

Update Information
2009 Update Number 4

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
M5	Library of Congress Series Policy	M5.3 SERIALS. Updated to reflect additional guidelines related to series fields and field 042 (Authentication code).

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M5. 1. GENERAL POLICY

Abbreviations used:

BR = bibliographic record

SAR = series authority record

The LC policy on series, implemented on June 1, 2006, is to analyze in full, classify separately, and not provide a controlled series access point. The pertinent LCRI and DCM Z1 (*Name and Series Authority Records*) have been updated to reflect this policy.

M5.1.1 *Series Authority Records*

Do not consult, modify, or create any SARs when preparing or updating BRs for LC.

Exception: Consult series authority records when searching to determine if there is a conflict in the database (see LCRI 25.5B) to ensure controlled access to related entries.

M5.1.2 *New Cataloging*

M5.1.2.1 *BR is original LC cataloging*

Give the series data elements (title proper, parallel titles, other title information, statement of responsibility, ISSN, numbering) in a 490 0# field. Do not provide a controlled series access point.

M5.1.2.2 *BR is not original LC cataloging*

Accept the series fields as given.

M5.1.2.3 *File maintenance and other matters*

Correct errors in a 490 field but do not add or update controlled series access points (440/8XX). See DCM M5.2 and M5.3 for details about different categories of BRs. See the following for file maintenance and other matters:

- 1) M5.4 for details about bibliographic maintenance;
- 2) M5.5 for information about name authority maintenance affecting series;
- 3) M5.6 for additional information about JACKPHY records;
- 4) M5.7 for LC's responsibilities related to series and other libraries;
- 5) M5.8 for exceptions to LC's series policy.

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M5. 2 MONOGRAPHS AND INTEGRATING RESOURCES

If the resource being cataloged is covered by a category in the exceptions identified in DCM M5.8, follow the instructions there. Otherwise, follow the instructions as given in the following table.

Category		Series Fields	042	050
Desc. cat. completed but subj. cat. not completed		Do not change.	Do not change.	Assign “classified separately” number.
LC original cataloging: desc. cat. not completed (including origres and vendor records)	040 \$a is a single DLC code (DLC, DLC-R, etc.)	Give as 490 0#. CIP/ECIP title: If series information is present only on data sheet/data view, do not give in BR. Do not contact USPL/CIPL or the publisher.	Delete “pcc” code if it is present.	Assign “classified separately” number.
Imported record (excluding origres & vendor records): cat. not completed.	040 \$a is a single code other than a DLC code	Accept as given in record (correct any typos and add any missing data elements). If entire series statement is missing, add as 490 0#.	If a pcc adapt record, retain “pcc” code; otherwise, give “lccopycat” code. In either case, add in repeated \$a if another code present (e.g. “ukblsr”).	Assign “classified separately” number. If other library gave a “collected set” call number (series number at end of \$b), retain but change to 050 14.
CIP partner supplying pre-publication 050	040 \$a is XXX/DLC (XXX = CIP partner library)	Accept as given in record.	Accept as given in record.	Assure 050 \$b against LCDB, including “collected set” call number (series number at end of \$b) assigned by partner library.
New LC original cataloging record		Give as 490 0#.	Do not include “pcc” code in record.	Assign “classified separately” number.
CIP verification	Record being upgraded in LCDB	Accept as given in record (correct any typos and add any missing data elements).	Do not change or add “pcc” code.	Do not change a “collected set” call number to a “classified separately” call number.
	Record upgraded in OCLC; imported to LCDB	Accept as given in record (correct any typos and add any missing data elements).	Do not change or add “pcc” code.	Do not change a “collected set” call number to a “classified separately” call number.
	CIP partner record	Accept as given in record (correct any typos and add any missing data elements). If entire series statement missing, refer to USPL/CIPL to contact partner library.	Accept as given in record.	Accept as given in record, including a “collected set” call number (series no. at end of \$b) assigned by partner library.

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Category	Series Fields	042	050
New LC copy cataloging (excluding origres records); 040 \$a is a single code other than a DLC code	Accept as given in record (correct any typos and add any missing data elements). If entire series statement is missing, add as 490 0#.	If a pcc adapt record, retain "pcc" code; otherwise, give "lccopycat" code. In either case, add in repeated \$a if another code present (e.g. "ukblsr").	Assign "classified separately" number. If other library gave a "collected set" call number (series number at end of \$b), retain but change to 050 14.

