
International Standard



7154

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Documentation — Bibliographic filing principles

Documentation — Principes de classement bibliographique

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Foreword

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Draft International Standards adopted by the technical committees are circulated to the member bodies for approval before their acceptance as International Standards by the ISO Council.

International Standard ISO 7154 was developed by Technical Committee ISO/TC 46, *Documentation*, and was circulated to the member bodies in November 1982.

It has been approved by the member bodies of the following countries :

Australia	Germany, F. R.	Romania
Austria	Hungary	South Africa, Rep. of
Canada	India	Sweden
China	Ireland	Switzerland
Czechoslovakia	Italy	United Kingdom
Denmark	Japan	USA
Egypt, Arab Rep. of	Netherlands	USSR
Finland	New Zealand	
France	Poland	

No member body expressed disapproval of the document.

Documentation — Bibliographic filing principles

1 Scope and field of application

This International Standard defines generalized bibliographic filing principles to be incorporated into the bibliographic filing rules of individual bibliographies, libraries, and documentation centres as well as those of entire nations or language groups. This International Standard is applicable to bibliographic information as printed or displayed, to the identification of filing units within bibliographic records for exchange in machine-readable form, and to the manipulation of these records by manual and machine-based techniques.

NOTE — The examples given in this International Standard are not meant to be prescriptive, but rather to reflect a particular set of bibliographic filing rules (see ISO/TR 8393).

2 References

ISO 6630, *Automation in documentation — Bibliographic control character set*.¹⁾

ISO/TR 8393, *Documentation — Bibliographic filing rules*.¹⁾

3 Definitions

For the purpose of this International Standard 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 *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.

Example :

The books of the Bible are often filed according to this criterion.

3.5 character : A graphic symbol which, for filing purposes, 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	1 character translated into 1 filing character
ß	ss	1 character translated into 2 filing characters (filing of German sharp s)
?		1 character which is ignored for filing (filing of non-alphanumeric sign question mark)
9	9	1 character translated into 1 filing character
10	10	2 characters each of which forms part of the filing character "number 10" (i.e. every number is one filing character)

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

1) At present at the stage of draft.

Example :

Collective titles are often filed according to this criterion.

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 imprint date are all filing areas of different types.

3.8 filing character : *Filing unit* at the lowest *filing level*. It cannot be subdivided. Filing characters are distinguished by type, the individual types of filing characters having a specific *filing value*.

Examples :

Letters, numbers written as numerals, non-alphanumeric signs, arrangement codes for classified or canonical order, and signals to identify type distinctions are all filing characters of different types.

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

NOTE — For bibliographic entries the following filing criteria apply : alphabetical, numeric, classified, canonical, arrangements by type distinction, or other specified orders.

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

Examples :

In a five-level filing hierarchy, the filing units are, proceeding from highest to lowest : filing entry, filing area, filing section, filing word, 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 — Filing qualifiers are in particular attached to filing areas and filing sections.

3.14 filing section : *Filing unit* at the third *filing level*. It is subordinate to the *filing area* and contains a specific part of it.

Examples :

The surname and the forenames, as parts of the name of a person, are 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* within 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 a *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 filing 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*.

3.20 heading : A term, derived from a print or display position in the *bibliographic entry*, which is sometimes 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, being based on either some other system or on no standard fixed sequence.

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;
- qualifications, function designators;
- certain non-alphanumeric signs, for example ? or " or #, are non-filing units within filing units.

3.24 number : A *filing character*, for which the *filing criterion* is the 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 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 :

If a type distinction is made by type of filing entry, a main entry headed "Shakespeare, William" may be 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 should be indicated, if not explicitly, in the bibliographic entry. If appropriate, filing notices and aids (for example arrangement guides and headings) applicable to groups of entries may be used instead of the explicit display of all the filing information in individual bibliographic entries which belong to such groups of entries.

Examples :

In classified order sequences, the class headings may precede the individual bibliographic entries in this class.

Selecta

œuvres choisies
théâtre choisi

Excerpta

morceaux choisis
pages choisies
textes choisis.

Canonical order sequences may be indicated by the following arrangement guides :

Bible

Cadre de classement

A Éditions collectives : polyglottes, bilingues; grec, latin, français; puis ordre alphabétique des langues.

B Ancien Testament : éditions bilingues; hébreu, araméen, grec, latin, français; puis ordre alphabétique des langues.

C Ancien Testament : groupes de livres et livres séparés

...

G Nouveau Testament : ...

4.2 Distinction

The individual filing units which are the component parts of the filing information as a whole should 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 should be evident from the bibliographic entry.

