

BACKGROUND: When establishing Cutter numbers and filing new entries in its shelflist, the Library of Congress follows the principles of filing stated in the **Library of Congress Filing Rules** (LCFR) (Washington : Library of Congress, 1980). For the most part these rules have been "superimposed" upon previous filing arrangements, i.e., previously established or shelflisted entries have been retained as valid and only newly established or shelflisted entries have been filed according to the new rules. As a result, two filing systems can be observed within the classification schedules and the shelflist. The use of the old rules may be inferred when a call number lacks a date, because the routine use of dates in monographs did not begin until 1982. Since the shelflist consists of entries formulated under a variety of cataloging practices and rules, the filing principles require some modifications for the particular needs of the manually arranged shelflist. This instruction sheet provides additional guidelines that should be followed when determining the filing position in the shelflist. It should be used in connection with LCFR.

1. General principle. File elements in a filing entry in exactly the form and order in which they appear. Apply the "file-as-is" principle. Arrange the major components of a filing entry word by word, and then character by character. A word is one or more characters set off by spaces and/or marks of significant punctuation. Arrange individual letters according to the order of the English alphabet (A-Z).

Note: Before 1981 entries were usually filed as if they were spelled out in the language of the text. The assumption was that a reader might know how a name sounded, not how it was spelled.

2. Modified letters. Treat modified letters like their equivalents in the English alphabet. Ignore diacritical marks and modifications of recognizable English letters. *Examples:*

<i>Modified letters:</i>	<i>File as:</i>
ä, á, å	a
ø, ö	o
ü	u
ÿ	y

Note: Before 1981, letters with umlauts were filed as if followed by the letter e, e.g., ä was filed as if it were ae; ü was filed as if it were ue.

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2. *Modified letters.* (Continued)

Several languages that use the Roman alphabet also employ special letters that have no immediately recognizable equivalents in that alphabet. *Examples:*

<u>Name of Character</u>	<u>Character</u>	<u>File as</u>
Greek alpha	α	a
Ligature ae	Æ, æ	ae
Greek beta	β	b
Eth	ð	d
Greek gamma	γ	g
Turkish i (undotted)	ı	i
Ligature oe	Œ, œ	oe
Thorn	þ, þ	th

3. *Order of fields with identical leading elements.* When the identical filing elements in a group represent different types of entries, arrange the group as follows: person, place, corporate body, title. *Examples:*

Cumberland, Richard
Cumberland (Md.)
Cumberland (Frigate)
Cumberland / Michael V. Smith

4. *Place names.* When the leading elements of two or more place names at the beginning of a corporate name heading are identical, group the fields together as follows: place name alone, place name followed by a parenthetical qualifier, place name followed by a comma and additional words. *Example:*

Cambridge. University. Board of Graduate Studies.
Cambridge (Mass.). City Council.
Cambridge, Eng. Environment Committee.
Cambridge Apostles (Society).
Cambridge Glass Company

5. **Identical filing entries.** Consider the title to extend only to the first significant mark of punctuation which will be either a period (.) or a slash (/). If two identical but unrelated title entries appear in the same class, arrange the entries by imprint date using successive Cutters, in order of receipt. *Example:*

Education today / 1966
 Education today. 1966
 Education today / by John Smith. 1969
 Education today. 1977
 Education today (Boston) [serial]
 Education today--and how it works. 1970
 Education today : language teaching. 1966

Note: See Library of Congress Filing Rules sec. 5.5 for information on the filing of titles with identical entry elements.

6. **Abbreviations.** File abbreviations exactly as written. *Examples:*

Doctor Ludlum strikes again
 Down and out
 Dr. Livingstone, I presume?
 Drake--explorer and warrior

Mister Doctor Blo
 Mme. Begue and her recipes
 Mr. Drackle and his dragons
 Mrs. Appleyard's family kitchen

For corporate bodies whose headings were previously established with an abbreviation but are now established in spelled-out form (e.g., **United States. Dept. of State** is now established as **United States. Department of State**) see G 220 sec. 5.b.

Note: Before 1981 abbreviations were filed as spelled out in the language of the text.

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7. **Bracketed data.** If an entry includes bracketed data, treat it as significant for determining the filing position. *Example:*

Duo [for] violin and piano [*for is treated as significant for filing*]

*Note: Until the adoption of RDA in 2013, the word **sic** could appear within brackets. Bracketed data could also begin with the abbreviation **i.e.** In each case, the text in the brackets was ignored when determining the filing position of the entry.*

8. **Hyphenated words.** Treat words connected by a hyphen as separate words, regardless of language. *Examples:*

Anti-aircraft guns
The Anti-masonic Herald
The Anti-slavery examiner
Anticaglia, Elizabeth, 1939-

Ibanez, Blasco
Ibn-al-Batutah
Ibn-al-Baytah

Note: Before 1981, hyphenated words beginning with prefixes such as "anti-" were filed as one word. Other special rules were also applied.

9. **Initial articles.** Ignore initial articles in the nominative case that appear at the beginning of a main entry whether they appear separately or are elided. Disregard the following definite and indefinite articles in filing in the shelflist.

Note: No attempt is made to differentiate cardinal numbers from articles when they are the same in any given language.

For a list of articles, see *MARC 21 Format for Bibliographic Data*, Appendix F, Initial Definite and Indefinite Articles.

9. Initial articles. *(Continued)*

The following languages do not contain initial articles. It is not necessary to determine whether or not the first word in the title is an article.