M5.3 SERIALS

If the resource being cataloged is covered by a category in the exceptions identified in M5.8, follow the instructions there. Otherwise, follow the instructions as given in the following table.

Category	Series fields	042	050
Record being created by LC (040 \$a is a single DLC code: DLC-S, etc.)	Give as 490 0#.	Give "lc" code.	Give a "classified separately" number.
Serial record being used has been authenticated by a CONSER participant	Accept as given in record (correct any typos and add any missing data elements). If entire series statement is missing, add as 490 0#.	Accept as given; if "lcd" or "msc" is not already present, add the appropriate code.	Give a "classified separately" number.
Serial record being used was created by a non-CONSER OCLC member	Accept as given in record (correct any typos and add any missing data elements). If entire series statement is missing, add as 490 0#.	Give "lccopycat" code.	Give a "classified separately" number.

M5.4 BIBLIOGRAPHIC FILE MAINTENANCE: MONOGRAPHS, INTEGRATING RESOURCES, AND SERIALS

Category	042	050	Other fields
CIP publisher change request for BR created by LC after June 1, 2006 (send requests for earlier records to ABA/POLICY) Note: Change requests for CIP partner records will be handled in USPL/CIPL.	Delete “pcc” code if present.	Do not change a “classified separately” call number to a “collected set” call number unless the resource is covered by a category in list of exceptions in M5.8.	Update 490 0# statement as needed. Do not change a 490 0# to a 440 or add an 8XX field. Change other fields as needed.
Other analytic records	Do not change.	Do not change.	Do not add or change a 440 or 8XX field. Add a missing series statement as a 490 0#. Change other fields as needed.
Collected set bibliographic records if covered by an exception in M5.8.	Follow instructions in M5.8.	Follow instructions in M5.8.	Follow instructions in M5.8.
Collected set bibliographic records not covered by an exception in M5.8.	Do not change.	Do not change.	Do not add or change any fields.

M5.5 CHANGE IN HEADINGS FOR PERSONS OR BODIES

If the heading in a name authority record is changed and the database maintenance is being performed in the team, ensure that any SAR with the same name heading in a 1XX/4XX/5XX field is also updated. If the database maintenance is being done in ABA Policy and Standards Division, any appropriate SAR will also be updated in ABA/POLICY.

M5.6 JACKPHY RECORDS

The general policy for nonroman series fields in JACKPHY records is given in the document “Supplying Nonroman Data in RLIN JACKPHY Books Records” (dated 12/1/87):

The 4XX series statements are considered “core fields.” Input of a nonroman parallel field is required if there is nonroman series data present on the item. Catalogers should follow language-specific guidelines for the content designation of series statements (4XX fields) and for supplying additional nonroman series access points in the 8XX fields.

Follow the guidelines below to apply that policy in the context of LC’s current series policy.

(1) Original cataloging: full; core; MLC

490 0# roman
880 0# nonroman

(2) Copy cataloging

490 0# roman
880 0# nonroman [add 880 if not present]

440 roman
880 nonroman [retain if present; add as 880 in form on item if not present]

490 1# roman
880 1# nonroman [retain]

8XX roman
8XX nonroman [retain]

490 1# roman
880 1# nonroman [retain if present; add as 880 in form on item if not present]

8XX roman
8XX nonroman [retain if present; add as 880 in form of 8XX roman if not present; some languages limit 8XX nonroman form to 800]

M5.7 SERIES AND LC AND OTHER LIBRARIES

LC catalogers serving as NACO liaisons, the Cooperative Programs Section, and ABA Policy and Standards Division will answer questions from PCC participants about creating and updating series authority records. The PCC participants, rather than LC staff, should create and update the authority records.

The Cooperative Programs Section and ABA/POLICY will delete duplicate SARs reported by PCC participants. ABA/POLICY will delete duplicate SARs reported by non-PCC libraries; ABA/POLICY will process error reports and answer questions from these libraries if doing so doesn't involve research or retrieval of volumes, etc.

