

INTERNATIONAL STANDARD

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Information and documentation — Determination of price indexes for books and serials purchased by libraries

*Information et documentation — Détermination des indices de prix pour
les livres et les publications en série acquis par les bibliothèques*



Reference number
ISO 9230:1991(E)

Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

International Standard ISO 9230 was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Sub-Committee SC 8, *Statistics*.

Annexes A, B and C of this International Standard are for information only.

Introduction

The intention of this International Standard is to provide the international library community with a methodology for establishing national price indexes for the documents they acquire.

A problem well known to libraries is the difficulty of controlling the amount of funding made available annually for acquisitions.

If libraries acquired general documents, in one physical medium, solely from national sources, and had stable budgets, the problems of budget control for library documents would be simple. This is, however, not the situation. Libraries now have to cope with information of a greater variety than before, and from international sources. These developments in the information world are accompanied by general economic developments that seem to create reductions and instability in library budgets.

Under such circumstances the demand for effective library management grows, and with it the demand for tools for library management. Use of price indexes is, of course, only one element in library management practice, but one which is nevertheless necessary for relevant budget control.

It is not intended that price indexes constructed according to this methodology should in any way replace general consumer price indexes or specific indexes set up by the trade. However, it can generally be observed that indexes can normally be regarded as accurate only within a specific environment. The experience that led to the preparation of this International Standard was the difficulty in applying indexes of non-library origin to library management.

It is easy to understand the difficulties of reporting prices when one takes into consideration the international background of most library and information work, which can involve many countries and currencies.

This International Standard should, therefore, be an accepted tool for library management.

It has been necessary to apply certain limitations to this International Standard.

Printed documents, books and serials, still remain the most important items in a library acquisitions programme. The priority between these groups can differ from library to library, but they are dealt with together in this standard. It was decided to exclude from this International Standard criteria which could be used for price indexes for other types of physical media. Non-book media come in many forms, each with its own method of distribution which often differs greatly from that of the traditional book trade. This International Standard does not ignore the need to deal with these other physical media. They have, however, been excluded in order to bring this work to a conclusion.

In the future — when more experience is gained — any revision of, or addition to, this International Standard could include other physical media.

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Information and documentation — Determination of price indexes for books and serials purchased by libraries

1 Scope

This International Standard specifies a method for the determination of price indexes relating to the prices of books and serials, in printed form, purchased by libraries.

It is intended for use by the library community, primarily for the production of national price indexes.

2 Definitions

For the purpose of this International Standard, the following definitions apply.

NOTES

1 Where appropriate, existing definitions, to the sources of which reference is made, have been used.

2 Terms defined are listed alphabetically in the English and French texts. The equivalent English or French terms, as appropriate, have therefore been placed in parentheses to facilitate cross referencing.

2.1 average price: Total of the prices of all documents of a given category for a stated period, divided by the number of items.

(French term: prix moyen)

2.2 book: Non-serial printed document in codex form.

(French term: livre)

2.3 book price: Specified or recommended price of a book to the public by the publisher without discounts.

(French term: prix du livre)

NOTE 3 Sales tax, if included, should be stated.

2.4 document: Recorded information which can be treated as a unit in a documentation process, regardless of its physical form and characteristics.

[Adapted from ISO 5127-1[1]]¹⁾

(French term: document)

NOTE 4 This International Standard is only applicable to printed documents.

2.5 government publication: Document published by a public administration or its subsidiary bodies.

(French term: publication officielle)

NOTE 5 Confidential documents and documents for internal distribution are not included.

2.6 library document: Document acquired by a library in different physical media to fulfil the primary functions of the library.

(French term: document de bibliothèque)

NOTE 6 This International Standard is only applicable to printed library documents.

2.7 microform: Generic term for any form, usually film, which contains microimages.

[ISO 6196-1[2]]

(French term: microforme)

NOTE 7 This physical medium is not dealt with in this International Standard.

2.8 paperback: Book issued by a publisher in a paper cover trimmed flush with the leaves.

[BS 5408[6]]

(French term: livre broché)

1) Bibliographic references [1] to [6] are shown in annex C.

2.9 periodical: Continuous series under the same title published at regular or irregular intervals, over an indefinite period, individual issues in the series being numbered consecutively or each issue being dated.

[ISO 9707^[4]]

(French term: périodique)

2.10 physical medium: Form in which an item has been produced. Specific media include: printed documents; microfilm; sound recordings.

[Adapted from ISO 8459-1^[3]]

(French term: support matériel)

2.11 physical unit: Physically coherent document unit inclusive of any protective devices, freely movable against other document units.

