



RECORDS MANAGEMENT

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Chapter 5

Alphabetic Indexing Rules 9–10

Rule 9: Identical Names

- When names are identical, the filing order is determined by the addresses
- For identical names, sort records by
 - City names first
 - State or province names second
 - Street names third
 - House or building numbers fourth

Rule 9: Identical Names

Examples of Rule 9

Names of Cities and States Used to Determine Filing Order

	FILING SEGMENT	INDEXING ORDER OF UNITS			
	Name	Key Unit	Unit 2	Unit 3	Unit 4
1.	Seaside Inn Oceanside, California	Seaside	Inn	Oceanside	California
2.	Seaside Inn Oceanside, New Jersey	Seaside	Inn	Oceanside	<u>New</u> Jersey
3.	Seaside Inn Oceanside, Washington	Seaside	Inn	Oceanside	<u>W</u> ashington
4.	Seaside Inn Ventura, California	Seaside	Inn	<u>V</u> entura	California
5.	Seaside Inn Walnut, California	Seaside	Inn	<u>W</u> alnut	California
6.	Seaside Inn Westwood, California	Seaside	Inn	<u>W</u> estwood	California

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Rule 10: Government Names

- For local and regional government names
 - The name of the county, city, town, or village is the first unit
 - The most distinctive part of the name comes next (e.g., public library, fitness center, water works)
 - The type of office comes next (e.g., county of, city of, department of, office of)
 - “Of” is not added to a name

Rule 10: Government Names

Examples of Rule 10A

	FILING SEGMENT	INDEXING ORDER OF UNITS				
	Name	Key Unit	Unit 2	Unit 3	Unit 4	Unit 5
1.	County of Alameda Aquatic Center	Alameda	County	of	Aquatic	Center
2.	City of Arlington Public Library	Arlington	City	of	Public	Library
3.	City of Arlington Senior Center	Arlington	City	of	Senior	Center
4.	Ashley County Department of Elections	Ashley	County	Elections	Department	of
5.	Augusta City Water Works	Augusta	City	Water	Works	
6.	Baker County Bureau of Licenses	Baker	County	Licenses	Bureau	of
7.	City of Banks Water Department	Banks	City	of	Water	Department
8.	Barstow Municipal Court	Barstow	Municipal	Court		

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Rule 10: Government Names

- For state government names
 - The name of the state or province is the first unit
 - The most distinctive part of the name comes next (e.g., attorney general, commissioner)
 - The type of office comes next (e.g., office of, department of)
 - “Of” is not added to a name

Rule 10: Government Names

Examples of Rule 10B

	FILING SEGMENT	INDEXING ORDER OF UNITS				
	Name	Key Unit	Unit 2	Unit 3	Unit 4	Unit 5
1.	Michigan Office of Attorney General	Michigan	Attorney	General	Office	of
2.	Michigan Department of Civil Service	Michigan	Civil	Service	Department	of
3.	Michigan Department of Community Health	Michigan	Community	Health	Department	of
4.	Michigan Department of Education	Michigan	Education	Department	of	
5.	Michigan Department of Environmental Quality	Michigan	Environmental	Quality	Department	of
6.	Michigan Lottery Commissioner	Michigan	Lottery	Commissioner		
7.	Michigan Department of Natural Resources	Michigan	Natural	Resources	Department	of

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Rule 10: Government Names

- For federal government names
 - Use three indexing levels rather than units
 - *United States Government* is the first level
 - The name of a department or top-level agency is the second level
 - A distinctive name is the third level (e.g., national weather service, civil rights office)
 - “Of” and “the” are not considered but may be included for clarity