NOTE — The order of filing units need not be identical to 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 should be made explicit. However, the criteria upon which canonical and classified arrangements are based (see 5.7) need not always be openly expressed in the printed or displayed bibliographic entry if the arrangement is readily comprehensible.

4.5 Form

Filing units should 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 should be made aware of deviations from this principle by general instructions, references, or explicit indication of filing data.

NOTE — If electronic data processes are employed for filing, implicit filing units that can be used to arrange bibliographic entries correctly in manual filing, may not be available to permit machine filing programs to file accurately or in the filing sequence expected from the visual presentation of the filing units.

Examples :

Mc ...
The prefix Mc occurring in names of Scottish or Irish origin is filed as Mac.

* [Macdowall, John]
M'Dowall, John
Title of work ...

˘La˘ France
contemporaine

˘Eines˘ langen Tages
Reise in die Nacht

Beecham, ˘Sir˘ Thomas

Ward, ˘Mrs.˘ Humphry

DU VERGIER de
HAURANNE

Explanations :

A general explanatory reference.

Square brackets and asterisk in this example signal the addition of filing information.

The logical NOT sign (˘) is used here for graphic identification of a non-filing unit according to ISO 6630.

In this example the small letters are used to indicate a non-filing unit.

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. Individual filing rules should specify their filing units by name, determine their levels in the filing hierarchy, specify their composition in terms of units of directly subordinate filing levels¹⁾, define the filing criteria for each unit by specifying the filing values that determine the order of precedence, and describe any filing signals used in association with particular units.

5.2 Filing hierarchy

The number of filing levels in the hierarchy of filing units should be defined by the individual filing rules. The filing units of the bibliographic filing hierarchy are defined as follows (in descending order from highest to lowest) :

- filing entry
- filing area
- filing section (in four- and five-level hierarchies)
- filing word (in a five-level hierarchy only)
- filing character

NOTES

1 The coverage of these principles extends to rules utilizing three-, four-, and five-level hierarchies. The four-level hierarchy is the most commonly used one.

1) Not applicable for the lowest filing level.

2 The difference between the concepts of four- and five-level hierarchies in the context of this International Standard is theoretical and has no influence on actual filing practices. In a five-level hierarchy the space is regarded as a filing signal which separates two filing words, whereas in the four-level hierarchy, the space is regarded as a filing character which, according to the filing value given to it, precedes all other filing characters, for example numbers and letters.

5.3 Filing entry

The filing entry is the filing unit which contains the filing information in its entirety.

5.3.1 Filing level

First or highest filing level.

5.3.2 Composition

One or more filing areas, as specified by filing (and cataloguing) rules for the various types of entry.

5.3.3 Filing criteria

Filing entries, the first or only filing areas of which are identical, are distinguished by type of entry, for example main entry, see reference, subject entry; the filing values of the various types of entry should be determined by filing rules. Subject entries for an individual work with the main entry under the name of a person or corporate body may be distinguished by type distinction codes in the second filing area, since both the main entry and the subject entry have the same type distinction code for the first filing area, that of the main entry, as may be seen from the following examples.

Examples :

Explanations :

Shakespeare, William Hamlet ...	Main entry
Shakespeare, William [Hamlet] Smith, John, 1837-1896 Studies on Hamlet and King Lear ...	Subject entries for Shakespeare's Hamlet to be filed immediately after the main entries for that work
Shakespeare, William King Lear	Main entry for another work by the same author
Shakespeare, William [King Lear] Smith, John, 1837-1896 Studies on Hamlet and King Lear ...	Subject entry for the same work

NOTE — In the construction of filing sequences for computer sorting, a filing-value code for the type of entry should be associated with the first filing area of a filing entry.

5.3.4 Filing signals

To be determined by the individual filing rules, for example for the type of entry called a "see reference", the filing signal is "see" or its equivalent in other languages or an arrow (→).

5.4 Filing area

The filing area is the filing unit which contains an individual entity as part of the entire filing information, for example a name of a person or corporate body, a title, date, or volume statement.

5.4.1 Filing level

Second level, directly subordinate to filing entry.

5.4.2 Composition

One or more filing sections, as specified by the individual filing rules. Qualifiers, for example explanatory information such as "Spirit" or function designators or relators such as "editor", may be attached to filing areas and may or may not be regarded for filing according to individual filing rules.

NOTE — In a three-level filing hierarchy filing areas are composed of filing characters. 5.4.3 to 5.6.3 inclusive do not apply.

5.4.3 Filing criteria

Filing areas of which the first or only filing sections are identical, are distinguished by type of filing area, for example personal name, corporate name, title, subject term, the filing values of the individual types of filing area to be determined by the individual filing rules. Filing areas without filing qualifiers file before identical ones of the same type with a filing qualifier. Filing areas may also be distinguished by classes as specified by individual filing rules.

