc.;

when it is c):

volume statement.

NOTES

1 In filing multi-volume works it may be preferable to file by the date of publication of the individual volume rather than that applied to the whole work. In this case the sequence of filing areas is: place of publication, distribution, manufacture, etc.; volume statement; date of publication, distribution, manufacture, etc.

2 If the volume statement contains a number or other designation, filing is by the number or other designation.

Fifth filing area:

can occur only when the first filing area is a) or b):

volume statement.

Examples:

Sequence of
Filing Areas:

Explanations:

Dickens, Charles
The battle of life. —
London, 1846.

- 1) Dickens ...
- 2) battle ...
- 3) 1846
- 4) London

Initial article and its following space are non-filing

Dickens, Charles
[David Copperfield]
The personal history of
David Copperfield. —
London, 1921.

- 1) Dickens ...
- 2) David ...
- 3) 1921
- 4) London

Filing by uniform title, which consists of one filing section with no filing qualifier

Dickens, Charles
David Copperfield. —
London, 1939.

- 1) Dickens ...
- 2) David ...
- 3) 1939
- 4) London

Title proper, which interfiles with uniform title; one filing section, no filing qualifier

Dickens, Charles
[Works]
The works of
Charles Dickens / ed. by
Richard Garnet. —
London, 1900-1908.
Vol. 1: Poems. — 1900

- 1) Dickens ...
 - 2) Works
 - 3) 1900
 - 4) London
 - 5) 1
- or
- 1) Dickens ...
 - 2) Works
 - 3) London
 - 4) 1
 - 5) 1900

No distinction by class of title; therefore, collective title files in one group with other classes of titles by alphabetical (not by classified) order
see note 1

5.3.2.6 Added entries

The number of filing areas varies.

5.3.2.6.1 Added entries for joint authors, shared and mixed responsibility of persons or corporate bodies

First filing area:

name of the person or corporate body under which the added entry is made.

Second filing area:

title of main entry.

Third filing area:

date of publication, distribution, manufacture, etc.

Fourth filing area:

place of publication, distribution, manufacture, etc.

Fifth filing area:

volume statement (if applicable).

Example:

Sequence of Filing Areas:

Explanation:

Say, is this the
U.S.A. / Erskine
Caldwell and
Margaret Bourke-White.

Main entry:
1) Caldwell ...
2) Say ...

Added entry:
1) White ...
2) Say ...

Text by Caldwell, photographs by Bourke-White.
Main entry under Caldwell; added entry under White, Margaret
Bourke, *illus.* The function designator "illus." is non-filing

5.3.2.6.2 Added entries for other contributing persons and corporate bodies

First filing area:

name of the person or corporate body under which the added entry is made.

Second to sixth filing areas:

first to fifth filing areas of main entry, as applicable.

Example:

Sequence of Filing Areas:

Explanation:

Garnet, Richard, ed.
Dickens, Charles
[Works]
The works of
Charles Dickens / ed. by
Richard Garnet. —
London, 1900-1908.
Vol. 1: Poems. — 1900

1) Garnet ...
2) Dickens ...
3) Works
4) 1900
5) London
6) 1

The function designator "ed." is non-filing

5.3.2.6.3 Name-title added entries and name-title references

First filing area:

name of the person or corporate body under which the added entry is made.

Second filing area:

title which is part of the name-title added entry of reference.

Third to fourth filing areas of name-title added entries:

third to fifth filing areas of main entry, case a) and b).

<i>Examples:</i>	<i>Sequence of Filing Areas:</i>	<i>Explanations:</i>
Hertle, Gisela Nahua-Dialekte ...		
Marschall, Wolfgang	1) Marschall ...	Main entry for the work
Beiträge zur Ethnographie der Sierra-Totonaken /	2) Beiträge ...	
von W. Marschall. Nahua-	3) 1972	
Dialekte in Puebla-	4) Wiesbaden	Name-title added entry
Tlaxcala / von	1) Hertle ...	Author
Gisela Hertle. —	2) Nahua ...	Title that is part of the name-title added entry
Wiesbaden, 1972.	3) 1972	Third and fourth filing areas of main entry
	4) Wiesbaden	

NOTE — For name-title references the third and fourth filing areas differ.

Third filing area:

- a) name of the person or corporate body to which reference is made;
- b) if there is no person or corporate body: title of main entry to which reference is made.