Rule 10: Government Names

Examples of Rule 10C

FILING SEGMENT			
		LEVEL 1 UNITED STATES GOVERNMENT	
	Name	Level 2	Level 3
1.	National Weather Service, Department of Commerce	<u>C</u> ommerce Department (of)	National Weather Service
2.	Office of Civil Rights, Department of Education	<u>E</u> ducation Department (of)	Civil Rights Office (of)
3.	Department of Health and Human Services	<u>H</u> ealth and Human Services Department (of)	
4.	Office of Energy Assurance, Department of Homeland Security	<u>H</u> omeland Security Department (of)	Energy Assurance Office (of)
5.	Bureau of Reclamation, Department of the Interior	<u>I</u> nterior Department (of the)	Reclamation Bureau (of)
6.	Federal Bureau of Investigation, Department of Justice	<u>J</u> ustice Department (of)	Investigation Federal Bureau (of)
7.	Federal Bureau of Prisons, Department of Justice	<u>J</u> ustice Department (of)	<u>P</u> risons Federal Bureau (of)

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Rule 10: Government Names

- For foreign government names
 - Index the name as translated into English
 - Use the most distinctive part of the country name as the first unit
 - Index the balance of the country name
 - Index distinctive names for branches, departments, or offices next

Rule 10: Government Names

Examples of Rule 10D

	FOREIGN GOVERNMENT NAME	ENGLISH TRANSLATION IN INDEXED ORDER			
	Name	Unit 1	Unit 2	Unit 3	Unit 4
1.	Principat Andorra	Andorra	Principality	of	
2.	Republik of Österreich	Austria	Republic	of	
3.	Druk-yul	Bhutan	Kingdom	of	
4.	Bundesrepublik Deutschland	Germany	Federal	Republic	of
5.	Jamhuri ya Kenya	Kenya	Republic	of	
6.	Al-Joumhouriya al-Lubnaniya	Lebanese	Republic		
7.	Fuerstentum Liechtenstein	Liechtenstein	Principality	of	
8.	Republica Moldova	Moldova	Republic	of	
9.	Mongol Uls	Mongolia			
10.	Koninkrijk der Nederlanden	Netherlands			
11.	Republica de Nicaragua	Nicaragua	Republic	of	
12.	Republika ng Pilipinas	Philippines	Republic	of	
13.	Dawlat Qatar	Qatar	State	of	
14.	Al Jumhuriyah at Tunisiyah	Tunisian	Republic		

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Cross-Reference Examples

- Foreign business names
 - File records under the English translation of the name
 - Cross-reference using the foreign name

CODED FILING SEGMENT	CROSS-REFERENCE
2 <u>Humboldt</u> / University	<u>Humboldt-Universitat</u> SEE Humboldt University
2 <u>Venezuelan</u> / Line	2 3 <u>Venezolana</u> / de / Navegacion SEE Venezuelan Line

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Cross-Reference Examples

- Foreign government names
 - File records under the English translation of the name
 - Cross-reference using the foreign name

CODED VFILING SEGMENT	CROSS-REFERENCE
2 3 4 Federal / Republic / of / <u>Brazil</u>	2 3 4 <u>Republica</u> / Federativa / do / Brasil SEE Brazil Federal Republic of
2 3 Kingdom / of / <u>Bhutan</u>	<u>Druk-yul</u> SEE Bhutan Kingdom of

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Subject Titles

- Subject titles may be used in an alphabetic name file
 - Applications
 - Bids or project names
 - Special promotions or celebrations
- The subject title is the key unit
- Subject subdivisions are indexed next
- The correspondent's name is indexed last

Subject Titles

Examples of Subject Within an Alphabetic Arrangement

INDEXING ORDER OF UNITS					
	Key Unit	Unit 2	Unit 3	Unit 4	Unit 5
1.	Applications	Assistant	Bianchi	Jason	
2.	Applications	Assistant	Fung	Brenda	
3.	Applications	Cashier	Corbett	Lucy	
4.	Applications	Cashier	Jennings	Kenneth	
5.	Applications	Data	Entry	Neally	Joyce
6.	Applications	Data	Entry	Rodriguez	Luis
7.	Applications	Records	Clerk	Adamson	Cody
8.	Applications	Records	Clerk	Osuna	Jamella
9.	Applications	Records	Clerk	Tisio	Angelo
10.	Applications	Records	Supervisor	Kakazu	Nancy
11.	Applications	Records	Supervisor	Wasserman	Robert

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