NOTE — In the construction of filing sequences for computer sorting, a filing-value code for the type of filing area should be associated with the first section of an area.

5.4.4 Filing signals

Position in the bibliographic entry, for example the first filing area may be the heading for an entry and is sometimes underlined or in bold letters.

5.5 Filing section

The filing section, in four- and five-level filing hierarchies, is the filing unit which contains a logical subdivision of the individual entity contained in the filing area, for example surnames and forenames as filing sections of the personal name filing area, or the name of a higher corporate body and that of a subordinate body as sections of the corporate name filing area, or, in the case of a serial which has separately published parts, the title common to all parts and the distinctive title of an individual part as sections of the title filing area.

<i>Examples :</i>	<i>No. of filing sections</i>	<i>Explanations :</i>
Shakespeare, William	2	type of filing area : personal name
France. <i>Inspection générale des finances</i>	2	type of filing area : corporate name
American Library Association. <i>Cataloging and Classification Section. Policy and Research Committee</i>	3	
Acta Universitatis Carolinae. Philologica	2	type of filing area : title
Short stories. Selections	2	
Bible <i>N.T. Matthew ...</i>	3	

5.5.1 Filing level

Third level, directly subordinate to filing area.

5.5.2 Composition

One or more filing words or filing characters dependent on whether the number of filing levels is five or four. The first and the last filing character should 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.

<i>Examples :</i>	<i>Explanations :</i>
The first step ...	The initial article and its following space in the title of a work are non-filing
Goethe, Johann Wolfgang von	According to German filing rules the preposition "von" does not file. The filing section of the forename therefore ends with a space

Qualifiers may be attached to filing sections and may or may not be regarded for filing according to the individual filing rules.

<i>Examples :</i>
France (<i>Ind.</i>) <i>Police Department</i>
Scottish Rite (<i>Masonic Order</i>). <i>Oriental Consistory (Chicago)</i>
Canada. <i>Embassy (U.S.)</i>
Standard Oil Company, <i>appellant</i>

5.5.3 Filing criteria

Length of unit, i.e. a shorter filing section precedes a longer one if the complete shorter section is identical with the beginning of the longer one. Filing sections without filing qualifiers file before identical ones with a filing qualifier. Filing sections may also be distinguished by classes as specified by individual filing rules.

5.5.4 Filing signals

Significant punctuation as specified by the individual filing rules, for example the comma marking the end of the first filing section of the filing area for personal names (surname, forename).

5.6 Filing word

The filing word is the second-lowest filing level in five-level hierarchies. It is delimited at the beginning and at the end by a space or its defined equivalents, or by a filing signal of a higher level in the filing hierarchy, for example a comma after the last filing word of the surname filing section.

5.6.1 Filing level

Fourth level, directly subordinate to filing section.

5.6.2 Composition

One or more filing characters.

5.6.3 Filing criteria

Length of unit, i.e. a shorter filing word precedes a longer one if the shorter word is identical with the beginning of the longer one.

5.7 Filing character

The filing character is the filing unit which cannot be subdivided any further. There may be up to four types of filing characters as specified by the individual filing rules: a filing character may either be a letter, a number written as a numeral, a non-alphanumeric sign, or a code for the achievement of classified or canonical arrangements or arrangements by type distinction.

NOTE — For the presentation of classified and canonical arrangements in the entry, see 4.1.

5.7.1 Filing level

Lowest filing level.

5.7.2 Composition

As the smallest filing unit, the filing character may not be divided into smaller filing components.

5.7.3 Filing criteria

The primary criterion to be applied should be the type of filing character as defined by the individual filing rules, i.e. arrangement codes file before any other type, spaces and other defined non-alphanumeric filing characters file before alphanumeric filing characters. Within the individual filing types of filing characters, letters (including special letters) should be filed according to national or regional alphabetical orders, with no distinction being made between capital and small letters. Numbers written as numerals are filed according to numerical value in ascending order from lowest to highest, for example

according to the ordinal sequence of positive integers. Dates represented by numerals should be filed in chronological order or reverse chronological order. Decimal parts of numbers should be filed in decimal order. Subscript and superscript filing characters have the same filing value as on-the-line filing characters.

5.8 Non-filing units

Non-filing units may occur within filing units, for example initial articles of titles or precedent epithets with names, as specified by the individual filing rules. On the lowest filing level, certain non-alphanumeric signs may be generally non-filing, again as specified by the individual filing rules.

NOTES

- 1 For the presentation of non-filing units in the bibliographic entry, see 4.5.
- 2 For the treatment of spaces before or after non-filing units, see 5.5.2.

