

**Fundamentals of Series Authorities:  
An ALCTS/PCC Workshop**

Instructor Manual

ALCTS/CCS-PCC Task Force to Develop  
Series Authority Training

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# **Fundamentals of Series Authorities: An ALCTS/PCC Workshop**

## **Instructor Manual**

ALCTS/CCS-PCC Task Force to Develop Series Authority Training

Rachel Wadham, Brigham Young University, chair  
Valerie Bross, University of California, Los Angeles  
Judy Kuhagen, Library of Congress  
Iris Wolley, Columbia University  
Mark Scharff, Washington University in St. Louis  
Steven Miller, University of Wisconsin-Milwaukee

Assisting:

Deborah Thomas, University of Tennessee  
Robert Maxwell, Brigham Young University

Developed as a joint effort of the

Cataloging and Classification Section (CCS) of the Association for Library Collections &  
Technical Services (ALCTS)

and the

Program for Cooperative Cataloging (PCC)

ALCTS and the Program for Cooperative Cataloging (PCC) developed this course jointly to provide additional cataloging training opportunities for the larger library community, including both PCC and non-PCC participants. This workshop content is similar to PCC training materials in enabling participants to create authority records for its local catalog, but *does not fulfill the PCC's requirements to contribute authority records to the Library of Congress/NACO Authority File*. Interested parties are invited to visit the PCC web page: <http://www.loc.gov/catdir/pcc/>

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## GENERAL INTRODUCTION

The Association for Library Collections & Technical Services (ALCTS) and the Program for Cooperative Cataloging (PCC) have joined forces to develop a basic introductory course designed to teach cataloging skills in series authority work. This joint initiative is a logical outgrowth of the missions of both organizations. As reflected in their respective strategic plans, each has a strong commitment to training and continuing education.

The idea for the partnership to create a training program for series authority work followed on earlier work on subject analysis training and the name and title authority training by the same two organizations. In July 2005 a task force was appointed, chaired by Rachel L. Wadham, with Judy Kuhagen as LC/NACO representative and including Valerie Bross, Iris Wolley, Mark Scharff, and Steven Miller. Those assisting the task force were Deborah Thomas and Robert Maxwell. The task force was charged with: identifying the potential audiences for the materials; surveying existing training materials concerning series authority work; determining the content of the training materials to be produced; and writing and editing the training materials for presentation. The task force was also assigned to present one module of the training materials at an ALCTS program at ALA Annual 2006, and to present the entire suite of materials at an ALCTS preconference at ALA Annual 2007.

The objective for development of these materials was not to train NACO participants (the PCC provides this training) but to provide needed training in series authority work to libraries and librarians who either do not wish to participate in the NACO program or have not yet decided to do so. NACO participants are not, of course, excluded from using the materials presented here, and it is expected that they may find them useful for continuing training or review. However, they are not the primary intended audience.

The task force has used as its models the course in subject analysis prepared by the ALCTS/SAC-PCC/SCT Joint Initiative on Subject Training Materials, the ALCTS-CCS/PCC Task Force to Develop Name and Title Authority Training Materials, and the courses of the Serials Cataloging Cooperative Training Program (SCCTP), all of which provide standardized training materials and skilled professionals to deliver training to catalogers in the field. This model relies on library associations, networks, and institutions to sponsor the workshops and use the materials developed.

It is expected that libraries, library associations, or other groups or institutions that request the “Fundamentals of Series Authorities” training might not all want to receive the program in its entirety (particularly since the full suite takes at least two days to present). Possibly a library or group might want to receive training only on how series are used in bibliographic records, or perhaps creating series, or series treatment, or a combination of some but not all the modules. For this reason the modules have been developed so that each can be separated from the whole, so that they can stand alone. The modules also have been divided into two parts, with Part One focusing on consumers of series authority records who may not necessarily create records, and Part Two focusing

on those who need to create records. If possible, we recommend that Part One and Part Two be presented in their entirety to those intended audiences. However, if this is not possible, we do recommend that at least Part One, Module One or Part Two, Module Five (Series Definitions) be presented before any other module. Because of the need to make these modules somewhat independent of each other, there is a certain amount of repetition between the modules. If they are being presented together with other modules, it is suggested that the trainer either briefly review these slides when they are presented subsequently to their first presentation or simply skip them if in his or her judgment this is appropriate.

The content developed for “Fundamentals of Series Authorities” is jointly owned by ALCTS and the PCC, and will be maintained by a joint task group. The Library of Congress’ Cataloger's Learning Workshop is the publisher and distributor of the workshop materials.

Rachel L. Wadham, Chair  
ALCTS/CCS-PCC Task Force to Develop Series Authority Training

## Information for Trainers

The Fundamentals of Series Authorities workshop was designed to provide a basic overview of the areas, tasks, and skills that go into working with and creating series authorities for use in integrated library systems. This workshop is intended to be an introductory overview of the topic and as such only the most commonly encountered scenarios are offered. Even though some of the more complex issues are touched upon, it was not the intention of this workshop to cover all possible issues that may be encountered in the process of series authority work. Trainers should be aware of the needs of their audience so that if more information is needed in complex issues beyond what is given in the training, they will be prepared to give cursory information for the situation. Trainers are also encouraged to direct more advanced participants to additional training offered through other sources.

This workshop does not cover any issues that are related to name authority work. Even though there is some overlap between the two functions, this workshop was not designed to address any of the rules, standards, or tasks related to personal, corporate, or geographic name authority. It is assumed that participants will have a basic understanding of these tasks before taking this workshop. If participants lack facility in name authority work they should be directed to other training offered through other sources.

If covered in full, this workshop was designed to cover two full days of training. However it was also designed to provide a “modular” approach to training. Trainers should feel free to select the modules that cover areas of greatest need for the intended audience. To do this, trainers should be aware of the intent behind the design.

The workshop is first divided into two parts. Part one covering modules one through four is an introduction to series authority work. This part was written to address those who may need to use series authority records, yet not create them. These modules cover fundamentals of series authority work that are important such as MARC21 fields and the relationship of the series authority record to the bibliographic record. This part may be given in isolation as a one day training for the “consumers” of series authority records who will not be creating authority records. Part two covering modules five through eleven is a basic introduction into the knowledge necessary to create series authority records. This part was written to address those who will be creating series authority records. This part may also be given in isolation as a one-day training for the “creators” of series authority records. Because each part may be given in isolation there is some duplication between part one and part two. In particular modules five and six are near duplications of modules one and four. If trainers are providing the workshop as two whole days and participants will be attending both days it is suggested that trainers not recover the information by eliminating modules five and six on day two. In addition modules ten and eleven provide more complex series information. Trainers should use their knowledge of the participants’ needs in determining if and how these modules should be presented.

Trainers also should be encouraged to give modules in isolation of the rest of the workshop. For example, if training is needed in the MARC fields for series authority records, only module two or three could be presented. If there is a need to discuss series treatment only, then module eight could be presented. Trainers are encouraged to determine the needs of each individual audience to give the portions of the training that will be most beneficial to the situation.

For each module trainers' notes are given for each slide. Trainers should be aware that these notes were written to give as comprehensive an overview of what was intended to be discussed with each slide as possible. Trainers are discouraged from reading the text verbatim from the notes. Trainers should use the text to gain an understanding about what issues each slide covers and then use their own words to describe the situation. Since the intent of the workshop is to cover the basics, not every possible scenario is covered in the notes. Trainers should be ready to field any questions from the participants as necessary but be reminded that this training was not intended to cover every possible situation. Within the notes certain portions are marked as [NOTE], these portions are intended to give more information to the trainers only, and may or may not be included as part of what should be presented to the audience.

Trainers should be aware also that within the slides only those portions of series authority records and bibliographic records that are salient to the point at hand are given. Two near complete examples of series authority records are given in module two. Trainers may want to have more complete examples on hand or they may want to have access to an online authority file if they feel that participants will need to look at more complete examples of records. Trainers should also be aware that examples are as pure and close to the implementation of the rules and standards as possible. Participants and trainers may encounter old rules or outdated practice in authority files, however the examples in this workshop will discuss and use only the best and most current practice.

Lastly, trainers should note that this workshop was designed so that part one could be fully presented in one day, and part two could fully be presented in one day. However be aware that pacing of the presentation and questions from the audience can change this timeline. Trainers are encouraged to speed up or slow down as necessary to address the needs of each audience as well as to fit the training into whatever time constraints they may face.

# **Fundamentals of Series Authorities: An ALCTS/PCC Workshop**

## **Part 1: Module 1: Definitions**

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[NOTE: Trainers are encouraged to bring examples of serials, series, multipart items, monographs not in series, and/or loose-leaf items to share with participants]

## Objectives

- What terms are used in series authority
- How these series are distinguished from other forms of issuance
- Why controlling series is important

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This module will introduce some basic concepts and terms related to series. In addition, we'll discuss the benefits of series control.

## Series

- What are some characteristics of series?
- How do series affect your work?
  - Collection Development
  - Acquisitions
  - Cataloging
  - Public Services

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### Preliminary: Warm-up Exercise

[NOTE: The purpose of the exercise is to focus participants' attention on series and what they are on the ways in which multipart items and monographic series affect their work. Either on a sheet of paper, a whiteboard, or a separate Power Point slide, capture the audience comments]

Whether you have come into contact with series through research, or when ordering publications, or when cataloging, chances are you have already had to deal with series. But just as a refresher, here are some examples:

[NOTE: Trainers should use their own examples or as necessary the following could be accessed: [http://ntp.niehs.nih.gov/ntp/htdocs/LT\\_rpts/tr449.pdf](http://ntp.niehs.nih.gov/ntp/htdocs/LT_rpts/tr449.pdf)

[NTP technical report]

[http://www.amazon.com/Analysis-Financial-Wiley-Probability-Statistics/dp/0471690740/ref=sr\\_1\\_1/103-5528534-6971042?ie=UTF8&s=books&qid=1183143503&sr=1-1](http://www.amazon.com/Analysis-Financial-Wiley-Probability-Statistics/dp/0471690740/ref=sr_1_1/103-5528534-6971042?ie=UTF8&s=books&qid=1183143503&sr=1-1)

[Wiley series in probability statistics]

[http://www.amazon.com/gp/product/images/0886852560/sr=1-1/qid=1183143347/ref=dp\\_image\\_text\\_0/103-5528534-6971042?ie=UTF8&n=283155&s=books&qid=1183143347&sr=1-1](http://www.amazon.com/gp/product/images/0886852560/sr=1-1/qid=1183143347/ref=dp_image_text_0/103-5528534-6971042?ie=UTF8&n=283155&s=books&qid=1183143347&sr=1-1)

[Praxis series]]

Looking at these: What are some of the characteristics of series that come to mind when you think about publications—books, CD-ROMs, videos, and so forth—that are issued in a “series”? an

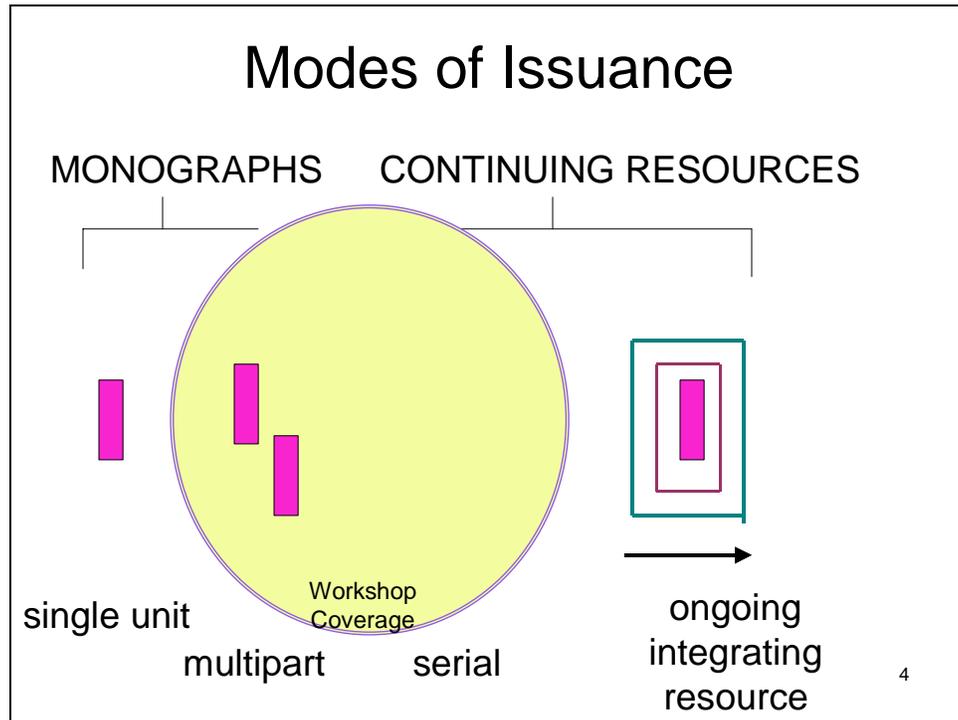
Possible responses from the participants include:  
on-going, numbered or unnumbered, collective titles, individual titles, standing orders, firm orders for parts

We all now have a general idea of what series are and we are going to further define them as we progress.

Now let us consider from a moment: How do these publications affect your work?  
Possible responses from the participants include:  
selection decisions, ordering, receiving, routing, cataloging (decisions on analysis, decisions on classification), searching OPAC for series

We can all see the various ways series effect our daily work and as we progress though the modules we hope to help you consider ways in which you can deal effectively with series as you work.

Now let us turn to some of the operational definitions of series.



As we have just discussed series affect all areas of library service, however the terms used by selectors, acquisitions staff, and catalogers differ, so let us establish a common understanding of certain concepts.

Publications come in various types and this chart offers a representation of them to help us clarify what we will be covering in this workshop.

The primary distinction is between publications issued at one time and those issued on an ongoing basis. Those that are issued on an ongoing basis are called continuing resources. Continuing resources can be divided into two main categories: 1) they may be issued as a succession of discrete parts (serials) or 2) they may be integrated into the whole (ongoing integrating resources).

On the other side from continuing resources are those publications that are issued at one time with no intent that they will be ongoing. These are called monographs. However in this category there are some monographs that are also issued in two or more parts, these are called multipart monographs.

It is within these modes of issuance that series are found. For this workshop, we will be focusing on two types of series, that are represented by the large circle on this chart. First those series that are continuing resources that cumulate as a succession of discrete parts called monographic series and secondly in multipart monographs.

[NOTE: Ongoing integrating resources may also be used as series in the bibliographic record, but this workshop does not address any aspect of integrating resources]

## Definition: Series

- Separate items
- With individual titles
- With a collective title
- Items may or may not each be numbered within the collective title
- Includes two types: monographic series and multipart monographs

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Let us now consider the type types of series we have identified.

According to AACR2, a series is “a group of separate items related to one another by the fact that each item bears, in addition to its own title proper, a collective title applying to the group as a whole. The individual items may or may not be numbered.”

Later in this workshop, you may also hear the word “series” used to refer to a title that appears in certain specific areas of a library catalog record. That is a functional definition, but it refers to the same concept.

As we stated earlier there are two types of series: Monographic Series and Multipart Monographs. Let us now look at each type in detail.

[NOTE: “series” has two other definitions in AACR2. We will NOT be considering these definitions within the workshop. But beware that some participants may be familiar with one of these other uses of the word “series”:

“2. Each of two or more volumes of essays, lectures, articles, or other writings similar in character and issued in sequence (e.g., Lowell’s Among my books, second series).”

“3. A separately numbered sequence of volumes within a series or serial (e.g., Notes and queries, 1st series, 2nd series, etc.)”]

## Definition: Monographic Series

- Group of separate items issued in a succession of discrete parts
- May bear numbering
- No planned end
- Collective title for group
- Individual distinctive titles

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One specific type of series is a monographic series.

As we describe a monographic series, you may want to refer back to slide 4, which outlined various modes of issuance. One concept introduced in this slide is “serial.” Let us look at this concept further:

A serial has three main characteristics:

- it is issued in a succession of discrete parts;
- it usually bears numbering; and
- it has no pre-determined conclusion.

Monographic series, by definition are “serials” since they share all these characteristics with what we traditionally consider as serials. However monographic series have one additional characteristic that makes them unique: In addition to the collective title, the individual parts also have distinctive titles.

## Examples of Monographic Series

- Essential Poets Series
- Academic Press Geology Series

Essential Poets Series 142  <b>And Light Remains</b> by <b>Isabella Colalillo-Katz</b> Toronto, Guernica 2006	Academic Press Geology Series  <b>Fracture Mechanics of                  Rock</b> <b>Barry K. Atkinson, editor</b> Academic Press 1987
--	--

Here are two titles. What characteristics would make them candidates for being monographic series?

[NOTE: Trainers should illicit responses from the participants]

Possible responses from the participants include:  
 One has numbering; distinctive titles and collective titles; assume there is no end; etc.

## Monographic Series?

1. A biography of Coretta Scott King by Octavia Vivian in one volume
2. Routledge Contemporary Southeast Asia:
  - v.10=Ageing in Singapore
  - v.12=Expressions of Cambodia
3. Encyclopedia Britannica, complete in 32 v.
4. Books published by Springer with titles:
  - The Basal Ganglia I
  - The Basal Ganglia II
  - The Basal Ganglia III

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Take a look at these four short examples. From the brief information given here determine which of these are monographic series?

[NOTE: Trainers should illicit responses from the participants]

Biography of Coretta Scott King: monograph

Routledge Contemporary Southeast Asia: monographic series

Encyclopedia Britannica (print): multipart monograph

Comment: Volumes have alphabetic ranges, but not distinctive titles

The Basal Ganglia: group of books, but they lack distinctive titles so are not a monographic series

## Definition: Multipart Monograph

- Sometimes called multipart items
- Issued in separate parts
- Finite
- May be numbered or unnumbered
- May or may not have individual titles

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The second type of series is a multipart monograph. Multipart monographs can also be called multipart items, these two terms are often used interchangeably.

A multipart monograph is defined as, “a monograph complete, or intended to be completed, in a finite number of separate parts. The separate parts may or may not be numbered” (AACR2)

Multipart items, like monographic series, may be issued over time; and they may be numbered or unnumbered. However, unlike monographic series, multipart items must have a pre-determined end point. In some cases, for example, if all volumes are issued at once and the end point is clear. In other cases, such as with the collected works of an author, the volumes may be issued over time.

Multipart monographs may or may not have distinctive individual titles for each volume in addition to the collective title. Multipart monographs without distinctive titles are usually handled as a group and so for the purposes of this workshop, we will focus on those multipart monographs where at least some of the individual items have distinctive titles.

[NOTE: Some additional tips in identifying multipart items:

If the publication is the complete or selected works of a person it is by definition a multipart because that person is either dead or will die eventually!

If the publication has a phrase like “this is the 2nd in a series of 10 books...” in the preface, on the back cover, etc., then the publication is a multipart item.]

Examples of Multipart Monographs	
<ul style="list-style-type: none"> <li>• Eyewitness History of the Civil War. Complete in 10 v.</li> <li>• Lewis, C. S....Chronicles of Narnia (HarperCollins (Firm))</li> </ul>	
<p>Eyewitness history of the Civil War</p> <p><b>WAR ON TWO FRONTS</b> edited by John Cannan</p> <p>Combined Books Conshohocken * 1994</p>	<p><i>Book 1 of the Chronicles of Narnia</i></p> <p><b>The Magician's Nephew</b> C. S. Lewis</p> <p>HarperCollins New York, NY 2005</p> <p style="text-align: right;">10</p>

Here are two titles. Both of these are multipart items. What do you see in them that tell you that?

[NOTE: Trainers should illicit responses from the participants]

Possible responses from the participants include:  
Complete in 10 volumes; By one author; etc.

## Is It a Series?

1. **Manuscripts of W. B. Yeats.** Each volume has a distinctive title, e.g., v. 1=Druid craft.
2. **Best American plays, 1966.**
3. **Fabian ideas**, no. 598. Also has title: Coping with post-democracy, 2000.
4. **Once upon America.** No numbering. Volume also has title: It's only goodbye, by Virginia T. Gross.

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Take a look at these four short examples. From the brief information given here determine if the item would be a monographic series, a multipart items, or neither of the two. And why do you think this?

[NOTE: Trainers should illicit responses from the participants]

multipart item  
serial, no individual title presented  
monographic series  
monographic series

## Bibliographic Record

- Includes:
  - Title
  - Related works
  - Description: edition, imprint
  - Numbering
  - Notes
- Visible
  - Staff catalog: whole record
  - Public catalog: whole record

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While most of you will be familiar with these concepts, there are two additional concepts that are important to series that we must now discuss.

As you probably know behind the scenes in a library catalog are several data files. Two data files critical to the discussion of series are: bibliographic files and authority files.

The bibliographic files contain bibliographic records. These are records that describe resources selected for a library and included in the library catalog. A bibliographic record contains information about the work such as its title, related works, description, edition, imprint, series numbering, and other notes. The bibliographic record is usually visible both behind the scenes, to technical services staff, and in the public catalog. Considering the bibliographic record and series there are two main types of records 1) collective title records for monographic series or multipart items and 2) analytic records for individual titles in a monographic series or multipart item.

## Collective Title Record

Author/Name: Tolentino, Roland B.

Title: Routledge Contemporary Southeast Asia / Roland B. Tolentino.

Published: New York : Routledge, 2006-

Notes: v. 1. Ageing in Singapore – v. 2. Expressions of Cambodia – v. 3. Contemporary Japan

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Location: Undergraduate Library

Call Number: HF 1602 .R745 vol. 1; HF 1602 .R745 vol. 2; HF 1602 .R745 vol. 3

Status: On Shelf

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A bibliographic record for the collective title represents the series as a whole. All volumes of this work will be represented by only this record. On a collective title record the “series” title will be given in the main title, or 245 field of the bibliographic record. Any additional titles will be given in the notes fields, as in this example it would be a 505 field. Collective title records will also have multiple holdings on the record indicating the various volumes in the item. You can use collective title records to represent both monographic series and multipart items. More information about how these types of decisions are made will be included in later modules.

## Analytic Record

Author/Name: Colalillo-Katz, Isabella.

Title: And light remains / Isabella Colalillo-Katz.

Published: Toronto : Guernica, 2006.

Series: Essential poets series ; 142

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Location: Undergraduate Library

Call Number: PR9199.3.C583 A83 2006

Status: On Shelf

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A bibliographic record for the analytic title represents only one volume of a series, not the series as a whole. All volumes of this work will be represented by their own individual records. On an analytic title record the series title will be given in the series fields such as the 4XX or the 8XX fields of the bibliographic record. Since there is only one volume on this record there will be only one call number. You can use analytic title records to represent both monographic series and multipart items. More information about how these types of decisions are made will be included in later modules.

## Series Authority Record

- Includes
  - Authorized heading form
  - Cross references from unused forms of headings
  - Cross references to related forms of headings
  - Numbering pattern (if appropriate)
  - Decisions for
    - Analysis
    - Treatment
    - Classification
- Visible
  - Staff catalog: whole record
  - Public catalog: headings

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The second file, the authority file, contains records that document authorized forms of headings for names, series, and subjects. Series authority records tell us about the form of series heading we've chosen to represent a series. In addition, series authority records show variant forms for a series, related series (e.g., earlier and later titles for a series), the numbering pattern that we've chosen for consistent representation of the sequence, and decisions on how items in the series should be handled (whether to enter individual records for the items, whether to provide browse access to the title, and whether to keep the individual volumes together on the shelf).

While most bibliographic records are visible in the library's public catalog, that may or may not be true of series authority records—depending on how your catalog is configured. Often, the only part of series authority records to display in the public catalog are the cross reference “see” links from variant, unused forms to the heading used to represent the series and “see also” links that represent related headings.

If all of this is rushing by quickly, don't worry—we'll be discussing the series authority record at length in the next few sessions.

Some comments:

Authority record: Despite the name “Series Authority Record,” this type of authority record also covers un-analyzable serials (e.g., with thematic titles),

multipart monographs with analyzable parts, and something called “series-like phrase” (which we’ll discuss in a minute)

Local authority records v. shared authority records: Many libraries maintain authority records in a local file. However, there is also a shared file of series authority records that can be viewed through the Library of Congress catalog, in the LC Authority File: <http://authorities.loc.gov/>

## Series-like Phrase

- Slogans, mottoes, etc.
- Broad subject categories (aid to bookstores)
- Commercial publications: Phrase with name of publisher or in-house editor + generic term
- Non-commercial publications: Unnumbered phrase with name of publisher or in-house editor + generic term

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We've talked about series in general; and more specifically, about multipart items and monographic series. But there is one other category that is important to understand when dealing with series and that is the series like phrase. Series-like phrases are groups of words that masquerade as a series but they really should not be considered as series. So beware! Just because a phrase is repeated from one monograph to another does not mean that it is necessarily a series title.

The following types of phrases are not treated as series titles:

- Slogans or mottos, e.g., "The Best in Tests"
- Phrases provided by publishers to help bookstores sort books into general categories, e.g., "American History"
- Unnumbered OR numbered phrases solely containing the name of a commercial publisher or in-house editor and a general term such as "publications." Example: Middle Atlantic Press book; Macmillan publications
- Unnumbered phrases that just include the name of a non-commercial publisher, e.g.: Middle East Council book (but: numbered phrases by a non-commercial publisher ARE treated as titles)

Whether or not we can establish a phrase as a series may have important consequences for library processes. Consider the scenario: A publisher markets a group of books by a phrase that does not qualify as a series 'title.' The result is a miss-match between records needed by Acquisitions for ordering/receiving and records that are created by Cataloging. In addition, the phrase will not be

included in browse (non-keyword) indexes in the library catalog. Library users will not be able to retrieve all the volumes in the group through the title index, for example. Still, in order to ensure consistency in cataloging, the fact that the phrase is not to be treated as a series title needs to be recorded somewhere. So catalogers do establish records in the authority file to note phrases that are not to be considered series titles, and to instruct other catalogers on what to do. In some cases, catalogers will retain the phrase in the record for the analytic, as a quoted note. In other cases, the phrase may be ignored. More information on Series-like phrases is given in other modules of this training.

[NOTE: In comparison to monographic series and multipart monographs, series-like phrases comprise on 3-4% of the series authority records in the LC/NACO Name Authority File.]

## Why Control Series? Researcher's Perspective

- Find heading: If title varies:
  - Papers of the Center for Korean Studies
  - Paper
- Identify: If numbering style varies:
  - v. 1, no. 2, v. 3...
- Obtain: If library practices have changed:
  - All vols. in call number BF1 .P93—except the most recent (which was given its own number)

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Now let us turn to the question of Why Control Series?

[NOTE: Trainers should illicit responses from the participants]

There are many reasons why series should be controlled. Many people have a stake in having controlled series headings. For example:

1) As a researcher uses the catalog to find, identify, select, obtain, and navigate, inconsistencies may frustrate the research process in several ways. Controlling headings helps researchers find the right title even if the title varies from item to item.

2) For librarians controlling series helps to ensure that we can identify series even if things like numbering style or the title varies from one item to the next.

3) For public services or reference librarians controlled series can help to give them access to information about how to get a series even if library practices have changed, for example they can help to document decisions about what call numbers have been assigned to series volumes.

## Why Control Series? Staff Perspective

- Cost Savings: No need to re-make decision each time another volume is received; or have to clean up records with inconsistencies
- Efficiency: Enhance consistency and predictability, What is best use of time?
- Inventory control: Did library get everything for which it paid?

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Internal costs of not controlling series may also lead to 'hidden' costs

## Why Control Series? Authority Maintenance Perspective

- Document decisions
- Serve as reference tool for catalogers
- Control form of access
- Support access to bibliographic file (notes & references)
- Link from authority to bibliographic records

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Even though controlling series has many benefits for others who are in the library for technical services staff authority records also have many other benefits: The series authority record documents decisions made, in terms of the authorized form and the source—what the person making the decision was looking at when making the decision. In the case of a series-like phrase, for example, the authority record documents the fact that a heading will NOT be treated as a series.

The authority file serves as a reference tool during the cataloging process, for established headings; it may also serve the same function for Acquisitions staff, depending on training and workflow.

Where variants forms for the same heading are present, the authority record provides data that helps ensure consistent use of one heading.

Support access to the Bibliographic file: In some authority files, both the used and reference (unused) entries assist users to find references and authorized forms.

## Summary

- What are Series?
- What are the characteristics of the two major types of series?
- Why is it important to control series?

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In summary we have discussed the general idea of series and what they are. We have also discussed how series fit into the various modes of issuance found in the publishing world. We have discussed the two major types of series, monographic series and multipart monographs and have identified ways to distinguish between the two types. We have discussed generally how series work in both the bibliographic files and in the authority files. We have concluded by looking at the concept of series-like phrases and the issue of why we should control series.

**Fundamentals of Series  
Authorities: An ALCTS/PCC  
Workshop**

**Part 1:  
Module 2: The Series  
Authority Record**

1

## Objectives

- Give an overview of the most important fields in series authority records
  - variable and fixed fields
- Include examples of each
- Have a quick summary review at the end

2

This module follows up on the concept of series authority records, introduced in the preceding module. It presents a broad, general overview, however, and not an in-depth coverage of authority records. It covers only the most important fields to give a basic introduction to series authority records.

## Overview: Primary MARC 21 Fields in Series Authority Records (SARs):

- **008**: Fixed length data elements
- **1XX**: Established series heading
- **4XX**: *See from* reference from non-established form
- **5XX**: *See also from* reference from related established heading
- **64X**: Series treatment fields
  - **640-642**: Series numbering
  - **643**: Series publisher
  - **644-646**: Local series treatment
- **667, 670, 675** - Notes

3

These are the MARC fields for the series authority record that we will be discussing during this session. It is not an exhaustive list of everything contained in a SAR, but it highlights in general the most important areas that will be covered in the upcoming slides of this session.

[NOTE: These tags may not mean anything to some participants yet, but they will by the end of the workshop. Participants have a list of selected MARC 21 SAR fields in Appendix A of their manuals. They might want to pull this out and refer to it during this session. This module is designed to give participants a general overview of the MARC fields. Full information about how these fields are designed and formulated in the creation of authority records will be given in later parts of this training. Trainers are encouraged to focus on the fields, their definitions and basic uses. Full discussions of how they will apply in series authority record creation should be tabled until later in the training]

## Series Headings and References

- **1XX:** Established series heading
- **4XX:** *See from* reference from non-established form of heading
- **5XX:** *See also from* reference from related established heading

4

The first MARC fields we will discuss are the 1XX, 4XX and 5XX fields. These are the three fields that contain series headings and references.

The 1XX field is where the established form of the series heading is placed. This is the “authorized form of the heading” and it will be the form that is used in the bibliographic records. Consistent use of this form collocates all of the “same” series together in an index which allows for easier access to series information.

The 4XX field is where we place alternative forms of the series title. These are see from cross references. They are “unauthorized” forms of a title and they are used to direct users to the correct form which is found in the 1XX field.

The 5XX field is used when we have, for whatever reason, two “authorized” forms of a series and users need to be guided between the two. These are see also from cross references. They are “authorized” forms that guide users to other “authorized” forms.

The “XX” stands for the other possible numbers that can follow these fields. For example we can have a 130 field or a 410 field. Lets take a look at a few specific examples of each of these fields.

## Examples: 130 Series Headings

- Uniform title series heading
  - 130 \_0 \$a **How-to-do-it manuals for libraries**
- Uniform title series heading with qualifier
  - 130 \_0 \$a **Philosophy now (Montréal, Québec)**
- Uniform title series heading with subseries (number and part \$a ... \$p)
  - 130 \_0 \$a **American university studies. \$n Series III, \$p Comparative literature**

5

The 1XX field in a series authority record contains the established form of the series heading.

Here we see three fairly common different types of series that have been formulated as a 130 uniform title heading.

This slide illustrates three different types of series titles under authority control which participants might see fairly frequently. A “uniform title” is the name given in AACR2 for an authority-controlled title access point. Controlled titles for series and for works of music, literature, etc. are examples of uniform titles. As with any controlled or standardized forms, the primary purpose is for access and collocation within the catalog or database. A series uniform title is a standardized form of title used to uniquely identify a series, distinguish it from other series which have otherwise identical titles, and gather together all items that belong to the same series. As with the second example, qualifiers are added to distinguish one series title from another when they would otherwise be identical. The place of publication is the most frequently-used such qualifier, given in parentheses. Also, as in the last example, monographic series may be divided into sections called subseries. Subfield \$n in the MARC record denotes “Number of part” and subfield \$p denotes “Name of part.”

[NOTE: Specific instructions on how to formulate a uniform title heading, as well as when to add qualifiers is given later in this training.]

## Examples: 100 Series Headings

- Personal name-title proper series heading (\$a...\$t)
  - **100 1\_ \$a Powell, Anthony, \$d 1905-2000. \$t Dance to the music of time**
- Personal name-collective uniform title series heading (\$a...\$t)
  - **100 1\_ \$a Mozart, Wolfgang Amadeus, \$d 1756-1791. \$t Works. \$f 1990**

6

Sometimes series titles are formulated with the name of a person in front of the uniform title making them Name-title. These are much less frequent than the previous kind of series title headings, but they do come up, especially for multipart monographs. These types of headings are in a 100 field because the personal name appears first and the title is given after that in a subfield \$t.

For some collected sets of complete works of literary authors, musical composers, etc., a unique collective uniform title is created using the word “Works” along with the date of the first volume of the collected set added in a subfield \$f, as shown in the second example. [NOTE: These types of headings have very specific rules that cover them and they will only be briefly touched upon in this training]

[NOTE: Specific instructions on how to formulate a name-title headings and brief information about works is given later in this training.]

## Example: 4XX See From References

130 \_0 \$a VLSI systems series

**430 \_0 \$a V.L.S.I. systems series**

**430 \_0 \$a Addison-Wesley VLSI systems series**

7

As with other authority records (name, subject, etc.), the 4XX field serves as a “See From” reference or “tracing.” The forms of titles that appear in the 430 field on this slide are variant forms of the uniform title, not selected as the established heading. They might be the form that appears on an individual item in a series, or it may be a variant by which users might be expected to search. In local integrated library systems, they should also function as active cross-references to take users from the non-established (or non-preferred) to the established (or preferred) form.

[NOTE: These forms are very important to recognize when searching an authority file to identify the established form of a series heading.]

## Examples: 4XX See From References

130 \_0 \$a Studies in eighteenth-century culture

**430 \_0 \$a Studies in 18th-century culture**

100 1\_ \$a Powell, Anthony, \$d 1905-2000. \$t Dance to the music of time

**430 \_0 \$a Dance to the music of time**

8

Here are two additional examples of uniform title 430 references from non-established to established forms.

In the first, there is a reference from the form of the series title with “18<sup>th</sup>” to the form with “eighteenth” as users might type the form “18<sup>th</sup>” into a search instead of the word spelt out. It is also possible that the 18th form might also appear on some instances of resources published as part of this series. [NOTE: As is certainly possible with this case there are certain times that catalogers are allowed to make references even when the from does not appear on a published item. These rules will be covered later in the training]

The second example on this slide illustrates a reference from the series title alone to the established name-title heading. Having this 430 reference on the record allows a cataloger, acquisitions staff member, or end user to be directed from this variant form to the established form.

## Example: 5XX See Also From Reference

130 \_0 \$a Routledge studies in defense and peace economics  
**530 \_0 \$w a \$a Studies in defense economics (Chur, Switzerland)**

130 \_0 \$a Studies in defense economics (Chur, Switzerland)  
**530 \_0 \$w b \$a Routledge studies in defense and peace economics**

*Control subfield \$w:* code in position 1 = type of relationship

- "a" = earlier heading
- "b" = later heading

9

As we stated earlier the 5XX field is used when we have, for whatever reason, two "authorized" forms of a series and users need to be guided between the two. These are see also from cross references. They are "authorized" forms that guide users to other "authorized" forms. This example illustrates the relationship between the 130 and 530 fields. Here we have two related, reciprocal authority records, one for the current form of the series title and the other for an earlier form. Both valid headings are represented in their own records as 130. To connect the two headings we have also added 530 fields into the records so that users can be guided between the two different forms.

The control subfield "w" at the beginning contains a code that indicates the type of relationship between the two headings. In most cases this relationship is that of an earlier heading to a later heading.

In this example, the current form of the series title is Routledge studies in defense and peace economics, while the earlier form was Studies in defense economics (Chur, Switzerland). So the "a" code in the \$w indicates that Studies in defense economics an earlier form and the "b" code indicates that Routledge studies is a later form.

While the \$w is displayed here at the beginning of the field please note the position of the \$w within the reference can vary from system to system.

[NOTE: The place of publication was used as the qualifier in this instance because the earlier title was not unique]

## Fields 640-646

- 640-642 cover series numbering
- 643 covers series place and publisher
- 644-646 cover series treatment decisions

10

Next let us look at the 64X fields. These fields are grouped into sections of related fields. These fields are unique to series authority records.

The 640-642 fields contain information about the series numbering.

The 643 fields includes information about by whom and where the series is published.

Fields 644-646, contain information concerning the treatment of a series represented by the heading in a 1XX field in the same record.

The data elements and fields that are used to record series treatment information also include three character positions in field 008, and sometimes also classification number fields in the 01X-09X range. The 008 and classification numbers will be discussed later in this session.

## Series Numbering Fields

- 640 - Series Dates Of Publication And/Or Sequential Designation
- 641 - Series Numbering Peculiarities
- 642 - Series Numbering Example

11

The 640, 641, and 642 are fields in the series authority record that deal specifically with series numbering.

Of these the 642 field is the most significant so this is the only one we will discuss in this module. The other two are listed for participants' general information and reference.

[NOTE: Additional information about the 640 and 641 fields is given in another module of this training]

## Examples: 642 Series Numbering Example Field

130 \_0 \$a Annals of the International Institute of  
Sociology. \$p New series

**642** \_\_ \$a v. 8 \$5 DLC \$5 DPCC

130 \_0 \$a Buffy, the vampire slayer (Series)

**642** \_\_ \$a #1 \$5 DPCC \$5 OCI \$5 DLC

100 1\_ \$a Powell, Anthony, \$d 1905-2000.  
\$t Dance to the music of time

**642** \_\_ \$a 9 \$5 DPCC \$5 DLC

12

The 642 field gives a numbering example for the series that documents how numbering is handled in a standardized and consistent way in the access point for the particular series in the bibliographic record.

Here are examples of three different types of numbering. You can see that the series authority record documents the authorized format to use for numbering associated with a series title. In the first two examples a designation, v. or #, is used in front of the numbering. In the third example, the number alone is used without any preceding designation.

The 642 numbering example provides descriptive catalogers with an example of how to record series numbering in the series access point in the bibliographic record.

The \$5 at the end of the 642 field indicates to which library this form of numbering applies. In this subfield MARC institution codes are used to tell each institution the right way to formulate series numbering for their local needs.

[NOTE: Information on how content for the 642 is obtained and formulated as well as the use of the \$5 is given in another module of this training]

## Series Publisher: 643 Field

- Series Place and Publisher/issuing Body
- Subfield Codes
  - \$a - Place
  - \$b - Publisher/issuing body
  - \$d - Volumes/dates to which place and publisher/issuing body apply

13

The 643 field in the authority record records the place of publication (in the \$a) and the name of the publisher or issuing body (in the \$b) of the series named in the 1XX field of an established heading record for a series. This is the same information as in the 260 in a bibliographic record. Sometimes when the publisher has changed over time the volumes/dates to which the publication information applies may also be present (in a \$d).

[NOTE: If a series has both an issuing body and a publisher, the publisher is recorded in 643 and the issuing body in a 410 name + title reference]

## Example: 643 Series Publisher

100 1\_ \$a Powell, Anthony, \$d 1905-2000. \$t Dance to  
the music of time

**643 \_\_ \$a London \$b Heinemann**

130 \_0 \$a How-to-do-it manuals for libraries

**643 \_\_ \$a San Diego \$b Wadham Publishers \$d  
1999-**

**643 \_\_ \$a New York \$b Neal-Schuman Publishers \$d  
1973-1998**

14

Here are two examples of series place and publisher information.

Note that the ISBD punctuation that would be present in the data elements if they were in the 260 of a bibliographic records is not used in the authority record 643 field.

In the second example, there are two 643 fields. The dates given in \$d for each field indicate that the series was published by Neal-Schuman Publishers from 1973-1998 and by Wadham Publishers from 1999 to the present.

## Local Treatment: 644-646 Fields

- Document local decisions for treatment including analysis, tracing, and classification
- Fields
  - 644 = analysis decision
  - 645 = tracing decision
  - 646 = classification decision

15

The 644, 645, and 646 treatment fields, document local decisions for the analysis, tracing, and classification of series.  
These are all optional fields; therefore not all SARs will have them.

## Local Treatment Fields

- \$5 -Institution to which the field applies
  - PCC's \$5 code is "DPCC"
  - Only PCC SAR libraries can add their decisions to the LC/NACO Authority File version of the record
  - Other libraries may follow these decisions, or record their own treatment decisions in their local SARs
- \$d - Volumes/dates to which treatment practice applies

16

As with the 642 field the \$5 is used in the 644, 645 and 645 fields to record to which library a treatment practice applies, since in principle, series treatment is a local decision. When libraries decide to treat things differently they will record their own decisions on the record and use the \$5 to indicate them.