Fourth filing area:

- a) title of work to which reference is made, or
- b) date of publication, distribution, manufacture, etc. of work to which reference is made (if applicable).

<i>Examples:</i>	<i>Sequence of Filing Areas:</i>	<i>Explanations:</i>
Hertle, Gisela	1) Hertle ...	
Nahua-Dialekte in	2) Nahua ...	
Puebla-Tlaxcala		
see Marschall, Wolfgang	3) Marschall ...	Name of the person under whom main entry is made.
Beiträge zur Ethno-	4) Beiträge ...	Title of work which is the second filing area of the main entry;
graphie der		reference is made to that work
Sierra-Totonaken		

5.3.2.6.4 Title added entries

First filing area:

title.

Second filing area:

date of publication, distribution, manufacture, etc., filed in chronological order.

Third and subsequent filing areas:

first to fifth filing areas of main entry.

NOTE — If one of the third and subsequent filing areas of the added entry under the title is identical with the first or second filing area of this added entry, it is disregarded in the establishment of the filing sequence.

<i>Examples:</i>	<i>Sequence of Filing Areas:</i>	<i>Explanations:</i>
David Copperfield Dickens, Charles David Copperfield. — London, 1939.	1) David ... 2) 1939 3) Dickens ... 4) London	As the title proper, which is the second filing area of the main entry, is identical with the first filing area of the added entry, it is disregarded. In the second example the title under which an added entry is made, is not identical with the title filing area of the main entry
Memorie di Davide Copperfield Dickens, Charles [David Copperfield. <i>Italian</i>] Memorie di Davide Copperfield. — Milano, 1869.	1) Memorie ... 2) 1869 3) Dickens ... 4) David ... 5) Milano	

5.3.2.6.5 Series added entries

First filing area:

- a) personal or corporate author, or
- b) title of series.

Second filing area:

- a) title, or
- b) volume statement (numeric or other designation) of work in the series.

Third and subsequent filing areas:

- a) volume statement and first and subsequent filing areas of main entry, or
- b) first and subsequent filing areas of main entry.

<i>Examples:</i>	<i>Sequence of Filing Areas:</i>	<i>Explanations:</i>
New York Dickens Society. Publications. 4 Dickens, Charles [David Copperfield. Selections] Readings and scenes from David Copperfield. — New York, 1898. (Publications / New York Dickens Society; 4)	1) New ... 2) Publications 3) 4 4) Dickens ... 5) David ... 6) 1898 7) New York	Corporate author Title of series Volume number of work First and subsequent filing areas of main entry

5.3.2.7 Subject entries for works on individual works

First filing area:

- a) either name of a person or corporate body treated as a heading for the title treated as a subject entry, or
- b) title treated as a subject entry.

Second filing area:

- a) title treated as a subject entry, when the first area is a) (name-title subject entry), or
- b) third filing area of main entry, cases a) or b), when the first filing area is b).

Third and subsequent filing areas:

- a) third and subsequent filing areas of main entry, cases a) or b), when the first filing area is a).
- b) fourth and subsequent filing areas of main entry, cases a) or b), when the first filing area is b).

<i>Examples:</i>	<i>Sequence of Filing Areas:</i>	<i>Explanations:</i>
Dickens, Charles Oliver Twist. — London, 1919.	1) Dickens ... 2) Oliver ... 3) 1919 4) London	Main entry for that work
Dickens, Charles [Oliver Twist] The adventures of Oliver Twist. — London, 1949.	1) Dickens ... 2) Oliver ... 3) 1949 4) London	Main entry
DICKENS, CHARLES. OLIVER TWIST Hanson, John Lloyd Note on Dickens' Oliver Twist. — London, 1928.	1) Dickens ... 2) Oliver ... 3) 1928 4) London	Subject entry for that work (name-title subject entry). Type distinction code for first filing area: main entry; for second filing area: subject entry

5.3.2.8 Subject entries for personal and corporate (including geographic) names

First filing area:

name of a person or corporate body [including geographic entities ("places") and government bodies and officials] treated as a subject entry.

Second (and subsequent) filing area(s):

Subdivision(s).

NOTES

- 1 There may be more than one subdivision. Each constitutes a filing area.