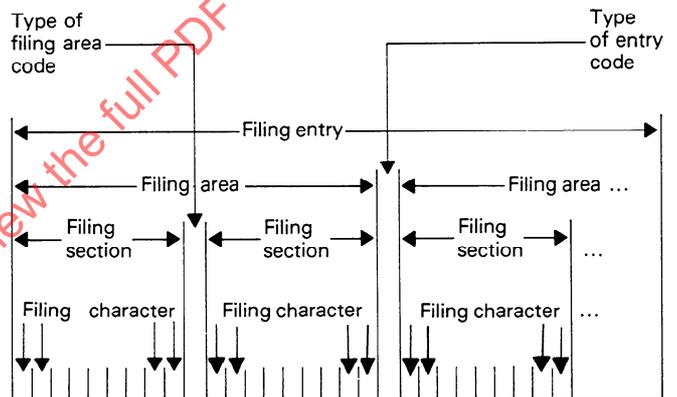


Figure — Composition of filing sequences in a four-level hierarchy

6 Principles of filing

NOTE — The principles of filing are defined in the order of the filing process, starting from the smallest filing unit and proceeding to the largest.

6.1 Filing of filing characters

The entire filing information as an ordered sequence of filing units of different filing levels is filed according to the filing value of filing characters as defined by the individual filing rules. In the case of identical first filing characters filing is by the second and subsequent filing character until

- a) (in five-level hierarchies) the end of the first filing word is reached;
- b) (in four-level hierarchies) the end of the first filing section is reached;

NOTE — 6.2 does not apply;

c) (in three-level hierarchies) the end of the first filing area is reached.

NOTE — 6.2 and 6.3 do not apply.

Examples :

1
15
Aa
Abrantès
Alberta
Alberti

6.2 Filing of filing words

6.2.1 In a five-level hierarchy, when the first and any subsequent characters of a filing word are identical, a shorter filing word is filed before a longer one.

Examples :

Alberti
Albertini

6.2.2 In a five-level hierarchy, if identical first filing words occur, filing is by the second and subsequent word until the end of the first filing section is reached.

Examples :

Rose aus Stambul
Rose aus Tirol
Rose vom Wörthersee

6.3 Filing of filing sections

6.3.1 In four- and five-level hierarchies, a shorter filing section is filed before a longer one which is identical with the shorter one up to the shorter one's end.

Examples :

Rose
Rose aus Stambul

6.3.2 In four- and five-level hierarchies, if identical first filing sections occur they are to be distinguished by type of filing area and filed according to the filing value of the individual types, as defined by individual filing rules.

Examples :	Explanations :	
Rose, <i>Saint</i>	given name	} of person
Rose, Angus	surname	
Rose (<i>Ohio</i>)	corporate name	
Rose : a story	title	

6.3.3 In four- and five-level hierarchies, identical first filing sections to which filing qualifiers are attached and which are of the same type of filing area, file after those without filing qualifiers.

Examples :

France
France (*Ind.*)

6.3.4 In four- and five-level hierarchies, identical first filing sections of the same type of filing area without filing qualifiers or with identical filing qualifiers file, according to the above principles, by the second and subsequent filing section(s), taking into account any differentiation of second and subsequent filing sections by class of filing section according to 5.5.3, until the end of the first filing area is reached. When the first and any subsequent filing sections are identical, a filing area composed of fewer filing sections is filed before a filing area with more filing sections.

Examples :

France, Anatole
France, Marie-Louise

Explanations :

} type of filing area :
} personal name

France
France. *Commission
des archives
diplomatiques*
France. *Cour des
comptes*
France (*Ind.*)
France (*Ind.*) *Police
Department*

} type of filing area :
} corporate name

'La' France : guide tou-
ristique général
'La' France. Section A,
le Nord

} type of filing area :
} title

6.4 Filing of filing areas

6.4.1 Identical first filing areas to which filing qualifiers are added, file after those without filing qualifiers.

Examples :

Saur, Karl-Otto
Saur, Karl-Otto, *Jr.*

Mudge, Lewis Seymour
Mudge, Lewis Seymour, *1868-1945*
Mudge, Lewis Seymour, *1897-*
Mudge, Lewis Seymour, *Jr.*

Parker, Theodore
Parker, Theodore (*Spirit*)

Standard Oil Company
Standard Oil Company, *appellant*
Standard Oil Company, *defendant*
Standard Oil Company, *respondent*

6.4.2 Identical first filing areas without filing qualifiers or with identical filing qualifiers are to be distinguished by type of filing entry and filed according to the filing value of the individual types, as defined by the individual filing rules.

Examples :

Saur, Karl-Otto, *Jr.*
see also ...
Saur, Karl-Otto, *Jr.*
Title of work

Explanations :

"see also" references file
before main entries