(French term: unité matérielle)

NOTE 8 Coherence may be effected, for example, by binding or encasement.

2.12 price index: Index showing the relative change in the average price over an interval of time.

(French term: indice de prix)

NOTE 9 A price index has a base period of one or more years, and the average price in the base period is assigned the index value of 100; the average prices in succeeding years are divided by the base period average price and multiplied by 100 to give the price index for each year.

[Adapted from ANSI Z39.20-1983^[5]]

2.13 serial: Document in print or non-print form, issued in successive parts, usually having numerical or chronological designations, and intended to be continued indefinitely, whatever the periodicity.

(French term: publication en série)

NOTE 10 This International Standard is applicable only to serials that are printed. Serials include periodicals and newspapers. Monographic series, conference proceedings, yearbooks and annuals are sometimes treated as books. Therefore, where necessary, attention is drawn to different requirements that need to be applied dependent on the choice made to treat monographic series, conference proceedings, yearbooks and annuals as either serials or books. It should be clearly stated which of the alternative options has been chosen.

2.14 serial price: Publisher's domestic institutional price for an annual subscription to a serial.

(French term: prix d'une publication en série)

NOTE 11 When different delivery schemes exist, the price for the subscription with domestic surface delivery

should be chosen. Prices, including discounts, multi-year subscription rates, etc., should not be chosen.

3 Price indexes for books

3.1 Books included in the index

This method is applicable to books published with a stated price. Both hardcover books and paperbacks (softcover editions) shall be included. Books published in microform shall not be included.

NOTE 12 In certain cases, in accordance with national requirements, it may be found useful to calculate separate indexes for paperbacks and hardcover books.

3.2 Books not included in the index

Those published for advertising purposes:

- Sales catalogues
- Promotional documents

Those of a transitory character:

- Timetables
- Price lists
- Telephone directories
- Programmes of entertainment and exhibitions
- Regulations and reports of business firms

Other groups not included:

- Printed music documents (scores and sheets)
- Cartographic documents (maps and charts)
- Unpublished theses
- Books for which no charge is made

See clause 4 for serials.

3.3 Categories for the index

To provide subject categories for price indexes, the UNESCO classification for subjects of 25 subject groups shall preferably be used (see annex A). As an option, certain types of books may be indexed separately without any subject breakdown, for example

- School textbooks
- Children's books

This International Standard does not recognize government publications and theses as groups for separate observation, since a practical definition of government publications does not exist on an international level, and theses in many countries are not priced.

3.4 Sources for collection of prices

The prices shall preferably be taken from national bibliographic sources but may be collected from trade sources or calculated from direct observations (e.g. consumer price index observations).

Joint publication of monographs in two or more countries shall be dealt with by treating the separate documents as books which will appear in each country with a local ISBN and create an entry in a specific national bibliography.

3.5 Methods of compilation

3.5.1 The price index shall be presented by subject categories as specified in 3.3.

3.5.2 The total annual price (see 3.4) of all priced physical units in each category appearing in the period covered shall be divided by the number of priced physical units in that category. This gives the average annual price per physical unit. The period covered shall be one year.

Physical units included in an index shall be identified by year of imprint, or alternatively, by the calendar year of appearance in a national bibliography or similar source.

3.5.3 The index figure shall be calculated using the equation

$$\text{Index figure} = \frac{\text{Average price} \times 100}{\text{Average price in the base year}}$$

NOTE 13 The base year for the calculation should be chosen according to local requirements. This means that the base year has to correspond to the base year of other indexes of relevance to library management, e.g. government budget indexes and consumer price indexes.

3.6 Presentation of indexes

All price indexes based upon this International Standard shall refer to it, and also state any variation from this standard. Sources for prices and index figures shall be stated. The base year shall be explicitly defined.

It shall always be stated whether "purchase" tax (e.g. sales tax, value added tax) applies to the items in the index; whether this tax is included; and how it is calculated.

NOTE 14 Taxes, if included, shall be consistently reported each year.

Other inclusions or exclusions shall be stated whenever possible, e.g. percentage of unpriced documents.

4 Price indexes for serials

4.1 General

Since serials have a different nature from books (e.g. they are sometimes considered as being more international in character), serial prices will be reported differently from those of books and shall be based upon publishers' prices or upon price information from vendors (e.g. subscription agencies).