Examples:

CATHOLIC CHURCH — GOVERNMENT	Two filing areas
CATHOLIC CHURCH — HISTORY	Two filing areas
CATHOLIC CHURCH — HISTORY — 16TH CENTURY	Three filing areas
CATHOLIC CHURCH — HISTORY — 20TH CENTURY	Three filing areas
CATHOLIC CHURCH — HISTORY — SOURCES	Three filing areas
CATHOLIC CHURCH — HYMNS	Two filing areas

- 2 No class distinction is made for subject subdivisions, i.e. they are not grouped in an order such as

- a) period subdivisions;
- b) form and topical subdivisions;
- c) geographic subdivisions.

Third (or following) filing area:

date of publication, distribution, manufacture, etc., filed in reverse chronological order.

Fourth (or following) and subsequent filing areas:

first and subsequent filing areas of main entry (except date).

5.3.2.9 General explanatory references for topical subject matter. See 5.3.2.1.

5.3.2.10 See references for topical subject matter. See 5.3.2.2.

5.3.2.11 See *also* references for topical subject matter. See 5.3.2.3.

5.3.2.12 Specific explanatory references for topical subject matter. See 5.3.2.4.

5.3.2.13 Topical subject entries (other than personal or corporate names or titles of works)

The number of filing areas varies.

First filing area:

topical subject heading.

Second (and subsequent, if applicable) filing area(s):

- a) subject subdivisions (if existent), or
- b) date of publication, distribution, manufacture, etc., filed in reverse chronological order.

NOTE — Notes 1 and 2 of 5.3.2.8 also apply.

Third (or following) filing area:

- a) in the case of second filing area, case a):
date of publication, distribution, manufacture, etc., filed in reverse chronological order, or
- b) first filing area of main entry.

Fourth (or following) and subsequent filing areas:

- a) in the case of second filing area, case a):
first and subsequent filing areas of main entry (except date), or
- b) second and subsequent filing areas of main entry (except date).

5.3.3 Filing criteria and filing values

Filing entries of which the first or only filing areas are identical, are distinguished by the type of filing entry with the following order of precedence:

NOTE — In the construction of filing sequences for computer sorting, the filing-value code (arrangement code) for the type of filing entry should be associated with the first filing area of the filing entry, in order to achieve the desired order of filing entries in a catalogue or bibliography.

- a) General explanatory references.
- b) *See* references.
- c) *See also* and specific explanatory references.
- d) Main and added entries.
- e) Subject entries for works on individual works.
- NOTE — The type of filing entry code has to be associated with the last filing area which is identical with the main entry for that work.
- f) Subject entries for personal and corporate (including geographic) names
- g) General explanatory references for topical subject matter.
- h) *See* references for topical subject matter.
- j) *See also* and specific explanatory references for topical subject matter.
- k) Topical subject entries (other than personal or corporate names or titles of works).

Examples:

Mac...
see also
Mc...

Explanations:

General explanatory reference [5.3.3a)]; two filing areas

Mac, *pseud.*
see
 Dawson, Lucy

See reference [5.3.3b)]; two filing areas; "*pseud.*" is a non-filing qualifier; the first filing area is identical with the example above; filing is by type of entry with *see* references filing after general explanatory references

Mac, *pseud.*
see
 Nyblom, Eric

See reference [5.3.3b)]; two filing areas; the first filing area is identical with the example above; same type of entry; filing, then, is by the second filing area

Homerus
 Odyssea

Main entry [5.3.3d)]; two filing areas

HOMERUS. ODYSSEA

Subject entry for this work [5.3.3e)]; two filing areas; type of entry code for the first filing area: main entry; for the second filing area: subject entry

HOMERUS. ODYSSEA — ILLUSTRATIONS

Subject entry for this work; three filing areas; a filing entry with three filing areas files after an entry with two, these two being identical

Homerus
 Poetica et poesia

Main entry [5.3.3d)]; two filing areas; when the first filing area is identical with another first filing area of the same type, filing is by the second

HOMERUS

Subject entry for a person; one filing area only [5.3.3e) and f)]; type of entry code for the first and only filing area: subject entry for a person; therefore files after the main entries and subject entries for specific works, where the type of entry code for the first filing area is that of the main entry

HOMERUS — BIBLIOGRAPHY

Subject entry for a person [5.3.3f)]; two filing areas; therefore files after the example above with only one filing area which is identical with the first filing area of this example

New York Dickens Society
see also
the later heading
 New York State Dickens Society