The \$d may also be used in these fields to tell to which volumes a treatment decision applies. This subfield is used when treatment decisions may have changed over time, but existing volumes under the old treatment decisions will not be re-cataloged to meet the new decisions.

## Analysis Decision: 644 Field

- “Analysis”
  - whether a separate bibliographic record is created for an individual resource within the series
- “Analyzed in full”
  - a bibliographic record is created for every individual resource
- “Analyzed in part”
  - a bibliographic record is created for only some individual resources
- “Not analyzed”
  - separate bibliographic records are not created; there is only a series-level bibliographic record

17

We covered the concept of analytic bibliographic records in the earlier module. In the series authority record the 644 field tells the cataloger how the concept of analytics should be applied. Analysis means breaking down into component parts. In cataloging parlance, it means creating bibliographic descriptions for parts of a larger bibliographic resource. Catalogers have three options for analysis: 1) analyzing in full, meaning that every resource has its own record; 2) analyzing in part which means only some of the resources with have their own individual records; or 3) no analysis meaning that there will be only one bibliographic record to represent the entire resource.

## Analysis Decision: 644 Field

- **\$a** - Series analysis practice
  - f** - Analyzed in full
  - p** - Analyzed in part
  - n** - Not analyzed
- **\$b** – exceptions to analysis practice given in **\$a** of same field

18

Field 644 contains a one-character alphabetic code that indicates what type of analysis is being done for a series named in the 1XX field of an established heading record for a series.

The code specifies whether all (code f), some (code p), or none (code n) of the volumes of a series are analyzed. The field may also contain the volumes/dates (\$d) and/or the institution/copy identification (\$5) to which the practice applies.

The 644 field allows a \$b for recording exceptions to analysis practice given in \$a of same field. This subfield is only valid in this field.

## Examples: 644 Series Analysis Practice

130 \_0 \$a How-to-do-it manuals for libraries  
**644 \_\_ \$a f \$5 DLC**

100 1\_ \$a Bach, Johann Sebastian, \$d 1685-1750. \$t Works. \$f 1954

**644 \_\_ \$a p \$d analyzable parts \$5 DLC**

– *Some volumes in the series do not have individual, analyzable titles*

19

In the first example: the series is analyzed in full, which means that a separate bibliographic record is created for every volume in the series.

The second example is given as an illustration of a less common situation, “analyzed in part.” In this example, a separate bibliographic record is created only for **some** volumes in the series. This treatment option is usually used when not every volume in the series has its own individual title. Some volumes may bear only the title of the series with no distinctive title. In such a case the individual volumes cannot be “analyzed” and are not given their own record because they do not have a distinctive title proper that could be entered into the 245 field of a bibliographic record.

## Examples: 644 Series Analysis Practice

130 \_0 \$a Colorado history (Denver, Colo.)

**644 \_\_ \$a n \$b except no. 3-4 \$5 DLC**

**644 \_\_ \$a p \$5 OkS**

20

Another fairly uncommon situation is when series are not analyzed. When a series is not analyzed you usually don't have a series authority record for it since all the volumes will be represented on a bibliographic record. However sometimes it is necessary to create a series authority record as is this example. The Library of Congress didn't analyze this series, except for numbers 3-4. That is, they have created separate bibliographic records only for numbers 3 and 4 in the series and not for the others. Oklahoma State University, on the other hand, has made the local decision to analyze this series in part, which presumably means that they will create separate bibliographic records for a larger number of volumes than only no. 3-4, but not for all volumes in the series.

## Tracing Practice: 645 Field

- “Traced” means that an authority controlled access point will be made
  - FYI: Terminology comes from the card catalog:  
“Traced” would get its own card; “Not Traced” would only be listed in the “tracing” at the bottom of the card
- \$a - Series tracing practice
  - **t** - Traced as a series added entry
  - **n** - Not traced as a series added entry

21

The 645 field contains a code that indicates a specific organization's tracing practice for a series named in the 1XX field of an established heading record for a series. That is, it indicates whether or not the organization provides a controlled access point for the series title in its catalog. For those series that will have a controlled access point the code “t” is used, for those that will not the code “n” is used. The volumes/dates and/or the institution/copy identification to which the tracing practice applies may also be present.

## Examples: 645 Series Tracing Practice

130 \_0 \$a How-to-do-it manuals for libraries  
**645 \_\_ \$a t \$5 DLC**

130 \_0 \$a Annals of the International Institute of  
Sociology. \$p New series  
**645 \_\_ \$a t \$5 DPCC \$5 DLC**

Subfield \$5 with code DPCC signifies that all the  
Program for Cooperative Cataloging BIBCO libraries  
should follow this practice.

22

Here are two examples of traced series.

In the second example, note the second \$5 with code DPCC signifies that all the Program for Cooperative Cataloging, or BIBCO libraries should follow this practice.

## Classification Practice: 646 Field

- **\$a** - Series classification practice
  - **c** - Volumes are classified as a collection. A classification number assigned to the whole series
  - **m** - Volumes are classified with main or other series.
  - **s** - Volumes are classified separately. No classification number is assigned to the series as a whole.

23

The 646 field contains a code that indicates a specific organization's classification practice for a series named in the 1XX field of an established heading record for a series.

Code “c” indicates that all volumes will be classed together, or in other words all volumes will share the same call number; Code “s” indicates that the volumes are classified separately so that each individual volume will have its own call number and no two will be alike. Code “m” is essentially the same as code “c” in that the series is classed together. However this code is applied when we have a main series and a subseries but the call number is assigned only to the main series.

The volumes/dates (\$d) and/or the institution/copy identification (\$5) to which the classification practice applies may also be present.

## Examples: 646 Series Classification Practice

130 \_0 \$a How-to-do-it manuals for libraries

**646** \_\_ \$a s \$5 DLC

**050** \_\_ \$a M3 \$b .B1133

100 1\_ \$a Bach, Johann Sebastian, \$d 1685-  
1750. \$t Works. \$f 1954

**646** \_\_ \$a c \$5 DLC

24

In the first example, each volume in the series is classified separately; that is, each is assigned a classification number based on its individual subject content. In terms of complete call numbers and arrangement of books on shelves, it means that the individual volumes within this series will be placed in different locations throughout the library. Each volume in the series will be placed with other items on the same subject as that specific volume.

In the second example, the individual volumes in the series are classed together. The 050 field documents the classification number used to class together all volumes in the series

In libraries that arrange their volumes on shelves by LC call number, all of the volumes will sit next to each other in sequential order by series numbering.

## Examples: 646 Series Classification Practice

050 \_\_ \$a RC544 \$b .A57

130 \_0 \$a Assessment of personality disorders

646 \_\_ \$a c

050 \_\_ \$a RC544 \$b .A57 subser.

130 \_0 \$a Assessment of personality disorders.

\$p Avoidant personality disorders

646 \_\_ \$a m

25

Here is an example of a main series that is classed together. We can see the 050 field with the call number. In addition to the main series there is also a subseries. Here we classify all the volumes with the main series even if they are additionally part of the subseries. The call number is the same as the call number assigned to the main series. In this example we can see that the subseries record has the same call number as the main series record with the addition of "subser." to indicate that this is the subseries record but all volumes will be classed and numbered with the main series.

## Notes Fields: 667, 670, 675

- **667 Nonpublic General Note**
  - General information about a 1XX heading; for catalogers & other librarians; not for the public
- **670 Source Data Found**
  - Document usage on which the 1XX heading and variants (4XX) are based; may also be used to indicate the reason for a see also reference (5XX).
- **675 Source Data Not Found**
  - Documents sources consulted where information specifically regarding the 1XX heading was NOT found

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In the series authority record notes are given in the 667, 670 and 675 fields.

The 667 field is used to tag a special notes about how to handle this series-like phrase.

The 670 and 675 notes provide citations in authority records to works that have been consulted and the information that was found in those consulted sources for the establishment of the series heading and references.

## 667 Nonpublic General Note Example

130 \_0 \$a Donald Strachey mystery

**667 \_\_ \$a Give phrase as a quoted  
note if not already recorded in the  
body of the entry.**

27

The 667 is used to tag special notes that are relevant to the series authority record. One of the common uses of this field is to give notes about how to handle series-like phrases. In this example special instructions are given to the cataloger about how this series should be treated. [NOTE: More information about series-like phrases will be given later in the training] This is a note intended for catalogers and not for the public.

## 670 Source Data Found Example

100 1\_ \$a Powell, Anthony, \$d 1905-2000.  
\$t Dance to the music of time

**670 \_\_ \$a The military philosophers,  
1968: \$b ser. t.p. (A dance to the music  
of time)**

**670 \_\_ \$a An invitation to dance, 1977:  
\$b jkt. (Ninth volume of ... A dance to  
the music of time)**

28

The 670 note provide citations in authority records to works that have been consulted where information was found that impacted the establishment of the series authority headings and references.

The general purpose of the 670 is to document usage on which the 1XX heading and variants (4XXs) are based. It may also be used to indicate the reason for a see also reference (5XX).

## 675 Source Data Not Found

130 \_0 \$a ASUC (Series)

**675 \_\_ \$a Rhombohedra, p1989: label (SCI)  
container (Society of Composers; SCI  
record series)**

29

The 675 note provide citations in authority records to works that have been consulted but where information was not found that impacted the establishment of the series authority headings and references. Such citations are used to document where catalogers have looked even if no information was found there. 675 fields are most often used to justify the 5XX reference in an SAR.

## 008/12: Type of Series

- **a** - Monographic series
  - Used for a series that does not have an expected end
- **b** - Multipart item
  - Used when the cataloger knows that the series does have an expected end or a finite number of volumes
- **c** - Series-like phrase
  - Used when a phrase will not be treated as a series; recording such a decision in an SAR saves time for other catalogers
- **z** – Other
  - Used when the 1XX field contains a heading for a publication that does not fit any of the other defined codes but for which series-type treatment is required

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The series authority record also contains fixed fields that provide additional information. For the purpose of this training we will refer to the various fixed fields by their MARC designations only. Most integrated library systems use “mnemonics” to represent these fields, but because these vary from system to system it will be necessary for participants to consult with their systems documentation to determine how these fields will appear locally.

Position 12 of the SAR 008 indicates the type of series heading contained in the 1XX field in an established heading record.

The MARC21 codes for this element are:

a - for Monographic series: The 1XX field contains a collective series heading that applies to a group of separate publications and/or subseries.

b - for Multipart item: The 1XX field contains a collective heading that applies to a multipart monographic publication.

c – for Series-like phrase: The 1XX field contains a phrase that is not being used as a series in a bibliographic record.

z – for Other: The 1XX field contains a heading for a publication that does not fit any of the other defined codes but for which series-type treatment is required.

Note: A series entered under personal name is usually a multipart item.

## Examples: 008/12 – Type of Series

**008/12 a** ← monographic series  
130 \_0 \$a How-to-do-it manuals for libraries

**008/12 b** ← multipart item  
100 1\_ \$a Powell, Anthony, \$d 1905-2000.  
\$t Dance to the music of time

**008/12 c** ← series-like phrase  
130 \_0 \$a Donald Strachey mystery

31

Here are some examples of three different codes for three different types of series.

### **008/12 a**

130 \_0 \$a How-to-do-it manuals for libraries  
Coded “a” because no one knows how many volumes will be in this series

### **008/12 b**

100 1\_ \$a Pullman, Philip, \$d 1946- \$t His dark materials  
Coded “b” because it is known that this resource will have a definite end

### **008/12 c**

130 \_0 \$a Donald Strachey mystery  
Coded “c” because this phrase will not be used in a 4XX series field in a bibliographic record, and this SAR will have a 667 field to tell catalogers what to do with these words

## 008/13: Numbered or Unnumbered Series

Indicates the numbering characteristics of the series (or series-like phrase) represented by the 1XX heading.

- **a** - Numbered
- **b** - Unnumbered
- **c** - Numbering varies

32

Position 13 of the SAR 008 indicates the numbering characteristics of the series (or series-like phrase) represented by the 1XX heading.

Code “a” indicates that a series is numbered; Code “b” that a series is unnumbered; and code “c” that the numbering has changed over time.

If the SAR represents a numbered series, the authority record will also have a 642 series numbering example field.

## Summary Review: SAR for Unnumbered Series

### Series Authority Record:

008/12 a  
 008/13 b  
 130 \_0 \$a Oxford care manuals  
 643 \_\_ \$a Oxford \$a New York \$b  
     Oxford University Press  
 644 \_\_ \$a f \$5 DNLM  
 645 \_\_ \$a t \$5 DPCC \$5 DNLM  
 646 \_\_ \$a s \$5 DNLM  
 670 \_\_ \$a Harwood, Rowan. Stroke  
     care, 2005: \$b Cover p.1 (Oxford  
     care manuals)

### Field Content Review:

- 008/12: "a" = monographic series
- 008/13: "b" = unnumbered
- 130 = established title heading
- 643 = series place and publisher
- 644: "f" = analyzed in full
- 645: "t" = traced
- 646: "s" = classed separately
- 670 = source for series data

***See next page for large print version of this information***

33

Here is a full review of the main fields and codes covered in this session. The fields in the SAR are presented on the left side, and the meaning of the fields and codes are presented on the right side.

Since this may be difficult to read a larger print version of this information is included on the next page.

Of special note on this slide:

This is an unnumbered monographic series.

It is analyzed in full, traced, and classed separately according to NLM and/or PCC policy

## Summary Review: SAR for Numbered Series

### Series Authority Record:

008/12 a  
 008/13 a  
 050 \_4 \$a CB411 \$b .S8 \$5 NNU  
 130 \_0 \$a Studies in eighteenth-century culture  
 430 \_0 \$a Studies in 18th-century culture  
 642 \_\_ \$a v. 1 \$5 NNU  
 643 \_\_ \$a Cleveland, Ohio \$b Press of Case Western Reserve University  
 644 \_\_ \$a f \$5 NNU  
 645 \_\_ \$a t \$5 DPCC \$5 NNU  
 646 \_\_ \$a c \$5 NNU  
 670 \_\_ \$a The modernity of the eighteenth century, 1971: \$b t.p. (Studies in eighteenth-century culture)

### Field Content Review:

- 008/12: "a" = monographic series
- 008/13: "a" = numbered
- 050 = LC classification number (because classed as a set/collection)
- 130 = established title heading
- 430 = "see from" cross reference
- 642 = series numbering example
- 643 = series place and publisher
- 644: "f" = analyzed in full
- 645: code "t" = traced
- 646: code "c" = classed as a collection
- 670 = source for series data

***See next page for large print version of this information***

34

Of special note on this example:

This is a numbered monographic series; it includes a series numbering example in field 642

According to NNU policy, the individual parts are classed together as a collection or set, and the LC classification number is given in a 050 field

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**Fundamentals of Series  
Authorities: An ALCTS/PCC  
Workshop**

**Part 1:  
Module 3: Series and the  
Bibliographic Record**

1

## Objectives

- Give an overview of:
  - Functions, sources, & components of series statements in bibliographic records
  - MARC fields for series in bibliographic records
  - Relationship between series authority records and bibliographic records

2

This session covers a very brief overview of the AACR2 rules for series, the MARC fields for series in the bibliographic record, primarily using examples to illustrate the use of the 440, 490 and 830 fields, and the relationship between series data in authority records and in bibliographic records.

## Series Statements in Bibliographic Records

- Description / identification function
  - Series titles and numbering are transcribed from the resource as they appear there
- Access / collocation function
  - Series titles and numbering are presented in a standardized form of access point for retrieval and indexing

3

These are the two traditional primary functions of the library catalog.

First the description and identification function. This function describes an item exactly as it is so that it can then be identified in the library catalog. For example when we think of the title of a book we describe it just as it is and place that information into the library catalog so users can identify the item they want.

Second is the access and collocation function. This function allows for access to be provided to information. This information need not be described exactly, so it may be formulated according to various rules and standards. This formulation controls points of information so that all like information is the same. This in turn allows for computer systems to collocate this information into one group.

The distinction between description and access is directly relevant to series information because series information in the bibliographic record fulfills both these functions and the difference in use is expressed between MARC fields 440 and 490 for transcribing series statements and the use of 440 and 830 for series added entries.

## Series Description / Identification

- Transcribe series statement from the resource following **AACR2 1.6 rules**
- See also **LCRI 1.6** for extensive guidance on series transcription
- Note: a resource may belong to more than one series, in which case two or more series statements are recorded

4

AACR2 chapter 1.6 covers the standards and rules for series statements in general, and the corresponding LCRIs also covers additional standards.

Catalogers are directed to transcribe series statements from an item into the bibliographic record following the rules in AACR2 section 1.6. If more than one series is present then multiple series statements may be recorded.

## Prescribed Sources of Information for Series Statements

- The prescribed sources for series statements are listed in priority order in each chapter of Part I of AACR2
  - For example, for printed monographs, Rule 2.0B2 lists: series title page, monograph title page, cover, rest of the publication
- LCRIs offer further guidance

5

When we transcribe series statements from an item into the bibliographic record following the rules we take that information from a variety of sources on the item (i.e. title pages, covers, etc.). To assist in applying the rules and selecting the appropriate title for the series transcriptions AACR2 gives us a list of prescribed sources where series information will be transcribed from. The sources for each category are listed in priority order to further assist in choosing amongst various sources. The LCRIs also offer additional guidance about which sources to use when you are transcribing series statements into the bibliographic record.

[NOTE: While specific types of resource are too detailed to cover in this session; here is a list of priority sources for other resources for additional information as needed by the trainer

Printed monographs: 2.0B2

Series title page, monograph title page, cover, rest of the publication

Cartographic materials: 3.0B3

Chief source of information, accompanying printed material

Published music: 5.0B2

Series title page, title page, caption, cover, colophon, other preliminaries

Sound recordings: 6.0B2

Chief source of information, accompanying textual material, container

Motion pictures and video recordings: 7.0B2

Chief source of information, accompanying material, container

Electronic resources: 9.0B2

Chief source of information, information issued by the publisher, creator, etc., container

Printed continuing resources: 12.0B3

Series title page, analytical title page, cover, caption, masthead, editorial pages, colophon, rest of the resource]

## Series Title Page

- “An added title page bearing the series title proper and usually, though not necessarily, other information about the series (e.g., statement of responsibility, numeric designation, data relating to publication, title of the item within the series).”
  - AACR2 Glossary
- Common in books, atlases, printed music, and printed-text serials

6

One source where series information is found that is of special importance for books and other printed materials is the series title page. The series title page is arguably the most common place which series statements are found in items so they can be recorded in bibliographic records.

The series title page is normally found in the position facing the volume title page or preceding the volume title page.

## Series Statements Components

### Includes

- Title proper of series

### May include one or more of the following

- Parallel title of series
- Other title information of series
- Statement of responsibility relating to series
- ISSN of series
- Numbering within series
- Subseries

7

Series statements found in the bibliographic record may consist only of a title proper, but may also include one or more of the other elements listed on this slide.

The transcription of data elements title proper through statement of responsibility in series statements are essentially the same as for those data elements recorded in the 245 field, because the series statement is in effect a title and statement of responsibility area for the larger bibliographic resource. The major difference is that both other title information and statements of responsibility are not mandatory in the series area (the rules say to include them “if considered important”).

## Series Access / Collocation

- Create an authority-controlled access point (added entry) for the series title following the rules in AACR2, rule 21.30L
- The form of the series access point must match the 1XX field from the correct series authority record (SAR)

8

In addition to describing series statements as they appear on the resource being cataloged, catalogers are also instructed to create, in most cases, standardized access points for searching, indexing, and collocation of series titles in the catalog. This is covered in AACR2 chapter 21 –specially rule 21.30L.

The form of this access point standardized according to the rules will most likely appear in the bibliographic record but it will also be recorded in a series authority record. So access points in the bibliographic record must be identical to that in the 130 or other 1XX field in the appropriate series authority record

## Series Fields In Bibliographic Records

- **440** field
  - used when series on item is identical to SAR
  - 440 then serves as both description and access functions at same time
- **490** field
  - **490 0**\_
    - Used when only a description of the item will be used and an established form will **not** be given as access point (i.e., not “traced”).
  - **490 1**\_
    - Used for the description of an item and then then established form from SAR **will** be given as access point in field 8XX (i.e., “traced”)

9

The 4XX fields in the bibliographic record contain series statements.

Field 440 also provides an added entry for the series. That is, it serves two functions at the same time (the two primary functions of the catalog): description and access: it (1) records the series statement as it appears on the item and (2) it provides an authority-controlled access point for the series at the same time. This can be done only if the series statement as transcribed from the resource matches the established form as documented in the authority record and if in addition the numbering style matches that specified in the authority record.

A series is transcribed into the 490 series statement if either there will be given no added entry in the record (untraced) or if it is given an added entry in a different form in the 800-830 fields (traced).

In this case a single field in the bibliographic record cannot serve both functions at the same time, and separate fields are needed for the two different functions. The 490 first indicator 0 is used when only a description is needed for the item and an established form or access point will not be given. The 490 first indicator 1 is used for the description of the item but in addition the access point is given in another field the 8XX. The 800-830 series added entry fields are thus used only in conjunction with field 490 first indicator 1.

## Series Fields In Bibliographic Records

- **490 1\_**
  - Description from the item in hand
  - Used when established form from SAR **will** be given as access point in field 8XX (i.e., "traced differently")
- **8XX** field
  - Used to give established form of series as access point when series on item is different from SAR

10

For example here the series would be in the 490 first indicator 1 if the description of the series statement for the item in hand is different than what the series access point would be when it is formulated according to other rules and standards. Because a single field in the bibliographic record cannot serve both functions of description and access at the same time, and separate fields are needed for the two different functions. Once again remember that the 800-830 series added entry fields are thus used only in conjunction with field 490 first indicator 1.

## Example 1: 440 Field

- Series title page has:
  - Oxford Care Manuals
- SAR has:
  - 130 \_0 \$a Oxford care manuals
  - 645 \_\_ \$a t \$5 DLC ← traced
- Bibliographic record will have:
  - 440 \_0 \$a Oxford care manuals**
- Series statement on item is identical to established heading in SAR, so 440 is used

11

As we have seen the description of a series statement into a bibliographic record and the formulated form of the access point for a series on an authority record play very important roles in determining what types of MARC tags will be used in the bibliographic record.

Here are some examples of how these two roles work together.

In this first example, the form of series statement on the resource matches the established form in the authority record exactly. Therefore the series statement is transcribed into a 440 field and serves as both bibliographic description element and controlled access point.

## Example 2: 490 0\_ Field

- Series title page has:
  - Pelican Books
- SAR has:
  - 130 \_0 \$a Pelican books
  - 645 \_\_ \$a n \$5 DLC ← *not traced*
- Bibliographic record will have:
  - 490 0\_ \$a Pelican books**
- Decision has been made **not** to include a standardized access point for the series (i.e., not to “trace” it)

12

In this case, when the cataloger searches the authority file for a record that documents the series statement that appears on the item, the cataloger discovers that the decision is to not trace this series title, that is, not to provide a controlled access point for it.

So this requires that the series statement be transcribed as it appears on the resource into the bibliographic record, but they will not make an added entry access point for it.

Therefore they tag the series statement in a 490 field with first indicator zero, which indicates that the series title will not be “traced.”

### Example 3: 490 1\_ Field

- Series title page has:
  - Hersch Lauterpacht Memorial Lecture Series
- SAR has:
  - 130 \_0 \$a Hersch Lauterpacht memorial lectures
  - 430 \_0 \$a Hersch Lauterpacht memorial lecture series
  - 645 \_\_ \$a t \$5 DLC ← traced
- Bibliographic record will have:
  - 490 1\_ \$a Hersch Lauterpacht memorial lecture series**
  - 830 \_0 \$a Hersch Lauterpacht memorial lectures.**
- Series statement on item is different from established heading in SAR, and decision has been made to include a standardized access point for the series (i.e., to “trace” it), so 490 1\_ and 830 are used

13

In this instance, the form of the series statement on the resource and the established form do not match, and the organization has decided to “trace” the series (provide a controlled access point for it).

Therefore the series statement as it appears on the resource is transcribed into a 490 field, and the first indicator “1” is used to indicate that an established form will also be provided as an access point in the catalog.

This access point is provided in an 830 field, and the form is identical to the form established in the corresponding series authority record.

## Example 4: Series Title with Common Name

- Series title page on resource has:
  - Philosophy now
- Publication information on title page verso:
  - McGill-Queen’s University Press, Montreal, Ithaca
- Authority file search results:
  - Philosophy now (Chesham, England)
  - Philosophy now (Montréal, Québec)
  - Philosophy now (Princeton, N.J.)
  - Philosophy now (Teddington, London, England)

14

Sometimes when a series access point is formulated according to the rules and standards it requires the addition of certain qualifiers to ensure that no two headings will be alike. This is the case in this example with a common title like Philosophy now. In this case places of publication were added to make sure that each title is unique. So in this scenario, when the cataloger searches for an SAR for the series title “Philosophy Now”, she encounters several hits, as illustrated on the slide. There are several series by different publishers that have this same title. Therefore the series titles need to be distinguished from one another by the addition of qualifiers. Only one is the correct series authority for the resource being cataloged.

[NOTE: When searching for a matching SAR in an authority file, the cataloger must look at the complete authority record, including the publisher information, to be certain it matches.]

For the series we are looking for the second item with the Montréal, Québec is the correct one. However because the qualifier does not appear on the work and it has been constructed according to the rules and standards, this is one of those where we have to make a distinction between the description and the access point of a series title.

## Example 4: Series Title with Common Name

- Correct SAR has:

130 \_0 \$a Philosophy now (Montréal, Québec)

643 \_\_ \$a Montreal \$a Ithaca \$b McGill-Queen's  
University Press

- Bibliographic record will have:

**490 1\_ \$a Philosophy now**

**830 \_0 \$a Philosophy now (Montréal, Québec)**

15

Here is the series authority record with the established form for the particular “Philosophy now” series that is applicable to the resource in this scenario. It is the one published in Montreal, as we can see from the 643 series authority record field that gives the place of publication and the publisher. As we noted earlier the established form of the series title includes the qualifier to distinguish it from other series by other publishers that also have the title “Philosophy now” so our bibliographic record must have a 490 first indicator one with the title as it appears on the book (description) and an 830 field with the access point that has been formulated accounting to the rules. Note the 130 in the series authority record and the 830 field are the same.

## Example 5: Name-Title Series Access Point

- Series title and numbering on item appear as:
  - Complete Mozart Edition, Volume 12
- SAR:
  - 100 1\_ \$a Mozart, Wolfgang Amadeus, \$d 1756-1791. \$t Works. \$f 1990
  - 430 \_0 \$a Complete Mozart edition. \$f 1990
- Bibliographic record will have:
  - 490 1\_ \$a Complete Mozart edition ; \$v v. 12**
  - 800 1\_ \$a Mozart, Wolfgang Amadeus, \$d 1756-1791. \$t Works. \$f 1990 ; \$v v. 12.**

16

Here is another case where we have to make a distinction between the description and the access point of a series title. In this example, the established form of the series is in the form of a personal name-collective uniform title access point. This form is used to collocate all works by Mozart within a given catalog. Because the established form of the series is not what appears on the item, we must use a 490 first indicator one with the description of what is on the item, and an 800 field for the established form of the access point. Note the 100 in the series authority record and the 800 field are the same. In this case we also add the addition of the \$v in the 800 field with the number of the volume.

## Example 6: Numbered Series

- Series title and numbering on item appear as:
  - Prose Series 66
- SAR has:
  - 130 \_0 \$a Prose series
  - 642 \_\_ \$a v. 1 \$5 DPCC \$5 DLC ← *Series numbering example*
- Bibliographic record will have:
  - 490 1\_ \$a Prose series ; \$v 66**
  - 830 \_0 \$a Prose series ; \$v v. 66.**

17

In some cases the need to make a distinction between the description and the access point does not depend on large differences in the series title as we have shown in our previous examples. In some cases it is the difference in numbering forms that necessitates use of the 490 and 830 fields for description/transcription vs. controlled access point. This is an example of a difference in numbering designation between the series numbering as it appears on the resource and the series numbering example (642) in the authority record. To ensure accurate indexing it is necessary to make sure that the form of numbering given in an authority record is controlled just like the full heading so we follow the pattern given in the 642. When the pattern is different on the book than on the authority record we use the 490 first indicator one and the 830 field to show this.

## Example 7: Series-Like Phrase

- Information on resource:
  - A Donald Strachey Mystery
- SAR has:
  - 008/12 c ← *Series-like phrase*
  - 130 \_0 \$a Donald Strachey mystery
  - 667 \_\_ \$a Give phrase as a quoted note.
- Bibliographic record will have:
  - [no 4XX or 8XX series statement]
  - 500 \_\_ \$a “Donald Strachey mystery.”**

18

Sometimes series information (or information that looks like a series) is not recorded in the 4XX or 8XX fields. Sometimes in this case the information is placed in a note field. In this case a cataloger decided that this phrase was not a series title and designated it as a series-like phrase, as we see according to the code in 008 position 12. So in this case the 667 field provides further guidance on how to handle this in the bibliographic record. The note tells us that the phrase should be given as a quoted note, so we will not have a 4XX or 8XX in this case but a 500 note as shown.

## Exercises

- Exercise 1: answer questions about the content of a series authority record
- Exercises 2-3: use the information provided about two resources and the appropriate SARs to correctly fill in bibliographic data and MARC coding of the series fields in the bibliographic record

19

[NOTE: Participants should now complete the following exercises. Exercises are given following the slides. Exercise answers are given next for trainers to show when going over them with participants. Participants will find their answer slides in appendix C in the manual]

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## Part 1 Module 3

**Exercise 1**

*Look at the authority record represented below, and answer the questions that follow it:*

008/12 a  
008/13 a  
010 \_\_ \$a n 86714984  
040 \_\_ \$a DGPO \$b eng \$c DLC \$d DLC \$d ICU \$d OkU  
050 \_\_ \$a QA3 \$b .U5  
130 \_0 \$a Applied mathematics series (Washington, D.C.)  
430 \_0 \$a National Bureau of Standards applied mathematics series  
410 1\_ \$w nna \$a United States. \$b National Bureau of Standards. \$t Applied mathematics series  
642 \_\_ \$a 7 \$5 DLC  
643 \_\_ \$a Washington, D.C. \$b National Bureau of Standards  
643 \_\_ \$a Washington, D.C. \$b U.S. Govt. Print. Off.  
644 \_\_ \$a f \$5 DLC  
645 \_\_ \$a t \$5 DLC  
646 \_\_ \$a c \$5 DLC  
667 \_\_ \$a Document.  
670 \_\_ \$a Supt. of Docs. no.: C 13.32:55/2  
670 \_\_ \$a LC data base, 8-12-88 United States. Dept. of the Army. Tables of binomial probability distribution, 1949 [1950]  
670 \_\_ \$a Handbook of mathematical functions ..., 1972: \$b t.p. (National Bureau of Standards applied mathematics series)

**Questions:**

- a) What is the established form of this series access point?
- b) What non-established forms are given as cross-references to it?
- c) Which MARC field contains the series publisher information?
- d) What information is conveyed in the 642 field?
- e) What is the meaning of subfield \$5 in fields 642, 644, 645, and 646?
- f) What do the codes in fields 644, 645, and 646 tell you?
- g) What is the relationship between the 050 and 646 field?
- h) What type of information is given in the 670 fields?
- i) What do the codes in 008 positions 12 and 13 mean?
- j) What is the relationship between the 008/13 and the 642 fields?

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**Exercise 2**

*Below are representations of information found on the title page, title page verso, and series title page of a book, followed by the applicable authority record. Based on this information, fill in one or more of the blank series fields where indicated.*

Title page:

The Kurdish Question and the 2003 Iraqi War  
Edited by Mohammed M.A. Ahmed and Michael M. Gunter

Verso:

Costa Mesa, California  
Mazda  
2005

Series title page:

Kurdish Studies Series  
Number 5

Authority record:

008/12 a  
008/13 a  
010 \_\_ \$a n 98004230  
040 \_\_ \$a DLC \$c DLC \$d DLC  
130 \_0 \$a Kurdish studies series  
642 \_\_ \$a no. 1 \$5 DLC  
643 \_\_ \$a Costa Mesa, Calif. \$b Mazda Publishers  
644 \_\_ \$a f \$5 DLC  
645 \_\_ \$a t \$5 DLC  
646 \_\_ \$a s \$5 DLC  
670 \_\_ \$a The Kurdish question and Turkish-Iranian relations, 1998: \$b ser. t.p. (Kurdish studies series)

Bibliographic record:

*Fill in one or more of the blank series fields below with the correct bibliographic information, MARC tag, indicators, and subfield coding, as applicable:*

245	1	4	The Kurdish question and the 2003 Iraqi war / \$c edited by Mohammed M.A.
-----	---	---	---

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		Ahmed and Michael M. Gunter.
260		Costa Mesa, Calif. : \$b Mazda, \$c 2005.
4__		
8__		

---

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**Exercise 3**

*Below are representations of information found on the title page, title page verso, and series title page of a book, followed by the applicable authority record. Based on this information, fill in one or more of the blank series fields where indicated.*

What appears on the resource:

Title page:

Mathematical Triangulations  
by Robion Kirby

Verso:

National Bureau of Standards  
Washington, D.C.  
c2002

Series title page:

United States National Bureau of Standards  
Applied Mathematics Series 22

Authority file search retrieves the following results:

Applied mathematics series  
Applied mathematics series (John Wiley & Sons)  
Applied mathematics series (London, England)  
Applied mathematics series (Princeton, N.J.)  
Applied mathematics series (Washington, D.C.)  
Applied mathematics (Springer-Verlag) 1 record

Correct authority record:

*LC Control Number: n 86714984*  
008/12 a  
008/13 a  
010 \_\_ \$a n 86714984  
040 \_\_ \$a DGPO \$b eng \$c DLC \$d DLC \$d ICU \$d OkU  
050 \_\_ \$a QA3 \$b .U5 no.  
130 \_0 \$a Applied mathematics series (Washington, D.C.)

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430	_ 0	\$a National Bureau of Standards applied mathematics series
410	1_	\$w nna \$a United States. \$b National Bureau of Standards. \$t Applied mathematics series
642	_	\$a 7 \$5 DLC
643	_	\$a Washington, D.C. \$b National Bureau of Standards
643	_	\$a Washington, D.C. \$b U.S. Govt. Print. Off.
644	_	\$a f \$5 DLC
645	_	\$a t \$5 DLC
646	_	\$a c \$5 DLC
667	_	\$a Document.
670	_	\$a Supt. of Docs. no.: C 13.32:55/2
670	_	\$a LC data base, 8-12-88 United States. Dept. of the Army. Tables of binomial probability distribution, 1949 [1950]
670	_	\$a Handbook of mathematical functions ..., 1972: \$b t.p. (National Bureau of Standards applied mathematics series)

Bibliographic record:

*Fill in one or more of the blank series fields below with the correct bibliographic information, MARC tag, indicators, and subfield coding, as applicable:*

100	1		\$a Kirby, Robion C., \$d 1938-
245	1	0	\$a Mathematical triangulations / \$c by Robion Kirby
260			\$a Washington, D.C. \$b National Bureau of Standards, \$c c2002.
4	_		
8	_		

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# **Fundamentals of Series Authorities: An ALCTS/PCC Workshop**

## **Part 1: Module 4: Process of Series Authority Control**

1

## Objectives

- Workflow Issues
  - What sorts of decisions lie behind series authority work
  - Who will do what
  - Who has a stake in how the process is carried out
- Searching series authority records
- Identifying the correct series authority records
- Local considerations

2

In this session, we will ask the questions whose answers will shape the process of series authority control, both locally and at the national level. Series authority work can be more complicated than that for other access points. There are more elements in a series authority record to create and/or interpret; determining the history of a series, when needed, can involve some searching in catalogs and external sources; and some of the challenges inherent in serials cataloging can surface in series authority work.

This module will cover a variety of workflow issues including:  
What sorts of decisions lie behind series authority work  
Who will do what  
Who has a stake in how the process is carried out

We will also cover how to search series authority records, how to identify the correct record, and lastly we will discuss some local considerations.

## Workflow Issues

3

First we will consider what sorts of decisions lie behind series authority work, who will do what, and who has a stake in how the process is carried out.

## Who, What, When: Factors

- Selection/Acquisition
- Level of Access
- Change Over Time
- Workflow
- Catalog Records Available
- Bibliographic File Maintenance

4

Many factors affect when and by whom series authority control decisions are made at the local level. Institutions will have different policies on what level of staff do authority work, and at what point in the workflow. Let's look at some considerations.

Some Selection and Acquisition factors include : A new publication in a series for which the library has a standing order or subscription may need only checking against previously-established treatment decisions documented in a series authority record (SAR) in the local catalog. Items in a series new to the library will likely trigger a search for a national-level SAR, for the assessment of the treatment decisions it contains. Those decisions may differ for items that will come on standing order vs. those that are firm orders vs. those that are gifts. If no SAR is found for the series, the series itself must be evaluated and the appropriate access point made, and documented in a locally-created SAR.

Some Level of Access factors include: Items that are part of a series may be represented in a catalog solely by a "collection" or "set" bibliographic record for the series. This record may carry no information about individual items in the series; it may contain a contents note naming either individual items or larger sub-groupings in the series, and in exceptional cases may include added entries for the individual items. SARs are relatively rare for these kinds of material. For series whose members bear distinctive titles, individual items may be represented by bibliographic records, brought together in the catalog by a series access point, and, in some cases, by a common call number; the set record may also be present. Series whose members are classed separately may be represented by a set record, particularly if received on standing order or subscription. These records are often suppressed from the OPAC, however, and function mainly as a locus for tracking order/receipt/payment information.

Some Change over time factors include: Serials may experience changes in title, in scope of content, in issuance patterns, in publisher or place of publication, or in mode of issuance. Numbering may disappear or appear, or start over; items may start or stop bearing distinctive titles. Any of these factors can affect the series access point, and sometimes treatment decisions as well. Changes in the library's acquisition situation can have an impact, too; for example, cancelling a standing order for a series classed together might lead to classing future receipts as separates.

Some Workflow factors include: Increasing numbers of libraries purchase bibliographic records from vendors with the expectation of little or no modification locally; the materials themselves may never come through a cataloging unit. If the library resolves to continue series authority work, and to include such items, ways to identify the items and to ensure appropriate treatment will have to be devised. Part of that process may involve post-cataloging authority control services such as Marcive, Back Stage Library Works, and other vendors, where bibliographic records have access points checked against the national authority file; additional local work may still be needed if local treatment decisions vary from national ones.

Some Catalog records factors include: Availability of bibliographic records for copy cataloging of individual items in a series makes analysis a more likely treatment decision. If the series is an older one, catalog records may have been created according to earlier rules, affecting description and form of access points. If the series ceased publication before 1980, there may be no SAR in the national authority file. Revising such records to reflect current practice can be a complex matter, and also raises the issue of attempting to upgrade legacy records that may have come into the catalog without authority work (e.g. records from a retrospective-conversion project).

Some Maintenance include: If changes in a series access point in an SAR, or in treatment decisions, require changes to bibliographic records, who does that? If editing an existing SAR in the local authority file is needed, where and when is that done?

## Stakeholders

- Patrons
  - Need the reference structure in the catalog
- Reference/subject librarians, Selectors, Collection managers
  - Classification, based on subject, expected use
  - Input may be reactive rather than proactive

5

There are many who are stakeholders in the authority control process for series. When considering the factors for the Who, What and When we have just discussed it is necessary to consider the needs of the stakeholders.

Our most fundamental stakeholders are our patrons. They need the reference structure provided by series authority records as well as the controlled access points that bring the works in a series together. It is likely that patrons will use authority structure and controlled vocabulary but they will not know how these processes have been achieved.

Reference and subject librarians, selectors, and collection managers (or people with any combination of these duties) generally have direct contact with users (or statistics about their use of the collection), so they may be the first to observe what effect series treatment decisions can have on user access to materials—for example, if users expect to find items in a series together on the shelves. They may be aware of user search strategies that require references in series authority records that might not occur to the cataloger. Such accommodations will likely be made by adding local references to series authority records. Unless the library deliberately includes this group of librarians at the “front end” of decision-making for series materials, their input is likely to come from problems encountered in finding material in the catalog or on the shelf.

## Stakeholders

- Acquisitions staff
  - Acquisitions status—standing order vs. volume-by-volume selection
  - Determine material stream based on treatment

6

How items in a series are acquired, and how regularly, affects local treatment decisions.

A library that buys one volume in a collected-works edition of Mozart is unlikely to classify the volume as part of the set, that is, in LC class number M3, but rather according to its contents, for example, M1001 for a symphony. Some institutions have separate staff to handle material received on standing order or by subscription vs. “firm orders” or material received as part of an approval plan; the former will usually have documentation and procedures for treatment of new items in a series, while the latter may not.