4.2 Serials included in the index

It is essential that a serials index includes periodicals and newspapers. Except where other periodical publications (e.g. monographic series, conference proceedings, yearbooks, annuals) are treated as books they should be included. Under these circumstances, either one overall index may be calculated or four separate indexes, one of which shall be an index of periodicals, as follows:

- a) periodicals;
- b) newspapers;
- c) yearbooks, annuals;
- d) monographic series, conference proceedings.

Where possible, periodicals shall be classified in accordance with the UNESCO classification (see annex A).

4.3 Serials not included in the index

- a) physical media other than printed paper;
- b) unpriced serials.

4.4 Sources for the collection of prices

National agencies shall be the source of national serial price indexes, although subscription agencies may offer their services. Country of publication shall be the basic criterion for the origin of the document and the ISSN assigned through the publisher shall be the principal means of establishing its origin. Documents from international organizations and publishers may be included if allocated to a specific country or separate indexes may be compiled for them.

4.5 Methods of compilation

4.5.1 The price data shall either be collected in total or calculated through a sample.

4.5.2 In each category in an index, the total annual price of all priced serials in any one category shall be divided by the number of priced serial titles in that category. This gives the average annual price per title for each category. If required, the overall average annual price per title shall be calculated in the same way.

4.5.3 The index figure (overall or for each category) shall be calculated using the equation

$$\text{Index figure} = \frac{\text{Average price} \times 100}{\text{Average price in the base year}}$$

NOTE 15 The base year for the calculation should be chosen according to local requirements. This means that the base year has to correspond to the base year of other indexes of relevance to library management, e.g. government budget indexes and consumer price indexes.

4.6 Presentation of indexes

All price indexes based upon this International Standard shall refer to it, and also state any variation from this standard. Sources for prices and index figures shall be stated. The base year shall be explicitly defined.

It shall always be stated whether "purchase" tax (e.g. sales tax, value added tax) applies to the items in the index; whether this tax is included; and how it is calculated.

NOTE 16 Taxes, if included, shall be consistently reported each year.

When using sampling techniques, compilers shall state:

- a) total size of sample and total estimated size of population;
- b) criteria used for selection of sample;

- c) publishers excluded because the compiler was unable to obtain titles.

Other inclusions or exclusions shall be stated whenever possible, e.g. percentage of unpriced documents.

5 Overall presentation of price indexes

This International Standard includes monographic series, conference proceedings, yearbooks and annuals as serials and, therefore, includes them in the serials price index (see 4.2). They are sometimes dealt with as books in library procedures and in national bibliographies, often in such a way that they cannot be identified and separately reported. In establishing price indexes this can sometimes lead to problems because of the differences between official terminology and library practice.

To prevent confusion, one of the following overall presentations shall be used. The first presentation is preferred; the other two are given as options. The actual choice shall be stated:

- a) (Preferred presentation)

- Book index
- Serials index (including monographic series, conference proceedings, yearbooks and annuals)

- b) (Optional presentation)

- Book index (including monographic series, conference proceedings, yearbooks and annuals)
- Serials index

- c) (Optional presentation)

- Book index
- Index of monographic series, conference proceedings, yearbooks and annuals
- Serials index

Annex A (informative)

UNESCO subject classification

To make this International Standard relevant to libraries with varying profiles, according to subject specialization, the UNESCO subject classification given in table A.1 is recommended.

It should be noted that the American Standard ANSI Z39.20-1983 includes a Dewey-based subject classification. Libraries should adopt the classification quoted in table A.1, which is used by UNESCO in other library and statistical contexts.

A reference is given in table A.1 to corresponding UDC headings. Where other classification systems are used, it is recommended that corresponding references are made.

According to UNESCO, certain types of books should not only be categorized by the subject groups given in table A.1, but also be shown separately in the following groups:

- a) school textbooks;
- b) children's books;
- c) government publications;

d) theses.

NOTES

17 This International Standard recommends the use of all 25 UNESCO subject groups. With regard to the above special grouping a) to d), it does not recommend a special group for government publications, as there is no universal recognition of the definition given in this International Standard. Neither should theses be considered as a group since in many countries they are not priced.

18 Table A.1 is compatible with the UNESCO subject classification adopted by the General Conference of UNESCO at its 23rd session in 1985.

It should be noted, however, that the UDC numbers given in table A.1 do not necessarily agree with the most up-to-date version of the UDC. Particular attention is drawn to subject group number 11, for example, where UNESCO still refers to UDC 4, but in the up-to-date UDC schedules the correct reference is UDC 80.

Current editions of the Universal Decimal Classification (UDC) are published by and obtainable from the Fédération Internationale d'Information et de Documentation (FID)²⁾ or from the publishers of the relevant language versions of the Universal Decimal Classification.