M5.8 EXCEPTIONS TO THE GENERAL LC SERIES POLICY

M5.8.1 Not Analyzed/Classified As A Collection

The following categories will not be analyzed and will be classified as a collection; SARs will not be consulted, created, or updated:

M5.8.1.1 Numbered multipart monographs with all parts lacking analyzable titles

- 1) create and update a collected set record for the multipart monograph as a whole;
- 2) classify together.

M5.8.1.2

2A cataloging

Unnumbered multipart monographs cataloged per “2A cataloging” guidelines (“2A cataloging” is a local LC practice to create a made-up collected set record for an unnumbered multipart monograph, assigning numbers to parts as received):

- 1) create and update a collected set record for the multipart monograph as a whole;
- 2) classify together.

M5.8.1.3

Auction and sales catalogs

- 1) create or update the serial collected set record for the catalogs using a made-up title;
- 2) analyze and classify separately an individual catalog only if identified by a selection officer as of particular interest;
- 3) classify together.

M5.8.1.4

Legal multipart monographs identified by LC’s Law Library

- 1) create and update collected set record for the multipart monograph as a whole;
- 2) give author-title added entries;
- 3) classify together.

M5.8.2

Not Analyzed/Not Classified

Technical report series identified by LC’s Science, Technology, and Business Division or LC’s Asian Division and shelved in those divisions will not be analyzed and will not be classified; series authority records will not be consulted, created, or updated:

- 1) create and update a local serial record;
- 2) do not assign a call number (shelved in ST&B and in Asian).

M5.8.3

Analyzed In Full/Classified As A Collection

The following categories will be analyzed in full but will be classified as a collection; series authority records will not be consulted, created, or updated:

M5.8.3.1

Scholarly collections of music historical sources eligible to be classified together in M2

- 1) create and update collected set record for the multipart monograph or monographic series as a whole;
- 2) analyze in full and give series statement in a 490 0# field or pass through series information in cataloging copy;
- 3) classify together in M2.

M5.8.3.2

“Web access to monographic series” project for social sciences resources

- 1) create and update serial collected set record for the monographic series as a whole;
- 2) analyze each volume via program; give series statement in 490 0# field or pass through series information in cataloging copy;
- 3) classify together.

M5.8.3.3

Microform sets

- 1) create and update collected set record for the multipart monograph or monographic series as a whole;
- 2) analyze in full and give series statement in a 490 0# field or pass through series information in cataloging copy;
- 3) classify together (one shelf number for the set as a whole).

M5.8.3.4

Proceedings of a single conference published in more than one volume with analyzable volume titles

- 1) create and update collected set record for the multipart monograph as a whole;
- 2) analyze each volume; give series statement in 490 0# field or pass through series information in cataloging copy;
- 3) classify together.

M5.8.3.5

Legal monographic series and multipart monographs identified by LC's Law Library

- 1) create and update collected set record for the multipart monograph or monographic series as a whole;
- 2) analyze in full and give series statement in a 490 0# field or pass through series information in cataloging copy;
- 3) classify together.

M5.8.4

Analyzed In Full: Applies To Analyzable Parts/Classified As A Collection

Complete editions of collected works of individual composers (classified as M3) will be analyzed in full: applies to analyzable parts and will be classified as a collection;

series authority records will not be consulted, created, or updated.

- 1) create or update the collected set record for the multipart monograph;
- 2) analyze a part only if it fits the guidelines in LCRI 13.3 for collected works of composers; give series statement(s) in 490 0# field(s) (create only item record for a non-analyzable part and link it to the collected set bibliographic record) or pass through series information in cataloging copy;
- 3) classify together in M3.

M5.8.5 Not Analyzed/Classified As A Collection (Applies To Acquisitions)

Already cataloged numbered monographic series assigned “not analyzed/classified as a collection” decisions prior to June 1, 2006 applies to acquisitions staff; this category is included here for information:

- 1) follow check-in procedures for issues of serials
- 2) forward issues to custodial divisions.

M5.8.6 BRs Not Yet In LCDB

Previously existing BRs not yet in the LCDB that are now being newly input will reflect the series decisions (i.e., presence or absence of controlled series access point; a classed-separately or a classed-as-a-collection call number) at the time the resource was cataloged originally.