Acquisitions status also affects how material is routed—added volumes (that is, those that will be represented in the catalog only by a set record for the main title) are often in a different stream than those that will be cataloged in analytic records.

## Stakeholders

- Cataloging staff
  - What level of analysis will be performed
  - Classification—PCC policy or not?
  - Reference structure—more or less than AACR2/national guidelines?
  - Access issues based on OPAC's indexing practices for authority records

7

One of the basic considerations for cataloging staff is at what level should analysis of a series be done. Considerations for analysis decisions include: 1) presence or absence of distinctive titles for individual items in a series; 2) uniformity vs. diversity of subject matter within the series; 3) the nature of individual items (single-author monographs vs. collections of essays, conference reports, etc.); 4) the ability or desire to rely on external indexes vs. more direct access, particularly for congress reports or collected-works editions; 5) the availability of cataloging copy; 6) the time sensitivity of material.

Cataloging staff must also consider how a series is to be classified. Since the PCC default is to class separately, decisions to the contrary may require more vigilance from staff.

Catalogers must also consider the national rules and standards under which they work as well as any considerations for their own local integrated library systems. For example catalogers have national guidelines for making references, but may need to make local adjustments to accommodate users' needs or to compensate for OPAC capacities; for example, title subfields of personal/corporate name headings may not be part of the title index.

## Stakeholders

- Authority-control staff (Database Maintenance Unit, etc.)
  - Creating, updating, importing SARs
  - Means of identifying need for bibliographic file maintenance

8

Most libraries that have staff dedicated to maintaining catalog records and access points may put some series authority control functions in that unit. Functions that fall into this area include downloading SARs for newly-received series, adding local information to SARs in the catalog (if catalogers are not allowed to edit records), or perhaps creating a local SAR.

If the library's ILS does not provide reports of new and changed headings, channels of communication may be needed to alert authority-control staff to the need for file maintenance.

## Searching for Series Authority Records

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One of the first and most fundamental activities in the series authority control process is searching for series authority records. This function is common to most stakeholders. Searching can be done in a local authority file, in the national authority file or in any number of vendor created authority files. While we cannot in this training provide the exact specifications of how to search each of these types of authority files we will offer some suggestions on where and how to search for existing series authority records.

## Why Search?

- Find a controlled access point
- Make a treatment decision
- Obtain a record
  - Does the file support export?
  - What will it cost?

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First let us consider: What is the purpose of the search for a series authority record?

We search for series authority records most often because we need to have a documented decision about what a controlled access point for a series should be. We also need the authority record to make decisions about how a series should be treated. For example we might need to know where and when the statement “Borzoi book” might appear in a bibliographic record.

We also search to determine if an authority record already exists so we don't need to create one ourselves. If we find an authority record in the national file or a vendor file we can utilize the data in it or add it to our own local authority file if necessary. When moving authority records from one file to another we must consider things like: if the source file supports export in a format and level of completeness that you need? If the full MARC record is needed, is that available? Will diacritics and special characters be retained? Can records be exported in a batch, or only one at a time? What will it cost to export records? Answers to these questions will vary and they will need to be answered in conjunction with staff that maintains your source file as well as your local integrated library system administrators.

## Where to Search

- Local authority file
- External files
  - OCLC Authority File
  - LC Authorities
  - ILS/Vendor files

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Logically, the first place to search for series authority records is in your local authority file. This usually requires the authorization to perform searches in a technical-services mode. The type of display provided for records varies among ILS vendors.

If the information being sought isn't found locally, external files can be consulted. These will be briefly described in the following slides. All are potential sources for records as well as reference sources. While no one file can be deemed to be the most current, the OCLC and LC files will be generally more up-to-date than those from vendors.

## OCLC Authority File

- Includes most of the newest NACO-contributed series authority records
- Labeled 008/leader values
- Derived key, scan and Boolean searching
- Limited to members/customers of OCLC
- May incur charges

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OCLC provides an authority file. Newly created authority records though the Library of Congress are loaded into the OCLC Authority File six nights a week. NACO-created authority records are sent to LC seven days a week, but loaded into LC Authorities six nights a week. Records added by NACO participants who work in OCLC appear immediately. Records from the British Library appear the day after they have reached LC.

In addition to the labeled displays, OCLC offers a “MARC Field Help” feature that allows the user to click on a fixed or variable field and connect to the corresponding section of the *MARC 21 Concise Authority Format* document, which explains the content and coding of the fields.

The file supports three kinds of searching—the traditional derived-key searching (in which phrase indexes are searched with keys extracted from the data to be searched—example below if needed), scan searches for names, titles, and subjects, and keyword searching that allows the use of Boolean operators and specification of indexes to be searched.

Currently, searching the OCLC Authority file is free for members and customers. Whether exporting records incurs charges depends on the member’s contract with OCLC.

[NOTE: Example for derived search: Perspectives in analytical philosophy = per,in,an,p (3,2,2,1) There is a stop-list of words which must be omitted from the

beginning of a derived title search, including English initial articles, names of U.S. states, and words such as “United,” “Congress,” “Association,” and others]

## LC Authorities

(<http://authorities.loc.gov/>)

- Contains NACO-created series authority records that have passed validation
- Also displays tracings from bibliographic records in the LC Online Catalog
- Some record elements in “pure MARC”
- No keyword/Boolean searching
- Free

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LC Authorities is the name of the database more formally known as the “LC/NACO Authority File” (LCNAF for short).

Library of Congress-created and NACO-contributed authority records are added to LC Authorities nightly, Monday through Saturday. NACO-contributed records pass “validation,” or algorithmic checks for coding and tagging, before being added. The validation process does not normally involve human review.

Headings from bibliographic records in the LC Online Catalog, including series access points, are displayed in LC Authorities, in part, because the online catalog once served as the “authority file” for some kinds of headings (especially name-title headings that did not need cross-references). To review, “tracing” is a traditional library term that describes a left-anchored, phrase-indexed access point--the sort of access point that populates author, title, and subject indexes. The MARC display of an authority record in LC Authorities shows the leader and 008 fields in their “pure MARC” form, that is, as a string of characters; the values are not identified. A labeled display is available, but does not display information from the 008.

Headings in LC Authorities must be searched as phrases. There are separate indexes for name and name-title headings. The title portions of name-title headings will appear in a title-index search if they have been entered in the authority record as a reference in a title field (i.e. a MARC 430 or 530 field).

LC Authorities is free to search.

## ILS- or Vendor-supplied Files

- Likely not as current as LC or OCLC files
- Searching/display “user-friendliness” varies
- Usually involve a cost

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Various types of vendors offer access to an authority file for customers to search and download records. Vendors may offer online access, or may sell copies of the authority file that can be loaded into the library’s catalog. The LC/NACO Authority File, as sold by the Cataloging Distribution Service of the Library of Congress, would be an example of the last category; the entire file is available for purchase, and weekly updates are available by subscription.

Weekly or monthly updates are the norm for such files.

Vendor files may or may not show 008 and leader information in a labeled display. There may be options to substitute labels for MARC tags in displays, e.g. “NAME SEE FROM” in lieu of “400.” Searching options may or may not include Boolean/keyword searching or other sorts of filters.

Getting access to vendor files usually involves some cost.

## General Searching Considerations

- Know what to expect in terms of consistency within the file
- Know the searching rules for the file you are in
- Be prepared to rethink your search
- Generic series titles will usually have a qualifier

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No matter what file you search to find series authority records there are some general considerations you must keep in mind with searching. Keeping these things in mind will maximize your success in searching for series authority records.

First you should know what to expect in the file. Here the major factor that governs consistency is what set of rules governed the creation of the records in the file. Most of the headings and references in authority records in the LCNAF have been created according to the Anglo-American Cataloging Rules, 2<sup>nd</sup> edition (AACR2) and the corresponding Library of Congress Rule Interpretations (LCRI). In many bibliographic files series were entered under older versions of these rules, for example they many have been entered under personal or corporate name headings before the adoption of AACR2, or the title portions of those headings may have been modified to subtract elements that were judged to be statements of responsibility. Knowing that bibliographic files may not be consistent may require you to search various forms of a heading in the authority file or to “convert” old headings into the new rules before searching. Also older rules allowed for abbreviated series statements that substitute a pronoun for a statement of responsibility (e.g. “His Collected works” or “Its Research bulletin”) these words may derail a keyword search.

Searchers should be attentive to the indexes that the database offers, particularly if series are in a special sort of title index. If a heading or a reference involves a corporate or conference name, the searcher should be aware of whether the database contains special indexes for those entities. An important trait to know is whether the title portions of name-title fields are included in the title index. Knowing how data is normalized in the database indexes, particularly punctuation, can enhance the chances for success.

[NOTE: Normalization is a process that standardizes text strings that become index entries by, for example, converting all upper-case letters to lower-case, removing punctuation, removing special characters, or replacing letters with accent marks or diacritics with the unmodified letter or letters. A fuller explanation and listing of the normalization rules for the LC/NACO Authority file can be found at <http://www.loc.gov/catdir/pcc/naco/normrule.html> , a page at the Program for Cooperative Cataloging NACO Web site]

In certain situations, derived searches (such as the OCLC 3,2,2,1 for titles) might be more useful if there are ambiguities in transcription or spelling of words in a title; in most cases, browse searching will be preferable if available.

It may be necessary to rethink a search and to try to search in different ways. Some situations may call for switching from browse searching to keyword searching.

Searching generic series titles (“Bulletin,” “Report,” “Study”) requires deducing what sort and form of qualifier may have been added to create a heading. A search under the heading for the body responsible will usually yield a cross-reference to the authorized heading in an authority file; the corresponding added corporate-body entry on a bibliographic record for an item in the series may or may not be present.

## General Searching Considerations

- Advanced search features
- Is the heading already established as an NAR?

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Make use of advanced search features, whether searching authority files or bibliographic files. Many now offer targeted keyword searching that allows pairings of elements from different fields (in searching a bibliographic file, for example, “Opera omnia” from a series statement with “Gabrieli” from an author field, or “New perspectives” from a series statement with “Raintree” as a publisher). In older bibliographic records, series information that would currently be found in a series access point may not always have been recorded in MARC series fields; be ready to broaden keyword searches to include other areas of the catalog record, particularly notes fields.

Sometimes a series heading may have already be established but as a name authority record. For multipart sets entered under a personal name heading, a name-title authority record may already exist for the set. Provided that the authority record stands only for the specific manifestation in hand, if the set is to be analyzed locally, this record would serve as the basis for a series authority record. The heading may need to be changed (for example, a year will always be added to a heading for “Works;” a qualifier may be added to a title portion that conflicts with another title entered under the same name).

General Searching  
Considerations

**“Never search only one  
way”**

*—Series Training for  
NACO Participants, Session 3*

17

In conclusion the motto of the successful series searcher is “never search only one way”.

## Searching National Files— Where to Go for More Help

- LC Authorities:  
<http://authorities.loc.gov/help/contents.htm>
- OCLC Authority File:  
<http://www.oclc.org/support/documentation/worldcat/authorities/userguide/default.htm>

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For additional help in searching series authority records, you should look to the helps provided by the files themselves or by your vendors. In addition to the user guide, OCLC provides a tutorial on searching the authority file. The tutorial may be found on the OCLC Web site ([www.oclc.org](http://www.oclc.org)) under “Support”; look for the link to “Online tutorials.”

## Identifying the Correct Series Authority Record

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Once you have found a series authority record you need to determine if the record you found represents the series you were looking for. It is important to remember that different series often share the same or similar names and you need to make sure that there is a match between the series you have and the authority record. This section will identify considerations when evaluating your search results to determine if an appropriate series authority record exists for the search statement.

## Preconditions for a match

- Same character string except for initial articles
- Same publication (643 field; 667 or 670 field)
- Same numbering status (642 field and 008/13 fixed field)

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To identify that a record is a match between the series you have and the authority record you find when searching several things must be true:

First, that differences in wording between the series statement on the item and SAR fields are limited to presence or absence of initial articles.

Second, the record found must be judged to represent the same publication as that of the item in hand. Field 643 contains the publication information that will help determine this, and additional information may come from fields 667 and 670. Differences will require more investigation to determine if a new series is in hand.

Lastly, the item in hand and the series in the authority record must share the same numbering status, that is, whether the items in the series bear numbering or not. However, if an item in a previously-unnumbered series is received and bears numbering that indicates that the unnumbered items have been retrospectively numbered by the publisher, an SAR for the unnumbered series can be considered a match. The record will need some modification to document the change in numbering status. The 642 fields and the 008/13 fixed field will indicate the numbering status.

## Matches

- Statement matches SAR 1XX
  - Use 1XX
- Statement matches SAR 4XX
  - Use 1XX unless variation represents a title change
- Statement matches SAR 5XX
  - Look for the record in which statement is in 1XX field

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Once you have determined if there is a series authority record that matches what you have in hand then you must determine what is the right string to use in the bibliographic record. Because “matches” can be made with headings in the 1XX, 4XX or 5XX fields it is important to remember that in a controlled access point field only authorized versions from the 1XX field should be used.

If the series statement is an exact match for a 1XX field in an SAR for the same publication, use the 1XX form for the series access point in the bibliographic record, adding numbering as appropriate.

If the series statement is an exact match for a 4XX field in an SAR for the same publication, use the 1XX heading for the series access point in the bibliographic record.

If the series statement is an exact match for a 5XX field in an SAR for the same publication, there should be a corresponding SAR with that statement in a 1XX field. If the 5XX field contains an indication of an earlier/later relationship (subfield w “a” for earlier, “b” for later), compare the publication date of the item in hand with dates in 670 citations to be sure that the series statement does not represent a return to an earlier title (a “flip-flop”).

## Matches?

- Generic titles
  - “Report,” “Bulletin”
  - Deduce qualifier
- Variant titles not documented in the authority record
  - Title change or a variant?

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There are some situations that require intensive checking to identify the proper SAR to use.

For example, generic titles such as “Report,” “Bulletin,” or “Papers” are always qualified when the series or set is entered under title. Finding the appropriate SAR requires the searcher to deduce the qualifier added (usually the name of a corporate body or the place of publication).

If the series statement on your item doesn’t match a 1XX field or 4XX field in an SAR that otherwise can be identified as being for the series/set of which the item is a part, consult with the appropriate staff member to determine whether the SAR is the correct one. If the variation represents a major title change for a monographic series, as determined by applying AACR2 21.2C, a new SAR will be needed. If not, the existing SAR can be used, modified to add the variant title in a 4XX field. This will be covered in more detail in Part 2, Module 11.

## Checking for Correct Usage of Bibliographic-Record MARC21 Fields for Series Data

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Once a series authority record has been found or created, when an item is cataloged the cataloger must check for consistency between the information on the series authority record and the information as it is represented in the bibliographic record. Building on Module 2, where the elements of the SAR were introduced and defined, this section correlates information recorded in series authority records with the corresponding descriptive, classification, and MARC coding and tagging decisions in bibliographic records. The purpose may be:

- to make cataloging decisions for a new bibliographic record;
- for copy cataloging;
- to evaluate existing bibliographic records in a catalog (particularly if desiring to bring them in line with current practice).

## 008/12 (Type of Series)

- a Monographic series
- b Multipart item
- c Series-like phrase
- n Not applicable
- z Other

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As mentioned before, this fixed field byte identifies the type of series described in the 1XX field of the authority record.

## 008/12 (Type of Series)

values of “a” and “b” will usually map the SAR 1XX field to MARC series fields (440, 490, 800-830)

value of “c” will almost never map to MARC series fields

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This fixed field is important because it tells us if a series statement will be present in the bibliographic record. In this field values “a” and “b” will usually have a series statement in the bibliographic record.

[NOTE: Exceptions to this would include the situation where a title originally issued in a series is republished **without** reference to the original series. LCRI 2.7B7 allows information about the original series to be recorded in an edition and history note in the bibliographic record, regardless of its source; but LCRI 21.30L limits creation of an 8XX series access point to those cases where the series statement was reproduced in the republication.]

Series authority records with 008/12 value “c” (series-like phrase) will almost always have one or more 667 fields to offer history of use and/or guidance on current policy in transcribing or ignoring the 1XX value. Among the most common directions in the 667 field are to give the word or phrase as a note (sometimes specified as a quoted note), as other title information, as a publisher (e.g. Perennial library), as a sound recording label name (e.g. Musique en Wallonie) or a music publisher’s no. (e.g. Edition Eulenburg). In some instances, the word or phrase is to be ignored altogether, as with “series” that are merely directions to booksellers on what topic a volume should be shelved with.

[NOTE: When a change in policy has not resulted in updated bibliographic records, those records may still have series-like phrases recorded as series.]

## 644 (Series analysis practice)

- f = fully analyzed
- p = partially analyzed
- n = not analyzed

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How a series is treated will also determine how it is represented in the bibliographic record. These codes correspond to the likelihood of finding an analytic record to describe an item in a series. Value “f” means that every item will have an analytic record. Value “p” indicates that some items will have an analytic record. For newly-cataloged items, the value “n” can be taken as a directive to not produce, nor will you expect to find, an analytic record. But any of these treatments can have exceptions. In addition, existing bibliographic records in the local catalog may not reflect the treatment decision settled on when the series authority record is created online; for example, an analytic record may already exist in the catalog for a series coded “not analyzed.” If the library’s holdings of items in such a series are small, it would probably make more sense to choose a local treatment of “fully analyzed,” rather than the set record that would be needed for an unanalyzed series.

## 645 (Series tracing practice)

- Value of “t” (traced) maps SAR 1XX field to 440 or 8XX field.
- Value of “n” (not traced) will map to 490, 1<sup>st</sup> indicator “0”

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The tracing practice of a series governs which field in the bibliographic record is used to record the series statement. If the series statement being transcribed from the item matches the SAR 1XX field exactly, or with some other conditions specified in upcoming slides, the statement as entered in MARC field 440 can serve as the series access point. Otherwise, it will become an 8XX field.

If the series is not being traced the series statement will be transcribed from the item into a 490 first indicator 0 field.

## 646 (Series classification practice)

- c = classified as a collection
- s = classified separately
- m = classified with main or other series

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The classification practice tells us what call number should be used on the bibliographic record for an item. A value of “c” or “m” indicates that the item should be given a general call number for the series, with the item’s numbering in the series added to make the call number unique. Value “s” indicates that every item will have a unique call number.

Exceptions to practice can be noted in the series authority record. For example, if some or all of the items in the series have been intentionally classified according to the specific content of the volume, this information may be recorded in a local copy of the SAR, or indicated in other records (e.g. a holdings record for a monographic series). However if that classification was not intentional, reclassification and remarking may be desired. Similarly, if items in a series coded for classification practice as “s” have instead been classified as a collection, this decision should be documented in a local SAR or in other records.

## 130 (Heading—Uniform title)

May not map to field 440; but  
must go in an 8XX field in  
bibliographic record if:

- Parenthetical qualifier present in 130 heading
- Parallel series statements present in the item that must be recorded

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When transcribing traced series into the bibliographic record, the major question is whether the series should be tagged in the bibliographic record as a 440 field or as one or more 490 fields with one or more companion 8XX fields. To review, MARC field 440 is used in situations where the transcription of the series title information matches the form established as the series access point in the 1XX field of the SAR. MARC field 490 is used either for a series statement that will not be used as an access point (1<sup>st</sup> indicator "0") or for a series statement whose transcribed form does not match that of the preferred series access point (1<sup>st</sup> indicator "1").

Some conditions that would not allow the tagging of a series statement as MARC 440, but instead they must be tagged as a 490 first indicator one and an 8XX field include:

Qualifiers are placed on a series headings according to the rules and standards. These qualifiers are not part of a series statement and should be considered not an exact match to an item and a series heading even if data found in parenthetical qualifiers (such as names of corporate bodies) is often found in an item, even in proximity to series statements. Such data is usually a statement of responsibility, and by ISBD convention is transcribed as such, i.e. preceded by a space and a slash and it may or may not be placed in the 490 first indicator one field. Enclosing the data in parentheses in the bibliographic record for the sake of avoiding the use of 490/8XX is contrary to national standards.

Since the 440 field does not provide a separate subfield for a parallel title, there is no way to prevent a transcribed parallel title from being indexed as part of the main title. So when parallel titles are present the series with all its titles must be presented in a 490 first indicator one field and the authorized form presented in an 8XX field.

## 130 (Heading—Uniform title)

–May map to field 440 in bibliographic record if:

- transcription of the title from the bibliographic item does not differ in elements such as abbreviations, forms of numbers, spellings, etc.

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There are a few cases when, even with some minor omissions or changes we still consider the match to be exact and so the title can go into the 440 field. Since series statements are titles, they follow the same general rules for transcription as those laid down in AACR2 Chapters 1 (general rules) and 12 (the chapter for continuing resources). Since we, according to rule 1.6D1 and 1.6E1, limit the transcription of other title information and statements of responsibility in series statements to those situations where the other title information “provides valuable information identifying the series” or when statement(s) of responsibility are “considered to be necessary for identification of the series” even the omissions of these will allow the use of the 440 field. These omissions allow greater use of the 440 field.

## 130 (Heading—Uniform title)

–may map to field 440 in bibliographic record if:

- Only difference would be presence/absence of initial article
- Numbering elements are consistent with SAR 642 field

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The presence or absence of an initial article in the series statement should not affect tagging of the statement as 440 vs. 830, since the bibliographic 440 field has a filing indicator that allows initial articles to be disregarded in filing and indexing. However, local system capabilities and authority verification processes cause some libraries to omit initial articles from the transcription in the bibliographic record; this should not be done in records contributed to a shared database.

One last consideration to be made is with the numbering given in the 642 field. Comparison of the numbering elements in the bibliographic item with the pattern in the 642 field comes after the application of the appropriate rules for transcribing designations and numbering, principally AACR2 1.6G and Appendices A (Capitalization), B (Abbreviations) and C (Numbers). The numbering example, through its consistent application in series tracings, ensures a logically-ordered listing of the items in a numbered series. So if the style of numbering is consistent on the item and in the 642 of the record, then it can be transcribed into the 440 field. However if the style of numbering on the item and the style in the series authority record is inconsistent (i.e. item uses Bd. and the number and SAR uses only the number), then the numbering as it appears on the item must be recorded in the 490 first indicator one field and the numbering that matches the SAR is recorded in the 8XX field.

## 100/110/111 (Heading—Entry under person, corporate body, conference)

–Series entered under personal, corporate, or conference headings, if traced, will require 490, 1<sup>st</sup> indicator “1” with appropriate 8XX field.

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Any series that has been entered under a personal, corporate, or conference name when the rules and standards are applied, will require the use of the 490 first indicator one field for the transcription of the item and the 8XX field for the heading as it appears in the SAR. Here it is again useful to imagine what the primary access point would be in the “set record” for the series. Current practice in the MARC21 bibliographic format limits indexed access points in 4XX fields to titles.

## Other Things to Check

- Proper subfielding and punctuation in 4XX fields
- Appropriate number of 8XX fields, especially when subseries are involved.
- Abbreviating words—appropriate for \$v, not otherwise. (see AACR2 Appendix B for information)

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In addition to the proper representation, coding and transcriptions of series information into the bibliographic record there are a few other important things to check when cataloging a series.

490 fields have fewer subfields available (\$a, \$v, and \$x). This calls for a bit more attention to spacing for punctuation. In 440 and 8XX fields, proper use and punctuation of \$n and \$p might be lacking. In 490 fields, \$a should be repeated for parallel titles, and when a subseries title is separated from the main series by either \$v or \$x information.

It may be necessary to have more than one 8XX field in a bibliographic record. This is especially important when subseries is concerned. Broadly speaking, you should be able to identify the justifying data for 8XX fields from other areas of the bibliographic record.

The \$v information is governed by the rules for abbreviation in Appendix B of AACR2. Information elsewhere follows the rules for transcribing titles, which limits abbreviations to those found in the item.

## . Local Considerations for Series Authority Records

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It is important to remember that series authority records document decisions that represent either national default decisions or decisions specific to the library that created the record. Because of this it is important to keep in mind some local situations that affect creation and use of SARs.

## ILS/OPAC Issues

- What searches retrieve series information?
- How are series search results displayed?
- What elements of the SAR display in the OPAC?

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Unless your local ILS offers no reference structure in the OPAC, series authority records will likely have some sort of presence in the OPAC.

Series information is generally retrieved through searching an OPAC's title index, though some systems provide a special series-uniform title index. The latter, since it does not include MARC 245 fields, will provide access to analytic records for a series or set, but not to the "set record." The traditional approach to indexing has been to include only controlled series statements (those in MARC 440 or 8XX fields) in title or series indexes; 490 fields are possibly included in keyword indexes. Many library OPACs now offer the option to include the 490 fields in the title or series indexes, usually because of a desire to provide more direct access to the form of title a searcher might bring to the catalog. One system includes headings and references from all authority records, including those for series, in its keyword index; matches are offered as "related searches" to users.

The results of a series search may be presented in various sort orders—chronologically by publication date, numerically if the series is numbered, or by alphabetical order of the main entry or title proper of the analytic records. Some OPACs index title portions of name-title headings and references in the title index. In such catalogs, a title search on "Gesammelte Werke. 1946" produces a reference to the heading for a collected-works edition of Franz Kafka [the heading for Kafka, with the uniform title "Works. 1946"]. Most such titles are not

usually found in 430 title-reference fields, and opinions may differ on how useful such generic titles are for searching.

Most ILS systems that offer an authority structure in the OPAC limit display of elements from SARs to the 4XX and 5XX references, and sometimes only to certain sorts of author or title searches. Much of the information in a SAR would not be helpful to OPAC users, though headings and scope notes for series-like phrases might assist users in refining their searches.

## Why Make and Record Treatment Decisions?

- Ensure consistency/predictability in:
  - presence/form of controlled access point (1XX, 645, 642, 667)
  - classification (646)
  - level of access to authors/titles of individual volumes (analysis)(644)
- Reflect decisions about future acquisitions and materials use

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Consistency and predictability are major goals in series activity; series authority records contain information to help achieve those goals, but also to document exceptional cases.

Series authority records distinguish among statements that are to be considered series and those that are not. For the former category, records further identify which series will be given as controlled access points in bibliographic records, and what form those access points will take. For the latter category, records for “series-like statements” direct if and how to record the statement in bibliographic records.

The decision may be whether to classify an item according to its own content, or that of the series to which it belongs. While the most common decision is to “classify separately,” a desire for physical collocation may favor classing items in a series as a collection. When classing as a collection is the favored decision, there should be a call number field (050 or 090, 082 or 092) in the authority record that contains the base call number for the series.

The decision is whether to prepare separate descriptions for individual volumes in a monographic series or multipart set in all cases, at no time, or in certain instances. This often affects how material is routed.

Some of these decisions may be influenced locally by how many items in a series will be acquired, and how their use will be governed. For example, if a

library acquired a complete edition of Goethe's works, it may be classed together and treated as a reference collection with limited circulation; if the library's holdings were scattered volumes, they might be classed separately and have standard circulation periods.

## Treatment issues

- Analyze?
- Trace?
- Class together or separately?
  - Is browsing the shelves important?
  - Do some items have broader use?
  - Will the series be scattered within a larger classed-together series?

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It will also be important locally to consider how a series is treated.

Choosing the level of analysis for a series or set weighs the “More, Better, Cheaper, Faster” facets with an eye to local conditions. Factors include number of staff available, what level of expertise would be required, and how analysis (or its absence) affects the utility of individual volumes.

While national decisions, which fall on the side of increased access, are generally preferable, some local considerations may argue for a different treatment. For SARs that contain changes in tracing practice, a local decision is whether to follow the same guidelines or to do something different, and whether to do any retrospective work needed to achieve consistency for the entire series/set.

Classing together may or may not include analysis. Classing as separates usually entails analysis.

”Browsing” here refers to browsing a physical collection. Classing together presumes either that the contents of a series or set center around a relatively narrow subject area, that the use of the items is enhanced through physical proximity (e.g. a scholarly collected-works edition), or that the title will be the shelving element (for example, in a collection where serials are shelved by title rather than a classification number). Classing together might also be desirable in a closed-stack collection, where it might simplify retrieval. Classing separately

becomes more useful as the subject matter of a series becomes more diffuse, particularly in a classification scheme that affords a high level of specificity.

You must also consider if the series will be scattered within a larger classed-together series. As an example, the new edition of the collected works of Hector Berlioz is classed as a set at the Library of Congress and most libraries. The set includes several non-music volumes, such as a thematic catalog of the composer's works and a volume of portraits of him. These volumes have been classed as separates to reflect their broader utility for study, beyond that of the set itself. In the case of the thematic catalog, in many libraries it would be shelved in a reference section, with non-circulating status.

This situation doesn't occur frequently, but poses a challenge for access. Will leaving the series or set scattered within the larger series or set change how it would be used, or where it would be shelved? Would it be part of a different collection if it were classed separately from its parent series or set?

## Summary

- What sorts of decisions lie behind series authority work?
- Who will do what?
- Who has a stake in how the process is carried out?
- How do you search series authority records?
- How do you identify the correct series authority records?
- What things should be considered locally?

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This module covered a variety of workflow issues including:

What sorts of decisions lie behind series authority work

Who will do what

Who has a stake in how the process is carried out

In addition we also covered how to search series authority records, how to identify the correct record, and lastly we covered some local considerations.

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# **Fundamentals of Series Authorities: An ALCTS/PCC Workshop**

## **Part 2: Module 5: Definitions**

1

This module is intended as a brief review of Module 1.1. Definitions.

[NOTE: If module 1.1 has been previously delivered then this entire module may be excluded]

## Objectives

- Review of key terms
- Review of characteristics

2

This session will review some basic terms and characteristics related to series

## Definitions

- Series
- Monographic series
- Multipart monograph
- Series-like phrase

3

Here are the terms we will review: series, monographic series, multipart monograph (with individual titles for the parts), and series-like phrases.

## Definition: Series

- Group of items
- Each item has a collective title for the group as a whole
- Each has a distinctive title
- The collective title may be numbered or unnumbered

4

This bulleted list shows characteristics of series in general.

[NOTE: Trainers review each characteristic as necessary]

The first definition of series in the AACR2 glossary is: “A group of separate items related to one another by the fact that each item bears, in addition to its own title proper, a collective title applying to the group as a whole. The individual items may or may not be numbered.”

## Definition: Monographic Series

- Group of separate items
- Collective title for group
- Individual titles
- No planned end

5

One specific type of series is a monographic series.

Remember a serial has three main characteristics:

- it is issued in a succession of discrete parts;
- it usually bears numbering; and
- it has no pre-determined conclusion.

Monographic series, by definition are “serials” since they share all these characteristics with what we traditionally consider as serials. However monographic series have one additional characteristic that makes them unique: In addition to the collective title, the individual parts also have distinctive titles.

## Examples of Monographic Series

- Focal hands-on guide series
- Wick poetry chapbook series

Focal hands-on guide  
series

**Hands-on guide to  
video blogging  
by Lionel Felix**

Focal/Elsevier  
Amsterdam, 2006

Wick poetry chapbook  
series - series 3, no. 12

***Cloud Tablets*  
F. Daniel Rzicznek**

Kent State University Press

Here are two titles. What characteristics would make them candidates for being monographic series?

[NOTE: Trainers should illicit responses from the participants]

Possible responses from the participants include:

One has numbering; distinctive titles and collective titles; assume there is no end; etc.

## Definition: Multipart Monograph

- Issued in separate parts
- Finite
- May be numbered or unnumbered
- May or may not have distinctive titles

7

The second type of series is a multipart monograph. Multipart monographs can also be called multipart items, these two terms are often used interchangeably.

A multipart monograph is defined as, “a monograph complete, or intended to be completed, in a finite number of separate parts. The separate parts may or may not be numbered” (AACR2)

Multipart items, like monographic series, may be issued over time; and they may be numbered or unnumbered. However, unlike monographic series, multipart items must have a pre-determined end point. In some cases, for example, if all volumes are issued at once and the end point is clear. In other cases, such as with the collected works of an author, the volumes may be issued over time.

Multipart monographs may or may not have distinctive individual titles for each volume in addition to the collective title. Multipart monographs without distinctive titles are usually handled as a group and so for the purposes of this workshop, we will focus on those multipart monographs where at least some of the individual items have distinctive titles.

[NOTE: Some additional tips in identifying multipart items:  
If it is complete or selected works of a person it is by definition a multipart because that person is either dead or will die eventually!

A topic in geographically-divided volumes (e.g., continents of the world) or chronologically-divided volumes (e.g., decades of the nineteenth century) is finite—and so, a multipart monograph  
Check the publication data in the book for things like "this is the 2nd in a series of 10 books..."]

## Examples of Multipart Monographs

- Snicket, Lemony. Series of unfortunate events
- Cage, John. Complete edition

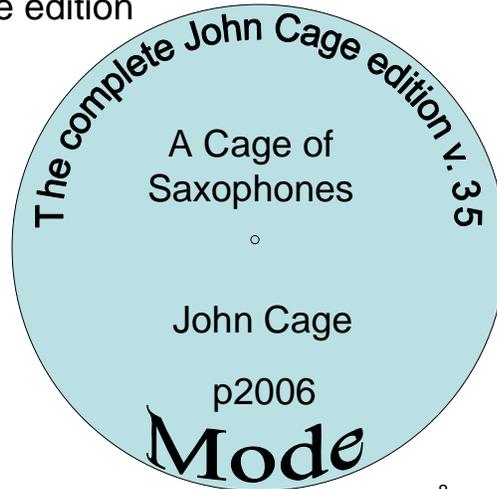
*A Series of Unfortunate  
Events \* Book the 11<sup>th</sup>*

**The Grim Grotto**

By Lemony Snicket

HarperCollins

New York \* 2004



8

Here are two titles. Both of these are multipart items. What do you see in them that tell you that?

[NOTE: Trainers should illicit responses from the participants]

Possible responses from the participants include:  
Complete in certain number of volumes; By one author; etc.

## Series-like Phrase

Slogans	“The Best in Tests”
Publication Types	Mysteries
Commercial publications	ARCO “How to” Guides
Non-commercial pub.	ALA Books

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We’ve talked about series in general; and more specifically, about multipart items and monographic series. But there is one other category that is important to understand when dealing with series and that is the series like phrase. Series-like phrases are groups of words that masquerade as a series but they really should not be considered as series. So beware! Just because a phrase is repeated from one monograph to another does not mean that it is necessarily a series title.

The following types of phrases are not treated as series titles:

- Slogans or mottos, e.g., “The Best in Tests”
- Phrases provided by publishers to help bookstores sort books into general categories, e.g., “American History”
- Unnumbered OR numbered phrases solely containing the name of a commercial publisher or in-house editor and a general term such as “publications.” Example: Middle Atlantic Press book; Macmillan publications
- Unnumbered phrases that just include the name of a non-commercial publisher, e.g.: Middle East Council book (but: numbered phrases by a non-commercial publisher ARE treated as titles)

Whether or not we can establish a phrase as a series may have important consequences for library processes. Consider the scenario: A publisher markets a group of books by a phrase that does not qualify as a series ‘title.’ The result is a miss-match between records needed by Acquisitions for ordering/receiving and records that are created by Cataloging. In addition, the phrase will not be

included in browse (non-keyword) indexes in the library catalog. Library users will not be able to retrieve all the volumes in the group through the title index, for example. Still, in order to ensure consistency in cataloging, the fact that the phrase is not to be treated as a series title needs to be recorded somewhere. So catalogers do establish records in the authority file to note phrases that are not to be considered series titles, and to instruct other catalogers on what to do. In some cases, catalogers will retain the phrase in the record for the analytic, as a quoted note. In other cases, the phrase may be ignored. More information on Series-like phrases is given in other modules of this training.

[NOTE: In comparison to monographic series and multipart monographs, series-like phrases comprise on 3-4% of the series authority records in the LC/NACO Name Authority File.]

## Summary

- What are some terms that describe series?
- What are the characteristics of different types of series?

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In summary we have discussed the general idea of series and what they are. We have discussed the two major types of series, monographic series and multipart monographs and have identified ways to distinguish between the two types. We have concluded by looking at the concept of series-like phrases and the issue of why we should control series.

# **Fundamentals of Series Authorities: An ALCTS/PCC Workshop**

## **Part 2: Module 6: Process of Series Authority Control**

1

This module is intended as a brief review of Module 1.4, Process of Series Authority Control.

[NOTE: If module 1.4 has been previously delivered, then this entire module may be excluded in whole or in part as deemed appropriate by the trainer]

## Objectives

- Process of Series Authority Control
  - Searching for series authority records
  - Identifying the correct series authority record
  - Creating new series authority records
  - Maintaining existing series authority records

2

Our objectives for this module include offering advice on searching for series authority records; evaluating search results to identify the desired record or records; and some considerations in creating series authority records and in maintaining them.

## Searching for Series Authority Records

3

One of the first and most fundamental activities in the series authority control process is searching for series authority records. This function is common to most stakeholders. Searching can be done in a local authority file, in the national authority file or in any number of vendor-created authority files. While we cannot in this training provide the exact specifications of how to search each of these types of authority files, we will offer some suggestions on where and how to search for existing series authority records.

## Why Search?

- Make a cataloging decision?
- Obtain an SAR?
- Prepare to create an SAR?

4

First let us consider: What is the purpose of the search for a series authority record?

We search for series authority records most often because we need to have a documented decision about what a controlled access point for a series should be. We also need the authority record to make decisions about how a series should be treated. For example, we might need to know where and when the statement “Borzoi book” might appear in a bibliographic record.

We also search to determine if an authority record already exists so we don’t need to create one ourselves. If we find an authority record in the national file or a vendor file, we can utilize the data in it or add it to our own local authority file if necessary. If you determine that an authority record does not exist, you must continue to search the authority file as you prepare to create a new Series authority record. For example, you may need to determine whether your proposed heading will conflict with an established heading or reference, or whether there are SARs for an earlier or later title of the series, or whether there has been a change in numbering practice.

## Factors in Choosing Where to Search

- Currency
- Support for the desired function
- Need for/Utility of other sorts of data

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When searching for series authority records, you have a variety of places to search, including local files, national files and vendor files. When determining which file to use, it is important to consider the following factors.

Currency is particularly important for a cataloger performing original cataloging, especially for newly-published items.

If obtaining an SAR for inclusion in your local catalog is your goal, currency may be eclipsed by technical capabilities and cost. More specifically, does the file support export in a format and level of completeness that you need? If the full MARC record is needed, is that available? Will diacritics and special characters be retained? Can the record be edited in the source file?

The Library of Congress Authorities database contains not only the LC/NACO Authority File, but also displays series access points from bibliographic records in the LC catalog in search results. Because of the variety of ways that records have entered the LC catalog, the presence or absence of a heading might not have much significance, and in fact not represent current practice. However, in creating an SAR for an older publication, such retrospective information may be useful. If personal, corporate, or geographic names will be used in the heading or in references, you may need to search for guidance on the authorized form to use.

## Where to Search

- Local authority file
- External files (in order of currency)
  - OCLC Authority File
  - LC Authorities
  - ILS/Vendor files

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Logically, the first place to search for series authority records is in your local authority file. The type of display provided for records varies among ILS vendors.

If the information being sought isn't found locally, external files can be consulted. These will be briefly described in the following slides. All are potential sources for records as well as reference sources. While no one file can be deemed to be the most current, the OCLC and LC files will be generally more up-to-date than those from vendors.

## OCLC Authority File in Connexion

- Contains NACO-contributed records not yet in LC Authorities
- Labeled 008/leader values
- Boolean/keyword searching
- Limited to members/customers of OCLC
- No search charges, but may be a charge to export records

7

OCLC provides an authority file through its Connexion client and browser interfaces. Newly-created authority records from the Library of Congress are loaded into the OCLC Authority File six nights a week. NACO-created authority records are sent to LC seven days a week, but loaded into LC Authorities six nights a week. Records added by NACO participants who work in OCLC appear immediately. Records from the British Library appear the day after they have reached LC.

In addition to the labeled displays, the Connexion client interface offers a “MARC Field Help” feature that allows the user to click on a fixed or variable field and connect to the corresponding section of the *MARC 21 Concise Authority Format* document, which explains the content and coding of the fields. The browser interface also offers MARC help, though not quite as directly.

The file supports three kinds of searching—the traditional derived-key searching (in which phrase indexes are searched with keys extracted from the data to be searched—example below if needed), scan searches for names, titles, and subjects, and keyword searching that allows the use of Boolean operators and specification of indexes to be searched.

Currently, searching the OCLC Authority file is free for members and customers. Whether exporting records incurs charges depends on the member’s contract with OCLC.

[NOTE: Example for derived search: Perspectives in analytical philosophy = per,in,an,p (3,2,2,1) There is a stop-list of words which must be omitted from the beginning of a derived title search, including English initial articles, names of U.S. states, and words such as "United," "Congress," "Association," and others]

## LC Authorities (<http://authorities.loc.gov/>)

- Contains NACO-created series authority records that have passed validation
- Also displays tracings from bibliographic records in the LC Online Catalog
- Some record elements in “pure MARC”
- No keyword/Boolean searching
- Free

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LC Authorities is the name of the database more formally known as the “LC/NACO Authority File” (LCNAF for short).

