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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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ISO/TR 8393 was prepared by Technical Committee ISO/TC 46, *Documentation.*

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.

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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.

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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
β	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	10	Two characters each of which forms part of the filing character "number 10" (i.e. every number is *one* filing character)

1) At present at the stage of draft.

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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.*

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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.

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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:

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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).

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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.

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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

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