Albanian	Korean	Russian
Bulgarian	Kurdish	Serbo-Croatian
Chinese	Latin	Slovak
Czech	Latvian	Slovenian
Estonian	Lithuanian	Turkish
Finnish	Persian	Ukrainian
Japanese	Polish	most Indic languages

10. Initial articles in place names and personal names. Treat initial articles that form a part of place names and personal names as an integral part of the heading and regard them in filing.
Examples:

El-Ad, Avri, 1925-
El Astillero, Spain
el-Ayouty, Eisha Yassin Mohamed, 1932-
El Cid Campeador
El, ella y el otro
El-Mokadem, Ahmed Mohamed

Las, Michal
Las Lomas, Calif.
Lasa, Amaia

11. Initials and acronyms.

a. With marks of punctuation. Treat initials separated by marks of punctuation and/or spaces as separate words.

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11. *Initials and acronyms.* (Continued)

b. Without marks of punctuation. Treat acronyms and initials not separated in any way as single words regardless of capitalization. When initials and acronyms are followed only by ellipses or other marks of omission, disregard the ellipses or marks of omission. If an additional letter or letters follows the mark of omission, they are treated as if they constitute a new word. *Examples:*

A.B.C. atlas of Isle of Wight
A. W. Johnson Enterprises
Aavik, Johannes
ABC health series
Afaisen, Johnny
AFL-CIO
American Philosophical Society

Note: Before 1981 initials, whether containing punctuation or not, were filed before words beginning with the same initial letter. Hence FORTRAN filed before Fable.

12. Names with a prefix. 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 directly or by an apostrophe without a space. File letter by letter. *Examples:*

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.

Note: Before 1981 personal and place names with prefixes were filed as one word regardless of the actual spelling. This enabled names such as La Salle and Lasalle to file together.

12. Names with a prefix. *(Continued)*

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

Note: Before 1981 names with M', Mc, and Mac were all interfiled as if they were spelled Mac.

13. Names with a suffix. Treat a suffix that is part of a name as a separate word. File suffixes containing numerals before letters of the alphabet, arranged according to their numerical value.
Examples:

Lee, James B.
Lee, James W.
Lee, James W., III
Lee, James W., 10th
Lee, James W., Jr.
Lee, James Wilbert.

14. Numerals.

a. Numbers expressed as words. File numbers expressed as words alphabetically, e.g. file **seventy-six trombones** under "S," not under "7."

b. Numbers expressed in digits or other notation. File numbers expressed in digits (e.g. 1243) or other notation (e.g. XXVII) before letters of the alphabet. Arrange such numbers according to their numerical value. Assign a Cutter number in the A12-19 range for these entries. Normally, entries beginning with numerals should appear before entries beginning with the letter A.

Note: Before 1981, numerals in titles were arranged as if spelled out in the language of the rest of the title.

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14. Numerals. (Continued)

c. Numerals after a decimal point. Arrange numerals after a decimal point digit by digit, one place at a time. Arrange decimal numerals that are not combined with a whole numeral (e.g., .45) before the numeral **1**. Arrange decimal numerals that are combined with a whole numeral after all entries with the same whole numeral alone.

d. Fractions. Since fractions are perceived in the online catalog as two numbers, file them behind any arabic numerals and after any Roman numerals as the numerical value would indicate (e.g., 1/4 files after the arabic numeral 1 and after the Roman numeral I) (cf. sec. 13.c, above).

e. Comprehensive example for filing of numerals.

.303 -inch machine gun and small armies
1 2 3 for Christmas
1,2, buckle my shoe
1/4 famba y 19 cuentos mas
1a [i.e. Prima] Mostra Toscenta/scultura
2 1/2 minute talk treasury
3/4 for 3
3 died variously
IV [i.e. Cuarto] Concurso El Poeta Joven del Peru
838 ways to amuse a child
1984
A is for anatomy
Aa, Abraham
Henry II
Henry 3
Longitude 30 west
Longitude and time
Nineteen eighty-four
One, two, three for fun
Three 14th century English mystics
Three by Tey

15. Chronological arrangements. When numbers or dates distinguish between otherwise identical entries, use a numerical or a chronological arrangement, rather than an alphabetical arrangement. *Examples:*

More, Paul Elmer
 Shelburne essays... Third series
More, Paul Elmer
 Shelburne essays... Seventh series
More, Paul Elmer
 Shelburne essays... Eighth series

Vermont. Council of Censors, 1785-1786.
Vermont. Council of Censors, 1792.
Vermont. Council of Censors, 1813-1814.

United States. President (1953-1961 : Eisenhower)
United States. President (1961-1963 : Kennedy)
United States. President (1964-1969 : Johnson)

16. Ampersand and other symbols. The ampersand (&) is the only symbol that has filing value. It follows spaces and precedes the lowest Arabic numeral or alphabetic character. Ignore all other symbols when filing into the shelflist. *Examples:*

A. & A. Enterprises Incorporated
A 99, Autobahnring München
The A.A. way of life
A and H Printers

Solar engineering
Solar engineering & contracting
Solar engineering - 1982

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17. Words with apostrophes. Arrange elided words, possessives and other words with apostrophes as one word. *Examples:*

The taint in politics
'Taint right
Tainted contracts

Ja! Til sionismen?
J'accuse
Jack and the beanstalk

Twos and threes
Two's company
Two's two

Note: When the first part of the elision is an article in the nominative case, it is generally ignored.

18. Compound names. File single surnames before compound surnames. *Example:*

Carvalho, Vladimir Souza
Carvalho, Walden Camilo de, 1948-
Carvalho, Waldir P.
Carvalho Filho, Adhemar F. de
Carvalho Júnior, Eugênio