Library of Congress-created and NACO-contributed authority records are added to LC Authorities nightly, Monday through Saturday. NACO-contributed records pass “validation,” or algorithmic checks for coding and tagging, before being added. The validation process does not normally involve human review.

Headings from bibliographic records in the LC Online Catalog, including series access points, are displayed in LC Authorities, in part, because the online catalog once served as the “authority file” for some kinds of headings (especially name-title headings that did not need cross-references). To review, “tracing” is a traditional library term that describes a left-anchored, phrase-indexed access point--the sort of access point that populates author, title, and subject indexes. The MARC display of an authority record in LC Authorities shows the leader and 008 fields in their “pure MARC” form, that is, as a string of characters; the values are not identified. A labeled display is available, but does not display information from the 008.

Headings in LC Authorities must be searched as phrases. There are separate indexes for name and name-title headings. The title portions of name-title headings will appear in a title-index search if they have been entered in the authority record as a reference in a title field (i.e. a MARC 430 or 530 field).

LC Authorities is free to search.

## ILS- or Vendor-supplied Files

- Likely not as current as LC or OCLC files
- Searching/display “user-friendliness” varies
- Usually involve a cost

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Some ILS vendors offer access to an authority file for customers to search and download records. Other vendors may offer online access, or may sell copies of the authority file that can be loaded into the library’s catalog. The LC/NACO Authority File, as sold by the Cataloging Distribution Service of the Library of Congress, would be an example of the last category; the entire file is available for purchase, and weekly updates are available by subscription.

Weekly or monthly updates are the norm for such files.

Vendor files may or may not show 008 and leader information in a labeled display. There may be options to substitute labels for MARC tags in displays, e.g. “NAME SEE FROM” in lieu of “400.” Searching options may or may not include Boolean/keyword searching or other sorts of filters.

Getting access to vendor files usually involves some cost.

## General Searching Considerations

- Know what to expect in terms of consistency within the file
- Know the searching rules for the file you are in
- Be prepared to rethink your search
- Generic series titles will usually have a qualifier

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No matter what file you search to find series authority records, there are some general considerations you must keep in mind with searching. Keeping these things in mind will maximize your success in searching for series authority records.

First, you should know what to expect in the file. Here the major factor that governs consistency is what set of rules governed the creation of the records in the file. Most of the headings and references in authority records in the LCNAF have been created according to the Anglo-American Cataloging Rules, 2<sup>nd</sup> edition (AACR2) and the corresponding Library of Congress Rule Interpretations (LCRI). In many bibliographic files, records created under various rules co-exist. Under pre-AACR2 rules, many more series were entered under personal or corporate name headings, and the title portions of those headings may have been modified to subtract elements that were judged to be statements of responsibility. Knowing that bibliographic files may not be consistent may require you to search various forms of a heading in the authority file, or to "convert" old headings into the new rules before searching. Also, older rules allowed for abbreviated series statements that substitute a pronoun for a statement of responsibility (e.g. "His Collected works" or "Its Research bulletin"); these words may derail a keyword search that would work in an AACR2 bibliographic record.

Searchers should be attentive to the indexes that the database offers, particularly if series are in a special sort of title index. If a heading or a reference involves a corporate or conference name, the searcher should be aware of whether the database contains special indexes for those entities. An important trait to know is whether the title portions of name-title fields are included in the title index. Knowing how data is normalized in the database indexes, particularly punctuation, can enhance the chances for success.

[NOTE: Normalization is a process that standardizes text strings that become index entries by, for example, converting all upper-case letters to lower-case, removing punctuation, removing special characters, or replacing letters with accent marks or diacritics with the unmodified letter or letters. A fuller explanation and listing of the normalization rules for the LC/NACO Authority file can be found at <http://www.loc.gov/catdir/pcc/naco/normrule.html>, a page at the Program for Cooperative Cataloging's NACO Web site]

In certain situations, derived searches (such as the OCLC 3,2,2,1 for titles) might be more useful if there are ambiguities in transcription or spelling of words in a title; in most cases, browse searching will be preferable if available.

It may be necessary to rethink a search and to try to search in different ways. Some situations may call for switching from browse searching to keyword searching.

Searching generic series titles ("Bulletin," "Programs," "Annual reports") requires deducing what sort and form of qualifier may have been added to create a heading. A search under the heading for the body responsible will usually yield a cross-reference to the authorized heading in an authority file; the corresponding added corporate-body entry on a bibliographic record for an item in the series may or may not be present.

## General Searching Considerations

- Advanced search features
- Is the heading already established as an NAR?

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Make use of advanced search features, whether searching authority files or bibliographic files. Many now offer targeted keyword searching that allows pairings of elements from different fields (in searching a bibliographic file, for example, “Opera omnia” from a series statement with “Gabrieli” from an author field, or “New perspectives” from a series statement with “Raintree” as a publisher). In older bibliographic records, series information that would currently be found in a series access point may not always have been recorded in MARC series fields; be ready to broaden keyword searches to include other areas of the catalog record, particularly notes fields.

Sometimes a series heading may have already be established, but as a name authority record. For multipart sets entered under a personal name heading, a name-title authority record may already exist for the set. Provided that the authority record stands only for the specific manifestation in hand, if the set is to be analyzed locally, this record would serve as the basis for a series authority record. The heading may need to be changed (for example, a year will always be added to a heading for “Works;” a qualifier may be added to a title portion that conflicts with another title entered under the same name).

General Searching  
Considerations

“Never search only one  
way”

—*Series Training for  
NACO Participants, Session 3*

12

In conclusion, the motto of the successful series searcher is “never search only one way”.

## Searching National Files— Where to Go for More Help

- LC Authorities:  
<http://authorities.loc.gov/help/contents.htm>
- OCLC Authority File:  
<http://www.oclc.org/support/documentation/worldcat/authorities/userguide/default.htm>

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For additional help in searching series authority records, you should look to the helps provided by the files themselves or by your vendors. In addition to the user guide, OCLC provides a tutorial on searching the authority file. The tutorial may be found on the OCLC Web site ([www.oclc.org](http://www.oclc.org)) under “Support”; look for the link to “Online tutorials.”

## Identifying the Correct Series Authority Record

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Once you have found a series authority record, you need to determine if the record you found represents the series you were looking for. It is important to remember that different series often share the same or similar names, and you need to make sure that there is a match between the series you have and the authority record. This section will identify considerations when evaluating your search results to determine if an appropriate series authority record exists for the search statement.

## Matches

- Statement matches SAR 1XX
  - Use 1XX
- Statement matches SAR 4XX
  - Use 1XX unless variation represents a title change
- Statement matches SAR 5XX
  - Look for the record in which statement is in 1XX field
- Statement matches field in NAR

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Identifying a record as a “match” for the search statement presumes several additional things to be true: 1) that the record found represents the same publication as that of the item in hand. Field 643 contains the publication information that will help determine this, and additional information may come from fields 667 and 670; 2) that the item in hand and the series in the authority record share the same numbering status (however, an SAR for an unnumbered series might be appropriate for a numbered item in that series if the unnumbered items were taken into account in numbering newly-issued volumes); 3) that differences in wording between the statement and SAR field are limited to presence or absence of initial articles.

If the series statement is an exact match for a 1XX field in an SAR for the same publication, use the 1XX form for the series access point in the bibliographic record, adding numbering as appropriate.

If the series statement is an exact match for a 4XX field in an SAR for the same publication, use the 1XX heading for the series access point in the bibliographic record.

If the series statement is an exact match for a 5XX field in an SAR for the same publication, there should be a corresponding SAR with that statement in a 1XX field. If the 5XX field contains an indication of an earlier/later relationship (subfield w “a” for earlier, “b” for later), compare the publication date of the item in hand with dates in 670 citations to be sure that the series statement does not represent a return to an earlier title (a “flip-flop”).

If the series statement matches the heading or a reference in a name-title authority record for the same publication, and **only** the same publication, the heading in the NAR can be used, but a new SAR will be required (or the NAR modified by a NACO participant). The new series heading may require a qualifier if there are multiple manifestations of the work represented by the series tracing, or if the title is one that is qualified by rule (e.g. “Works” in AACR2 25.8, per the Library of Congress Rule Interpretation).

## Not a Match, But ...

- Statement matches no 1XX for 4XX fields, but applies to the same publication as that in an existing SAR

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If the series statement doesn't match a 1XX or 4XX field in an SAR that otherwise can be identified as being for the series/set of which the item is a part, apply AARC2 21.2A to determine if a title change has occurred. If so, a new SAR will be needed. If not, the existing SAR can be used, modified to add the variant title in a 4XX field.

## Matching—Generic Titles

- Report (ACT Law Reform Commission)
- Report (Florida. Legislature. Senate)
- Bulletin (Southeastern Archaeological Conference)
- Bulletin (Fishery Survey of India)
- Studies (Canadian Polish Research Institute)
- Studies (Pro Mundi Vita (Society))

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There are some situations that require more checking to identify the proper SAR to use, and they may unearth situations where a new SAR will be needed or an existing SAR modified.

Once such situation is with generic titles. Titles such as “Report,” “Bulletin,” or “Papers” are always qualified when the series is entered under title, or when there is a reference in the form of a generic title. Finding the appropriate SAR requires the searcher to deduce the qualifier added (usually the name of a corporate body from which the item emanates).

In these examples, a match means that the corporate body from which the item emanates is the same as the one presented in the item being cataloged.

[NOTE: Do not discuss here how qualifiers are determined. This will be covered later in another module. The point of these examples is to show the complexities in matching some generic titles.]

## Matching—Common Titles

- Studies in anthropology (Academic Press)
- Studies in anthropology (Lexington, Ky.)
- Studies in anthropology (Mouton Publishers)
- Studies in anthropology (Prescott College)
- Literary classics (Amherst, N.Y.)
- Literary classics (Gramercy Books (Firm))
- Literary classics (Pensacola, Fla.)

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Some terms can be common enough that they also require qualification to resolve conflicts. Titles such as “Studies in ...,” or “Literary classics” can be candidates for qualification. Finding the appropriate SAR requires the searcher to deduce the qualifier added (usually the place of publication or the name of a corporate body from which the item emanates).

In these examples, a match means that the place of publication or the corporate body from which the item emanates is the same as the one presented in the item being cataloged.

[NOTE: Do not discuss here how qualifiers are determined. This will be covered later in another module. The point of these examples is to show the complexities in matching some generic titles.]

## Matching—Name Changes

- Changes in names of corporate bodies or geographic locations
  - May require a new Series Authority Record
  - May require an updated Series Authority Record
- These changes can affect searching and the creation of new series authority records.

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It is important to note that when the name of a corporate body or a geographic location changes, this change may also affect series authority records where the name has been used as a qualifier. For example, if the name of a corporate body which has been used as a qualifier in a series heading changes such that it is established as a new NAR, a new SAR will be needed.

However, note that if the name of a place has been used as the qualifier, and the heading for that name changes, a new SAR will not be created; rather, the heading in the existing SAR will be changed to use the new form of the qualifier, and the heading with the old qualifier will usually be present as a linking reference.

The complexities of these changes will be covered later on in this training, so for now we will just note that such changes do happen and they can greatly affect how you search for and how you create new series authority records. Be attentive to such name changes.

## Creating Series Authority Records

- ILS support
  - Templates
  - Validation for coding/tagging (or indifference)
  - OPAC display
  - Role in automated authority control processes
- Personnel/timing considerations
  - Who creates them?
  - When are they created?
  - Will they be re-evaluated?

20

The mechanics of creating series authority records will be covered in a subsequent module. Here, we'll just mention a few basic questions whose answers will shape the process. It is important for each library to individually consider the answers to these questions as part of the process of creating series authority records.

Does the ILS support locally-created authority records?

If the system provides well-designed templates, record creation can be simplified. It is helpful to have multiple templates to allow prompts for different sorts of fields for different kinds of series authority records. For example, a prompt for a 410-tagged reference will often be useful when creating a title SAR, but not for one entered under a personal name

Will the ILS software do any validation of MARC coding or tagging in the record? This can be useful, though a certain level of "forgiveness" might help in accommodating local needs.

What elements of the authority record will be displayed in the OPAC? Do all references display? Can/does the OPAC software suppress control subfields like \$w, or use the control subfields to suppress fields that are coded to not display (i.e. \$w nnaa)? Are there options to display scope notes or 670 fields? Are the title portions of name-title headings and references displayed in title searches? Are authority records included in keyword searches? If so, what fields? And how does the OPAC make use of them in such searches to enhance access?

Do headings and references in locally-created records affect local authority control processes, such as automatic flips and new-headings reports?

While a number of different staff may inform the treatment decisions made for a series new to the library, creating the record itself will probably be done by a single person.

How widely will that responsibility be dispersed? Will that decision be different for SARs made for new materials as opposed to those being made retrospectively?

Does the ILS software or local workflow require an authority record to be made before the point of cataloging an item? Will the creator of a series authority record be responsible for any associated file maintenance?

Will locally-created SARs be periodically searched against an external authority file, or are they considered sufficient until new receipts require a change?

## Maintenance/Update Issues

- How do we record local decisions in a non-local record?
- Will existing authority records be replaced by newer versions? How? If by overlay, can locally-added data be preserved?
- Provisions for reconsidering treatment?

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Since series are dynamic entities, it follows that series authority records are also subject to change to reflect changing circumstances of publication. Locally, acquisition patterns and cataloging/classification practices may call for treatment decisions different from those found in a non-local series authority record, and those variances need to be documented. Further, changes in patterns of acquisition and treatment over time may require authority records to be updated. Here are some considerations.

In most cases, treatment decisions in a non-local SAR will mirror those made locally. When that is not the case, some means should exist to specify those practices that vary in the local SAR, in a manner that is clear and concise. Existing treatment fields can be edited; parallel fields added; or fields added with “local” tags (usually X90 MARC tags). These choices may be governed by the tolerance of the library’s ILS software for nonstandard data entry, and also by display conventions.

Some libraries will identify needed changes to series authority records as part of cataloging and make changes manually. Many libraries contract with outside vendors to notify them of non-local changes in authority records that the library has added to its catalog; often, the vendor will also supply the library with new copies of those authority records. Commonly, these records are loaded into the library’s catalog with the expectation that they will overlay older versions. If those older versions were edited locally to record variant treatment decisions or additional references, will that information be preserved? Some ILS vendors allow the library to designate “protected fields” that are retained when a record is overlaid with a newer version. This has its own hazards; for example, a newly-added reference in a non-local authority record may duplicate a locally-added “protected” reference.

Another change-related issue is that of making provision for changes in treatment. What would signal the need for such a change? Who would make the decision?

## Maintenance/Update Issues

- Staffing issues
  - Resources (time, energy, expertise)
  - Retrospective cleanup
  - Worthwhile for older or ephemeral materials?

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When considering maintenance and updating issues the largest consideration is staffing.

Series authority control can be a labor-intensive process. Creating and maintaining series authority records may require the formulation or use of personal, corporate, or geographic headings. The PCC default decisions—full analysis, use of controlled access points, and classification of individual items according to their subject content—maximize user access, but also cataloger effort. Carrying out these decisions successfully requires vigilance almost from the beginning of the acquisition process.

Even if libraries acquired only newly-published material, changes would arise that called for a decision about whether to bring already-cataloged material into line with new treatment or acquisitions policies. Most libraries acquire at least some material that is older. In some cases, a series new to the library may be represented by a series authority record that shows different treatments over time. For example, a series may have been untraced prior to 1981, then traced from that time forward. Should the library accept that treatment, or opt to seek out and add controlled series access points to older records?

If no applicable series authority record exists, the cataloger must decide whether to start “from scratch” with regard to formulating the heading and making treatment decisions, without regard to what may have come before. As noted before, just the act of searching to find holdings in a given series can call for persistence and creativity. Some libraries opt to transcribe series for older materials in 490 1<sup>st</sup>-indicator 0 fields to avoid these issues. Newly-published items may be patently ephemeral, calling into question the utility of providing full-level series authority control.

At the same time, consistency and “making connections” have been traditional values in cooperative cataloging, and are likely values of those attending this workshop.

## Summary

- How do you search for series authority records?
- How do you identify the correct series authority record?
- What issues should be addressed when creating new series authority records?
- What issues should be addressed when maintaining existing series authority records?

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In summary, we've covered the processes and the questions to be answered in searching for, identifying, creating, and maintaining series authority records. The mechanics of record creation are outlined in another module.

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# **Fundamentals of Series Authorities: An ALCTS/PCC Workshop**

## **Part 2 Module 7, Part 1: Creating series citations and authority records**

In this session we'll discuss controlled access points for series (also known as series added entries) and some of the fields in series authority records.

[NOTE: Review the rules/LCRIs mentioned in this session and review the *MARC 21* documentation for the fields covered in this session.]

## Objectives

- AACR2 choice of series access point
- AACR2 form of series access point
- When and how to include these SAR fields:
  - 4XX: see references
  - 670: citation of resource being cataloged
  - 643: place and publisher, etc.
  - 020, 022, 024: standard numbers
  - 667: nonpublic general note

2

There are several tasks for us to accomplish in this session.

The first two are related: What is the correct choice of the access point for different categories of series? And what is the AACR2 form of the access point selected?

Then we'll look at several fields in SARs: which ones must always be included and then others used only as needed.

## Choice of Series Access Point

3

Our first topic is the choice for the controlled series access point.

## Choosing Series Access Point

- Same choices as for any other bibliographic resource
  - Name + title proper
  - Name + uniform title
  - Title proper
  - Uniform title

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There are no special rules for series in AACR2. You consider the same possible choices and follow the same rules as for any other bibliographic resource.

## Intent to Continue Affects Choice

- Monographic series: intended to continue (on and on ...)
- Multipart monographs: intended to be complete after a finite number of units or at a point in time
- If you don't know, the default is monographic series

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The aspect of “continuing” does need to be considered when deciding the choice of series access point: if the series is a monographic series (a category of serial) or is a multipart monograph. In case of doubt, assume it is a monographic series.

[NOTE: In AACR2 the terms multipart item and multipart monograph are used interchangeably]

## Monographic Series: Choice

- Most under title proper or uniform title because:
  - Same person not responsible for entire resource
  - Very few qualify for corporate body entry categories in AACR2 21.1B2

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The title proper or a uniform title is the choice for the controlled series access point for most monographic series because (1) the same person is not responsible for the entire resource, and (2) not that many monographic series fall into any of the categories given in rule 21.1B2 for corporate body.

## Monographic Series: Examples

Research report of the Landahl Laboratory

Geopolitical studies

Impressionism today

Trends in psychoanalysis

Marco Polo Society monograph

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Shown here are just a few of the possible monographic series with the title proper as the controlled series access point.

## Monographic Series: Uniform Title

- If more than one resource with same title, add a parenthetical qualifier to create a unique access point (AACR2 25.5B)
  - More information in session 10

American historical studies  
[published in Boston]

American historical studies (Chicago, Ill.)

8

Chapter 25 is an optional chapter in AACR2. If your library wants the controlled series access points for series to be unique, you'll need to add a qualifier to the title proper when it isn't unique; this topic will be covered in session 10.

[NOTE: Uniform title included in this session so the possibilities' list would be complete; but, defer further discussion and any questions until session 10.]

## Monographic Series: Corporate Name Entry

- Some of the possible AACR2 21.1B2 categories
  - Administrative reports of a government agency
  - Proceedings of an annual conference
  - Recommendations of an organization
  - Some cartographic resources

Reminder: doesn't occur often!

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Compared to all monographic series, only a few monographic series qualify for the controlled series access point to begin with the corporate body's name. While this does not occur very often there are some categories of items that use this form of entry.

## Monographic Series: Corporate Name Entry Examples

Division budget reports  
[issued by the Iowa Dept. of Education]

Proceedings of the annual conferences  
[conference = Annual Geological Conference]

Certification standards  
[issued by the Professional Counseling Society]

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Here are three corporate examples for monographic series: administrative reports, proceeding of a series of a recurring conference, and recommendations of an organization.

## Multipart Monographs: Choice

- Many: personal name + title proper/uniform title (AACR2 21.1A2)
- Some: corporate name + title proper/uniform title (AACR2 21.1B2)
- Some: title proper/uniform title (AACR2 21.1C)

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The results of a choice for multipart monographs are very different. Many have a person or persons responsible for the resource as a whole. Some qualify for the corporate body categories. For some, the title proper or a uniform title is the controlled series access point.

## Multipart Monographs: Personal Name + ...

- Some: name + title proper

Six easy craft projects

[all volumes by Lydia R. Moore & Marie Anderson]

- Some: name + uniform title; more information in session 10

Cambridge edition of the works of Shakespeare

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This slide shows two examples of the personal name as the beginning of the controlled series access point. For the first, two individuals are responsible for all six volumes. We will discuss use of a name plus a uniform title in session 10.

## Multipart Monographs: Corporate Name + Title Proper

Expanding literacy in 2006  
[two volumes of papers from the 2006 Literacy  
for America Conference]

Sources for women's studies  
[3-volume set of resources available in a  
college library]

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Here are two examples of a multipart monograph belonging to a rule 21.1B2 category for corporate body: a two-volume multipart monograph of a single conference; and, a 3-volume multipart monograph of a section of the resources of a college library.

## Multipart Monographs: Title Proper or Uniform Title

- Most multipart monograph titles are unique
  - If not, can decide to add parenthetical qualifier (more information in session 10)

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Most multipart monograph titles are longer and more distinctive than titles of monographic series. When the controlled series access point does not begin with a personal or corporate name, most of the time the controlled series access point consists only of the title proper. More information about adding a parenthetical qualifier when the title proper isn't unique will be given in session 10.

## Other SAR Categories

- Integrating resources: the same four choices listed earlier
- Series-like phrase: usually “title proper” or “uniform title” (i.e., the phrase or the phrase plus a qualifier)

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We won't discuss integrating resources specifically in this session, however, the possibilities are the same as for monographic series and multipart monographs.

[NOTE: Participants who require more information about integrating resources should be directed to other training offered through various sources]

If you're making a series-like phrase SAR so you can document the decision for yourself and for others that the words are not to be considered a series, the choice for what you put in the 1XX field of the SAR is almost always the words themselves or the words plus a qualifier if needed to make that 1XX field unique.

Before we move to the next topic, do you have any questions about choosing the controlled series access point?

## Form of Series Access Point

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Our next topic is determining the form of the access point once you've made your choice of what type of access point is needed.

## Form: Name

- Name portion of heading: use AACR2 form of that name including, in appropriate 1XX subfields:
  - Dates
  - Parenthetical qualifiers, etc.

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If the controlled series access point begins with a personal or corporate name, that name should be given in its AACR2 form. Any additional data elements (dates, parenthetical qualifiers, etc.) should be included and should be given with the appropriate subfield codes.

## Name Entry Examples

100 1\_ \$a Moore, Lydia R. \$q (Lydia Ruth), \$d 1958-  
\$t Six easy craft projects

110 1\_ \$a Iowa. \$b Dept. of Education. \$t Division  
budget reports

110 2\_ \$a Professional Counseling Society (U.S.).  
\$t Certification standards

111 2\_ \$a Literacy for America Conference \$d (2006 : \$c  
New York, N.Y.). \$t Expanding literacy in 2006

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Here are four examples you've seen before, showing the form of the name heading. Note the subfield coding and the parenthetical qualifiers. The forms of the names are the AACR2 forms.

## Series Access Points in Bibliographic Records

SAR 100 = Bibliographic record 800

SAR 110 = Bibliographic record 810

SAR 111 = Bibliographic record 811

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When series access points begin with name headings, the access points are given in 8XX fields in bibliographic records.

## Examples: Series Name Access Points in Bibl. Records

490 1\_ \$a Six easy craft projects  
800 1\_ \$a Moore, Lydia R. \$q (Lydia Ruth), \$d 1958-  
\$t Six easy craft projects

490 1\_ \$a Certification standards  
810 2\_ \$a Professional Counseling Society (U.S.).  
\$t Certification standards

20

Here are two of the examples you've seen before as they would be recorded in the bibliographic records: the title of the series in the 490 1# series statement with the controlled access point in an 8XX field. The first one is a multipart monograph; the access point begins with the first-named author. The second one is a monographic series that fits one of the corporate body categories.

## Title in Access Point: When?

- As part of name + title access point
- As the access point
- As basis of uniform title access point (title + qualifier)
  
- Two exceptions:
  - Translation
  - Collective uniform title

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We've talked about names. What about the series title? When and how is it used in a series access point. As we've already seen from the previous slide, it can be given in subfield \$t when the series access point begins with a name. The title may be the controlled series access point; remember we said that is the most common situation for monographic series. And, the series title is the basis of a uniform title access point because a qualifier is added to the series title.

There are two exceptions to using the series title as the access point or as part of the access point. The first is when the series as a whole is a translation; the second is when AACR2 requires a collective uniform title. We'll come back to these two exceptions in a few minutes.

## Title in Access Point: Form?

- Title proper of series from the priority-order source in the resource being cataloged

It is the title proper in the 4XX field of the bibliographic record if you are making the SAR at the same time.

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Talking about the form of the title in the series access point gives me one more opportunity to remind you about using the form of the title on the priority-order source in the resource you're cataloging.

If you're creating the SAR at the same time as you're cataloging the first part of the resource in your library, the form of the series title you select for the 4XX series statement will be the form of the series title to be used in the series access point.

## Choice of Title Proper: Example

series t.p.	t.p.
Patterns of Swedish Emigration	Swedish Emigration Patterns  [Volume title]  Publisher

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Here’s an example for reviewing the priority-order source principle. If the series title appears in more than one form, you select the form for the bibliographic record 4XX series statement based on the priority order of sources given in the appropriate AACR2 chapter. This example is a book; the rule in chapter 2 says that the series title page is the first choice for source of the series titles. So, you’d select the form “Patterns of Swedish emigration” as the series title in the bibl. record series statement. For purposes of recording information in the bibliographic record, you ignore the different form of the series title on the book’s title page.

## Choice of Title Proper: Example

Bibl. record 4XX:

4XX \$a Patterns of Swedish emigration

SAR 1XX:

1XX \$a Patterns of Swedish emigration

What about “Swedish emigration patterns”?

Answer: Will be reference in SAR (more later)

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So, you see that form from the series title page recorded in the bibliographic record series statement. That form then becomes the form in the SAR for the controlled series access point.

You might ask what happens to the different form of the series title found on the book t.p. We'll come back to those variant forms when we discuss references later in this session.

## Adjustments to the Series Title?

- Omit initial article in subfields \$a, \$t, and \$p (AACR2 25.2C1)
- Add parenthetical qualifier if need to make access point unique (AACR2 25.5B)

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What do you do to the series title proper when you are using it as or as part of a controlled series access point?

First, you omit an initial article in any of the subfields shown here: \$a, \$t, or \$p.

Second, if your library wants unique access points, add a parenthetical qualifier as needed.

## Title Proper Adjustments: Examples

Bibl. 4XX \$a The American West in film  
SAR = 130 \$a American West in film

Bibl. 4XX \$a The continents  
SAR = 100 \$a Name. \$t Continents

Bibl. 4XX \$a Research report  
SAR = 130 \$a Research report (ABC Institute)

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Here are two examples of deleting initial articles: in subfield \$a in the first example, in subfield \$t in the second example. An initial article isn't deleted in the bibliographic record 4XX field because the series statement is descriptive information: it should represent what you see on the resource.

The third example shows the addition of a parenthetical qualifier; as noted earlier, you'll cover these qualifiers in session 10.

## Series Title Not in Access Point

- If the entire series is a translation, follow AACR2 25.5C1: title of original with the name of the language in subfield \$l

Bibl. 490 = \$a Title translated into English  
Bibl. 830 = \$a German original title. \$l English.  
SAR 130 = \$a German original title. \$l English

- If main entry requires collective uniform title (e.g., Works, Selections, Piano music) - information in session 10

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Remember on an earlier slide that I said there were two exceptions to using the series title proper in the series access point?

The first occurs when the entire series is a translation. The bibl. record series statement has the series title as found on the resource. But, for the controlled series access point, you follow the rule for translations. The access point is the title of the original plus the language name in subfield \$l.

The other exception of using a collective uniform title will be discussed in session 10.

## Series Title: More Than One Language on Same Source

- Access point: generally, choose the title presented first on the priority-order source of the first volume
- Different from a bibliographic record series statement: series title proper is the title in language matching content of volume being cataloged

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Sometimes the series title will appear in more than one language and/or script on the priority-order source. Which form of the series title do you choose? The answer may not be the same for the bibliographic record series statement and for the controlled series access point.

For the sake of consistency and because it is usually difficult to know what will be the language of the main content of the monographic series or multipart monograph as a whole when you only have one part, generally choose as the access point the title that is presented first on the source of the first volume in the series. If all catalogers do that, there won't be any duplicate SARs under other language forms.

Remember that the form of the series title selected to be the series title proper to be transcribed in the bibliographic record series statement is to be the one matching the content of that volume; it may not be the form presented first on the source. And it is okay if the choice is different!

## More Than One Language: Example

Series t.p.: French series title tome 1  
English series title volume 1  
Vol. being cataloged: text in English; publisher  
is an international organization

Bibl. record: 490 \$a English series title ; \$v v. 1  
= \$a French series title ; \$v t. 1  
830 \$a French series title ; \$v t. 1.  
SAR: 130 \$a French series title

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Here is an example showing that the two choices may differ. Because the text of the volume is in English, the cataloger skips the French series title on the source to pick the English form to be the series title proper in the bibliographic record 490 field. But, selecting the form for the controlled series access point is a separate action; for the access point, it is usually just a “mechanical” action of selecting the first one presented: in this case, the French form.

[NOTE: If attendees want to know when the first one presented wouldn't be used as the access point, you can give the following examples: when a language form is presented more as an artistic element (ancient Greek for a series on archeology in the Mediterranean area), when it is clear from prefatory material that the series will never be published in that language (a series on Welsh history published in the U.S. with both Welsh and English forms of the series title)]

## Title or Uniform Title Access Point in Bibliographic Records

SAR 130

= Bibliographic record 440

or:

= Bibliographic record 830

Depends ...

30

When the controlled series access point doesn't begin with a name, the series statement may be able to also function as the access point if it is the same as the access point and if the numbering style is consistent with the SAR information (you'll learn more about the numbering condition in session 9). Otherwise, the series access point is given in field 830.

## Questions: Choice and Form of Controlled Series Access Point?

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Do you have any further questions about either choosing the controlled series access point or determining the form of that access point?

## Exercise 1

- For resources #A-#C, fill out the following on each answer sheet:
  - Multipart monograph or monographic series?
  - Bibliographic record:
    - 4\_\_ field
    - 8\_\_ field
  - Series authority record:
    - 1\_\_ field

32

In the first exercise for this session, you will be transcribing the series statement and then deciding on the choice and form of the controlled series access point. Determining if the resource is a multipart monograph or a monographic series will be important in determining the choice of the access point. So, on your answer sheets for the three resources, fill out the parts of the answer sheet listed on this slide. The information about the items follows on the first three pages. The answer sheets to fill out follow that.

[NOTE: In this section participants are asked only to fill out the parts of the answer sheets listed above. While the other areas are given on the answer sheets they will be filled in later in additional parts of the exercises]

## Other Series Data Elements

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Now that we've decided on the 1XX field of the series authority record, we need to decide what to do with other series data elements .

## Other Series Data Elements

- Other forms of series title on resource not recorded in the bibliographic record series statement (4XX field)
- Data elements other than series title in the bibliographic record series statement
- Other information about the series

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These other series data elements can be divided into three groups:

- (1) forms of the series title on the resource that were not recorded in the bibliographic record series statement;
- (2) data elements in the bibliographic record series statement other than the series title;
- (3) other information about the series

## Those Data Elements in SARs

- Some included as see references
  
- Others included in other fields
  - Some of those fields same as in NARs
  - Some of those fields unique to SARs

35

Of those three groups of series data elements we just listed, some are included in SARs as references. The others are given in other fields; some of those fields will be familiar because those fields are also in NARs but some are found only in SARs.

## SAR See References: Purpose

- Direct user from form not used as access point to the form used as access point
- Include information helpful for identifying the series, e.g.,
  - Issuing body
  - Variant forms
  - Minor title changes of monographic series (information in session 11)

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The purpose of see references is to direct users from unused forms to the form used as the access point. References also contain information useful for identifying the series and distinguishing one series from another.

## 4XX Categories (LCRI 26.5A)

- Alternate approaches: what not chosen as main entry
- Variant forms of series title information when creating the SAR
- Alternate forms for searching
- Changes in/Addition of data elements over time (information in session 11)
- Any other reference important for access

37

See references can be divided into these five groups. We'll look at the first three and the last one in this session; the fourth group will be covered in session 11.

## Alternate Approaches: SAR 130

- Name/title proper for corporate issuing body

130 \_0 \$a Geopolitical studies  
410 2\_ \$a International Political Science Association.  
\$t Geopolitical studies

- Title proper in language not used in 130

130 \_0 \$a Langue et littérature  
430 \_0 \$a Language and literature

38

The first group is that of alternate approaches. There can be only one choice for the controlled series access point but not all the users of series authority data are catalogers; because other users might not know what the cataloging rules prescribe as the choice for the access point, we need to give references from the choices that others might consider to be the access point.

When the access point is the series title or a uniform title, the following are alternative approaches to be included as see references:

- (1) If there is an issuing body, give a name/title reference.
- (2) If the series title is in more than one language, give any other language form in a see reference.

## Alternate Approaches: SAR 1XX Name/Title Proper (1)

- Title proper

110 2\_ \$a Professional Counseling Society (U.S.).  
    \$t Certification standards  
430 \_0 \$a Certification standards

39

If the access point is a name plus series title proper, give a reference from the series title proper.

[NOTE: Some attendees may say that such a reference isn't needed in their own systems because a title index is built on the 1XX subfield \$t.]

## Alternate Approaches: SAR 1XX Name/Title Proper (2)

- Name/title proper for another person or corporate body

100 1\_ \$a Moore, Lydia R. \$q (Lydia Ruth), \$d 1958-  
\$t Six easy craft projects

400 1\_ \$a Anderson, Marie, \$d 1950- \$t Six easy  
craft projects

40

If the access point is a name plus series title proper and there is more than one corporate body or person responsible for the series as a whole, give a name/title proper reference for the other body or person. Remember from earlier slides that two people are responsible for this 6-volume multipart monograph.

## Alternate Approaches: SAR 1XX Name/Uniform title (1)

- Title proper if distinctive

100 1\_ \$a Shakespeare, William, \$d 1564-1616.  
    \$t Works. \$f 2006

430 \_0 \$a Cambridge edition of Shakespeare's works

41

If the access point is a name plus a uniform title, give a reference from the series title proper if it is distinctive. Whether the series title is distinctive or not is cataloger's judgment.

[NOTE: This "collective uniform title" example is included for purposes of talking about the reference. The form of the heading is covered in other session.]

## Alternate Approaches: SAR 1XX Name/Uniform Title (2)

- Name/title proper

100 1\_ \$a Shakespeare, William, \$d 1564-1616.  
\$t Works. \$f 2006

400 1\_ \$a Shakespeare, William. \$d 1564-1616.  
\$t Cambridge edition of Shakespeare's works.  
\$f 2006

42

If the access point is a name plus a uniform title, give a reference from that name plus the series title proper.

Are there any questions about any of the alternate approach see references?

## Variant Title Info: New SAR

- Parallel series title(s)
- Series other title information sometimes
- Series title on other than priority-order source

Why? Important for identification  
and to avoid duplicate records!

43

The second group of see references covers variant title forms. Within this group are parallel series titles, series other title information, and forms of the series title found on the resource in sources other than the priority-order source. Including these references is important both to identify the series and to avoid creating duplicate records under different forms of the title for the same series.

## Parallel Series Titles

- Parallel titles in series statement in bibliographic record
- Other language/script forms on resource not included in bibliographic record series statement

44

Let's look first at parallel series titles. Not all the language/script forms of the series title may be transcribed in the series statement. In the SAR, however, we want to include all the language forms because non-catalogers won't know the rules for choosing some and ignoring other language forms.

## Parallel Series Title Example

- Map with series title in English, French, German, and Russian

Bibl. record:

490 1\_ \$a English title = \$a French title

SAR:

130 \_0 \$a English title

430 \_0 \$a French title

430 \_0 \$a German title

430 \_0 \$a Russian title

45

Here's an example of a map with more language forms of the series title than those appearing in the bibliographic record series statement. All language forms appear in the SAR: one in the 130 field and the other three as references.

## References: Series Other Title Information

- If someone might think it is really a separate series title
- If someone might think it is part of the series title

46

Don't automatically make a reference for series other title information. But, such a reference is helpful in two specific situations:

(1) When someone could think that the series other title information is really the series title of a separate series (maybe you even thought there was another series until you did more searching or investigation)

(2) When someone isn't sure if the series other title information is part of the series title or not (maybe you weren't sure at first either and you just had to make a decision)

## Other Title Info: Example (1)

- If presentation is confusing: do words represent a separate series?

On resource:

Theological Perspectives

⌘⌘⌘

Studies in Comparative Religion

SAR:

130 \_0 \$a Theological perspectives

430 \_0 \$a Studies in comparative religion

47

This slide illustrates one of the situations when it is helpful to give a reference from the series other title information. Here it isn't clear if the words "Studies in comparative religion" are the title of a separate series or equal the other title information for the series "Theological perspectives." Once further investigation within the resource or elsewhere clarifies that the words are not the title of a separate series, include a reference from those words so someone else doesn't make an SAR for those words as a series title and to save other catalogers from needing to do the same investigation you did.

## Other Title Info: Example (2)

- Especially if series title is short: are words part of series title proper?

130 \_0 \$a Linguistics

430 \_0 \$a Linguistics, methods and procedures

48

Sometimes it is difficult, especially when one choice would lead to a short series title, to determine where the series title ends. If you decide that some of the words are not part of the series title, make a reference from the longer form so that another cataloger doesn't make an SAR for the longer form.

## Series Title on Other Sources: New SAR

- Reminder: importance of using form on priority-order source for heading
  - For consistency
  - To avoid duplicate SARs for same resource
- Giving references from variant forms of the series title in other sources on the resource: important for finding SAR!

49

The last situation in the variant title group is a different form of the series title found on a source other than the priority-order source. Catalogers know how important the priority-order source concept is but other users of SARs might not know. So, giving references from other forms found on the result is important in helping others to find the SAR.

Giving see references for other-source forms appearing on later volumes will be covered in session 11.

## Variant Series Titles: Example

Series t.p. = Patterns of Swedish emigration

Title page = Swedish emigration patterns

130 \_0 \$a Patterns of Swedish emigration

430 \_0 \$a Swedish emigration patterns

50

We've returned to an example we discussed earlier. Catalogers know that the form on the series title page will be the access point but others might think the different form on the title page is the access point. Make a reference from the form on this other source so users will find the SAR.

Do you have any questions about references for variant forms of series title information?

## Alternate Forms for Searching

- Dependent on needs of users of your local system/shared database
  
- Similar to giving 246 fields in bibliographic records for alternate forms of 245 title proper
  - Substituting word for symbol, abbreviation, etc.
  - Giving alternate spelling
  - Removing internal spacing or punctuation

51

The third grouping of see references is alternate forms for searching. Catalogers in some libraries may not need to give such references because the local system can take such possibilities into account. The concept for alternate searching forms for series access points is the same as that for giving alternate forms in 246 fields for the 245 field in bibliographic records; the most commonly-given alternate forms are those for substitutions, alternate spelling, and removal of internal spacing or punctuation.

## Alternate Searching Forms: Examples

130 \_0 \$a Biking & hiking adventures  
430 \_0 \$a Biking and hiking adventures

130 \_0 \$a Colour photography made simple  
430 \_0 \$a Color photography made simple

130 \_0 \$a J.K.L. Society monographs  
430 \_0 \$a JKL Society monographs

52

This slide has three examples of see references for alternate searching forms.

## Changes Over Time

- To be covered in session 11:
  - Changes in issuing body
  - Addition or change of variant forms of title in non-priority order sources
  - Minor title changes of monographic series
  - Title changes of multipart monographs and integrating resources

53

The fourth grouping of see references covers changes over time. Because we're talking in this session about creating the SAR the first time, the changes over time will be covered in session 11. The list here is just for your review later.

[NOTE: The categories of such changes are just listed here for the benefit of the attendees when they use the materials later as a reference source. Don't take time even to mention the categories on this slide during this session.]

## Cataloger's Judgment

- Any other reference you think is important for someone -- including you -- to find the SAR!

54

The last category depends on your judgment. If you think that a specific reference would be helpful for you or for someone else to find the SAR later, make a reference. It is much better to have an extra reference in an SAR than to have a duplicate SAR because someone else didn't find the SAR you made!

Are there any questions about the categories of see references to give in SARs?

## Form of References

- Give reference in form it would be if it were the controlled access point (AACR2 26.1F1) - no “variants of variants”
- If name/title or name/uniform title reference, give name in its AACR2 form
- Omit initial article in subfields \$a, \$t, and \$p
- Do you want unique headings in SARs? If so, add a qualifier to a reference if it is the same as the heading in the same or another SAR

55

Now that you know what references you want to give, the next step is to determine the form of those references:

(1) AACR2 says to give only one form of each reference (no “variants of variants”) and to give it in the form it would have if it were the access point rather than a reference.