Specific explanatory reference [5.3.3c)]; two filing areas

New York Dickens Society
 Publications

Main entry [5.3.3d)]; two filing areas; the first filing area is identical with the example above; the main entries file after specific explanatory references

NEW YORK DICKENS SOCIETY. PUBLICATIONS
 Selman, James
 Notes on NYDS's publications

Subject entry for this work [5.3.3e)]; the first filing area with the type of entry code for the main entry; the second filing area with the type of entry code for the subject entry

NEW YORK DICKENS SOCIETY — HISTORY

Subject entry for this corporate body [5.3.3f)]; two filing areas; the type of entry code for the first filing area is the subject entry for a corporate body; therefore files after the main entry and subject entry for a specific work

The New York Dickens Society:
 its history and its future /
 by James Selman. — New York, 1958.

Title added entry; the first filing area is identical with the first filing areas of the main and subject entries above; files after these entries because its type of filing area is title, whereas the type of filing area of the examples above is corporate body (see 5.4.1 and clause 3); logical NOT sign around "The" signals a non-filing unit

Canada [Laws, etc.]	Main entry; one filing section (in first filing area)
CANADA	Subject entry for this geographic entity; one filing area; the subject entry files after the identical main entry
CANADA - COMMERCE	Subject entry; two filing areas; files after the identical subject entry with one filing area
CANADA - HISTORY	Subject entry; two filing areas; if identical first filing areas occur, filing is by the second filing area
Canada. <i>Bureau of Mines</i> Annual Report	Main entry; the first filing area consists of two filing sections; therefore filing is after the examples above in which the first filing area consists of only one filing section
CANADA. BUREAU OF MINES — BIBLIOGRAPHY	Subject entry for this corporate body; the first filing area has two filing sections; files after the example above because the type of filing entry is the subject entry for a corporate body
MYTHOLOGY — BIBLIOGRAPHY	Subject entry; two filing areas, each of which consists of one filing section
MYTHOLOGY, CLASSICAL — DICTIONARY	Subject entry; the first filing area consists of two filing sections; therefore files after the example above
MYTHOLOGY, CLASSICAL — ENCYCLOPAEDIA	Subject entry; the first filing area has two filing sections; when the first filing area is identical, filing is by the second filing area
MYTHOLOGY, GREEK — BIBLIOGRAPHY	Subject entry; the first filing area consists of two sections; when the first filing section is identical filing is by the second
Mythology: a bibliography / comp. by ...	Title added entry; files after the identical subject entries because of the type of filing area (see 5.4.3)

5.4 Filing area

5.4.1 Types of filing area

The following types of filing area are defined:

- Person entered under given name.
- Person entered under surname.
- Corporate body.
- Subject term.
- Title.

NOTE — No distinction is made between the different classes of titles, for example title proper, collective title.

5.4.2 Composition of filing areas

Filing areas are composed of one or more filing sections.

5.4.2.1 Persons entered under given name

One filing section:

contains the name of the person, without numerals and/or other additions, see 5.5.2.1.

Non-filing units:

function designators or relators.

5.4.2.2 Persons entered under surname

Two filing sections.

First filing section:

surname.

Second filing section:

forename(s).

NOTE — In exceptional cases when no forename is known, the filing area consists one filing section only.

Filing qualifiers:

dates and/or qualifying words. Words in front of dates, for example "fl." are non-filing.

Non-filing units:

function designators or relators, for example "comp." for compiler, and legal designations, for example "defendant"; titles of nobility and terms of honour.

Examples:

Smith, John, 1837 - 1896

Smith, John, d. 1838

Smith, John, d. 1838 (*Spirit*)

Smith, John, *Captain*

Smith, John, *Captain. comp.*

Smith, *Lady* Julia

Explanations:

Two filing sections; the dates are filing qualifiers

Two filing sections; filing is by filing qualifier; *d.* is a non-filing unit

Two filing sections;
Two filing qualifiers; files after the example above because of the second filing qualifier

Two filing sections;
One filing qualifier; files after the example above, because letters file after numbers written as numerals

Two filing sections;
One filing qualifier; function designator "*comp.*" is a non-filing unit

Two filing sections; the first section is identical with the examples above; filing is by the second; the title of honour is a non-filing unit

5.4.2.3 Corporate bodies [including geographic entities ("places") and government bodies and officials]

Corporate bodies may consist of one or more filing sections.