2) Fédération Internationale d'Information et de Documentation (FID), P.O. Box 90402, 2509 LK The Hague, Netherlands.

Table A.1 — UNESCO subject classification

Subject group number	Subject group content	Corresponding UDC number (see note 18)
1	Generalities	0
2	Philosophy, psychology	1
3	Religion, theology	2
	Social sciences	3
4	Sociology, statistics	30/31
5	Politics, economics	32/33
6	Law, public administration, social relief and welfare, insurance	34, 351/354, 36
7	Military art and science	355/359
8	Education, teacher-training, leisure	37
9	Trade, communication, transport, tourism	38
10	Ethnography, cultural anthropology (customs, folklore, mores, tradition)	39
	Philology	
11	Philology, languages, linguistics	80
	Pure sciences	5
12	Mathematics	51
13	Natural sciences	52/59
	Applied sciences	6
14	Medical sciences, public health	61
15	Engineering, technology, industries, trades and crafts	62, 66/69
16	Agriculture, forestry, stockbreeding, hunting and fisheries	63
17	Domestic science	64
18	Management, administration and organization	65
	Arts and recreation	7
19	Physical planning, town and country planning, architecture	70/72
20	Plastic and graphic arts, photography	73/77
21	Music, performing arts, theatre, film and cinema	78, 791/792
22	Games and sports	793/799
	Literature	8
23	a) History of literature and literary criticism b) Literary texts	
	Geography/History	9
24	Geography	91
25	History, biography	92/99
Total		0/99

Annex B (informative)

Guidelines for local cost indexes

The profile of a library's acquisitions does not usually correspond to that of a national bibliography or to that of a trade list owing to the fact that libraries make selections according to their specific local objectives. Therefore, many libraries will wish to use this International Standard as a guideline for calculating local cost indexes. This annex draws a distinction between "prices" reported nationally and "costs" (price less discount, price plus service charge, etc.) reported locally.

The primary purpose of this International Standard is for use in calculating national indexes covering the prices of published documents purchased by libraries. The same methodology can be used for local cost indexes. However, certain variables may be accounted for. They are:

- a) discounts;
- b) taxes;
- c) library binding costs;
- d) customs fees;
- e) foreign currency differences;
- f) country of origin;
- g) postage charges;
- h) service charges;
- i) institutional member rates;
- j) multi-year subscription rates.

Local indexes may be calculated for one library or a group of libraries according to administrative units, geography or subject.

A local cost index will follow the same basic methodology as a price index; however, the local elements should be separately identified and the local methodology should be stated.

Local cost figures will normally be derived from purchase prices, excluding binding costs. Wherever possible, taxes and discounts should be identified, whether they apply locally or internationally. If costs include discounts and binding costs, this should be stated. Local indexes would normally include all items purchased by a library, whether from national or international vendors.

Depending on local needs, local indexes may have additional breakdowns according to country of origin or currency of payment. A local index is calculated on a one-year basis (calendar or fiscal) from either invoice date or date of acquisition. If there are extended calculations for local reasons (such as discounts, customs charges, and exchange rates), then this should be stated.

It should always be stated whether purchase tax (e.g. sales tax, value added tax) applies to items in the index, whether the tax is included and how it is calculated.

When compiling local serial indexes, there are other factors which have to be considered. National serial price indexes should be based upon publishers' prices and the local serials cost indexes should be based upon charges from the vendors. The source of local information always has to be the invoice. As noted above for books, local cost indexes should normally exclude binding costs and, where possible, identify separate discounts and taxes. For serials, such local variables as multi-year subscription rates, service charges, and institutional membership rates should be used.

Annex C (informative)

Bibliography

- [1] ISO 5127-1:1983, *Documentation and information — Vocabulary — Part 1: Basic concepts*.
- [2] ISO 6196-1:1980, *Micrographics — Vocabulary — Section 01: General terms*.
- [3] ISO 8459-1:1988, *Documentation — Bibliographic data element directory — Part 1: Interloan applications*.
- [4] ISO 9707:1991, *Information and documentation — Statistics on the production and distribution of books, newspapers, periodicals and electronic publications*.
- [5] American National Standards Institute, *American national standard for library and information sciences and related publishing practices. Library materials — criteria for price indexes*, New York, ANSI, 1983 (ANSI Z39.20-1983).
- [6] British Standards Institution, *Glossary of documentation terms*, London, BSI, 1976³⁾ (BS 5408:1976).

3) New edition in preparation.