(2) Just as in the series access point, use the AACR2 form of name in any name/title or name/uniform title reference.

(3) Just as in the series access point, omit initial articles in subfields \$a, \$t, and \$p.

(4) If your library wants unique series access points, you’ll need to add qualifiers.

## No “Variants of Variants”

130 \$a Title in English

430 \$a Title in French

430 \$a Title in German

410 \$a Body. \$t Title in English ← [alternate approach]

~~410 \$a Body. \$t Title in French~~

~~410 \$a Body. \$t Title in German~~

56

Here is an example to understand the prohibition against “variants of variants.”

The 430 see references are references from other language forms.

The 410 name/title reference using the English form of the title is the alternate approach to the choice selected for the access point.

But, don’t make 410 name/title references from the language forms in the 430 references; the 430 references are already variant forms.

Also note that MARC 21 documentation doesn’t require see references to be given in tag number order: it is okay to have 430 fields appear before a 410 field in most systems.

## Recording Access Point and References in SARs

- Access point in 1XX field
- Reference(s) in 4XX field(s)
- Usage supporting access point and references in 670 field (“source data found”)

57

Where do the pieces of information about the access point and the see references fit in the SAR?

The access point goes in the 1XX field.

See references go in 4XX fields.

The evidence supporting the forms of the access point and the references is recorded in the 670 field.

## SAR 670: Required Information

- In subfield \$a:
  - Title of analytic
  - Date or chronological designation
  
- In subfield \$b: location(s) of usage and usage itself
  - For form of title in SAR 1XX
  - For form of title in SAR 4XX field(s)

58

This slide shows what information must be included in a 670 field in an SAR:  
subfield \$a: at least the title of the volume that is being cataloged and either the publication date or, if it is a serial analytic, the chronological designation of that volume

subfield \$b: both the location and the usage of the form of the series title in the SAR 1XX and for variant forms of the series title in the see references

## SAR 670: Not “Justifying” Some 4XX

- Usage not needed in 670 field for these see references:
  - Name portion of name/title references
  - References required by AACR2 rules
  - References for different romanizations
  - References for alternate searching forms

59

Just as with other authority record creation the references listed here don't need to be supported by usage in the 670 field.

## SAR 670: Optional Information

- In subfield \$a:
  - Main entry of analytic if not title
  - GMD
- In subfield \$b:
  - Name of issuing body
  - Numbering
- Some of this information may be supplied if the SAR is generated from the bibliographic record

60

Some catalogers like to put more information in the 670 field when creating an SAR. That is okay; you or your library should decide how much information you'll include. Now that some library systems can generate a brief series authority record from a bibliographic record, some of this optional information can appear "automatically" and you shouldn't take the time to delete it.

## SAR 670: Reminders

- No standardized style/punctuation: just be concise and clear
- “Series title page” is not a generic term for source of series title; give specific location
- SARs in LC/NAF created before June 1989 usually lack usage in subfield \$b of the first 670

61

Here are three reminders about the 670 field:

(1) The 670 field doesn't need to follow a specific pattern; just be sure another cataloger could understand it.

(2) Don't use “series title page” as the location unless the location really is the series title page. Since some automatic series authority record generators use the term series title page exclusively it may need to be adjusted manually. The location given in the 670 should accurately reflect where it came from on the item.

(3) There was a shortcut used for creating 670 fields by LC and other libraries before June 1989 not to give usage in the 670 if it matched the form of the series title in the 1XX field. That practice was dropped because there was too much confusion later if the 1XX field was changed.

## SAR 670: Examples (1)

130 \_0 \$a Chemical applications  
670 \_\_ \$a Hydrogen fuel cells, 2006: \$b t.p.  
(Chemical applications)

130 \_0 \$a Snakke norsk  
430 \_0 \$a Speak Norwegian  
670 \_\_ \$a Huset, 2004: \$b label (Snakke norsk  
= Speak Norwegian)

62

Here are two examples of how 670 fields support the form of the access point and references.

In the first example, there are no references; the only usage given in the 670 field supports the 130 access point form.

In the second example, there is one reference for another language form; the 670 has usage for the access point and that reference. Note that any punctuation can be used to separate the title forms in the 670 subfield \$b although using a comma may not make it clear that two titles are being given.

## SAR 670: Examples (2)

130 \_0 \$a Mathematics in the classroom

430 \_0 \$a Classroom mathematics

430 \_0 \$a Math in the classroom

670 \_\_ \$a Multiplication drills, c2005: \$b ser. t.p.  
(Mathematics in the classroom) spine  
(Classroom mathematics) cover p. 4 (Math  
in the classroom)

63

In this example, the 670 shows three locations for usage: for the form on the priority-order source that is the access point and for the two forms found elsewhere on the resource. There is no specified order of the locations in subfield \$b after the priority-order source location.

## SAR 670: Examples (3a)

130 \_0 \$a Do-it-yourself documents

410 2\_ \$a MWS Institute. \$t Do-it-yourself documents

430 \_0 \$a Do it yourself documents

670 \_\_ \$a Writing your own will, c2007 \$b title screen  
(Do-it-yourself documents)

64

This example shows that it isn't necessary to include in the 670 field the name of the body in a 410 name/title reference.

## SAR 670: Examples (3b)

130 \_0 \$a Do-it-yourself documents

410 2\_ \$a MWS Institute. \$t Do-it-yourself documents

430 \_0 \$a Do it yourself documents

670 \_\_ \$a Nilsson, Ole. Writing your own will [ER],  
c2007 \$b title screen (Do-it-yourself documents  
/ MWS Institute ; no. 2)

[Note: this 670 has optional elements.]

65

The example is a variation of the example on the previous slide. It shows additional elements in the 670 field that are optional.

## Multiple 670 Fields in One SAR

- When another volume has additional title information
- When another volume has different title information

To be covered in session 11

66

Some SARs will have more than one 670 field when there is additional or different information appearing on later volumes. When to add those fields and what to include in them will be covered in session 11.

[NOTE: here just so attendees are aware that 670 fields will be added over the life of the SAR. Don't need to give any more information in this session.]

## Questions About 670?

- Note: “See also” references (5XX fields) and 675 field (to support those 5XX references) will be covered in session 11

67

Are there are more questions about the 670 field?

As you know, there is a counterpart 675 field in authority records. However, that field will be discussed with the 5XX fields for “see also” references in session 11.

## Exercise 2

- For resources #A-#C, fill out the following on the same answer sheets used in Exercise 1:
  - Series authority record:
    - 4\_\_ field(s) as appropriate
    - 670 field

68

For the second exercise in this session, go back to your answer sheets for the first exercise and give all the appropriate see references in 4XX fields and give the 670 field.

[NOTE: Participants are asked to turn back in their manuals to the exercise and answer sheets. In this section participants are asked only to fill out the parts of the answer sheets listed above. While the other areas are given on the answer sheets they will be filled in later in additional parts of the exercises]

## Back to: Other Series Data Elements

- Other forms of series title on resource not recorded in bibliographic record series statement (4XX field)
- Data elements other than title proper in bibliographic record series statement
  - title information and the issuing body
- Other information about series

69

Many slides ago, we had this listing of other series data elements. We've covered the first category; in the second category, we've covered title information and the issuing body. So, now we'll turn our attention to the remaining elements in the second category and then move on to the third category.

## Data Elements in Bibl. 4XX

- Title proper = SAR 1XX
- Parallel titles = SAR 4XX
- Other title information = SAR 4XX maybe
- Statement of responsibility = in SAR 41X

ISSN = SAR 022

Numbering = SAR 642

70

The remaining elements in the second category of the series statement in the bibliographic record are the ISSN and numbering.

## Other Information About Series

- ISBN = 020 field
- ISSN = 022 field
- Other standard identifier = 024 field
- Place of publication and publisher = 643 field
- Additional numbering information = 640, 641 fields (to be covered in session 9)
- Note for information not given elsewhere = 667 field

71

These fields contain information about the series; most are not included in the bibliographic record series statement although the ISSN may be. We'll look at each one.

[NOTE: If you have time, you can quickly name the fields; otherwise, go directly to next slide.]

## SAR 020: ISBN

- International Standard Book Number: a 10- or 13-digit number for a multipart monograph as a whole
- Subfield \$a: valid number with no hyphens or spaces; include qualifier
- Subfield \$z: cancelled/invalid number
- Does not appear in the bibliographic series statement

72

The only ISBN to be recorded in an SAR is the one assigned to the multipart monograph as a whole. Give a valid ISBN without hyphens or spaces in subfield \$a; include qualifier if present on the resource. This information is not included in the bibliographic record series statement.

## SAR 022 = ISSN

- International Standard Serial Number: an 8-digit number for monographic series and other serials
- Subfield \$a = valid number, including the hyphen
- Give an invalid number in 667 field
- Can be in the bibliographic series statement

73

The ISSN is assigned to monographic series and other serials. It appears on resources preceded by the initials "ISSN." Record the number (4 digits + hyphen + 4 digits) in the 022 subfield \$a. If you know that the number is invalid (because it is in a serial bibliographic record 022 subfield \$y or \$z), give the number in a note in the authority record. This information can be included in the bibliographic record series statement.

## SAR 024: Other Standard Identifier

- A standard identifier other than an ISBN or ISSN
- Subfield \$a = valid number
- Subfield \$2 = source of number or code
- Subfield \$z = cancelled/invalid number

74

Field 024 is the field for any standard identifier other than an ISBN or ISSN. Use subfield \$2 to indicate the source. This information is not included in the bibliographic record series statement.

## SAR 643: Place and Publisher

- “Publisher” = publisher, manufacturer, producer, releasing agent, etc.
- Very important data element for identification when series titles are the same or similar
- Both a publisher and an issuing body? Publisher in 643 field and issuing body in name/title 41X field

75

Although we’ve postponed discussing the 643 field until now because its information doesn’t appear in the bibliographic record series statement, it is one of the most important fields in the SAR for confirming that you have found the correct SAR.

Note that “publisher” in the name of the field covers more roles than just publishing. However, if you have both an issuing body and a publisher or manufacturer or producer, etc., give the issuing body in a name + title see reference and give the publisher, etc., in the 643 field.

## 643: Identification Example

Existing SAR:

130 \_0 \$a History of sport  
643 \_\_ \$a Buffalo \$b Niagara Pub. Co.  
670 \_\_ \$a Athletics in Communist China, 1984:  
\$b t.p. (History of sport)

Resource to be cataloged; investigate if need another SAR:

Series t.p. = History of Sport  
Title page = The Steroid Era  
HGH, Inc. -- San Francisco -- 2006

76

This example shows how the 643 field is important in helping to identify a series when more than one series has the same title. When searching the series “History of sport” for the 2006 volume being cataloged, the cataloger found the SAR shown here. The title in the 130 field matches the series title on the 2006 volume. But, the different place/publisher in addition to the different publication date time period should make the cataloger suspicious. More investigation should be done to determine if a different SAR needs to be made for the 2006 volume.

## SAR 643: Form

- Use 260 subfields \$a and \$b from analytic bibliographic record

Bibl. record:

260 \_\_ \$a Boise : \$b Western Pub. Co., \$c 2006.

SAR:

643 \_\_ \$a Boise \$b Western Pub. Co.

77

The 643 in a new SAR should be the same as the subfields \$a and \$b of the 260 in the bibliographic record for the volume being cataloged. There is no subfield \$c in a 643 field. Also note that no punctuation is used between the \$a and \$b.

Some libraries' systems will supply the information from the 260 field when they create brief SARs. If your system doesn't do that, you can copy and paste the information into the SAR.

## More Than One Place or Publisher

- Can be multiple places and/or publishers at the same time

643 \_\_ \$a Denver \$b University of Denver \$a Boulder  
\$b University of Colorado

- Can be different places and/or publishers for different time periods (in session 11)

78

A series can have more than one place of publication and/or more than one publisher at the same time. The 260 field in the analytic bibliographic record will have multiple subfields \$a and \$b; the SAR 643 field should match it. Here also note that no punctuation is used between the \$a's and \$b's.

Session 11 will include information about recording different places and/or publishers for different time periods during the life of a series.

## SAR 667: “Nonpublic General Note”

- Whatever information you think would be important to include for your own use later or for use by another cataloger
  - Information about series (e.g., “Not same as \_\_\_\_\_”)
  - Local information (e.g., your library’s change of its acquisition or retention decision)

79

The last SAR field we’ll discuss in this session is the 667 field, also used in NARs. It is a cataloger’s note field used to give information about the series or to record local information.

## Questions?

- 020: ISBN
- 022: ISSN
- 024: Other standard identifier
- 643: Place and publisher
- 667: Nonpublic general note

80

Are there any questions about these five fields in an SAR?

## Exercise 3

- For resources #A-#C, fill out the following on the same answer sheets as used in Exercise 1:
  - Bibliographic record:
    - 260 field
  - Series authority record:
    - 020 field as appropriate
    - 022 field as appropriate
    - 643 field

81

For the last exercise in this session, go back to your answer sheets for the first exercise and complete the bibliographic record and the series authority record with the appropriate fields listed here.

[NOTE: Participants are asked to turn back in their manuals to the exercise and answer sheets. In this section participants are asked only to fill out the parts of the answer sheets listed above.]

## Summary

- Does a resource's intent to continue publishing affect the choice of the access point?
- What form of name is used in a name/title series access point?
- Name three kinds of see references in an SAR.
- What two fields other than the 1XX must be in any SAR and what information do they contain?

82

On this slide are listed the most important points from this module.

Yes, the intent does affect the choice of access point. If it is known that there is a planned end to a resource, the resource is identified as a multipart monograph rather than a monographic series. That difference means that a personal author can be combined with the title as the access point for the multipart monograph as a whole. See slides 5-6, 11 for a review.

The form of name is a name/title series access point must be the AACR2 form for that name. See slide 17.

See references can be divided into the following categories:

- alternate approaches (what not used as the access point)
- variant forms of series title found when creating the SAR
- alternate forms for searching
- changes in/additions of data elements over time (didn't discuss in this module; will be covered in module 11)
- any other reference important for access.

See slides 40-60, especially slide 41.

Every SAR must have three fields: the 1XX, the 643 field (place and publisher, etc.), and the 670 field (citation for the work used to create the 1XX access point and usage for that form. If there are also references in the SAR, that 670 field

may also contain usage for the forms in the references. See slides 85-88 for the 643 field and slides 62-70 for the 670 field.

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Part 2 Module 7  
Exercises**Instructions for exercises 1-3**

Note: Not all the headings given in the NAR information are needed in the SAR. Not all fields for bibliographic record and for SAR are needed in each exercise.

## Exercise 1:

For resources #A-#C, fill out the following on each answer sheet:

Multipart monograph or monographic series?

Bibliographic record:

4\_\_ field

8\_\_ field if necessary

Series authority record:

1\_\_ field

## Exercise 2:

For resources #A-#C, fill out the following on the same answer sheets:

Series authority record:

4\_\_ field(s) as appropriate

670 field

## Exercise 3:

For resources #A-#C, fill out the following on the same answer sheets:

Bibliographic record:

260 field

Series authority record:

020 field as appropriate

022 field as appropriate

643 field

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Exercise resource #A

CD label: Aaron Copland's music

jewel box: Library of American composers

Aaron Copland's music

Detroit --- American Music Corporation  
c2005

NARs:

110 2# \$a American Music Corporation

100 1# \$a Copland, Aaron, \$d 1900-1990

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## Exercise resource #B

book series t.p.:

The 10 Greatest Explorers

by Carole Allensby

Volume 1 --- Marco Polo

Volume 2 --- Leif Ericsson

book monograph t.p.:

Leif Ericsson

His Voyage to North America

by Carole Allensby

Chicago: Dominski Publishing Company

Richmond, VA: JD Publishers

2006

book t.p. verso:

ISBN 0-201-89683-4 (v. 1)

ISBN 0-201-89684-2 (v. 2)

ISBN 0-201-85392-2 (set)

book cover page 1:

Great explorers: volume two

NARs:

100 1# \$a Allensby, Carole, \$d 1950-

110 2# \$a Dominski Publishing Company

110 2# \$a JD Publishers

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Exercise resource #C

book monograph t.p.:

Research paper  
Cuaderno

International Institute for Peace  
Instituto Internacional de la Paz

The Role of Volunteer Organizations

Pablo Martinez

Century Publishing Company  
Miami – c2006

book t.p. verso:

ISSN 2424-4848

book cover page 4:

IIP research paper v. 1  
Cuaderno del IIP no. 1

NARs:

110 2# \$a International Institute for Peace  
410 2# \$a Instituto Internacional de la Paz  
100 1# \$a Martinez, Pablo, #d 1972-  
110 2# \$a Century Publishing Company

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Answer sheet for resource #A

Multipart monograph or monographic series? \_\_\_\_\_

Bibliographic record:

260

4\_\_

8\_\_

Series authority record:

020

022

1\_\_

4\_\_

4\_\_

4\_\_

4\_\_

643

670

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Answer sheet for resource #B

Multipart monograph or monographic series? \_\_\_\_\_

Bibliographic record:

260

4\_\_

8\_\_

Series authority record:

020

022

1\_\_

4\_\_

4\_\_

4\_\_

4\_\_

643

670

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Answer sheet for resource #C

Multipart monograph or monographic series? \_\_\_\_\_

Bibliographic record:

260

4\_\_

8\_\_

Series authority record:

020

022

1\_\_

4\_\_

4\_\_

4\_\_

4\_\_

643

670

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# **Fundamentals of Series Authorities: An ALCTS/PCC Workshop**

## **Part 2: Module 7, Part 2: Qualifiers and Conflict Resolution**

1

## Objectives

- How qualifiers are utilized to resolve conflicts

2

This module will cover how qualifiers are used to resolve conflicts between headings on series authority records.

## Importance of Qualifiers

- When a new title is the same as another title, as a reference in a name or series authority record, or as a name heading, they are “in conflict” and it is necessary to “qualify” the newer one with a term that “distinguishes” it from the other(s).
- Qualifiers also help by bringing together access points in records that relate to the resource being searched for. This is called “collocation”.

3

Qualifiers are very important to series headings and references. Using them provides control making search results for them consistent. Slides in this module discuss what qualifiers are used in specific situations; how they are chosen; and how they are used in the SAR headings and bibliographic records.

## Terms Used for Qualifiers

- There is no list of “best” qualifiers to choose from. Instead, catalogers need to consider using a qualifier that “fits” into the context of the database or local catalog.
- Some guidance can be found in LCRI 25.5B1:
  - LCRI 25.5B1: “Add in parentheses an **appropriate** explanatory word, brief phrase, or other designation to distinguish a uniform title used as a heading from an identical or similar heading for a person or corporate body, or from an identical or similar uniform title used as a heading or reference.”

4

Understanding the context of the database or local catalog provides the foundation for cataloger judgment and so helps determine which qualifier is used for the SAR heading.

## Resolving Conflict

- Concerns for conflict are related for titles proper; serials/SARS; multipart items; series like phrases.
- There are some guidance for use of qualifiers in the LCRIs:
  - LCRI 25.5B can be consulted for headings.
  - LCRI 26.5A can be consulted for references.
- Consider the use of qualifiers and which ones to use carefully.

5

Fields to search when resolving conflict are: uniform titles (130, 240, 730); title statement (245); former titles (247), 4XX (series title transcription); 760-787 (linking entries); and 8XX (series added entries).

Using the guidance provided in the LCRIs and cataloger judgment can assist in resolving conflict.

## Resolving Conflict: Searching

- Solving conflict begins with a search of available databases. These include the local authority database and can extend out to the LC authority file and to a utility authority database such as OCLC. Use all the appropriate search mechanisms in each database
- In addition, search in bibliographic files. There may be access fields not established in the authority file and reference fields can be easily found in some integrated systems. Close attention should be given for same titles in the title field of a serial collected set.

6

Methodical searching is important. It provides consistent results that enable catalogers to understand the context (local file or bibliographic database) in which the titles are found. Resolving conflict is dependent on successful searches for titles that conflict with the new title.

## Solving Conflict

- It is best not to assume that there will be conflicts. Follow a pattern for searching that insures there isn't a conflict. Predicting a conflict is not the best use of cataloger time.
- Qualifiers are usually added only to the heading being established. But:
  - In case of a conflict with a reference they can be added to it.
  - If a SAR heading for an unnumbered title matches a new numbered title issued by the same body, add the qualifier "unnumbered" to the established unnumbered SAR heading.
  - If the item is in a different physical medium add the qualifier.

7

Searches are not done to find conflict. Searching for titles that may conflict with the new title and using qualifiers provides control over headings. Random searching and not understanding why searches are done leads to confusion and wastes cataloger time.

[Read through the second bullet carefully. Participants need to understand that, in some cases: qualifiers are added to other areas of the SAR and that this will be discussed later in the module]

## Choice of Qualifiers

- For generic titles use a corporate body.
- Use cataloger judgment to assign qualifiers to other titles. This is usually a brief phrase or word. These can include:
  - Place; publisher, date, GMD, other descriptive element.
- If a conflict remains, use additional qualifiers, separated by space-colon-space.

8

For generic titles use a corporate body. According to LCRI 25.5B use the heading for the body issuing or publishing the series. If more than one corporate body is associated with the work, choose the body responsible for issuing the series rather than the one publishing it. If multiple bodies are performing the same function generally choose the one named first.

## Form of Qualifier

- When using corporate bodies and places as qualifiers be sure to use the established heading.
  - If there is no established form for them, create an authority record
- When using other types of qualifiers, use the form found. No need to create an authority record.
- Qualifiers are placed in parentheses after the title. No MARC 21 subfield element is used.

9

Corporate bodies and places not established on their own authority records and used as qualifiers breaks the “chain” of control over them. Searching cannot be productive or successful.

## Form of qualifier: Examples

Corporate bodies:

130 \_0 \$a Literature series (National University of  
Singapore. Dept. of Malay Studies)

130 \_0 \$a Literary lives (Palgrave Macmillan (Firm))

Geographic place:

130 \_0 \$a Poetry Europe series (Dublin, Ireland)

130 \_0 \$a Architectural treasures of early America (New  
York, N.Y.)

10

Notice that the corporate bodies in parentheses do not have subfield coding.

Geographic places are not used in the exact same way—"Dublin (Ireland)" is the established heading; but the qualifier is "(Dublin, Ireland)".

However, the headings used in the qualifiers need to match the information in the heading established for them.

## Conflict: Qualifiers in Special Cases

- Unnumbered/numbered titles from same corporate body
- Series/subseries
- Supplements
- Title same as name for personal or corporate body
- Changes for qualifiers

11

Slides 12-20 provide guidance and examples for the special cases listed in this slide.

Module 2, Part 10 focuses on most of these cases.

## Conflict: Unnumbered/Numbered Titles from the Same Body

### Example

#### New SAR

130 \_0 \$a Classic car collection

642 \_\_ \$a v. 1

643 \_\_ \$a Denver \$b Society of Antique Cars

670 \_\_ \$a [title of resource], 2002:\$b t.p. (Classic car collection)

#### Existing SAR

130 \_0 \$a Classic car collection (Unnumbered)

643 \_\_ \$a Denver \$b Society of Antique Cars

670 \_\_ \$a [title of resource], 1994:\$b t.p. (Classic car collection)

12

In special cases when a series changes its numbering status then we can use the qualifier “unnumbered”. In this example the existing SAR was unnumbered and the qualifier was not needed in the heading as there was no conflict with another heading. However when the series became numbered the qualifier was added to the “first” heading. More information about this is in Module 9.

## Conflict: Series/Subseries

- For unnumbered main series and subseries (numbered or not) and no SAR for main series:

Trucking industry  
Commercial Vans, Book 3

- Test for conflict together:  
Trucking industry. Commercial Vans
- If there is a conflict add qualifier to subseries.

13

This example shows the test for conflict and how to proceed when there is no SAR for the main series.

The heading, then would be:

130: 0: Trucking industry. \$p Commercial vans ([qualifier chosen])

## Conflict: Series/Subseries

For numbered main series:

- Test the main series first in database.
  - If there is a conflict for main series, add a qualifier to it in parentheses.
- Then test heading for main and subseries title together in database.
  - If test for heading and subseries shows conflict, add another qualifier after subseries.

14

This slide provides the steps for resolving conflict when the main series is numbered.

Trainers should be certain that participants understand that the steps need to be followed as given in the slide.

## Conflict: Series/Subseries

Numbered Main series: Biochemistry

Subseries: Part C, Neurons

Main series in conflict with another  
established heading: using place as qualifier

130 \_0 \$a Biochemistry (Seattle, Wash.). \$n

Part C, \$p Neuron

If the subseries conflicts with another, it would be  
qualified as well.

15

Here is an example of how this might work: we assume that the main series is numbered. If the subseries conflicts with another, it would be qualified as well.

## Title is Same as Name Heading or Initialism

Series authority record headings:

130 \_0 \$a New England Loyal Publication Society (Series)

- Distinguishes series from corporate body heading.

130 \_0 \$a United States (Series)

- Distinguishes the series from the geographic heading.

130 \_0 \$a BBC (Series)

- Distinguishes series from corporate body heading that is an initialism.

16

There are some cases when a series title will be the same as a name heading or an initialism. In these cases we need to qualify the series. Here are some examples of how this might be done.

We add the word “series” as a qualifier to show that this is not a corporate body, geographic place or initialism.

## Qualifier Changes Its Name: New Series Authority Record Needed

When a corporate body is used as a qualifier in a series authority and it changes **or** when another corporate body becomes responsible for the series:

- A new series authority record is needed because the series heading needs to be qualified with the newest established corporate heading.

When there is a permanent change in the physical medium:

- A new series authority record needs to be created.

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It makes sense that when a corporate body used as a qualifier changes not only is a new record created for it—a new SAR needs to be created for the series that uses it as a qualifier.

Remember that corporate bodies used as qualifiers in the SAR must match the heading established for it.

## Non-Corporate Qualifier Changes: Use Same Series Authority Record

Certain changes do not require a new series authority record. Changes are recorded directly on the existing series authority record.

- Add a 4XX for a later place of publication.
- Place of publication changes its name.
  - add a 4XX for a new local jurisdiction. However if the higher jurisdiction changes, a new SAR is needed.
- Use the 667 note field for other changes in other qualifiers. Do not use a 4XX unless determined to be an aid to other catalogers.

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Changes placed in 4XXs should contain information that will be useful to catalogers.

Minor changes are put in the 667 note fields.

## Qualifier Changes Name: Examples

When an association changes its name:  
New series authority record needed:

130 \_0 \$a Handbook of paper series (Crafter's  
Society) [older name]

130 \_0 \$a Handbook of paper series (Crafter's  
Guild Society) [newer name]

19

Here is an example where an association (corporate body) changes its name and a new series authority record is needed.

The new corporate body should be established if it is not in the authority files used in searching for conflict.

## Qualifier Changes Name: Examples

When the place of publication changes:  
Add new place in a 4xx reference—

130 \_0 \$a Physics monographs (Tulsa, Okla.)  
[original publisher]

430 \_0 \$a Physics monographs (Omaha, Neb.)  
[new publisher]

20

The qualifiers in this example are not corporate bodies—they are places of publication.

There is no need to create a new SAR in this case; the change is noted in the 430. The form of qualifier is the same for both the 130 and the 430.

## Summary

- How do adding qualifiers aid in identifying and in collocating?
- How is cataloger judgment, when used along with guidelines, crucial to successfully establishing how qualifiers are used?

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In this module we covered how adding qualifiers aid in identifying and in collocating and how cataloger judgment, when used along with guidelines, is crucial to successfully establishing how qualifiers are used.

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**Fundamentals of Series  
Authorities: An ALCTS/PCC  
Workshop**

**Part 2:  
Module 8: Series Treatment**

1

Our next topic is series treatment.

## Objectives

- Determine what series treatment is
- How treatment decisions affect:
  - Analysis
  - Display
  - Classification
- Alternative treatment for series-like phrases

2

This module covers all aspects of series treatment as reflected in the 644, 645, and 646 fields.

We will first discuss what treatment is and how we determine it.

We will then discuss how treatment affects options for series analysis, display (which includes issues relating to indexing), and for classification.

Lastly, we will discuss alternative treatment for series-like phrases.

## What is treatment?

Series treatment includes

- how many records will be created for items in a series (analysis);
- how the series will be indexed and displayed in an integrated library system (tracing);
- what kind of call numbers will be assigned (classification).

3

Many people find series treatment an illusive and complex endeavor. However, treatment is quite straightforward.

When we speak of series treatment we are referring to how a series will be represented in a catalog and how the physical manifestation will be arranged on the shelves in relation to other resources.

Treatment decisions indicate three things:

How a series will be represented by bibliographic records

How a series will be indexed and displayed in an integrated library system

How a series will be classified and thus how its physical manifestation will be grouped on the shelf.

NOTE: Each of these treatment decisions will vary by library. We are going to discuss some of the most common situations and give indications of how they might be handled. When we say a series is more likely to be treated in one way, this is not to be interpreted as the way it will always be treated. Every library will need to make their own decisions and every situation can have multiple ways of treating it. We offer likely solutions to treatment for different types of series but each situation should be evaluated at each institution to determine the correct treatment for that item. Correct treatments will vary from library to library

## Determining Analysis

- When making the decision for a series, ask these questions:
  - 1) What is being cataloged?
  - 2) What is the focus?
  - 3) How will the resource be used?

4

The first decision relates to analysis: how many records will be made for items in the series. Three questions can be asked when making this decision: [paraphrase questions from the slide].

## Options for Analysis

Series can be cataloged in a variety of ways:

- 1) The series as a whole on one record with the series title in a 245 title field
- 2) Each item of the series has its own record with the analytic title in the 245 field and the series title in a 4XX/8XX field
- 3) A combination of the first two options

5

There are three main ways a series can be cataloged:

First you can place the whole series on one record. This means that the series title will be in a 245 title field and that the individual volumes will be represented in a 505 or other contents note and/or in a holdings record.

Next, you can place each volume of the series on its own record. Distinctive analyzable titles are represented in the 245 title field and series information is represented in 4XX and/or 8XX fields.

Third, you can have a combination of the first two options. For example, you could have one record for a series with the series title in the 245 and holdings for each volume, but for one or more issues of the series you also have a separate analytic record.

## What is Being Cataloged?

- Serial: issued in successive parts, has numerical or chronological designations, is intended to be continued indefinitely
  - One analyzable category is Monographic series: each item bears an individual title as well as a collective title
- Multipart monograph: monograph complete, or intended to be complete, in a finite number of separate parts, numbered or unnumbered – parts may or may not have distinctive titles

6

Before we look at the different analysis possibilities in more detail, let's remind ourselves of some definitions:

Let's look at serials first; a serial has three main characteristics:

- it is issued in a succession of discrete parts;
- it usually bears numbering; and
- it has no pre-determined conclusion.

A monographic series is a category of serial; it is a group of separate items with each item bearing an individual title as well as a collective title common to the group.

In contrast to serials, multipart items are monographs that are complete, or intended to be complete, in a finite number of separate parts. They may or may not have individual titles that are distinctive.

## Non-Analyzable Serial

- Usually cataloged only on one record with the title in the 245 field

245 00 \$a American libraries  
362 0\_ \$a Vol. 1 (Jan. 1970)-

[Can have exceptions to create separate records for individual issues (festschrift, conference proceedings, issue edited by faculty member)]

7

Serials that are not monographic series are usually cataloged all on one record with the title in the 245 field. The holdings are usually not given in a contents note because there is no intended end for a serial. So, holdings are usually recorded in holdings and/or item records or in local holdings fields.

NOTE: When we say “usually” this does not mean that cannot be cataloged any other way, just that when considering options you are more likely to pick this way to catalog your item. Some serials other than monographic series sometimes have a random issue with a distinctive title (a theme issue, a festschrift, proceedings of a conference) or there may be a local connection to a specific issue (for example, a faculty member edited the issue); in such cases, a library can make a local decision to create separate records for those issues in addition to the record for the serial as a whole.

In this example we see a serial cataloged on one record with the title in the 245.

[Trainers Note: These sessions are not intended to cover the intricacies of serials cataloging. If participants wish to learn that information they should be directed to other appropriate workshops.]

## Non-Analyzable Multipart Monograph

- Cataloged on one record with the title in the 245 field

111 2\_ \$a Conference "Linguistics and Phonetics"  
    \$n (1st : \$d 1990 : \$c Prague, Czechoslovakia)  
245 10 \$a Proceedings of LP'90  
300 \_\_ \$a 2 v.

8

This example shows a multipart monograph cataloged on one record with the title in a 245 field and the two parts represented only in the 300 field; there isn't a 505 contents note because the parts lack titles.

## Multipart Monographs: Distinctive Titles?

- Cataloger's judgment if part titles are not distinctive enough to have own records

245 10 \$a International handbook of education  
systems /\$c editor, J. Cameron.

505 1\_ \$a v. 1. Europe and Canada – v. 2. Sub-Saharan  
Africa – v. 3. North Africa and the Middle East

9

While some titles may look distinctive, a library may decide they are not distinctive enough to allow for cataloging a multipart monograph with each individual volume on its own record. For example, items that only have alphabetic, numeric, chronological, or geographic distinctions should not be considered distinctive and they should all be placed on the same record. General terms such as “atlas”, “glossary,” or “index” should also not be considered distinctive. In this example of a multipart monograph, we see that the additional titles are all geographic designations. In this case we would catalog all the items on the same record with the title in the 245 field and the individual volumes given in a 505 note field (and presumably on the holdings record as well).

## Monographic Series

- Monographic series: more likely to have a record for each item of the series with the analytic title in the 245 field and the series title in a 4XX/8XX field.

245 10 \$a Elementary studies in botany /\$c by  
John M. Coulter.

440 \_0 \$a Life sciences text-books

10

Monographic series volumes have distinctive titles. So, the most common analysis treatment is to create a bibliographic record for each volume.

## Record for Whole + Analytic Records

- Can have both a record for whole series and analytic records if:
  - Classifying as a collection
  - Need a record for whole series for acquisitions purposes
  - Some parts of a multipart monograph have distinctive titles and other parts don't
  - Library decides not to analyze all items in a monographic series

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A library may decide to have both a record for the series as a whole and at least some analytic records for items in the series in these three situations:

- 1) If the analyzed items are being classified as a collection. (We'll talk about the classification decision in a few minutes.)
- 2) The acquisitions staff may need a record for the series as a whole in order to place a subscription or a standing order for the series. If the series isn't classified as a collection, the record for the series as a whole will probably be suppressed from display in the OPAC.
- 3) If some parts of a multipart monograph lack distinctive titles, the library can create analytic records for those with distinctive titles and list the ones without distinctive titles on the record for the series as a whole.
- 4) Last, a library may decide that it doesn't want to analyze all items in a monographic series or it doesn't have the resources to do so.

## Whole + Analytic Records: Example

245 00 \$a University of California publications  
in geological sciences.

**AND**

245 10 \$a Biostratigraphy and vertebrate  
paleontology of the San Timoteo Badlands,  
southern California / \$c L. Barry Albright III.

440 \_0 \$a University of California publications  
in geological sciences ; \$v v. 144

12

Here is an example of one series with a record first for the series as a whole (series title in the 245 field) and one of the analytic records for an item in the series (here the series title appears in the 440 field).

## What is the Focus?

- Do the items in the series cover a general topic area or a specific one?
  - More general topic coverage -- more likely to have each item of the series with its own record (analytic title in the 245 field and the series title in 4XX/8XX field(s))
  - More specific coverage -- more likely to be cataloged on one record with the series title in a 245 field.

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We have looked at the options for access in relation to the question: What is being cataloged? -- Now let us move on to the question: What is the focus?

Looking at the focus of issues in a series we must first determine if the topic being covered is general or specific.

If the topic covered by the series is more general, it is more likely for each of the items in the series to have its own record with the distinctive title in the 245 field and the series in the 4XX and/or 8XX fields. This way can be chosen for more general topics because it gives the opportunity for better subject analysis and descriptive detail to be included in the bibliographic record.

If the series covers a very specific topic, then it is possible to catalog the series by using only one record for the series as a whole.

## How Will the Resource be Used?

- Will the items be used independently or as a set (i.e. will patrons need to refer to other items in the set due to a common index, etc.)?
  - Independently -- more likely to have each item of the series with its own record (the analytic title in the 245 field and the series title in 4XX/8XX field(s))
  - Set -- more likely to be cataloged on one record with the series title in a 245 field.

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Our last consideration is: How will the items be used?

Here it is imperative to consider the needs of your users in relation to the organization, etc., of the series.

If your patrons are likely to use the works independently of one another, then it is probably better to catalog each work separately with the series title in the 4XX and/or 8XX field and the distinctive title in the 245 field.

But, if your patrons will need to refer to other items in the series (due to a common index, the arrangement of the content, etc.), then it is probably better to catalog the series on one record with the title in the 245 field with individual volumes in a note and on a holdings record.

## Recording Analysis Decision

- 644 field of the authority record has values:

**n** = **not** analyzing: series is cataloged only as a whole on one record

**f** = analyzing in **full**: each item in the series has its own record

**p** = analyzing in **part**: record for the series as a whole and analytic records for some items

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The 644 field of the series authority record tells us how the item is to be cataloged. Single letter codes in the field indicate each option.

Code “n” indicates that the series isn’t being analyzed: that is, that the whole series is cataloged on one record with the title in the 245 field and individual items are represented in the notes fields and on the holdings record.

Code “f” indicates “analyzed in full” -- that is, each volume of the series will have its own record with the distinctive title in the 245 field and the series title in the 4XX and/or 8XX fields.

Code “p” indicates that the series is being analyzed in part – that is, we will have both individual records for some items in the series as well as a record for the series as a whole.

## Not Analyzing

Series authority record:

130 0\_ \$a International handbook of education systems  
644 \_\_ \$a n

Bibliographic record:

245 00 \$a International handbook of education systems  
/\$c editor, J. Cameron.  
505 1\_ \$a v. 1. Europe and Canada – v. 2. Sub-  
Saharan Africa – v. 3. North Africa and the  
Middle East

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Here is an example of the “n” code on a series authority record.

You can see that there is only one bibliographic record with the title in the 245 field and the volumes are represented in the 505 note and presumably in the holdings record.

## Analyzing in Full

### Series authority record:

130 \_0 \$a Life sciences text-books

644 \_\_ \$a f

### Bibliographic record:

245 10 \$a Elementary studies in botany /\$c by John  
M. Coulter.

440 \_0 \$a Life sciences text-books

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Here is an example of the “f” code on a series authority record.

You can see that here the series title is in the 440 field. The distinctive title is in the 245 field.

## Analyzing in Part: Situations

- Two situations when this decision is appropriate:
  - When every item in a series has a distinctive title but a library chooses to analyze only some
  - When some items in a multipart monograph don't have a distinctive title and some items do

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Remember that an analysis decision of “analyzed in part” can occur in either of these two situations: [paraphrase two situations on the slide].

## Analyzing in Part

- Series authority record: 644 \_\_ \$a p
  - Bibliographic record for the series as a whole
- AND
- Analytic records for items in the series that library chooses to analyze or items that can be analyzed

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An “analyzed in part” decision is recorded as value “p” in the SAR 644 field. That decision means that there will be a bibliographic record for the series as a whole and analytic records for some items in the series.

## Options for Display

- Two options for how a series will display in an integrated library system:
  - 1) Traced series (controlled access points) can be indexed and displayed in alphabetical/browse searches as well as be searchable in keyword indexes.
  - 2) Not-traced series (only transcribed information) are usually not indexed as headings and are only searchable in keyword indexes.

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Let us turn our attention to how series information is displayed in an integrated library system.

Most integrated library systems index data in one of two ways: as keywords or in an alphabetical or browse list of headings. Keyword indexes cover every single word in a dataset. Alphabetically listing indexes, sometimes called browse indexes, are left-anchored index displays arranged alphabetically.

If a series is traced, a controlled access point is included in the bibliographic record. That controlled access point is indexed as a heading; it is displayed as the result of a search for a heading.

[May want to make an analogy to card catalog: Another way to consider this is to think back to the card catalog days. When a series was traced we would type an individual card for that heading and place it alphabetically in the right drawer.]

If the series is not represented in the bibliographic record by a controlled access point, it is not traced. In most systems, it can be searched only through a keyword search.

[Analogy to card catalog: Again considering this from the card catalog days: when a series was not traced, the series statement was included on the “master” card but no additional card for that heading would be made to be filed in its own alphabetical location.]

## Options for Display

- These options are dependent upon what local integrated library system you use and how that system has been configured.
  - Check with your vendor and local systems administrators to determine how your system works and what options are available.

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NOTE: All integrated library systems display series differently because many display issues are related to your system configurations. Please check with your local systems staff or ILS vendors to determine how your local implementations may function.

## Recording Tracing Decision

- 645 field of the authority record has values:

**t** = traced – controlled access points in 440 or 8XX field in bibliographic record; those fields would be indexed as headings (and probably also as keywords)

**n** = not traced – no controlled access points but 490 field in bibliographic record may be indexed for keyword searches

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The 645 field of the series authority record tells us if there should be a series access point in the analytic bibliographic records. That decision then affects how the series will be indexed and how search results will be displayed. Single letter codes in the field indicate each option.