First filing section:

- a) name of corporate body, or
- b) in the case of the corporate body consisting of a higher body and subordinate or related ones:
higher body.

Second filing section:

in the case where the first filing section is b):

name of subordinate body or geographic subdivision, intervening level (if applicable), otherwise lowest level.

Third and subsequent filing sections:

name of subordinate body or geographic subdivision (intervening; lowest).

NOTE — No distinction is made between the different classes of subordination, for example a subordinate corporate body or a geographic subdivision.

Non-filing units:

legal designations, for example, "defendant"

Examples:

France

France. *Commission des archives diplomatiques*

France. *Commission des archives diplomatiques.*
Bibliothèque

Explanations:

One filing section

Two filing sections

Three filing sections

AFRICA

One filing section

AFRICA, CENTRAL

Two filing sections

AFRICA, SUB-SAHARAN

Two filing sections

5.4.2.4 Subject terms

Subject terms may consists of one or more filing sections.

Examples:

WATER

One filing section

WATER, UNDERGROUND

Two filing sections

WATER-SUPPLY

One filing section, longer than in examples above

WATER-SUPPLY, INDUSTRIAL

Two filing sections

WATER-SUPPLY ENGINEERING

One filing section

5.4.2.5 Titles

Titles may consist of one or more filing sections.

First filing section:

a) title, or

b) in the case of separately published sections of serials or parts of a work:

— title common to all sections or parts;

in the case of collective titles:

— collective title;

in the case of sacred scriptures:

— title of sacred scripture.

Second and subsequent filing sections:

in the case where the first filing section is b):

distinctive titles of sections, parts, etc. including alphabetic and/or numeric designations of the section or part, etc.; subdivisions of collective titles, for example "Short stories. Selections" (excluding the name of a language, for example "Fragments. *Spanish*"); individual scriptures as component parts of sacred scriptures, or groups of individual scriptures as an intervening level.

<i>Examples:</i>	<i>Explanations:</i>
Journal of physics and chemistry of solids	One filing section
Journal of physics and chemistry of solids. Supplement	Two filing sections
Journal of polymer science. Part A, General papers	Two filing sections
[Novels]	Collective title; One filing section
[Novels. Selections]	Collective title; Two filing sections
Bible. <i>N. T.</i>	Sacred scriptures; Two filing sections
Bible. <i>N. T. Luke</i>	Sacred scriptures; Three filing sections

5.4.3 Filing criteria and filing values

Filing areas of which the first or only filing sections are identical, are distinguished by the type of filing area with the following order of precedence:

NOTE — In the construction of filing sequences for computer sorting, the filing-value code (arrangement code) for the type of filing area should be associated with the first filing section of the filing area, in order to achieve the desired order of filing entries in a catalogue or bibliography.

- Person entered under given name.
- Person entered under surname.
- Corporate body.
- Subject term.
- Title.

<i>Examples:</i>	<i>Explanations:</i>
Rose, <i>Saint</i>	Person entered under given name
Rose, Angus	Person entered under surname; the arrangement code for type distinction by type of filing area shall be inserted after the filing character "e" of the filing section "Rose".
Rose (<i>Ohio</i>)	Corporate body
ROSE — MARKETING	Subject term
Rose: a story of forever	Title; subtitle or other title information does not file

5.5 Filing section

5.5.1 Types of filing section

There are neither class nor type distinctions as filing criteria for filing sections.

5.5.2 Composition of filing sections

Filing sections are composed of one or more filing characters. The first and the last filing character of a filing section shall not be a space. If the first or the last character of the filing section as printed or displayed happens to be a space it is ignored for filing purposes.

Examples:

The first step ...

Goethe, Johann Wolfgang von

Explanations:

The initial article and its following space in the title of a work are non-filing.

According to the ISO bibliographic filing rules the preposition "von" does not file. The filing section of the forename therefore ends with a space, which is ignored in filing.

Filing qualifiers may be attached to filing sections, the filing qualifiers, again, consisting of filing characters.

5.5.2.1 Persons entered under a given name

Persons entered under a given name may have the following filing qualifiers:

- additional designations denoting place of origin, domicile, or occupation or other characterizing word or phase, or distinguishing term, for example "*Saint*", "*Spirit*", "*Notary*";
- Roman numerals and defined phrases for Sovereigns, Popes, Bishops, etc.;
- dates.