Code “t” indicates that the series is traced, so that it may be generated for display in both alphabetical/browse and keyword indexes.

Code “n” indicates that the series is not traced; it may be searchable in keyword indexes only.

## Tracing

### Series authority record

130 \_0 \$a Studies in modern Greek

645 \_\_ \$a (t)

### Bibliographic record

245 10 \$a Dionysios Solomos / \$c Peter  
Mackridge.

440 \_0 \$a Studies in modern Greek

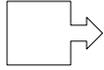
23

The tracing decision for this series is to include a series access point in the analytic bibliographic records. In the bibliographic record shown here, that access point is in a 440 field.

## Searching Traced Series: Example

Browse search for “Studies in modern Greek”:

Partial results (with no. of bibliographic records):

	Studies in modern German literature	7
	Studies in modern Greek	9
	Studies in modern Hebrew literature	4

24

To search for items in a traced series, we would probably start by doing an alphabetical or browse search. This option would retrieve an alphabetical list of controlled access points. Our display of this list might look something like what is shown here with our search option at the top and then a list of the access points indicating how many hits we retrieved in each. Presumably this list would be linked so we could then go to each individual record in the result set.

## Not Tracing

### Series authority record

130 \_0 \$a Coleção Mestrado

645 \_\_ \$a(n)

### Bibliographic record

245 10 \$a Conceito de literatura brasileira / \$c  
Afrânio Coutinho.

490 0\_ \$a Coleção Mestrado

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This SAR shows that this series isn't represented by series access points in the analytic records. The series is recorded only in a 490 0 field (only a field for transcribing series information).

## Searching Not Traced Series: Example

Search using a keyword index (either general or limited to titles or even to series titles): results will depend on how often the word or phrase appears in indexed fields

Partial results on search: Coleção Mestrado

Rector, Mônica. A linguagem da juventude ...  
Dias Neto, João. Estudo do grau de ...  
Claudino, Luiz. Cadastro de servidores ... \*  
\*[in a different series]

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If looking for the items in an untraced series, you usually would do a general keyword search. This option would retrieve a list of all of the places where our search terms appear without regard to its location in the bibliographic record; or, it might be possible to limit your search to title fields or even to series title fields. In the results shown here, the search was limited to series fields. Our display of this list might look something like what is shown here with our search option at the top then a list of the items retrieved. Presumably this list would be linked so we could then go to each individual record. With this search set we wouldn't know how many different series were represented by the results. We would need to look at each individual record to determine which records belonged to items in our series.

NOTE: Because keyword searches search everything regardless of location (unless they have been set up to search specific areas of the bibliographic record) they tend to be much less accurate than alphabetical/browse searches.

## Review: Impact of Tracing Decision

645 \$a = n

490 0\_ : Series title given as it is on the resource;  
no series access point

645 \$a = t

440 \_ <0-9> : Series title given as it is on the resource;  
the same form is the series access point

or:

490 1\_ : Series given as it is on the resource; series  
access point in a different form is given in an  
8XX field

8XX : Series access point

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Let's review the tracing decision. How a series is indexed is related to the MARC fields in which the series information is given in the analytic bibliographic records.

[Go over the fields, making the distinction between transcription from the resource and the series access point which may be different.]

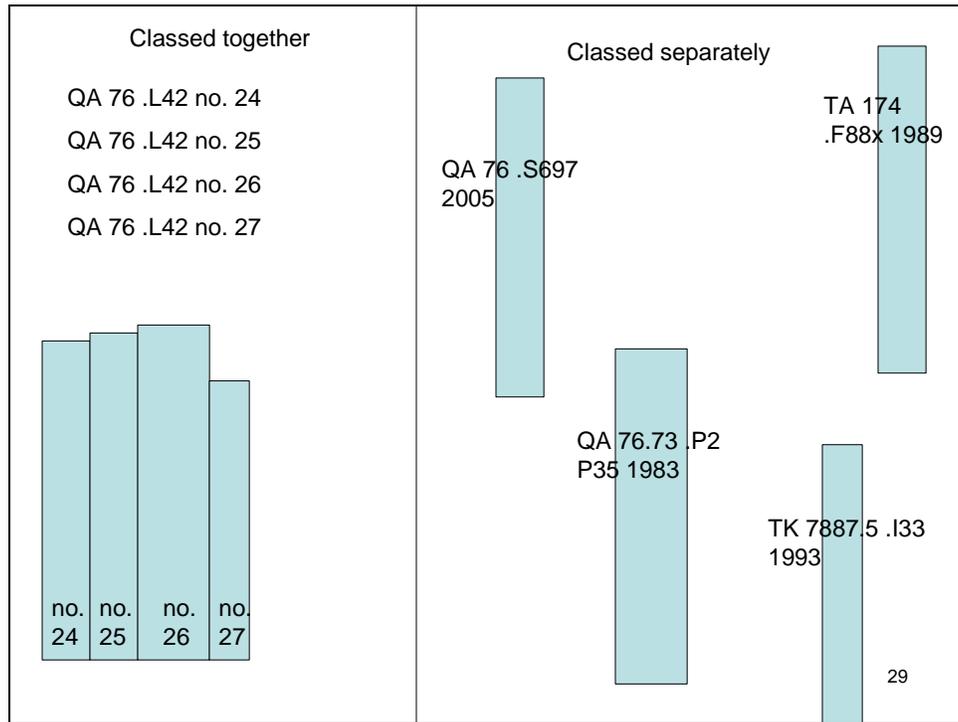
## Options for Classification

Items in a series can

- share the same general call number
- have different more specific call numbers

28

Lastly let us look at options for series classification. There are two options for series classification: all volumes in the series can share one call number or each can have its own individual call number.



When all volumes in a series share a call number, as represented by the illustration on the left, we say they are classed together. Sharing a call number allows all the volumes to sit together on the shelf. This option is best used when patrons will be using the series as a group, when the subject matter is very specific, or when the volumes share items like a common index. Classing a series together is best done when a series is numbered. Classing together without series numbers requires that catalogers contrive numbers or use publication dates. Making up numbers or using publication dates (which may overlap) is a practice that should generally be avoided.

When the volumes in a series each have their own specific call number, as represented by the illustration on the right, we say they are classed separately. Each volume will sit at its own place in the library collection next to other volumes on that same specific topic.

## Recording Classification Decision

- The 646 field of the authority record has values:  
**c** = classified as a collection; call number given in an 050 or other call number field  
**m** = classified with main or other series; call number given in an 050 or other call number field  
**s** = classified separately; no classification number is assigned to the whole series

30

The 646 field of the series authority record tells us how the items in the series will be classified. Single letter codes in the field indicate each option.

Code “c” indicates that the series will be classed together. When code “c” is present a call number for the series will be given in an 050 or other call number field in the series authority record. This call number should be used for all volumes in the series; volume numbers will be added to make the call numbers different.

Code “m” is essentially the same as code “c” in that the series is classed together. This code is applied when we have a main series and a subseries and the main series is classed together. This code will also have an 050 field that indicates the call number. (This situation does not occur very often.)

Code “s” indicates that the series is classed separately. Here each volume will have its own specific call number. There will be no 050 or other call number field in the authority record.

## Classifying as a Collection

050 \_4 \$a QA3 \$ b .L28

130 \_0 \$a Lecture notes in mathematics  
(Springer-Verlag)

642 \_\_ \$a no. 839

646 \_\_ \$a(c)

Usually add series numbering to the call number in each analytic record to create unique call number for each item: QA3 .L28 no. 982

31

Here is an example of a series that is classed together. You can see that the call number for the series is given in the 050 field for the Library of Congress Classification number; if your library uses the Dewey system, it would be given in the 082 field. To differentiate the call number each individual item would utilize the number for the volume at the end of the call number.

Note that if the SAR 642 numbering example has only numerals with no caption (i.e. 839), you may decide to add a caption (such as v. or no.) in front of the number; it depends on what your shelf listing practice is as to what form you would use.

## Classifying with Main Series

### SAR #1:

050 \_4 \$a RC544 \$b .A57

130 \_0 \$a Assessment of personality disorders

646 \_\_ \$a(c)

---

### SAR #2:

050 \_4 \$a RC544 \$b .A57 subser.

130 \_0 \$a Assessment of personality disorders. \$p

Avoidant personality disorders

646 \_\_ \$a(m)

32

Here is an example of a main series that is classed together. We can see the 050 field with the call number in the first SAR. In addition to the main series there is also a subseries represented by the second SAR. Here we classify all the volumes with the main series even if they are additionally part of the subseries. The call number is the same as the call number assigned to the main series. In this example we can see that the subseries record has the same call number as the main series record with the addition of "subser." to indicate that this is the subseries record but all volumes will be classed and numbered with the main series.

## Classifying Separately

### Series authority record

[no 050 or other call number field]

130 \_0 \$a Studies in history and culture

646 \_\_ \$a(s)

### Bibliographic records

050 04 \$a HV866 \$b .E85 Q56 1989

245 10 \$a Better than the sons of kings ...

050 04 \$a DA578 \$b .L45 1990

245 12 \$a A climate for appeasement ... .

33

Here is an example of a series that is classed separately. Note that there is no call number field in the series authority record. Notice how different the topics can be from one item to another in a series.

## Indicating Treatment in SAR

- 644, 645, and 646 fields:
  - Values indicate what decisions have been made
  - Can indicate which library made those treatment decisions: that library's MARC 21 identification code in subfield \$5
  - If treatment decisions not the same for all libraries, repeat the treatment fields

34

As we have discussed series treatment is given in the authority record in the 644, 645, and 646 fields. In each field a code indicates what decision has been made. Because each of these fields is repeatable and libraries can make differing decisions about treatment, it is also possible to indicate to whom each treatment decision applies. Please note that there is no requirement that every library follow the same treatment as another library. Each library should make the decisions that will best serve their needs. To indicate your decisions use the \$5 followed by your MARC symbol.

If your treatment decision is not the same as a decision already given in the SAR, you can repeat that treatment field.

## Identifying Whose Treatment

```

050 _0 $a TD224.M65 $b A3
130 _0 $a Bulletin (Mississippi Board of Water
      Commissioners)
644 __ $a p $5 DLC
644 __ $a f $5 UPB

645 __ $a t $5 DPCC $5 DLC $5 UPB

646 __ $a c $5 DLC
646 __ $a s $5 UPB

```

35

Here is an example of two different libraries' treatment of the same series. The MARC symbol for the Library of Congress in the \$5 code is DLC. This code indicates their treatment is p (partially analyzed), t (traced), c (classed together). The national Program for Cooperative Cataloging default to trace series is indicated by \$5 code DPCC. However, the other library represented by the MARC symbol UPB has different analysis and classification decisions that those of the Library of Congress; their decisions are indicated by \$5 code UPB. Please note that \$5 codes can be strung along after each other if different libraries are using the same treatment as in the 645 field. (The PCC policy, however, is not to give more than one individual library's code in a treatment field.) Repeated fields are only necessary when treatment differs as in the 644 and 646 fields.

## Change in Treatment Decisions

- Most treatment decisions are straightforward, simple to record, and do not change over time
- May be important in a library to change the decisions or to make some exceptions: can record those in the authority record, too

36

Most treatment decisions are straightforward and can be accurately represented by the fields and codes we have discussed. However, more complex situations such as changes in decisions or exceptions to decisions can also be expressed in the authority record.

## Subfield \$d for Changes

- Subfield \$d is used in the 050 and 642-646 fields
  - To indicate the volumes and/or dates to which the decision in that field applies
  - Used only when the data contained in subfield \$a of the 642-646 fields does not apply to all items in the series
  - Need to repeat at least some of the treatment fields

37

Subfield “d” can be used in the 642, 644, 645, or 646 fields of the authority record to indicate to what volumes or parts of a series a practice applies.

This subfield is used when the code in the \$a does not apply to all the items in a series.

## Change in Treatment Decisions

Change in analysis and classification decisions:

050 \_\_ \$a F1219.A98 \$d Nr. 1-52  
130 \_0 \$a Series Chimalpahin  
644 \_\_ \$a f \$d Nr. 53- \$5 DLC  
644 \_\_ \$a n \$d Nr. 1-52 \$5 DLC  
645 \_\_ \$a t \$5 DPCC \$5 DLC  
646 \_\_ \$a s \$d Nr. 53- \$5 DLC  
646 \_\_ \$a c \$d Nr. 1-52 \$5 DLC

38

For example, for the first 52 volumes of this series, the library did not analyze the series and so the volumes were classed together. Later, the library decided to analyze this series as well as class the items separately; the library indicated the new treatment by adding the \$d to show that there was one decision for Nr. 1-52 and a different decision for Nr. 53 and subsequent volumes. Note the subfield \$5 is for the same library in all the fields, and the differences in treatment are given in subfield \$d.

## Alternative Treatment for Series-Like Phrases

- Series-like phrase: A character string (words, letters, combination of letters and numbers) not considered to be a series
  - If not a series, the decisions for treatment in 644-646 fields are not appropriate -- don't include these fields in an SAR
  - Instead, use a 667 note field to give guidance about what to do with the series-like phrase in a bibliographic record

39

Remember that series-like phrases can at first be thought to be series; they include but are not limited to not limited to publisher imprints; words indicating a slogan, motto, or prize; and subject words that indicate content used for retail purposes.

## 667: Include Phrase

### Series authority record

130 \_0 \$a Complete science publication

667 \_\_ \$a Not to be considered a series; give as a  
quoted note.

### Bibliographic record

245 10 \$a The concepts of organic chemistry /\$c  
Milton Orchin

260 \_\_ \$a Hoboken, N.J. : \$b Wiley, \$cc2005

500 \_\_ \$a "Complete science publication."

40

This example shows a phrase that should appear elsewhere in the bibliographic record. The 667 field tells us this is not a series, but that the information should be placed in a quoted note in the bibliographic record.

## 667: Ignore Phrase

### Series authority record

130 \_0 \$a Paperback (Ares Publishers)

667 \_\_ \$a Not considered a series. To be ignored.

### Bibliographic records

No 4XX/8XX fields

No 500 field

41

Here is an example of a series like phrase that we don't include anywhere in a bibliographic record, it will not be included in a 500, 4XX, or 8XX field. The 667 field contains that instruction.

## Making Treatment Decisions

- When should I follow existing treatment?
  - Program for Cooperative Cataloging  
“default” decisions: analyze in full, trace, classify separately
  - It may seem “easier” to follow the existing treatment in the LC/NAF.
  - However, it is best to weigh the pros and cons of this decision for a local library.

42

As we noted earlier all decisions regarding treatment are dependent upon the individual needs of each institution. However, due to the cooperative environment in which we work, any library should consider if the treatment decisions found in series authority records in the LC/NAF are appropriate for that library.

Note that the usual PCC treatment decisions are to analyze in full, trace, and classify separately whenever possible.

When should you follow this existing treatment?

Experience will show that following existing treatment decisions allows for ease and speed in copy cataloging. However never feel locked into a treatment decision and weigh the pros and cons of the decision for your library.

## Follow Existing Treatment?

- Pros
  - Faster copy cataloging
  - Fewer changes to records
  - Less local upkeep
  - Less chance of errors being made
- Cons
  - Lose ability to customize locally
  - Lose the ability to treat series as your local patrons would use them

43

Some of the pros of following existing treatment are: increasing the speed of copy cataloging and a need to make fewer changes to both authority and bibliographic records which means that less local upkeep and oversight will be needed and ultimately there will be fewer chances that errors will be made.

However when you choose to follow existing treatment you lose the ability to customize series treatment for local needs so you cannot always address the needs of your patrons and staff.

## Making Treatment Decisions

- Do not feel that you are locked into any existing treatment decisions given in authority records in the LC/NAF.
  
- **Local practices should determine how a series is treated**
  - How will your patrons (including your library staff) want to use the series?
  - How does your integrated library system index series and what changes can be made in that indexing to meet your patrons' needs?

44

We cannot emphasize enough that you must not feel locked into any existing treatment decisions. Your local practices and needs should determine how you treat a series. When considering local needs you should consider how your patrons (including your library colleagues) will use the series as well as how your integrated library system functions.

## Summary

- What is series treatment?
- How do we determine how a series is treated?
- How do different treatment decisions affect analysis, display, and classification?
- How do we indicate treatment of series-like phrases?
- What decisions should my library make?

45

In summary, we have discussed what series treatment is, how we determine series treatment, how treatment affects access, display and classification, how we indicate treatment of series-like phrases, and what we should consider as we decide if we should follow existing treatment decisions.

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**Fundamentals of Series  
Authorities: An ALCTS/PCC  
Workshop**

**Part 2:  
Module 9: Series Numbering**

1

## Objectives

- How series numbering is transcribed into series authority records and the bibliographic record
- When numbering changes require a new series authority record
- The MARC fields 642, 640, and 641

2

In this module we are going to discuss series numbering. First we will discuss how numbering is transcribed in both the authority and bibliographic records. Next we will discuss when changes in numbering require a new series authority record and lastly we will discuss the numbering fields in the MARC21 format.

## Series Numbering

- Series numbering is transcribed from the item being cataloged.
  - (AACR2 1.6G Give the numbering of the item within the series in the terms given in the item.)
- You can abbreviate some designations as instructed in AACR2 appendix B and numerals as instructed in appendix C.

3

AACR2 rule 1.6G states that we should transcribe the numbering of a series both into the bibliographic and authority records as it appears on the item that is being cataloged. However you may abbreviate some terms such as number or volume as instructed in Appendix B of AACR2 and you can convert numerals as instructed in appendix C.

## Series Numbering

On item -- #44

Series transcription -- #44

On item – Band 5

Series transcription – Bd. 5

4

For example if the item has the number sign and the number 44 you would transcribe it into the records just as it appears: number sign 44.

Or if the item states Band 5, we would abbreviate the Band because of the instructions in AACR2 appendix B and we would transcribe it into the records as Bd. 5.

## Series Numbering

- Series numbering is recorded in both the bibliographic and authority records.
- In the bibliographic record numbering appears in the \$v of the 4XX or 8XX field

440 \_0 \$a Series de historia nacional y  
americana. \$p Educación ;\$v 1

5

Series numbering is transcribed in both the bibliographic and authority records.

[NOTE: It is PCC policy to give series numbering in series access points and it is probably the practice in most libraries, however doing so is not required by AACR2 (see rule 21.30L)]

In the bibliographic record the number on the item is transcribed in the \$v of the 4XX or 8XX field as shown here in this example.

## Series Numbering

- In the authority record numbering appears in the 642 field with a \$5 indicating to which library the numbering form applies

130 \_0 \$a Series de historia nacional y  
americana

642 \_\_ \$a 1 \$5 DPCC

6

In the authority record the number will be transcribed into the 642 field with a \$5 indicating to which library the numbering example applies.

Please note that while the \$v transcription of numbering in the bibliographic record reflects the item being cataloged, the numbering in the 642 will only reflect the transcription of the volume that was cataloged to create the original authority record. The 642 field will not change with subsequent publications after the initial creation this field will represent the number's form and not the exact number of an item.

## Series Numbering

- The 008/13 fixed field in the authority record will also indicate if the series is numbered.
  - a - Numbered
  - b - Unnumbered
  - c - Numbering varies
  - n - Not applicable

7

There is a special fixed field in the authority record that gives information about the numbering of a series. The 008 byte 13 fixed field has codes that will indicate if a series is numbered or if changes have taken place.

Code “a” indicates that a series is numbered. If code “a” is present then the record will contain a 642 field.

Code “b” indicates that a series is unnumbered. If code “b” is present then the record will NOT contain a 642 field.

Code “c” indicates that the series has alternated between being numbered and unnumbered. There is one situation where this code will be used which we will discuss later in this module.

Code “n” means “not applicable”, this code should not be used in series authority records, it is only available for use in other types of authority records.

## Series Numbering

- The 642 of the authority record governs what form will appear in the \$v of the bibliographic record

642 \_\_ \$a v. 1 \$5 DLC

440 \_0 \$a ... ; \$v v. 6

Or

642 \_\_ \$a Bd. 2 \$5 DLC

490 1\_ \$a ... ; \$v 4

830 \_0 \$a ... ; \$v Bd. 4.

8

As noted earlier the 642 field of the series authority record governs the form of the number that appears in the \$v of series access point in the bibliographic record. For example if you are cataloging volume 6 and the authority record states v. 1, then you note that the form is v. with a number so that your bibliographic record would read v. 6. Sometimes the numbering of an item can affect what tags are used in the bibliographic record. The 642 field applies to the access point because we don't want to change a different found form in the descriptive 4XX field. Since the 440 field is a descriptive field it should be used when the numbering on the resource (even if it is not abbreviated) and the numbering example in the 642 field are the same. If item and the 642 field have different forms then a 490 first indicator 1 field with the descriptive element is required and an 8XX field with the example that matches the 642 field is used as you see in the second example.

## Series Numbering

- Consistency in the numbering example is necessary because some systems use the \$v as a part of the indexing for alphabetical / browse displays

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Consistency in the numbering example is necessary since some systems use the \$v as a part of the indexing for alphabetical / browse displays. For example items with just a number will index very differently than those with a vol. or Band in front of them. Without consistency of form the numbering loses its logical order.

## Series Numbering

Lecture Notes in Mathematics	
Lecture Notes in Mathematics	Vol 945
Lecture Notes in Mathematics	Vol 946
Lecture Notes in Mathematics	Vol 947
Lecture Notes in Mathematics	Vol 948
Lecture Notes in Mathematics	915
Lecture Notes in Medical Informatics	
Lecture Notes in Medical Informatics	1
Lecture Notes in Medical Informatics	10
Lecture Notes in Medical Informatics	11
Lecture Notes in Medical Informatics	12
Lecture Notes in Medical Informatics	13
Lecture Notes in Medical Informatics	14

10

Here is an example of how an integrated library system search might look like when numbers are used for indexing. As you can see number 915 will not index in numerical order because it lacks the appropriate vol. designation in front of it.

How your integrated library system indexes by number will depend on how it was set up, and even with perfect set up this indexing may not be foolproof. For example you would presume that number 2 of the Lecture Notes in Medical Informatics would come after number 1 however this system indexes by digit so all the first digits of 1 will come first. Number 2 will index after number 19 and number 20 will follow number 2. These types of issues can be addressed with your integrated library systems' staff or your vendors.

## Series Numbering

- Subfield \$d can be used in the 642 field to indicate the volumes and/or dates to which form of numbering applies.
- This is a statement that is used only when the data contained in subfield \$a does not apply to all items in the series.
- Use the \$d when the numbering format of the series has assumed a new sequence of numbering

11

As with other 64X fields we can use the \$d to indicate to which volumes the numbering form applies. This subfield should only be used when the numbering form in the \$a does not apply to all items in the series. \$d is used when the 642 field has been repeated because the series has assumed a new sequence of numbering. It does not apply when the style of numbering in the same sequence of numbering has changed (e.g. used "volume" with 1-17, number with 18-14, the v. will be used for all these issues because a new sequence beginning with 1 has not occurred.)

## Series Numbering

130 \_0 \$a Geography of world agriculture

642 \_\_ \$a Heft 2 \$d <1980- > \$5 DPCC

642 \_\_ \$a 1 \$d <1964-1979> \$5 DPCC

12

For example here the style of numbering changed when they began the same series over with a new sequence of numbering beginning with number 1 in 1980. So from 1964-1979 the series was published with just the number, but then in 1980 a new numbering sequence began with one and this time they designated it as Heft.

## Series Numbering

- For monographic series two types of numbering changes require separate authority records:
  - 1) When a numbered series becomes unnumbered
  - 2) When an unnumbered series becomes numbered and starts with number 1

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In most cases if the numbering changes we add additional 642 fields as described above. However that are two cases when we would not add a 642 field but we must create a separate series authority record. The first instance is when a numbered series becomes unnumbered and secondly when an unnumbered series becomes numbered and the numbering starts with number one.

## Series Numbering

- When a numbered series becomes unnumbered

130 \_0 \$a Development in the third world  
530 \_0 \$w b \$a Development in the third world  
(Unnumbered)  
642 \_\_ \$a 3 \$5 DPCC

130 \_0 \$a Development in the third world  
(Unnumbered)  
530 \_0 \$w a \$a Development in the third world

14

In the first case when a numbered series becomes unnumbered and the title does not change we create a separate authority record, and we use the qualifier (Unnumbered) for the heading of the monographic series without numbering to differentiate it. We connect the two series records with 530 field see also references. For example this series was numbered as noted by the 642 field on the first record, however over time the numbering was dropped making the series unnumbered, so we create a new record for the series qualifying it by the word Unnumbered to differentiate it from the previous series. Also note we connected the two series with 530 fields to direct searchers to the change.

## Series Numbering

- When an unnumbered series becomes numbered and starts with number 1

130 \_0 \$a Science for everyday life (**Unnumbered**)

**530 \_0 \$a Science for everyday life**

130 \_0 \$a Science for everyday life

530 \_0 \$a Science for everyday life (Unnumbered)

642 \_\_ \$a 1 \$5 DPCC

15

The second reason we would create a new authority record is if we begin with an unnumbered series and then after some publications they start numbering it, but they start with the number one, we then create a new series authority record for the numbered series, we update the existing record to include the qualifier for unnumbered and we connect them with 530 fields. For example if we began with an unnumbered series Science for everyday life and then they began to number it with number one, we would update the existing record on the top with the qualifier unnumbered as it is in bold and add the 530 field. We would then create a new record for the new numbered series including the 642 for the number and adding the 530 field to connect it with the other record.

## Series Numbering

- In all other instances use the 008/13 fixed field “c” to indicate the series numbering changes

130 \_0 \$a Research applications in neurochemistry

- 10 issues published unnumbered, numbered beginning with 11
- On the existing record change the 008/13 to “c” and add:

642 \_\_ \$a 11 \$5 DPCC

16

Please note that the case previously discussed applies if the numbering begins with one. If for example they published 3 volumes that were unnumbered and the fourth volume has a number we would only have one record. On that record we would include a 642 field with the form and this is the case where we would change the 008/13 fixed field to indicate that the numbering had changed by placing a code “c” there.

## Series Numbering

- When determining series numbering it is important to:
  - 1) Determine if the series is really numbered – some publishers number publishers lists so don't assume that numbering in one place applies to a series

17

Some important things to remember when dealing with series numbering include the need to determine if the series is really numbered. For example some publishers number lists of their publications, so it is necessary to look at things critically and don't assume that numbering always applies to a series.

## Series Numbering

- 2) Remember that sometimes words associated with numbering go with the title of the series sometimes they go into the \$v/642

130 \_0 \$a Youth substance abuse project series

642 \_\_ \$a monograph no. 7 \$5DPCC

130 \_0 \$a World nomads monograph

642 \_\_ \$a no. 3 \$5 DPCC

18

Also it is important to remember that sometimes words attached to numbering go with the series title and sometimes with the \$v in the bibliographic record and the 642 field in the authority record. For example here is one series where the word monograph goes in the 642 field and it will also appear in the \$v of the bibliographic record. In the other example the word monograph goes in the series title and it is not part of the numbering.

The words of the series title will help you determine where it should go (such as you probably would not have a “series monograph”). Also typography will be important to help you determine where words need to go, for example if the title is in bold or large print and the number is in a smaller print include the word as the printing would indicate. Most often these decisions rest on your good judgment so look critically at all the information and make the best decision you can.

## Series Numbering

- If the series is a main series and a sub-series it is important to determine to which series the numbering belongs:

Main Series: Lecture notes in business economics

Subseries: Digital economics

Numbering: 135

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When you have a main series and a subseries as well as numbering it is also important to determine to which the numbering applies. For example here the numbering belongs with the main series, even though the number is listed after the subseries. To determine if the numbering applies only to the main series look for other sources in the item to see if it gives any indication of where the number goes. Beyond that a good rule of thumb is that if the number is larger then chances are it applies to the main series only as is the case with this example.

## Other Numbering Fields

- 640 - Series dates of publication and/or sequential designation
- Provides the beginning/ending date(s) of publication and/or sequential designations used on items in a series

640 0\_ \$a 1972-1995

640 1\_ \$a Complete in 15 v.

20

In addition to the 642 field there are two other numbering fields that can be used in series authority records. These fields are not used frequently.

The 640 field is used to indicate the span of a publication. This field is most often used when a series has ceased publication, such as in the first example that shows the indicator 0 and formatted style for this note. This information tells us that the publication was only published from 1972-1995 and then it ceased. The second way this field is used is to indicate how many volumes a multipart monograph has. The second example with the indicator 1 in an unformatted style, shows us that there are only 15 volumes in this series. Indicator 1 allows us to place whatever information in whatever form is necessary in this field.

## Other Numbering Fields

- 641 - Series numbering peculiarities
- This note describes irregularities in the report year coverage and/or numbering of a series

641 \_\_ \$a Numbering begins with no. 3

641 \_\_ \$a No. 7 never published \$z no. 11,  
t.p. verso

21

The second additional numbering field is the 641 field. This field is used to note oddities or irregularities with the numbering. We can use this field, as with the first example, when a series was unnumbered and then it became numbered and they included previously published volumes in the numbering. Another way to use this field is to indicate if any number or volumes were missed in the publication cycle as in the second example. \$z indicates where you got the information

## Summary

- How is series numbering transcribed into series authority records and the bibliographic record?
- In what situations do series numbering changes require a new series authority record?
- How are the MARC fields 642, 640, and 641 used?

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In summary we have learned in this module how series numbering is transcribed into both the authority and bibliographic records. We also discussed how to handle various types of situations when the numbering changes. And lastly we discussed how the MARC fields 642, 640, and 641 are used.

# **Fundamentals of Series Authorities: An ALCTS/PCC Workshop**

## **Part 2: Module 10: Additional Series Situations**

1

This module concentrates on those situations where it is not clear what kind or if there is a series statement; how to recognize them; how to create a 1XX for them; and the representation of the series in the bibliographic record.

## Objectives

- What are additional series situations?
- How do you determine presence of additional situations?
- How are headings established and used in bibliographic records?

2

Some series are not presented in a straightforward manner on a resource. Catalogers may determine that there is a series but extra phrases/words may be present. There may be extra titles, including the word “supplement” or a personal or corporate body name. They may be related to the title or not. This module will clarify additional series situations.

These situations are covered by rules which explain the additional information and provide the means for establishing the heading and how it is represented in the bibliographic record.

## Additional Series Situations

- Series/subseries
- Supplement to serials
- Multipart monographs

3

This module will cover the additional series situations list on this slide. These three are encountered most frequently. Series like phrases are also a “series situation”. These have been covered elsewhere.

The slides in this module cover the most common “examples” for the series situations. Previous modules have given guidance on the basic fields and subfields used for series in authority and in bibliographic records. Subfields unique or used more frequently with these types of series will be explained in more depth.

# Series/Subseries

4

## Subseries: Definition

- “A subseries is a series within a series (e.g., a series that always appears in conjunction with another, usually more comprehensive, series of which it forms a section). Its title may or may not be dependent on the title of the main series” AACR2, Glossary
- A series within a series requires two series titles and a title for the item being cataloged.

5

Let's go over the definition for a subseries together.

If a series given in one area in a resource seems to be divided into one, two, or more titles consider that there may be more than one series.

Sorting out multiple titles—especially if not represented on the typical series title page, or other source in a clear manner can be problematic. Take time to look at the layout of the titles and the sources in which they appear.

## Is there a Series/Subseries?

- The titles on the source may already be established.
- Search a name authority file for these titles.
- AACR2 and LCRI 1.6H gives further guidance
- If there are no records for the titles, consider the following situations before establishing them.

6

This slide gives important steps to be used prior to the creation of a SAR for titles presented on the resource.

Searching in an authority file is absolutely necessary—whether the presentation of the titles on the resource is complicated or not. It quickly determines if the title/titles have been established. If not established and the titles are laid out in such a way that it is difficult to tell if they could be related, a search in a bibliographic file might provide some helpful information. Searching should be as thorough as possible.

The next slide gives further guidance.

## Is there a Series/Subseries?

- The main and subseries will always be on the same source, but not necessarily next to one another.
- They are related:
  - Main series will have a generic term or general topic.
  - Subseries will be subject subdivision or subdivision of the topic.

7

The steps on this slide and the following slide provide “clues” that can assist in determining if what is on the resource is a series/subseries situation. Let’s go over them together.

Also consider the layout of the typology when assessing series/subseries. One may be more prominently displayed or displayed first followed with punctuation. Don’t assume that two titles listed in two different places on the resource are separate titles.

If, after evaluating the relationship of the titles on the source, you still need further confirmation—check other parts of the item in hand—the cover (both back and front), title list, book jacket, even possibly the introduction.

## Is there a Series/Subseries?

If both titles have numbering:

- The main series will have a larger number than the subseries.

8

Consider the layout as to the numbering. If there is only one number associated with two titles be certain which title the numbering belong to. Check the source thoroughly to see if there is any other numbering connected to one of the titles.

Fortunately, the majority of sources the titles and numbering (for one or both) are clearly presented.

When used together, the information on this slide and the previous slide can be very helpful to determine the series/subseries situation.

## Is there a Series/Subseries?

Might not be a subseries—

- Two separate monographic series.
- 2 multipart items.
- Presence of “new series”, “second series” with numbering.
- Single series with subtitle information.
- Supplement.

9

If the information on the resource doesn't clearly indicate that there is a subseries to the main series consider these other options presented on this slide. Some of these options are additional series situations as well and they will be discussed in this module.

Searching the bibliographic files in addition to the authority file can help determine what the titles might be.

## Is there a Series/Subseries?

If a decision cannot be made, the default is:

***Two separate series***

10

This default is certainly legitimate to fall back on. If there is no information to support the series/subseries relationship and no other searching has assisted, then set up two separate SARs. The important thing to remember is that the titles will be under “control”.

## Authority Heading

When the subseries has a designation, the subfields in the authorized heading are in this prescribed order even if not in this order in the source:

130 \_0 \$a [main series title]. \$n [subseries designation], \$p [subseries title]

\$n is preceded by a period-space.

\$p is preceded by a comma-space if there is numbering. If no numbering by period-space.

11

Slides 11-29 in this module provide information about how the series/subseries are established in the SAR and represented in the bibliographic record.

This slide introduces the use of two important subfields used in SARs and bibliographic records: \$n and \$p.

Subfields \$n and \$p are repeatable. A subseries can be divided again into another title.

## Bibliographic Transcription

Numbered main/subseries or numbered main and unnumbered subseries: transcription

490 1\_ \$a [main series title] ; \$v [numbering]. \$a [subseries title] ; \$v [subseries numbering]

- Neither \$n or \$p can be used in a 490 field.
- Subseries title transcribed in additional \$a.
- 490 field used whether the subseries is numbered or not.
- AACR2, 1.6H

12

This slide shows the transcription for a numbered main series and subseries or numbered main series and unnumbered subseries.

If the main series is numbered, the series/subseries must be transcribed in a 490 field because the 490 is a “transcription field” not an access field. [Emphasize the use of the (.) and \$a between the main and subseries title in the 490]

Understanding the function of transcription and access fields is important. When you understand the functions, use of them on the bibliographic record will be easier.

## Bibliographic Transcription/Access Points

Numbered main series and numbered or unnumbered subseries: access points

830 \_0 \$a [main series title] ; \$v [numbering].

830 \_0 \$a [main series title]. \$p [subseries title] ;  
\$v [subseries numbering].

- Two 8XX access points are used whether or not the subseries is numbered.
- Refer to LCRI 21.30L

13

This slide gives the access points for a numbered main series and subseries or numbered main series and unnumbered subseries.

In this example it is important to point out that the use of two 830s is done for purposes of indexing. If the main and subseries with their numbering are put in one 830, the numbering for the main series falls between the main and subseries titles and hinder indexing. Refer to LCRI 21.30L, Main Series and Indirectly Entered Subseries.

## Bibliographic Transcription/Access Points

Main series unnumbered: transcription and access

440 \_0 \$a Historic structure report. \$p  
Architectural data section

- Series transcription matches the authority heading so a 440 is used—whether the subseries is numbered or unnumbered.
- Refer to LCRI 21.30L

14

This slide gives the access point for a unnumbered main series. This is an example of the transcription field matching the established heading in the SAR.

[Note: trainers should ask if the participants understand the different functions of the access field and the transcription field. Since they will be used in the upcoming slides, it is important for them to be able to distinguish the use of them]

Reminder: that \$p can only be used in an access point (field)

## Headings and Transcription

- Don't abbreviate words in subseries titles unless they are abbreviated on the source.
  - AACR2 App. B.4A
- Don't change roman numerals in subseries designation to Arabic numbers.
  - AACR2 App. C.2B1e
- Capitalize first letter of subseries designations and subseries titles.
  - AACR2 App. A.3C1
- Numbered main series: establish if not already.
- Unnumbered main series: usually not established.

15

Most of the information in this slide provides punctuation and abbreviation usage for subseries. The sections of AACR2 should be consulted as needed.

The phrase, “usually not established” in the last bullet means that if the unnumbered main series did not exist as a simple series it does not need to be established.

## Example 1: Unnumbered Main and Subseries

On source:

Historic structure report  
Administrative data section

16

Slides 16-25 provide examples of various kinds of numbered/unnumbered main series and subseries and how the headings are represented in the SAR and used in the bibliographic record.

It is important to understand the criteria we have discussed earlier in determining a main series/subseries representation on the a resource. Used for this example, the criteria helps determine that this is an unnumbered main and subseries.

From the layout on the source, it can be determined that “Historic structure report” listed first is the main series and that

“Administrative data section” given second is the subseries title. The word “section” in the second title indicates that this title is “part” of the larger one.

## Example 1: Unnumbered Main and Subseries

### Authority heading

130 \_0 \$a Historic structure report. \$p  
Administrative data section

### Bibliographic record

440 \_0 \$a Historic structure report. \$p  
Administrative data section

17

This slide shows how the series and subseries from the previous slide are established in the series authority record and transcribed in the bibliographic record. The 130 and the 440 fields contain the same information.

Note: punctuation after the \$a and capitalization in \$p.

## Example 2: Numbered Main Series/ Unnumbered Subseries

Source:

Physics and chemistry in space  
Volume 19  
Planetology

18

The example in this slide shows two titles with numbering listed between them.

Placement of the numbering directly after the first title indicates that it belongs to the main series. This is a good example of understanding the layout of two titles. If a list of the titles for the series is in the item, it might provide clarification as well.

Once it is determined that the numbering belongs to the main series title and that the subseries is unnumbered, the process of establishing the series heading can begin.

## Example 2: Numbered Main Series/ Unnumbered Subseries

### Authority heading

130 \_0 \$a Physics and chemistry in space. \$p  
Planetology

### Bibliographic record

490 1\_ \$a Physics and chemistry in space ; \$v v. 19. \$a  
Planetology

830 \_0 \$a Physics and chemistry in space. \$p  
Planetology.

830 \_0 \$a Physics and chemistry in space ; \$v v. 19.

19

This slide shows the established heading (130\$a and \$p) and the transcription (490) and access points (two 830s) in the bibliographic record.

The 490 contains the two titles and the numbering as given on the source. It is a transcription field so what is actually given on the piece is placed in the 490. We learned that the \$p is used only in access points. So a period (.) and \$a is used.

In indexing purposes two 830s are used. One contains the main title (\$a) and the subseries (\$p) without the numbering. The second 830 contains only the main series (\$a) and its numbering.

## Example 3: Numbered Main and Numbered Subseries

On source

Modern architecture

Volume 15

Bauhaus 3

- Numbering for main series is larger than that for the subseries.

20

This slide shows numbering for a main series and the subseries.

Both the layout and numbering provide clues as to which series is the main one, which is the subseries and what numbers belong to each of them.

The main point to show here is that the numbering for the main series is larger than that for the subseries.

## Example 3: Numbered Main and Numbered Subseries

### Authority heading

130 \_0 \$a Modern architecture. \$p Bauhaus

### Bibliographic record

490 1\_ \$a Modern architecture ; \$v v. 15. \$a Bauhaus ; \$v  
3

830 \_0 \$a Modern architecture ; \$v v. 15.

830 \_0 \$a Modern architecture. \$p Bauhaus ; \$v 3.

21

This slide shows the established heading (130\$a and \$p) and the transcription (490) and access points (two 830s) in the bibliographic record.

The authorized heading, transcription of the main and subseries titles, and the use of two 830s to provide access points is the same as in example 2—Numbered main series and unnumbered subseries. Both examples (this slide and slide 19) reflect the prescription that two 8XX fields are used whether or not the subseries is numbered (refer to slide 13).

## Example 4: Subseries Without Distinctive Title

If the subseries “title” is a section or part designation, it is given in a \$n

Source:

Columbia University oral history collection  
Part IV  
no. 30

22

This slide indicates that some subseries are not distinctive titles. They are represented as a section or a part designation.

The main series in this slide has two number is connected with it. It is determined that the “no. 30” is the series numbering and that “Part IV” is a designation—not a distinctive title.

## Example 4: Subseries Without Distinctive Title

### Authority heading

130 \_0 \$a Columbia University oral history collection.  
\$n Part IV

### Bibliographic record

440 \_0 \$a Columbia University oral history collection.  
\$n Part IV ; \$v no. 30

23

This slide shows the established heading (130\$a and \$n) and the transcription and access point (440) in the bibliographic record.

Because “Part IV” is not a distinctive title and is not part of the series numbering it is put in the \$n. Note that following the AACR2 prescription, “Part” is not abbreviated and that the roman numeral “IV” is used—not changed to the Arabic number.

In the bibliographic record “no. 30” is contained in the \$v as it is the series numbering.

## Example 5: Subseries with Designation

Source:

Physics and chemistry of materials with  
low-dimensional structures.  
Series A, Layered structures

24

This slide shows a main series and a subseries with designation.

In this example it is determined that “Series A” is not the series numbering—that it is a designation. For these cases, both the subseries title and the designation are used in the established heading.

It might be good to remind participants not to confuse designations with series “numbering”. Series numbering is represented in the 642 field on the SAR.

## Example 5: Subseries with Designation

### Authority heading

130 \_0 \$a Physics and chemistry of materials  
with low-dimensional structures. \$n Series A,  
\$p Layered structures

### Bibliographic record

440 \_0 \$a Physics and chemistry of materials  
with low-dimensional structures. \$n Series A,  
\$p Layered structures

25

This slide shows the established heading (130\$a, \$n, and \$p) and the access point (440) in the bibliographic record.

In this example there is no 490 because the main series does not have numbering. The issues of indexing in the bibliographic file is not a concern.

No matter how the part number and distinctive title are presented in the source, always put the \$n before the \$p in the heading/access point.

## Very Generic Terms as Subseries

Terms such as “new series”, “second series”, etc. can be problematic.

- If the phrase is present and numbering is anywhere on the piece, give as numbering in \$v on bibliographic record.
- If there is no numbering present on the piece, give the phrase as subseries designation.
- LCRI 1.6H3

26

This slide points out the necessity of determining if phrases such as “New series” or “third series” are considered numbering or subtitles.

Per 1.6H3: If a phrase such as “new series” or “second series” appears with an unnumbered series transcribe such a phrase as a subseries title. If the series is numbered the phrase is considered a part of the series numbering.

## Example 1: Numbering

On resource

Progress in medical genetics ... new series

No. 6

Bibliographic record:

440 \_0 \$a Progress in medical genetics ; \$v new  
ser., no. 6

27

This slide gives an example when the series is numbered—the “new series” is considered part of the numbering and placed in the \$v. In this case the rules in AACR2 Appendix B are followed regarding abbreviation of the words.

Note that the 130 for the established heading would not have \$v in it. That would be placed, as with all numbered series, in the 642 field.

## Example 2: Unnumbered

On resource

Enchantment of the world

Second series

(No numbering on the resource)

Bibliographic record

440 \_0 \$a Enchantment of the world. \$n Second  
series

28

This slide gives an example when the series is not numbered. The “second series” is considered a subseries and placed in \$n.

Note that in this case the 130 for the established heading would contain the same information as the 440 field in the bibliographic record.

This is the last slide for subseries and their treatment. Since there are no exercises for this module, trainers might ask some questions about subseries to see what the participants have learned about them.

# Supplement to Serials

29

## Special Numbers and Supplements to Serials

The words “special number”, “supplement” or the phrase “supplement to ...” on a resource may seem to indicate the presence of a subseries or series.

However:

- Special numbers are not subseries or series.
- Unnumbered supplements should not be considered subseries or series.
- Numbered supplements are considered to be series.
- (LCRI 1.6 and 21.30G)

30

Special numbers and supplements to serials can appear to be subseries. Slides 30-41 provide guidance about which are subseries and which are not and provide examples for them.

Special numbers are used in this context as special numbers to serials. We usually know that something is a special number because it will say “special number” or “special issue”

Numbered supplements are treated as series. However, if the supplement numbering is in relation to the parent serial consider the supplement to be unnumbered.

The rules listed address all situations transcription and authority work.

## Unnumbered Supplements

T.p. verso:

Supplement to art and archaeology

- Give in a quoted note.
- Provide a 730 field for the AACR2 form for the parent resource.

500 \_\_ \$a “Supplement to Art and  
archaeology”—T.p. verso.

730 0\_ \$a Art and archaeology. \$p  
Supplement.

31

The example on this slide shows an unnumbered supplement on the resource.

Unnumbered supplements need representation on the bibliographic record and this is done as shown in the slide. Both the supplement information and the parent resource, “Art and archeology” need to be included. The slide shows how this is transcribed in the bibliographic record.

Special numbers to a serial are treated in the same manner. The next slide addresses how a special number to a serial is determined.

See LCRI 21.30G “Unnumbered supplement or special number to a serial”

## Numbered Supplements

- Be sure that the numbering relates to the supplement and not the parent resource itself (usually a serial)

Example on parent resource:

Supplement 1 to volume 10, no. 3

- The numbering is considered to be part of the parent resource numbering so the supplement is unnumbered.

32

As in the previous slide this unnumbered supplement is added to the bibliographic record using a 500 note and the 730.

It is important to understand what the term “parent resource” means when talking about supplements to serials. The parent resource is the title of the serial that appears on the resource in the same area as the term supplement.

Check LCRI 21.G for clarification.

## Numbered Supplements

Once it is determined that the supplement to the parent resource is numbered:

- Is the wording of the supplement grammatically connected to the parent resource or is there a separate phrase that contains it?
- Headings for both types are established differently and their representation in the bibliographic record are different.

33

This slide gives guidance for supplements that are numbered.

Numbered supplements are treated as series. They can be one of two types: title grammatically connected to the parent resource title or given as separate titles. Grammatically linked means that there is a word, such as “to”, “for”, etc., used to connect the supplement to the parent resource—usually a serial.

The next few slides will give some examples of the treatment for both types in the authority record and bibliographic record.

## Numbered Supplements

Grammatically connected: example

In parent resource:

Supplement **to** Optical Information Systems

2

In bibliographic record:

Transcribe title including the word “to”. The transcription is through the grammatical connection.

34

The next few slides show the established heading and the representation in the bibliographic record for a grammatically connected supplement.

For the bibliographic record: transcribing through the grammatical connection means that the entire phrase including “to” is transcribed. This means that the title of the parent resource becomes part of the title.

## Numbered Supplements

Grammatically connected: example

Authority record:

130 \_0 \$a Supplement to Optical information systems

430 \_0 \$a Optical information systems. \$p Supplement to  
Optical information systems

- Transcribe title through grammatical connection.
- Make a reference to parent resource.

35

The 130 for the established heading includes the conjunction as well.

So we can see that in the authority record we transcribe title through grammatical connection. It is also necessary to make a reference to the parent resource in field 430.

Since the number “2” is for the supplement not for the parent resource, it is contained in the 642 field on the SAR.

## Numbered Supplements

Grammatically connected: example

Bibliographic record:

440 \_0 \$a Supplement to Optical information systems ; \$v 2

- Transcribe title through grammatical connection.
- Numbering is put in \$v.

36

This slide shows how the heading is traced in the bibliographic record. It is transcribed just as it is in the established heading (130) on the authority record.

In the bibliographic record, the number “2” is contained in the \$v of the 440 field.

## Numbered Supplements

Not grammatically connected: example 1

In parent resource:

Supplement issue, Statistics & Decisions  
No. 5

- Notice that there is no connecting word in the title.

37

The next few slides show how a supplement that is not grammatically connected to the parent resource is established and traced on the bibliographic record.

Since no word grammatically connects the supplement to the parent resource the heading will be established and traced differently in the bibliographic record.

## Numbered Supplements

Not grammatically connected: example 1

In authority heading

130 \_0 \$a Statistics & decisions. \$p Supplement  
issue

- Establish the title in the \$a and give supplement details in \$p.

38

The heading is established placing “supplement issue” in a \$p—similar to how a subseries is established.

Note that the title of the parent resource is in the 130 \$a.

As with the preceding example, the numbering “No. 5” would be placed in a 642 in the SAR.

## Numbered Supplements

Not grammatically connected: example 1

In bibliographic record:

440 \_0 \$a Statistics & decisions. \$p Supplement  
issue ; \$v no. 5

- Title of parent resource as found on the volume is placed in the 440 \$a

39

This slide shows that the established heading is put in an access field and that the numbering associated with it is put in the \$v.

It would be good to remind participants to follow AACR2 prescription for abbreviations for series numbering.

## Numbered Supplements

Not grammatically connected: example 2

In parent resource:

Horticulture  
Supplement  
2

40

The next few slides show another example of a supplement not linked grammatically to the parent resource. Notice again that there is no connecting word in the title.

## Numbered Supplements

Not grammatically connected: example 2

In authority record:

130 \_0 \$a Horticulture. \$p Supplement

- Title of parent resource in AACR2 form is given in the \$a (may include qualifier)

41

Just as in the previous example the established heading includes a \$a and \$p. Parent resources with common names such as in this example may require a qualifier. Use of qualifiers has been discussed in Module 2, Part 7.

## Numbered Supplements

Not grammatically connected: example 2

In bibliographic record:

440 \_0 \$a Horticulture. \$p Supplement ; \$v 2

- Heading from 130 on authority record placed in a 440 with the supplement in a \$p subfield and numbering in subfield \$v.

42

This slide shows, as in the previous example that the 440 matches the 130 and the supplement numbering is contained in a \$v.

Before moving on to the slides about Multipart Monographs, ask the participant some questions to determine if they understand the basic points about numbered and unnumbered supplements—how they are established and represented in the bibliographic record.

# Multipart Monographs

43

## Multipart Monographs

### Definition:

- “A monograph, complete, or intended to be completed, in a finite number of separate parts.” (AACR2, App. D)
- In some rules they are sometimes referred to as multipart items.
- Consult LCRI 1.6 for guidelines.

44

Also called “Multipart Items” and this phrase can still be seen in the guidelines/documentation.

Multipart monographs are the last additional series situations we will go over. It is important to understand the definition for a multipart before go on to the last slides.

## Multipart Monographs

Decisions for multipart monographs and monographic series are the same, but

*Do not confuse them with each other*

- Unlike a monographic series, multipart items have an intended end (even though some titles are published over many years).
- Not all parts of a multipart item have an analyzable title in addition to the resource title.

45

This slide stresses the importance of distinguishing monographic series from multipart monographs.

Multipart monographs can be like a series in that they are a group of separate items or piece.

However, multipart items are not intended to be continued indefinitely. Not all parts of a multipart item have an analyzable title in addition to the resource title. This means a set of monographs may or may not have separate titles along with the resource title.

## Multipart Monograph: General Guidelines

- Does it:
  - Contain information about a planned end?
  - Have an an ISBN for the set?
  - Indicate a narrow scope?
  - Have parts that represent a share of the topic and are complete in their own right?
- If no decision can be made that the resource is a multipart item consider the resource to be a monographic series.
- Consult LCRI 1.0 for more specific situations.

46

To determine if an item is a multipart monograph you can ask yourself the questions in the slide given under the first bullet.

The information can usually be found on the resource. It should be stressed that cataloger judgment is needed to determine the answer and apply a decision.

If no decision can be made that the resource is a multipart item consider the resource to be a monographic series.

[NOTE: If possible in the training session, bring in a multiple part item and volumes of a monographic series for comparison. Or explain how the information may be presented on the various sources within a multipart and monographic series.]

## Will the multipart be analyzed?

- Analyze if the title of individual part is a more prominent than the title of the multipart item.
- Are there words present that represent a non-distinctive title?:
  - Alphabetic or numeric division such as v. 1 or pt. 3, etc.?
  - Chronological subdivision (years or centuries)?
  - Geographic subdivision (continents, regions)?
  - A statement omitting essential piece of information found in the multipart item title?
  - General term such as atlas, glossary?

47

Determine if the multipart will be analyzed. Sometimes this can be very easy to determine—and in some cases, cataloger judgment may be needed to determine whether or not an individual part is analysed. In general analyze if the title of individual part is a more prominent than the title of the multipart item.

You also need to consider if there are there words present that represent a non-distinctive title.

The sub-bullets give some basic considerations about what are non-distinctive titles.

## Multipart Monograph: Analyzed

Catalogers determine the need to analyze

- Records are created for each volume.
- A record can also be created for the collected set if the decision is to classify all the volumes in the same call number.
- A series authority record is created.
- These decisions are usually made in a very local context.

48

Cataloger judgment is based on various conditions (usually local): policies; discussions with selectors; collection needs.

## Multipart Monograph: Analyzed

Example:

Title page of resource:

Manual of Chinese Herbs

Part 1: Soil conditions for perennials

49

This slide gives an example of how an analyzed title might appear on the resource.

## Multipart Monograph: Analyzed

Example: there are three records

SAR: 130 \_0 \$a Manual of Chinese herbs

644 \_\_ \$a f

646 \_\_ \$a c

Analytic: 245 00 \$a Soil conditions for perennials ...

440 \_0 \$a Manual of Chinese herbs ; \$v pt. 1

Collected set: 245 00 \$a Manual of Chinese herbs

505 1\_ \$a Soil conditions for perennials

50

The example for the titles shows that a record is created for the collected set and analytic records created for each individual title.

A series record is also created.

[It would be useful to go over the 644 and 645 coding mentioning that they are treatment fields and that specific information is located in several other modules]

## Multipart Monographs: Entered Under Name

Multipart items can be entered under name.

Example of established heading in the SAR and the transcription in the bibliographic record.

**SAR:**

100:1\_ : \$a Salvatore, R. A., \$d 1959- \$t Crimson shadow

**Bibliographic record:**

490:1\_ : \$a Crimson shadow

800:1\_ : \$a Salvatore, R. A., \$d 1959- \$t Crimson shadow

51

This slide presents information about multipart items entered under personal name. They are established more often than those for corporate names.

Note that the transcription field contains only the title from the \$t in the established heading on the SAR.

The established heading and title will go in an 800 field.

## Multipart Monographs: Entered Under Name

Corporate body (AACR2 21.1B)

When multipart items are entered under corporate body, the subject of the work is either about the activity of the body or collective thought of the body.

Examples:

110 2\_ \$a South Dakota Mining Association. \$t Timber applications

111 2\_ \$a Executive Management Conference \$d (2002 : \$c Los Angeles, Calif.). \$t Proceedings of the 2002 Executive Management Conference

52

These headings are not established often and catalogers need to look at the content of the resource and follow the guidance in the AACR2 section listed in the slide.

In determining if the multipart is entered under a name (personal, corporate, or conference) think how the series would be placed on one bibliographic record--consider what the main entry would be. If a 130 or no 1XX would be used for this, than it is established under title.

## Multipart Monographs: Two Titles

If there are two titles on a multipart item

- Are they dependent on one another?
- Do they need to be established separately?
  - If they are established separately there will be two 4XXs in the analytic record.
  - If the two titles cannot be determined to be related always treat as two separate titles.
- Consult LCRI 25.6a and 1.6H.
- Never consider them to be a series/subseries.

53

When two titles are given on a multipart item it can be difficult to understand if there is a relationship between them or not.

Searching for them in the local catalog might help to see if there is a pattern of use.

Understanding the points on the slide is crucial to good decision making.

Trainers should go over each one with the participants.

## Multipart Monographs: Works and Selections

Multipart items may be entered under the uniform titles for works and selections (AACR2/LCRI 25.8, 25.9)

- Subfield \$f containing publication date of first part ensures no conflict will arise.
  - If first part isn't available, use date of available part All references will have the date.
  - \$s is added if there is still a conflict. It contains another qualifier in parentheses after the \$f.

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As a reminder:

From MARC 21 Standards:

\$f contains a date of publication used with title of work in a name/title heading. Do not confuse this date with those used to distinguish titles with the same name. Those dates are contained in parentheses and not separately coded.

\$s Version

Contains version, edition, etc., information used with a title of a work in a name/title heading.

## Multipart Monographs: Works and Selections

“Works” multipart monograph:

Example:

100 1 \_ \$a Johnson, Blair. \$t Works. \$f **2001**

430 \_0 \$a Complete works of Blair Johnson. \$f **2001**

643 \_\_ \$a New York \$b New York University Press

670\_\_ \$a Lights in the harbor, 2001:\$b ser. t.p.

(Complete works of Blair Johnson)

- If there is further conflict the name of the publisher can be put in the \$s field.

55

This slide gives an example of a SAR for a “works” multipart monograph. Note the how the 100 is formed as well as how the 430 for the title on the item is given. The \$f should appear in all references that are given on a record of this type.

## Multipart Monograph: Not Analyzed

Cataloger determines not to analyze the multipart item:

- A series authority record is optional.
- The bibliographic record may or may not have a contents note.
  - Items within the set that have only volume numbers, etc. usually do not have a contents note.
- There won't be analytic records.

56

This slide presents basic guidelines used when the cataloger determines that parts will not be analyzed.

## Multipart Monograph: Not Analyzed

Example:

Title page of resource:

Studies in Accounting  
Volume 25

Comparison of Large Accounting Firms  
Part 3  
Ledgers and Forms

Mark Wooten

57

This is a complex example of how a series might not be analyzed and a good example of the confusion catalogers face when there are multiple titles on a resource.

One of the first actions a cataloger should take is to search the titles to see if one or more are series.

In this example “Studies in Accounting” is a numbered series; after looking at the resource it is determined that Comparison of Large Accounting Firms is the title; and that part 3 is the part number associated with “Ledgers and Forms”.

## Multipart Monograph: Not Analyzed

Example:

Bibliographic record

100 1\_ \$a Wooten, Mark.

245 10 \$a Comparison of large accounting firms ...

440 \_0 \$a Studies in accounting ; \$v v. 25

505 1\_ \$a pt. 3. Ledgers and forms

- A 505 contents is added as each part will have a distinctive title

58

Here is how all this information could be represented in a bibliographic record.

If national libraries are searched, catalogers will see that some libraries (especially national libraries in Europe) create analytics for each part of a non-analyzable multipart monograph as part of acquisition or bibliographic functions.

## Multipart Monographs: Changes

Only one series authority record is created for a multipart item. If there is any change (title; publisher (or responsible person/body, numbering):

- Record these in references in the series authority record.
- Supply sources of new information in 670 fields.

59

This slide provides basic guidance on recording changes for multipart monographs.

Changes are put in \$XX references in the SAR .

## Multipart Monographs: Other Information

For multipart items:

- The fixed field 008/12 Type of Series is coded “b” for “multipart item”.
- It can be helpful to use a 640 to record information regarding the intended number of parts. Example:

640 \_1 \$a Completed in 10 no. \$z no. 1 t.p. verso  
– The \$z is used to record where the information was found in the resource.

60

Additional information for the 008/12 and 640 are presented.

The 640 is one of the treatment fields, “Series Dates of Publication and/or Sequential Designation. “This field contains the beginning/ending date(s) of publication and/or the sequential designations used on items in a series named in the [1XX field](#) of an established heading record for a series. It may also contain a citation for the source of the information. The information may be recorded in either a formatted or an unformatted style”. From MARC 21 Standards.

## Multipart Monographs: Other Information

For multipart items:

- If only some parts of a multipart item classed as a collection are analyzable, the 644 \$d can be used to indicate this information--  
644 \_\_ \$a f \$d analyzable parts
- Determining conflict for multipart items is made easier as there are fewer created and the lengthy titles keep number of matches low.

61

The 644 field “Series Analysis Practice” is one of the series treatment fields. It “contains a one-character alphabetic code that indicates a specific organization's analysis practice for a series named in the [1XX field](#) of an established heading record for a series. The code specifies whether all, some, or none of the volumes of a series are analyzed for bibliographic records. The field may also contain the volumes/dates and/or the institution/copy identification to which the practice applies.”—MARC 21 Format for Authority Data.

This field has been discussed in other Modules as well.

## Summary

- How can identifying series situations aid in determining the heading?
- How can understanding definitions help to sort out headings that may seem similar but are not?
- When in establishing headings is it required to make some additional comparisons?

62

In this session we have discussed how to identify other series situations that aid in determining the heading, how understanding definitions can help sort out headings that may seem similar but are not, and when and how in establishing headings is it required to make some additional comparisons.

[Since there are no exercises for this module trainers should take time to ask questions about the various types of additional series situations]

# **Fundamentals of Series Authorities: An ALCTS/PCC Workshop**

## **Part 2: Module 11: Changes to Series**

1

The next topic is changes in series data elements.

[NOTE: Trainers - Be sure you've reviewed rules and LCRIs listed in these slides.]

## Objectives

- What to do when series change
- How multipart monographs change
- How Monographic Series, Other Serials, and Series-Like Phrases change
- Guidance on when a new series authority record is needed

2

In this module we'll cover these topics: actions to be taken when series change, with specific attention to the categories of series followed by guidance about when it is necessary to create a new series authority record.

## Series DO Change!

- Resources represented by SARs are “living entities” – data elements change, appear, and disappear:
  - Series title proper and other titles
  - Responsible person or body
  - Publisher/manufacturer
  - Numbering
  - Physical medium

3

SARs are updated more often than any other kind of authority record because the data elements listed here change during the existence of those resources.

## How Many SARs?

- Multipart monograph (21.2A1, 21.3A)
  - Only one: update existing SAR regardless of type of change or how often change happens
- Other resources: monographic series, other serial (21.2C, 21.3B1a), series-like phrase
  - It depends upon type of change

4

The number of SARs representing a bibliographic resource depends upon how that resource is issued.

If what is being cataloged is a part of a multipart monograph, there is always just one SAR. All categories of change are handled on that one SAR.

For other resources, the decision to update the existing SAR or create a new one depends upon the type of change.

## Multipart Monographs (MPM)

5

We'll look first at multipart monographs.

## MPM: Titles

- Change in title proper of the resource on a later part
  - Remember priority order of sources!
- Addition or change of variant title of the resource on a later part
  - Parallel title(s)
  - Title(s) on other sources

6

Let's look at titles first:

The title proper of the overall resource can change on the priority order source on a later part of a multipart monograph.

Or, the title proper can stay the same on the priority-order source but other forms of the title can appear or change.

[NOTE: If you think trainees need a review of priority order of sources, stop and remind them about that important concept here.]

## MPM: 4XX Field

- Give changed title proper in same form as heading:
  - If 1XX is entered under name heading, give 41X name/title reference under the name heading appropriate to the part
  - If heading is a 130, give reference as a 430 field
  - Justify the 4XX with usage in 670 field

7

Because there is only one SAR for these resources, a change in the title proper is generally given as a see reference. The type of see reference (a 410, a 411, or a 430) depends upon the tag for the heading. Always justify the form in the 4XX field by giving a 670 citation showing the usage of the part being cataloged.

[NOTE: You might want to mention that a reference isn't necessary if the change is "so far down" in a long title that it wouldn't be needed for access or wouldn't include word(s) likely to be used in a key word search.]

## MPM: 670 for 4XX

- If title proper has changed, give 670 showing usage on the priority order source
- If other forms of title proper are added or changed, give 670 showing **both**
  - usage of the title proper of the resource on the priority order source;
  - usage of the other titles on other sources

8

This slide summarizes what usage to give in a 670 field when justifying a reference: always the title proper on the priority order source + any other titles represented by references.

## Multipart: Change in Title Proper

100 1\_ \$a Rye, Marye. \$t Your amazing body

430 \_0 \$a Your amazing body

⇒ 400 1\_ \$a Rye, Marye. \$t Understanding your amazing  
body

670 \_\_ \$a Where does your blood go? 2004: \$b ser.  
t.p. (Your amazing body)

⇒ 670 \_\_ \$a Digesting your meals, 2005: \$b cover  
(Understanding your amazing body)

9

The title proper of the multipart monograph changes on a later part. The arrows show what has been added to the existing SAR: the changed title proper in the 400 field, justified by the 670 citation.

[NOTE: The reference here is a 400 because the main entry is a 100 field; AACR2 26.1F1 says to give the reference in the form it would have been given if it were the access point: no “variants of variants.” (discussed in session 7)]

## Multipart: Addition of Other Title

130 \_0 \$a History of colonial Africa

⇒ 430 \_0 \$a Colonial Africa's history

670 \_\_ \$a The founding of Liberia, 2002: \$b ser. t.p.  
(History of colonial Africa)

⇒ 670 \_\_ \$a Cecil Rhodes and Rhodesia, 2004: \$b t.p.  
(History of colonial Africa) cover (Colonial  
Africa's history)

10

This example shows the addition of a variant form of the multipart title on a later part; the title proper hasn't changed. You would take the same action if the form of the variant title itself changed on another part: another reference with supporting 670 citation giving all usage on the part. Note that the new 670 field includes both the usage on the priority-order source and on the cover.

## MPM: Change of Responsible Person or Body

- If responsible person or body has changed or body has changed its name
  - Give person/body and title proper of resource as 4XX field
  - Justify the 4XX with a 670 field

11

Because there is only one SAR for these resources, any change in the responsible person or body is given as a see reference. Always justify the form in the 4XX field by giving a 670 citation showing the usage of the part being cataloged.

## Multipart: Different Person/Body

100 1\_ \$a Fox, Gavin. \$t World religions

430 \_0 \$a World religions

⇒ 400 1\_ \$a Ede, Iris. \$t World religions

670 \_\_ \$a Fox, G. History of Buddhism, 2005 \$b  
t.p. (World religions)

⇒ 670 \_\_ \$a Ede, I. Looking at Confucianism, 2006 \$b  
t.p. (World religions)

12

In this example, the responsible person has changed on a later part. The arrows show the fields added to the existing SAR.

## MPM: Different Publisher/Manufacturer

- If subsequent parts published or manufactured by different body
  - Ensure that it is same resource and not a different resource
  - If the same resource, give information in 643 and/or 667 field(s)
  - Justification in a 670 field not required

13

Many publishers/manufacturers change their names and often absorb or merge with other publishers/manufacturers. If there is an issuing body in addition to the publisher, the issuing body may decide to change publishers after a period of time. What is important is determining if it is the same resource being published by a different publisher or a different resource with the same title published by another publisher.

If it is the same resource, record the new publishing/manufacturing information in the SAR to ensure identification in the future and to avoid need for another cataloger to investigate. It is not necessary to justify in a 670 field the addition of publishing/manufacturing information in the SAR.

## SAR 643 Fields: Scope

- Different publishers or manufacturers for different periods:
  - Separate 643 fields with latest first (for convenience)
  - In 643 subfield \$d, give information (don't do research) to “locate in time”

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When there is more than one publisher/manufacturer over time for the same resource, give each in its own 643 field and enough information in subfield \$d to “locate in time” each one. It's helpful (although not required) if the most current publishing/manufacturing information is in the first 643 field.

## SAR 643 Fields: Scope

- Content of subfield \$d:
  - Numbered resource: numbering from 642 field already in SAR and from part being cataloged
  - Unnumbered resource: publication date from first 670 in SAR and from part being cataloged
  - If information is not from sequential parts, use angle brackets

15

Because it's not important in the SAR to have exact information about when the change occurred, take advantage of information already in the SAR or from the part being cataloged for the content of subfield \$d. Use numbering for a numbered resource and a publication date for an unnumbered resource. Use angle brackets if the information isn't from sequential parts.

## Numbered Multipart: Publisher Change

642 \_\_ \$a v. 1 \$5 DLC

643 \_\_ \$a Chicago \$b QRS Pub. Co.

Vol. 2 published in Detroit by TUV Publishers.

Revise SAR:

642 \_\_ \$a v. 1 \$5 DLC

⇒ 643 \_\_ \$a Detroit \$b TUV Publishers \$d v. 2-

643 \_\_ \$a Chicago \$b QRS Pub. Co. \$d v. 1

16

In this example, another 643 has been added to the SAR with subfield \$d information in both 643 fields. The subfield \$d information for the old 643 field comes from the 642 field already in the record; the subfield \$d information for the new 643 is from the part being cataloged.

## Unnumbered Multipart: Publisher Change

643 \_\_ \$a Seattle \$b Geology Association

670 \_\_ \$a \_\_\_\_\_, 1999 \$b \_\_\_\_\_

2004 volume published in Toledo by GA Press.

Revise SAR:

⇒ 643 \_\_ \$a Toledo \$b GA Press \$d <2004>

643 \_\_ \$a Seattle \$b Geology Association \$d <1999>

17

In this example, the exact date of change for this unnumbered resource isn't known. Angle brackets are used in subfield \$d with the publication dates from the current volume and the first 670 citation.

## MPM: Many Publisher/Manufacturer Changes

- If more than three 643 fields:
  - Information isn't as helpful for identification
  - Give information about further changes in a 667 note field

667 \_\_ \$a Published by different offices in the ministry.  
667 \_\_ \$a Manufactured by various companies on contract to the association.  
667 \_\_ \$a Imprint varies.

18

Generally, no more than three 643 fields are given in an SAR. The benefit of continuing to record such specific information decreases when there are frequent changes. Including a general note in a 667 field is an indication to other catalogers that the latest 643 field doesn't have the most current information.

Are there any questions about the recording of all changes on a single SAR for a multipart monograph?

**Other Resources:**  
**Monographic Series,  
Other Serials,  
Series-Like Phrases**

19

Now let's move on to the other categories that can be covered by series authority records: monographic series, other serials, and series-like phrases.

## Other Resources: Changes

- Create a **new SAR** (four most common situations):
  - Major title change
  - Different responsible body in heading
  - Some numbering changes
  - Permanent change in physical medium

20

At the beginning of this session we noted that how many SARs should exist for resources other than multipart monographs depended upon the type of change found in the resource being cataloged. This slide shows the four most common situations when a new SAR should be made for monographic series, other serials, and series-like phrases. For the rest of this session, we'll be looking at change in these "other resources."

[NOTE:

(1) You may want to refer people back to slide 3 for the summary on how many SARs should be made.

(2) The other situations requiring a new SAR are much, much less common: (a) change in person responsible when main entry is under that person; (b) translation when there is a major change in the title of the original; c) main series appears or disappears.]

## Other Resources: Changes

- **Update** the **existing** SAR:
  - Minor title change
  - Addition or change of variant titles
  - Different responsible body if that body not in the SAR 1XX field
  - Different publisher if not used as qualifier
  - Some numbering changes
  - Variation in physical medium

21

This slide lists the six situations when the existing SAR is updated, rather than a new SAR being created.

## Creating New SARs

- New SAR based on first/earliest issue **in hand** with condition requiring new SAR
- Link two SARs:
  - 5XX field for heading on other SAR
  - 675 field to justify 5XX field

22

Before we look at the situations requiring creation of new SARs and then updating of existing SARs, let's review how to connect an existing SAR and a new SAR. It's the same procedure as linking NARs for changes of name of a corporate body:

a 5XX field on each SAR containing the heading from the other SAR;

a 675 field to justify the usage in the 5XX field.

## Citations for 675 Fields

- Purpose of 675 field: to give the usage supporting the 5XX field
  - **Not** to give history of last issue under one heading and first issue of other heading
- Easiest method: give first 670 on one SAR as 675 on other SAR

23

It isn't necessary to determine exactly when the change occurred in order to cite the last issue on the existing SAR and the first issue on the new SAR. As just noted, the purpose of the 675 on each SAR is just to give the usage supporting the 5XX field. So, the simplest way to give such 675 fields is to use the first 670 from each SAR as the 675 on the SAR to which it is being linked.

## Coding the 5XX References

- **Numbered resource**
  - Always code subfield \$w as earlier or later

5XX \$w a \$a _____ = the earlier heading
5XX \$w b \$a _____ = the later heading

- **Unnumbered resource**
  - Code subfield \$w as earlier or later only if information is readily available

24

The 5XX fields in SARs should also be coded as earlier and later by including subfield \$w as is done for earlier and later names of a corporate body. For unnumbered SARs, don't do research just to determine which is earlier and which is later if all issues were published in the same year.

## 670/675 Example

130 \_0 \$a Geriatric research  
530 \_0 \$w b \$a Today's geriatric research  
670 \_\_ \$a Exercise, 1998 \$b t.p. (Geriatric research)  
675 \_\_ \$a Eat well, 2005: t.p. (Today's geriatric research)

130 \_0 \$a Today's geriatric research  
530 \_0 \$w a \$ Geriatric research  
670 \_\_ \$a Eat well, 2005 \$b t.p. (Today's geriatric research)  
675 \_\_ \$a Exercise, 1998: t.p. (Geriatric research)

25

This slide shows the inclusion of coded 5XX fields on each SAR and the use of the 670 citation as the 675 field on the opposite SAR.

## 670 as Justification for 5XX

- Two situations when 675 unnecessary:
  - When the resource being cataloged has credible information about earlier or later resource
  - When the 670 for a serial cites multiple issues: one with usage for earlier and one for later

26

Sometimes a 670 will have the information about both the earlier and later titles so that a separate 675 field is unnecessary.

## 670 Examples in Lieu of 675

670 \_\_ \$a \_\_\_\_\_ \$b ser. t.p. (Series in the information sciences (formerly Series in the computer sciences))

670 \_\_ \$a Annual scholarship directory, 1999: \$b t.p. (College search series); 2001 ser. t.p. (Searching for college series)

27

These examples illustrate the two situations noted on the previous slide: the first 670 shows an issue that gives information about both titles; the second 670 includes different issues of the serial analytic.

## Linking SAR Not Available

- If creating an SAR and have information about earlier or later resource/heading:
  - Generally, don't make another SAR just to give 5XX/675 fields.
  - Instead, document the bibliographic history in a 667 field in the SAR being created.

667 \_\_ \$a Continues: \_\_\_\_\_  
or 667 \_\_ \$a Continued by: \_\_\_\_\_

28

If you are cataloging older material as part of an arrearage or “recon” project, you may be creating an SAR for a resource that is earlier or later than another resource and that other resource isn't represented by its own SAR in the authority file. Just give the linking information in a note in the one SAR rather than creating another SAR for something you don't have.

[NOTE: If you're running short of time, just tell trainees to read this self-explanatory slide on their own later.]

## Other Resources: New SAR\*

- Major title change – most common
- Change in corporate body qualifier – next most common
- Some numbering changes – less common
- Permanent change in physical medium – least common for now

\*also called “successive entry”

29

Here is the list, seen a few minutes ago, of the situations when a new SAR (also called a “successive entry”) must be made for a monographic series, another type of serial, or a series-like phrase. They are listed in the order of how often you’ll encounter them.

[NOTE: You might ask trainees how often they catalog such series in different physical media; if not many, skip lightly over that topic on following slides and tell trainees to consult on their own as needed. This is the least common of the four situations now but more and more series are either changing the physical medium (often going from print-on-paper to digital form) [requiring a new SAR] or varying the physical medium over time [handled by updating the existing SAR – see later slides].]

## Other Resources: Changes in Title Proper

- Based on form of series title in priority order source
  - Compare it to form in SAR heading – **not** to a form in a 4XX reference – and ignore qualifiers
- AACR2 rule 21.2C:
  - Major change: create new SAR
  - Minor change: update existing SAR

30

The most common change is a change in the title proper. When cataloging a new issue, be sure to compare the title from the priority order source with the form of the title in the SAR heading; ignore any qualifiers in the heading.

The AACR2 rule for changes in title proper for serials (including monographic series) is 21.2C. The LCRI says to apply this rule also to series-like phrases. A change identified as “major” in the rule results in a new SAR; one identified as “minor” in the rule results only in updating of the existing SAR. The LCRI for this rule adds explanations and some extra practices common in U.S. libraries.

[NOTE: Depending upon time available, consider asking trainees to look at rule and LCRI. The slides don't have the extra information from the LCRI.]

## Major Change: 21.2C2a

- Summary of three conditions (some qualifications) requiring a new SAR:

#1: Change in first 5 words of title

#2: Change in meaning of title after first 5 words

#3: Change in body's name anywhere in title

31

There are THREE conditions for creating a new SAR related to a change in the title proper. But, for each of them there is a qualification to be considered. We'll look at each on the next slides.

## Major Change in Title: #1

- Addition, deletion, change, or reordering of any of first 5 words (6 if initial article), **unless** change fits one of the categories of minor change in 21.2C2b
  - **Cannot decide** without looking at possibility that change is a minor one

32

The first condition has TWO parts:

- (1) the change is in the first 5 words, **AND**
- (2) the change isn't a "minor" one as designated in the second part of the rule.

So, the caution is not to just count the words! We'll look at what's a minor change after we've reviewed the other two major change conditions.

## “First 5 Words” Examples: Major

Art history studies → Renaissance art history studies

Current theological questions → Theological concepts

Creative hobbies and crafts  
→ Creative crafts and hobbies

33

Here are three examples of major changes in a title proper. After we’ve looked at the minor changes, you might want to come back to this slide and confirm for yourself why each isn’t a minor change.

[NOTE: Don’t spend time talking about each of these major changes now because trainees won’t have the “whole picture” until you’ve covered minor changes. If you don’t have time to come back to this slide during the session itself, you can tell trainees to discuss any of the examples in the major/minor change category with you separately. The example on this slide that may cause a problem for trainees is the third one because (1) there is no difference in the meaning, (2) other types of words (e.g., body’s name, “type of resource” word) can move around anywhere in the title, and (3) it wouldn’t be a change if the reordering happened after the first 5 words.]

## Major Change in Title: #2

- Addition, deletion, or change of any word after the first 5 words (6 if initial article) that changes the meaning or indicates a different scope
  - Depends on **cataloger judgment**
  - Search to confirm that not given as minor change on an existing SAR or CONSER serial record

34

The second condition (change in meaning/scope after first 5 words) is based on cataloger's judgment and not all catalogers may make the same decision. Be sure to search carefully to confirm that another cataloger hasn't already decided it is a minor change (reference on existing SAR or CONSER serial record) before creating a new SAR as a major change.

## “After 5 Words” Examples: Major

Recent research papers in physics

→ Recent research papers in physics & chemistry

How to care for your parents

→ How to care for your children

35

These two major change examples show first an expansion of scope of the resource and then a change of content of the resource.

## Major Change in Title: #3

- Change in the name of the corporate body (not just the issuing body) anywhere in the title **if** it is a different corporate body
  - **Cannot decide** without determining if the change in name requires a new NAR; a new NAR = a new SAR

36

For the last condition, the focus switches from the title of the series to the corporate body's name. If the NAR doesn't indicate if the different form of the body's name is a variant form or a change of name, then do research to answer that question about the body's name before doing any series authority work.

## “Different Corporate Name” Example

Dept. of Education bulletin  
→ Education Dept. bulletin

Separate NARs:

110 1\_ \$a \_\_\_\_ . \$b Dept. of Education

110 1\_ \$a \_\_\_\_ . \$b Education Dept.

Decision: major change; make new SAR.

37

This example shows that the different form in the series title is really a name change because there are two separate NARs; that information about the name means that the difference in the series titles is a major change.

## “Different Corporate Name” Example

Report of the Commerce Department  
→ Dept. of Commerce report

One NAR:

110 1\_ \$a \_\_\_\_ . \$b Commerce Dept.  
410 1\_ \$a \_\_\_\_ . \$b Dept. of Commerce

Decision: not a major change; update existing SAR.

38

This example shows that the different form in the series title is not a change in the name of the body because the different form is covered by a see reference on the one name authority record. So, the change in title is not a major change; the existing SAR is updated. Note that the forms of the two titles here are very similar to those on the previous slide; you can't make a decision for this difference based only on the form of the title.

## Minor Change Category i)

- Difference in the representation of a word or words anywhere in the title

Research paper  
vs. Research papers

Politics & labor unions  
vs. Politics and labour unions

Dept. study  
vs. Department study

RLP Society's report  
vs. RLP Society report

39

Let's take a quick look at each of the minor change categories in rule 21.2C2b. The category number on each slide is the sub-paragraph in that rule.

The first category is the substitution anywhere in the title of one form of a word with another form of the same word: singular/plural, symbols, alternate spelling, abbreviations, etc.

[NOTE: Generally, don't take time to read each example.]

## Minor Change Category ii)

- Addition, deletion, or change of articles, prepositions, or conjunctions anywhere in the title

Studies in government  
vs. Studies on government

Reports from colleges  
vs. Reports from the colleges

40

The second category relates to the change of “little” words anywhere in the title: articles, prepositions, or conjunctions.

## Minor Change Category iii)

- Difference involving name of the **same** corporate body/hierarchy **anywhere** in the title (e.g., addition, deletion, rearrangement, substitution)
  - Do necessary research and updating of NAR

41

The third category requires going beyond examining just the series title to checking the authority file for the name of the corporate body. If it is the same corporate body, it doesn't matter what the change is or where it occurs in the title. Update the NAR if appropriate.

## Category iii) Examples

AMA pediatric series  
*vs.* Pediatric series of the American Medical Association

Chess Society bulletin  
*vs.* Bulletin of the Chess Society

Study from the Dept. of Labor  
*vs.* Study  
[still issued by the Dept. of Labor]

42

These examples show some of the minor change possibilities for this category. At first glance, it would seem that such differences must be major changes because the titles look so different! However, they are minor because it is the name of the **same** body that is involved wherever it is or isn't in the title.