Non-filing units:

initial article, "fl.", "d.", "b." before dates.

Examples:

Alban (*Anglo-Norman poet*)

Alban, *Diaconus*

Alban, *Diaconus*, 12th cent.

Alban, *Diaconus*, ~fl. ~ 1226-1240

Alban, *Saint*

Alban, *Warnefridus*, *Saint*

John, *Abbot of Ford*

John, ~the~ *Baptist*

Explanations:

One filing section;
One filing qualifier

One filing section;
One filing qualifier (occupation)

One filing section;
Two filing qualifiers (occupation, followed by the date)

One filing section;
Two filing qualifiers (the logical NOT sign indicates that "fl." is a non-filing unit)

One filing section;
One filing qualifier

One filing section;
Two filing qualifiers

One filing section;
One filing qualifier

One filing section;
One filing qualifier (the logical NOT sign indicates that the initial article is a non-filing unit)

John, *King of England*

One filing section;
One filing qualifier (title of monarch and name of state)

John, *Notary*

One filing section;
One filing qualifier

5.5.2.2 Persons entered under a surname

Filing qualifiers for persons entered under a surname are attached to the filing area (see 5.4.2.2).

Non-filing units:

in the second filing section:

prepositions, conjunctions, and articles following the forename; titles of honour, and terms of address of married women before the forename.

Examples:

Aa, Karel *van*

Aa, Pieter *van der*

Beecham, *Sir* Thomas

Long, Isaäc *le*

Urff, Georg Ludwig *von und zu*

Ward, *Mrs.* Humphry

West, *Dame* Rebecca

Explanations:

Non-filing unit, indicated by logical NOT sign: preposition

Non-filing unit, indicated by logical NOT sign: preposition plus article

Non-filing unit, indicated by logical NOT sign: title of honour before forename

Non-filing unit, indicated by logical NOT sign: article

Non-filing unit, indicated by logical NOT sign: prepositions connected by conjunction

Non-filing unit, indicated by logical NOT sign: term of address before forename

Non-filing unit, indicated by logical NOT sign: title of honour before forename

5.5.2.3 Corporate body

Each filing section of a corporate body may have filing qualifiers attached to it, which may be:

place names, names of institutions, years, type of jurisdiction, general designations, number of conference, year and place;

ordinal number and years of legislatures.

Non-filing units:

initial articles at the beginning of each filing section.

Examples:

France. *Consulat (Buenos Aires)*

France (*Ind.*)

International Conference on the Biology of Whales
(1971: *Shenandoah National Park*)

Knights Templar (*Masonic order*).
Grand Commandery (Me).

Explanations:

Two filing sections; the second has a filing qualifier: place name

One filing section plus filing qualifier: geographic name

One filing section plus filing qualifiers: year and place

Two filing sections, each with a filing qualifier

Det Norske Nobelinstitut	Initial article non-filing
Scientific Society of San Antonio (1892-1894)	One filing section plus filing qualifier: dates
Scientific Society of San Antonio (1919-)	One filing section plus filing qualifier: date

5.5.2.4 Subject terms

Qualifying words attached to any section of subject terms are filing qualifiers.

Non-filing units:

Initial articles.

Examples:

CHILDREN (INTERNATIONAL LAW)

CHILDREN (ROMAN LAW)

Explanations:

One filing section plus filing qualifier

One filing section plus filing qualifier

5.5.2.5 Titles

The first section of titles may have the following filing qualifiers attached to it:

- explanatory word(s), for example Charlemagne (*Play*) or Genesis (*Anglo-Saxon poem*);
- name of a language following a uniform title;
- year following constitutions, treaties, etc.;
- name of other party in treaties.

The second and subsequent sections of titles may have the following filing qualifiers attached to it:

- name of a language;
- year.

Non-filing units:

initial articles at the beginning of each filing section.

Examples:

Bible. *English*

Bible. *N. T. English*

Bible. *N. T. Gospels. English*

Charlemagne (*Play*)

[Les frères Zemganno. *English*]

[Short stories. *English*. Selections]

Explanations:

One filing section plus filing qualifier: language

Two filing sections; the second with a filing qualifier: language

Three filing sections; the third with a filing qualifier: language

One filing section plus filing qualifier: explanatory word

One filing section plus filing qualifier: language

Two filing sections; the first one has a filing qualifier: language