## Minor Change Category iv)

- Addition, deletion, or change of punctuation anywhere in the title
  - AACR2 rule 1.1B1 already allows cataloger to adjust punctuation when transcribing title

S.E.A. publication series  
vs. SEA publication series

43

This category is almost an artificial one because the cataloger is allowed, per AACR2 1.1B1, to adjust found punctuation when transcribing the title.

## Minor Change Category v)

- Different order of titles when **both**:
  - Title is given in more than one language or script in the chief source, **and**
  - Title chosen as title proper would still appear as a parallel title

44

This minor change category is helpful because publishers will often change the order of the series titles in different languages; sometimes the order is changed so that the first title in the list matches the language of the content of the issue.

## Category v) Examples

On ser. t.p. of v. 1 (content in English):

same series title in English

same series title in French

same series title in German

On ser. t.p. of v. 2 (content in French):

same series title in French

same series title in English

same series title in German

45

Here is one example of a series with the same series title in different language forms in a different order on a later volume. The English form of the series title would still be recorded as a parallel title on the analytic bibliographic record for that later volume.

## Minor Change Category vii)

- Two or more titles used on different issues of a serial according to a regular pattern
  - Includes situation when language of the the single series title varies according to the language of the text (per LCRI) – common occurrence for monographic series

46

The condition in the rule itself of a “regular” pattern occurs more often with non-analyzable serials. However, the LCRI allows a non-regular fluctuation also to be considered a minor change; this irregular occurrence is common for monographic series.

## Category vii) Examples

- v. 1 in French – series title only in French
- v. 2 in German – series title only in German
- v. 3 in German – series title only in German
- v. 4 in English – series title only in English
- v. 5 in French – series title only in French
- v. 6 in English – series title only in English

47

This example shows such a situation; it is different from category v) because there is only one language form of the series title on each volume.

## Minor Change Category ix)

- Addition, deletion, or rearrangement anywhere in the title of words that indicate the type of resource (e.g., “series,” “study,” “bulletin”)
  - VERY common for monographic series
  - Cautions:
    - word denoting frequency not “type of resource” word
    - change in the word itself is a major change (e.g., “series” to “journal”)

48

Last, but definitely not least, is the condition of the “type of resource” word being added, deleted, or given in a different position in the series title. This condition happens frequently, especially with short titles.

## Category ix) Examples

American culture  
vs. American culture series

Studies in geology  
vs. Geology studies

Collection Histoire et tradition  
vs. Histoire et tradition

49

You've seen such changes involving the "type of resource" word.

[NOTE: One non-English example is included. You might want to mention the type of resource word in other languages: "Serie," "Schriftenreihe," etc.]

## Major or Minor?

- If cannot decide if difference in title is major or minor, default decision = minor!
  - Hints:
    - Because AACR2 rule changed in 2002, consult records for similar titles created later than 2002;
    - Also check if CONSER has handled the change with successive entry serial bibliographic records

50

Some of the minor change categories in the rule changed in 2002. When deciding now if a change is major or minor, don't be guided by records created before that date. The fallback is to apply the default decision that the change is minor.

CONSER is the serial bibliographic component of the Program for Cooperative Cataloging. Participants are following the same major/minor rules and policies for the collected set bibliographic records for serials as catalogers follow when creating SARs. If a CONSER participant has already decided a new bibliographic record is needed for the change in title, you can follow that decision and create a new SAR. If a CONSER participant has given the changed form of title in a 246 field in the existing record, you can follow that decision and just add a 430 field to the SAR (a 246 field in the bibliographic record serves the same function as the 430 in the SAR). If you don't know how to identify a CONSER record, look for a serial bibliographic record with both an 010 field and an 042 field.

Are there any questions about major/minor title changes before we move on to the other reasons for creating a new SAR?

## Other Resources: Responsible Body in Heading Different?

- Consult NAR and/or do research to determine:
  - If different form is a variant of the same corporate body's name
  - If different corporate body is now responsible (may or may not be result of name change of the body)

51

Now that we've looked at the possible changes for a series title, the second condition for a possible new SAR is changes to the body's name in the heading. If the body's name is different on the resource being cataloged, consult the NAR and do any necessary research to determine if the new form is just a variant or if it represents a different body. Most of the time when the body's name is part of the heading, it is the parenthetical qualifier for the title main entry; in a few situations, the series may be entered under the name of the corporate body.

## If Separate NAR, New SAR

- Create/update NARs as necessary
- Create new SAR even if no change in title proper of series
  - Link two SARs with 5XX/675 fields

52

If a new NAR is needed because the different form isn't a variant, do that necessary NAR work and then create a new SAR. Link the two SARs.

## “Different Corporate Body” Examples

130 \_0 \$a Research paper (Society of Architects)  
530 \_0 \$w b \$a Research paper (Architects Society)

130 \_0 \$a Research paper (Architects Society)  
530 \_0 \$w a \$a Research paper (Society of Architects)

Later NAR:

110 2\_ \$a Architects Society  
510 2\_ \$w a \$a Society of Architects

53

This is an example of a new SAR created because the body’s name appearing in the heading changed.

## Other Resources: Change in Numbering (LCRI 1.6)?

- Create new SAR if unnumbered series becomes numbered and numbering begins with “1” (even if no change in title proper of series):

6 unnumbered issues published 2003-2004;  
next issue called “volume 1”

54

The third condition that can require a new SAR is related to numbering. If an unnumbered series suddenly has numbering which begins with “1,” it is considered to be a new resource requiring its own SAR. This concept was also covered in module nine.

[NOTE: Such a new SAR heading would cause a conflict if the title also didn’t change. For this particular type of conflict, LCRI 25.3B indicates that the LC/PCC practice is to add the qualifier “Unnumbered” to the existing heading and do bibliographic file maintenance; such an action is an exception to usual practice of adding qualifier to the new heading. If someone asks about the heading, give a quick summary or say you’ll discuss with that person separately later.]

## Other Resources: Physical Medium Different (LCRI 1.6)?

- Create new SAR:
  - If there are separate editions: do not link with 5XX/675 fields
  - If future volumes will only be in this different physical medium: link with 5XX/675 fields

55

The last condition requiring a new SAR is related to the physical medium. If you know that there are separate editions published in each physical medium or if you know that there has been a permanent change in the physical medium, create a new SAR. The LCRI has more information about each situation.

[NOTE: This condition, not very common yet, may occur more often in future as more publishers move from “print on paper” resources to digital resources.]

Questions about when to  
create new SAR?

56

Script: Do you have any questions about situations that require the creation of a new SAR?

## Changes: Not a New SAR

- Minor title change
- Addition or change of variant title
- Different responsible body if that body not in SAR 1XX field
- Change in non-corporate body qualifier
- Different publisher
- Some numbering changes
- Variation in physical medium

57

Now that we've looked at the four conditions requiring a new SAR, let's take a few minutes to consider each of the conditions when the appropriate action is to update the existing SAR instead of creating a new SAR. This slide is just a table of contents for the topics we'll consider next.

[NOTE: It may not be necessary to spend time listing or discussing the situations on this slide.]

## Different Title is a Minor Change

- Difference is one of those included in minor change categories in *AACR2* rule 21.2C2b
- Change occurs after the first 5 words (6 if initial article) and doesn't change the meaning or indicate a different scope
- Difference involves a variant form of the same body's name

58

The flip side of rule 21.2C2a for major changes is given here. You might later want to go back and review the earlier slides on major and minor title changes.

[NOTE: If there is enough time, you might want to paraphrase the three situations on the slide.]

## Other Resources: Minor Title Change

- Actions: update the existing SAR
  - Add 4XX for title proper from priority order source
  - Add 670 or give 667 note to justify usage in new 4XX

59

You handle a minor title change by updating the existing SAR: add a reference for the different title proper form and justify it with either a 670 citation or a 667 note.

[NOTE: This is same practice as for any change in the title proper of a multipart monograph. You may or may not want to mention that comparison depending upon the experience of the trainees.]

## “Minor Title Change” Examples

- 130 \_0 \$a Studies in government
- ⇒ 430 \_0 \$a Studies on government
- 670 \_\_ \$a \_\_\_\_\_, 1998 \$b ser. t.p. (Studies in government)
- ⇒ 670 \_\_ \$a \_\_\_\_\_, 2005 \$b ser. t.p. (Studies on government)

Alternative to second 670 above:  
667 \_\_ \$a Some issues have title: Studies on government.

60

This is an example of an SAR updated to show the minor change in the title proper of the series on a later issue. Some catalogers prefer to give a 667 field instead of a 670 citation; you don't need to give both.

## Impact: Minor Change in Bibliographic Record

- Give the new form of series title in the bibliographic record 4XX field
- If that series is traced, give the form from the SAR heading as the 8XX access point

490 1_ \$a Studies on government 830 _0 \$a Studies in government
--

61

When the different title is a minor change, two series fields will be necessary in the bibliographic record for a traced series. The found form on the resource being cataloged is given in the 4XX field; it will be the same form as that in a 4XX field in the SAR. The 8XX field will have the form from the SAR heading field.

“Studies on government” is a minor change from the heading form “Studies in government.” Both forms appear in the bibliographic record.

## Other Resources: Addition or Change of Variant Title

- Addition of or change in variant form of series title on non-priority order source
- Actions:
  - Add 4XX for variant form if important for identification
  - Add 670 to justify usage in 4XX – remember to give priority-order source usage, too (otherwise, it appears that the title has changed)

62

Accounting for a new or changed variant title is handled by adding a 4XX field if the form is important for identification of the resource. When giving the 670 citation, ensure that the priority order source usage is given in addition to the usage for the variant form.

[NOTE: This situation can be confusing without looking at an example. So, you might want to go ahead to next slide quickly and then return to this one.]

## “Variant Title” Example

130 \_0 \$a Mathematical concepts  
⇒ 430 \_0 \$a Concepts in mathematics  
670 \_\_ \$a \_\_\_\_\_, 2002 \$b t.p. (Mathematical concepts)  
⇒ 670 \_\_ \$a \_\_\_\_\_, 2005 \$b ser. t.p. (Mathematical concepts) t.p. (Concepts in mathematics)

63

This example shows the addition of a variant title on a later issue on a source other than the priority-order source; note that the usage from the priority-order source, here the series title page, is always included.

## Other Resources: Difference in Responsible Body

- If heading is a 130 and different name is for a different body
  - add a new 41X name/title reference in SAR

```
130 _0 $a Famous composers
410 2_ $a Music Education Association. $t Famous
      composers
410 2_ $a Music Lovers Society. $t Famous composers
```

64

If the responsible body changes but isn't present in the heading, then simply add another name/title reference to the existing SAR. A 670 field isn't required to justify the name/title reference.

## Other Resources: Difference in Responsible Body

- If the SAR has a 11X name/title or a 130 heading and the resource has a variant form of the name of that same responsible body,
  - Don't create a new SAR and don't update the existing SAR
  - Ensure that NAR has 41X field for the variant form

65

If the difference in the name of the corporate body is just a variant of the same body's name, then update the NAR rather than the SAR.

## Other Resources: Change in Qualifier

- Any difference in a non-corporate body qualifier:
  - Add 4XX with current form of qualifier if it aids identification (e.g., place of publication)
  - Addition of 670 or 667 field to note change in qualifier is possible but not required

66

Change in any qualifier other than a corporate body doesn't require a new SAR. Use cataloger's judgment when deciding if a reference with the changed qualifier would be helpful in identifying the resource. This concept is also covered in module 7 part 2.

## Example: 4XX for Different Qualifier

- 130 \_0 \$a Psychology research reports (Boston, Mass.)
- ⇒ 430 \_0 \$a Psychology research reports (Denver, Colo.)
- ⇒ 643 \_\_ \$a Denver \$b May Pub. Co. \$d 2005-  
643 \_\_ \$a Boston \$b Heyer Publishers \$d 2001-2004

67

In this situation, the decision was to include a reference with the current place of publication because someone searching for a current issue of the series might not otherwise realize that it is the same series as the one originally published in Boston.

## Other Resources: Different Publisher/Manufacturer

- If subsequent issues have different publisher or manufacturer
  - Ensure that it is the same resource and not a different resource
  - If the same resource, give information in 643 and/or 667 field(s)
  - Justification in a 670 field not required

68

As noted earlier, the name of the publisher/manufacturer may change or a different publisher/manufacturer may take over the series. If the different name doesn't apply to a different series with the same title, record the new publishing/manufacturing information in the SAR to ensure identification in the future and to avoid need for another cataloger to investigate. It is not necessary to justify the addition of publishing/manufacturing information.

[NOTE: You might want to refer people back to the slides on the 643 field.]

## Other Resources: Common Numbering Change (LCRI 1.6)

- Some scattered issues in numbered series lack numbering (publishing error)
  - Change 008 position 13 from “a” (numbered) to “c” (numbering varies)
  - Add 670 with “[lacks numbering]” in subfield \$b at the first occurrence

69

It is not uncommon for issues of a numbered series to lack numbering, usually as the result of publisher or printer error. Assume that the numbering will reappear and just change the 008 code to “c” for “numbering varies.” It is helpful to add a 670 for the first issue lacking numbering in case the numbering never reappears and further work is needed. This situation is also covered in module nine.

## Other Resources: Less Common Numbering Changes (LCRI 1.6)

- Numbered series renumbers with “1”
  - Add another 642 field
- Unnumbered series becomes numbered and starts next number after total number of issues already published
  - Change 008 position 13 from “b” (unnumbered) to “c” (numbering varies) & add 642 field

70

These two other numbering situations requiring updating of the existing SAR are less common for resources represented by SARs. More information is in LCRI 1.6. This situation is also covered in module nine.

[NOTE: Don't go into details of content on the slide unless there is extra time left in the session.]

## Other Resources: Variation in Physical Medium

- Physical medium will vary from issue to issue within the series or there isn't enough information to know what is likely to happen
  - Add explanation in a 667 field

667 \_\_ \$a Physical medium varies: some issues published only on CD-ROM, others only in microfiche.

71

If there is evidence that the physical medium will vary within a series or if there isn't enough information to know what is likely to happen, just update the existing SAR. Give information in a 667 note for the benefit of other catalogers.

## Remember:

- Updating SARs and creating new SARs as needed are VERY important tasks to enable identification of the resource as it changes over time

Otherwise: multiple SARs for one resource!

72

At times, it may be frustrating to keep changing existing SARs and creating new SARs. However, doing such work is vital for you and other catalogers to be able to find the correct SAR for the resource as it changes over time! Otherwise, there will be multiple SARs for the same resource!

Are there are questions before we move on to the exercise for this module?

## “Change in Series” Exercise

For each situation in the exercise, assume it is the same resource. Decide if you would:

- a) create a new SAR; or
- b) update the existing SAR.

Follow the instructions in the exercise about specific fields.

73

Here are the general instructions about the “change in series” exercise. See the specific instructions on the exercise sheets.

[NOTE: If you have time, you can ask attendees also to indicate what form would be in the 4XX field in the bibliographic record and if that field would be a 440 or a 490 with an 8XX series access point.]

# Exercises

74

## Summary

- How many SARs are made:
  - For changes in a multipart monograph over time?
  - For changes in a monographic series over time?
- What two fields usually link two SARs together?
- Name three types of minor title changes.
- Can the publisher/manufacturer of a series change? What happens to the SAR?
- What is the most common numbering change?

75

This final slide lists the most important topics from this module.

Changes over time:

Only 1 SAR for a multipart monograph no matter how many data elements change.

As many SARs as needed for a monographic series: depends upon the type of change.

5XX and 675 fields link two SARs together (sometimes a 670 will have the information needed to justify the see also reference).

List of minor title changes:

Yes, the publisher/manufacturer can change. But the first step is to check that it is the same resource with just a different publisher rather than another resource with the same title.

If multipart monograph, add 643 field until have three 643 fields; if another change, give info in 667 field.

If monographic series, same as for multipart monograph unless the publisher's name is used as the qualifier in the 1XX field; if used in the 1XX field, create a new SAR.

Most common numbering change is accidental omission of numbering on an issue of a numbered series. Assume that numbering will reappear and just change code in 008/13 to value "c."

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## Exercise 1: Changes in series

The label of the CD-ROM you're cataloging reads:

SOLAR SYSTEM  
[complete in 9 volumes]

Volume 3

The container has this publishing information:

Denver  
University of Denver Press

In your national bibliographic utility you find:

A multipart monograph SAR:

130 \_0 \$a Our solar system

642 \_\_ \$a v. 1 \$5 \_\_\_\_\_

643 \_\_ \$a Denver \$b University of Denver Press

Do you create a new SAR? If so, what is the heading and 5XX reference?

Or, do you update the existing SAR? If so, what do you add/change? (If giving a 670 field, just give subfield \$b information.)

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## Exercise 2: Changes in series

The series title page of the book you're cataloging reads:

Trends and Practices in Elementary Education

A series published by the Educators of America Society

In your national bibliographic utility you find:

An unnumbered monographic series SAR:

130 \_0 \$a Trends in elementary education

410 2\_ \$a Educators of America Society. \$t Trends in elementary  
education

643 \_\_\_ \$a Des Moines \$b Educators of America Society

Do you create a new SAR? If so, what is the heading and 5XX reference?

Or, do you update the existing SAR? If so, what do you add/change? (If giving a 670 field, just give subfield \$b information.)

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## Exercise 3: Changes in series

The title page of the book you're cataloging reads:

Mathematical Biology Studies  
Number 4

The title page of your book has this publishing information:

CLK Publishing Company  
Madison, Wisconsin

In your national bibliographic utility you find:

A numbered monographic series SAR:

130 \_0 \$a Mathematical biology study  
642 \_\_ \$a no. 2 \$5 \_\_\_\_\_  
643 \_\_ \$a Madison, Wis. \$b CLK Pub. Co.

Do you create a new SAR? If so, what is the heading and 5XX reference?

Or, do you update the existing SAR? If so, what do you add/change? (If giving a 670 field, just give subfield \$b information.)

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## Exercise 4: Changes in series

The cover of the book you're cataloging reads:

ABC Society Research Report  
Number 28

The title page of your book has this publishing information:

Seattle  
ABC Society Press

In your national bibliographic utility you find:

A numbered monographic series SAR:

130 \_0 \$a Research report of the ABC Society  
410 2\_ \$a ABC Society. \$t Research report of the ABC Society  
642 \_\_ \$a no. 1 \$5 \_\_\_\_\_  
643 \_\_ \$a Seattle \$b ABS Society Press

Do you create a new SAR? If so, what is the heading and 5XX reference?

Or, do you update the existing SAR? If so, what do you add/change? (If giving a 670 field, just give subfield \$b information.)

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## Exercise 5: Changes in series

The series t.p. of the book you're cataloging reads:

Another volume of "Plantagenet Kings"  
by Andrew James

The title page of your book has this information:

[analytic title]  
by Andrew James

London 2005  
ESL Publishers

In your national bibliographic utility you find:

An multipart monographic SAR:

```
100 1_ $a Philip, Allan. $t Plantagenet kings of England
643 __ $a London $b ESL Publishers
670 __ $a _____, 2005 $b _____
```

Do you create a new SAR? If so, what is the heading and 5XX reference?

Or, do you update the existing SAR? If so, what do you add/change? (If giving a 670 field, just give subfield \$b information.)

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## Exercise 6: Changes in series

The series t.p. of the book you're cataloging reads:

Anthropological Discoveries in Africa  
A series of the International Anthropology Society

The title page of your book has this publishing information:

New York  
EA Press -- 2005

In your national bibliographic utility you find:

A numbered monographic series SAR:

130 \_0 \$a Anthropological discoveries in Africa  
410 2\_ \$a International Anthropology Society. \$t Anthropological  
discoveries in Africa  
642 \_\_ \$a v. 1 \$5 \_\_\_\_  
643 \_\_ \$a Stockholm \$b Isaksson Press  
670 \_\_ \$a \_\_\_\_\_, 2001 \$b \_\_\_\_\_

Do you create a new SAR? If so, what is the heading and 5XX reference?

Or, do you update the existing SAR? If so, what do you add/change? (If giving a 670 field, just give subfield \$b information.)

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## Exercise 7: Changes in series

The cover of the book you're cataloging reads:

TECHNICAL REPORT No. 77  
Ross and Lowell Laboratory

The title page of your book has this publishing information:

Minneapolis  
Ross and Lowell Laboratory

In your national bibliographic utility you find:

A numbered monographic series SAR:

130 \_0 \$a Technical report (Ross Laboratory)  
410 2\_ \$a Ross Laboratory. \$t Technical report  
642 \_\_ \$a no. 14  
643 \_\_ \$a Minneapolis \$b Ross Laboratory

An NAR:

110 2\_ \$a Ross and Lowell Laboratory  
510 2\_ \$w a \$a Ross Laboratory

Do you create a new SAR? If so, what is the heading and 5XX reference?

Or, do you update the existing SAR? If so, what do you add/change? (If giving a 670 field, just give subfield \$b information.)

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## Exercise 8 Changes in series

The series t.p. of the book you're cataloging reads:

Elementary Linguistics

The title page of your book has this series information:

Elementary Linguistics Series For Beginners

The title page of your book has this publishing information:

L & L Press  
Atlanta -- 2005

In your national bibliographic utility you find:

An unnumbered monographic series SAR:

130 \_0 \$a Elementary linguistics series  
643 \_\_ \$a Atlanta \$b L & L Press

Do you create a new SAR? If so, what is the heading and 5XX reference?

Or, do you update the existing SAR? If so, what do you add/change? (If giving a 670 field, just give subfield \$b information.)

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## Exercise 9: Changes in series

The series t.p. of the book you're cataloging reads:

Essays and Studies in French  
and Italian Literature

The title page of your book has this publishing information:

Los Angeles  
University Press  
2005

In your national bibliographic utility you find:

An unnumbered monographic series SAR:

130 \_0 \$a Essays and studies in French literature  
643 \_\_ \$a Los Angeles \$b University Press

Do you create a new SAR? If so, what is the heading and 5XX reference?

Or, do you update the existing SAR? If so, what do you add/change? (If giving a 670 field, just give subfield \$b information.)

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## Exercise 10: Changes in series

The map you're cataloging reads:

Lakes & rivers in North America

The map has this publishing information:

Chicago  
Hanson Map Publishers

In your national bibliographic utility you find:

A numbered monographic series SAR:

130 \_0 \$a Lakes and rivers of North America  
643 \_\_ \$a Chicago \$b Hanson Map Publishers

Do you create a new SAR? If so, what is the heading and 5XX reference?

Or, do you update the existing SAR? If so, what do you add/change? (If giving a 670 field, just give subfield \$b information.)

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## Module 3:

### Exercise 1 Answers: a

- a) What is the established form of this series access point?
- Applied mathematics series  
(Washington, D.C.)

## Module 3:

### Exercise 1 Answers: b

- b) What non-established forms are given as cross-references to it?
- National Bureau of Standards applied mathematics series
  - United States. \$b National Bureau of Standards. \$t Applied mathematics series

## Module 3:

### Exercise 1 Answers: c

c) Which MARC field contains the series publisher information?

- 643

## Module 3:

### Exercise 1 Answers: d

d) What information is conveyed in the 642 field?

- A series numbering example

## Module 3: Exercise 1 Answers: e

- e) What is the meaning of subfield \$5 in fields 642, 644, 645, and 646?
- The subfield contains the code for the institution to which the practice decision applies;
  - DLC is the code for the Library of Congress (DPCC, not present in this example, is the code for the Program for Cooperative Cataloging)

## Module 3:

### Exercise 1 Answers: f

f) What do the codes in fields 644, 645, and 646 tell you?

- 644 = analysis decision: “f” indicates that this series is analyzed in full
- 645 = tracing decision: “t” indicates that this series is traced
- 646 = classification decision: “c” indicates that this series is classified as a collection

## Module 3:

### Exercise 1 Answers: g

g) What is the relationship between the 050 and 646 field?

- The 646 field conveys that LC's practice is to classify the volumes in this series as a collection, and the 050 provides the classification number for the collected set

## Module 3:

### Exercise 1 Answers: h

h) What type of information is given in the 670 fields?

- The source and form(s) of the series authority data

## Module 3: Exercise 1 Answers: i

i) What do the codes in 008 positions 12 and 13 mean?

- 008/12 indicates the type of series (“a” = monographic series)
- 008/13 indicates whether the series is numbered, unnumbered, or numbering varies (“a” = numbered)

**Module 3:**  
**Exercise 1 Answers: j**

j) What is the relationship between the 008/13 and the 642 fields?

- 008/13 “a” indicates that the series is numbered, and 642 provides an example of the numbering designation

## Module 3: Exercise 2 Answer

245 04 \$a The Kurdish question and the 2003  
Iraqi war / \$c edited by Mohammed M.A.  
Ahmed and Michael M. Gunter.

260 \_\_ \$a Costa Mesa, Calif. : \$b Mazda,  
\$c 2005.

**440 \_0 \$a Kurdish studies series ; \$v no. 5**

Since both the form of the series title and the form of series numbering on the item matched those in the SAR, the series title and numbering are transcribed into the 440 field in the bibliographic record.

440 is used instead of 490 + 830.

[NOTE: AACR2 appendix B gives us the option of abbreviating certain items. Even though the word “number” is not abbreviated on the item, but it is abbreviated in the series authority record, this still constitutes a match since we can abbreviate things. The word number would also be abbreviated in the bibliographic record \$v as well]

## Module 3: Exercise 3 Answer

100 1\_ \$a Kirby, Robion C., \$d 1938-

245 10 \$a Mathematical triangulations /  
\$c by Robion Kirby.

260 \_\_ \$a Washington, D.C. \$b National Bureau of Standards, \$c  
c2002.

**490 1\_ \$a Applied mathematics series ; \$v 22**

**830 \_0 \$a Applied mathematics series (Washington, D.C.) ; \$v  
22.**

In this case, the form of series title on the item differs from the established form in the series authority record.

The publisher and place of publication on the item become important information for identifying the correct series title from an list of several series with otherwise identical titles. The established form includes a qualifier with the place of publication in parentheses, in order to distinguish this series from the others with the same title.

The form of the series title as it appears on the item is transcribed into a 490 field with first indicator "1," and the established form is given in an 830 field.

## Module 7.1: Exercise 1 Answers

- For resources #A-#C, fill out the following on each answer sheet:
  - Multipart monograph or monographic series?
  - Bibliographic record:
    - 4\_\_ field
    - 8\_\_ field
  - Series authority record:
    - 1\_\_ field

In the first exercise for this session, you will be transcribing the series statement and then deciding on the choice and form of the controlled series access point. Determining if the resource is a multipart monograph or a monographic series will be important in determining the choice of the access point. So, on your answer sheets for the three resources, fill out the parts of the answer sheet listed on this slide. The information about the items follows on the first three pages. The answer sheets to fill out follow that.

[NOTE: In this section participants are asked only to fill out the parts of the answer sheets listed above. While the other areas are given on the answer sheets they will be filled in later in additional parts of the exercises]

## Module 7.1: Resource #A Answers

Monographic series

Bibliographic record:

440 \_0 \$a Library of American composers

Series authority record:

130 \_0 \$a Library of American composers

The series is a monographic series because there is no indication that the series has a finite end. Because this monographic series doesn't fit any of the corporate categories, the access point is the series title. The series statement can be tagged as a 440 field.

## Module 7.1: Resource #B Answers

Multipart monograph

Bibliographic record:

490 1\_ \$a The 10 greatest explorers ; \$v v. 2

800 1\_ \$a Allensby, Carole, \$d 1950- \$t 10  
greatest explorers; \$v v. 2.

Series authority record:

100 1\_ \$a Allensby, Carole, \$d 1950- \$t 10  
greatest explorers

This series is a multipart monograph because there are going to be volumes on ten explorers in the set. Because Carole Allensby appears to be the author for the entire set, the controlled series access point is her name in its AACR2 form plus the series title. Note the MARC tagging in the bibliographic record.

[NOTE: Attendees might have questions about the subfield \$v information because it is not covered in this session.]

## Module 7.1: Resource #C (1) Answers

Monographic series

Bibliographic record:

490 1\_ \$a Research paper / International Institute  
for Peace, \$x 2424-4848 ; \$v v. 1 = \$a  
Cuaderno / Instituto Internacional de la Paz  
; \$v no. 1

830 \_0 \$a Research paper (\_\_\_\_\_); \$v v. 1.

*Note:* Statements of responsibility not required

This resource is declared to be a monographic series because there is no evidence that there is a finite end planned. The series statement has more data elements than the other two resources in this exercise; note, however, that the statements of responsibility are optional in a series statement. The series access point does not begin with the name of the institute because the series consists of research, not administrative matters.

## Module 7.1: Resource #C (2) Answers

Series authority record:

130 \_0 \$a Research paper (\_\_\_\_\_)

If your library wants unique access points, you would be adding a qualifier to the series title in the SAR 130 field. The choice of qualifiers will be covered in session 10.

Are there any more questions about this exercise or about controlled series access points?

## Module 7.1: Exercise 2 Answers

- For resources #A-#C, fill out the following on the same answer sheets used in Exercise 1:
  - Series authority record:
    - 4\_\_ field(s) as appropriate
    - 670 field

For the second exercise in this session, go back to your answer sheets for the first exercise and give all the appropriate see references in 4XX fields and give the 670 field.

[NOTE: Participants are asked to turn back in their manuals to the exercise and answer sheets. In this section participants are asked only to fill out the parts of the answer sheets listed above. While the other areas are given on the answer sheets they will be filled in later in additional parts of the exercises]

## Module 7.1: Resource #A Answers

670 \_\_ \$a Aaron Copland's music, c2005: \$b jewel  
box (Library of American composers)

*Note:* SAR 670 may have additional data elements  
and different punctuation, e.g.:

670 \_\_ \$a Copland, Aaron, 1900-1990. Aaron  
Copland's music [SR], c2005 \$b jewel box  
(Library of American composers)

There are no references to give for this SAR: no alternate approach, no variant forms, no alternate searching forms.

The 670 field must have at least the data elements shown in first version of the 670 shown here but it can have any of the optional elements shown in the second version. You don't need to use the style or punctuation shown in the answer.

## Module 7.1: Resource #B (1) Answers

430 \_0 \$a 10 greatest explorers

400 1\_ \$a Allensby, Carole, \$d 1950- \$t Great explorers

400 1\_ \$a Allensby, Carole, \$d 1950- \$t Ten greatest explorers

670 \_\_\_ \$a Leif Ericsson, 2006: \$b ser. t.p. (The 10 greatest explorers) cover (Great explorers)

The first reference is the alternate approach reference: when the access point is a name + title, give a reference from title.

The second reference is for the form on the cover; it is given in the form of name + variant form because AACR2 26.1F1 says to give the reference in the form it would be if it were the heading.

The third reference is for an alternate searching form of the access point: replacing the numeral "10" with the word.

The 670 must have at least the data elements shown here. Note that there is no usage for the third reference because none is required for alternate searching references.

## Module 7.1: Resource #B (2) Answers

*Note:* SAR 670 may have additional data elements and a different style, e.g.:

670 \_\_ \$a Allensby, Carole, 1950- Leif Ericsson,  
2006 \$b series t.p. (The 10 greatest  
explorers ; v. 2) cover p. 1 (Great explorers ;  
v. 2)

This slide shows another version of the previous 670 field with more data elements.

## Module 7.1: Resource #C (1) Answers

430 \_0 \$a Cuaderno (\_\_\_\_\_)

410 2\_ \$a International Institute for Peace. \$t Research  
paper

430 \_0 \$a IIP research paper

430 \_0 \$a Cuaderno del IIP

Here are the references for the third resource:

The first reference is for the series access point in the other language form on the priority-order source. Adding a qualifier to make the reference unique depends upon your library's policy.

The second reference is for the alternate approach. When the series access point is the title or a uniform title and there is an issuing body, give a name/title reference.

The third and fourth references are for variant forms of the title found on another source.

## Module 7.1: Resource #C (2) Answers

670 \_\_ \$a The role of volunteer organizations, c2006: \$b  
t.p. (Research paper = Cuaderno) cover p. 4 (IIP  
research paper; Cuaderno del IIP)

*Note:* SAR 670 may have additional data elements  
and a different style, e.g.:

670 \_\_ \$a Martinez, Pablo, 1972- The role of volunteer  
organizations, c2006 \$b title p. (Research paper /  
International Institute for Peace = Cuaderno /  
Instituto Internacional de la Paz) cover p. 4 (IIP  
research paper; v. 1 = Cuaderno del IIP ; no. 1)  
t.p. verso (ISSN 2424-4848)

This slide shows two versions of the 670 field: the first with the required elements and the second with optional elements.

Are there any questions about this exercise or about see references and the 670 field?

## Module 7.1: Exercise 3 Answers

- For resources #A-#C, fill out the following on the same answer sheets as used in Exercise 1:
  - Bibliographic record:
    - 260 field
  - Series authority record:
    - 020 field as appropriate
    - 022 field as appropriate
    - 643 field

For the last exercise in this session, go back to your answer sheets for the first exercise and complete the bibliographic record and the series authority record with the appropriate fields listed here.

[NOTE: Participants are asked to turn back in their manuals to the exercise and answer sheets. In this section participants are asked only to fill out the parts of the answer sheets listed above.]

## Module 7.1: Resource #A Answers

Bibliographic record:

260 \_\_ \$a Detroit : \$b American Music Corp.,  
\$c c2005.

Series authority record:

643 \_\_ \$a Detroit \$b American Music Corp.

The 643 field is the same as subfields \$a and \$b of the bibliographic record 260 field.

No ISSN was given for this monographic series.

## Module 7.1: Resource #B Answers

Bibliographic record:

260 \_\_ \$a Chicago : \$b Dominski Pub. Co. ; \$a  
Richmond, VA : \$b JD Publishers, \$c 2006.

Series authority record:

020 \_\_ \$a 0201853922 (set)

643 \_\_ \$a Chicago \$b Dominski Pub. Co. \$a  
Richmond, VA \$b JD Publishers

The 643 field has the same multiple subfields \$a and \$b as in the bibliographic record 260 field.

The ISBN for the set is given in the 020 field.

## Module 7.1: Resource #C Answers

Bibliographic record:

260 \_\_ \$a Miami : \$b Century Pub. Co., \$c c2006.

Series authority record:

022 \_\_ \$a 2424-4848

643 \_\_ \$a Miami \$b Century Pub. Co.

The 643 field is the same as subfields \$a and \$b of the bibliographic record 260 field.

The ISSN for the monographic series is given in the 022 field.

**Module 11:  
Exercise #1 Answers**

**Numbered multipart monograph SAR:**

130 \_0 \$a Our solar system

**Action: update existing SAR.**

Add: 430 \_0 \$a Solar system

670 \_0 \$a \_\_\_\_\_ \$b label (Solar  
system)

Explanations are given for each exercise. However, instead of just giving the explanation to the attendees, consider asking them to volunteer to say if a new SAR is made or not and why.

Explanation of answer: Because the resource is a multipart monograph, any change is recorded on the existing SAR. The change in the title proper is given as a 430 field with a 670 citation to justify it.

Extra question about bibliographic record:

490 1\_ \$a Solar system

830 \_0 \$a Our solar system

**Module 11:  
Exercise #2 Answers**

**Unnumbered monographic series SAR:**

130 \_0 \$a Trends in elementary education

**Actions: create new SAR.**

130 \_0 \$a Trends and practices in elementary  
education

530 \_0 \$a Trends in elementary education

675 \_\_ \$a . . .

**Also: add 530/675 to existing SAR.**

Explanation of answer: Because the change in the title proper occurs within the first 5 words and doesn't fit any of the categories of minor changes, the change is major and requires a new SAR. Because the monographic series is unnumbered, subfield \$w is not required in the 530 field.

Extra question about bibliographic record:

440 \_0 \$a Trends and practices in elementary education

**Module 11:  
Exercise #3 Answers**

Numbered monographic series SAR:

130 \_0 \$a Mathematical biology study

Action: update existing SAR.

Add: 430 \_0 \$a Mathematical biology studies

670 \_\_ \$a \_\_\_\_\_ \$b t.p. (Mathematical  
biology studies)

Explanation of answer: Because the difference is in the representation of a word (study vs. studies), the change is a minor one; the new title proper is given as a 430 field with a 670 citation to justify it.

Extra question about bibliographic record:

490 1\_ \$a Mathematical biology studies

830 \_0 \$a Mathematical biology study.

**Module 11:  
Exercise #4 Answers**

Numbered monographic series SAR:

130 \_0 \$a Research report of the ABC Society

Action: update existing SAR.

Add: 430 \_0 \$a ABC Society research report

670 \_\_ \$a \_\_\_\_\_ \$b cover (ABC Society  
research report)

Explanation of answer: Because the difference is in the position of the same body in the title, the change is a minor one; the new title proper is given as a 430 field with a 670 citation to justify it.

Extra question about bibliographic record:

490 1\_ \$a ABC Society research report

830 \_0 \$a Research report of the ABC Society

**Module 11:  
Exercise #5 Answers**

**Unnumbered multipart monograph SAR:**

100 1\_ \$a Philip, Allan. \$t Plantagenet kings  
of England

**Action: update existing SAR.**

Add: 400 1\_ \$a James, Andrew. \$t Plantagenet  
kings of England

670 \_\_\_ \$a James, A. \_\_\_\_\_ \$b ser. t.p.  
(Plantagenet kings of England)

Explanation of answer: Because the resource is a multipart monograph, any change is recorded on the existing SAR. The change in the responsible person is given as a 400 name/title reference with a 670 citation to justify it. The trainees were told only to give a 670 subfield \$b; if exception had been made for exercise \$5 to give subfield \$a, it might have been a “clue” to the appropriate action.

Extra question about bibliographic record:

490 1\_ \$a Plantagenet kings of England

800 1\_ \$a Philip, Allan. \$t Plantagenet kings of England.

## Module 11: Exercise #6 Answers

### Numbered monographic series SAR:

130 \_0 \$a Anthropological discoveries in Africa

Action: update existing SAR.

Add: 643 \_\_ \$a New York \$b EA Press \$d <2005>

Change: 643 \_\_ \$a Stockholm \$b Isaksson Press \$d  
<2001>

Change 008/13 from “a” to “c”

Explanation of answer: The title proper hasn't changed but the publisher is different and no numbering is present. Because the issuing body given in the SAR is the issuing body on the volume and because the title hasn't changed, the existing SAR is updated to add a 643 field for the current publisher, to include subfield \$d in both 643 fields (using the publication date from the first 670 field in the SAR and from the book in hand), and to change the fixed field coding for the numbering status from “a” for “numbered” to “c” for “numbering varies.” It is assumed that the absence of numbering is just an oversight and that the numbering will return unless there is explicit evidence that the series will not be numbered in the future.

Extra question about bibliographic record:

440 \_0 \$a Anthropological discoveries in Africa

**Module 11:  
Exercise #7 Answers**

**Numbered monographic series SAR:**

130 \_0 \$a Technical report (Ross Laboratory)

**Actions: create new SAR.**

130 \_0 \$a Technical report (Ross and Lowell  
Laboratory)

530 \_0 \$w a \$a Technical report (Ross Laboratory)

675 \_\_ \$a . . .

**Also, add 530/675 to existing SAR.**

Explanation of answer: Because the responsible body given as a qualifier in the heading has changed its name (per the evidence in the NAR), a new SAR is created. When the monographic series is numbered, subfield \$w is included in the 530 field.

Extra question about bibliographic record:

490 1\_ \$a Technical report

830 \_0 \$a Technical report (Ross and Lowell Laboratory)

## Module 11: Exercise #8 Answers

Unnumbered monographic series SAR:

130 \_0 \$a Elementary linguistics series

**Action: update existing SAR.**

Add: 430 \_0 \$a Elementary linguistics

430 \_0 \$a Elementary linguistics series for  
beginners

670 \_\_ \$a \_\_\_\_\_ \$b ser. t.p. (Elementary  
linguistics) t.p. (Elementary linguistics  
series for beginners)

Explanation of answer: Because the difference is the absence of the “type of resource” word on the series t.p. (the priority-order source in the volume because a series title page outranks the analytic title page), the change is a minor one; the new title proper is given as a 430 field with a 670 citation to justify it. A 430 field is also given for the variant form of the series title on the analytic title page; that usage is also included in the new 670 field.

Extra question about bibliographic record:

490 1\_ \$a Elementary linguistics

830 \_0 \$a Elementary linguistics series.

**Module 11:  
Exercise #9 Answers**

**Unnumbered monographic series SAR:**

130 \_0 \$a Essays and studies in French literature

**Actions: (a) create new SAR:**

130 \_0 \$a Essays and studies in French and Italian  
literature

530 \_0 \$a Essays and studies in French literature

675 \_\_ \$a . . .

**(b) add 530/675 to existing SAR.**

Explanation of answer: Even though the first 5 words have not changed, it is the cataloging judgment of the person who created the exercise that the later words in the title indicate a change in the scope of the series; so, a new SAR is created for this major change in title. When the monographic series is unnumbered, subfield \$w is not required in the 530 field.

Extra question about bibliographic record:

440 \_0 \$a Essays and studies in French literature

**Module 11:  
Exercise #10 Answers**

Unnumbered monographic series SAR:

130 \_0 \$a Lakes and rivers of North America

Action: update existing SAR.

Add: 430 \_0 \$a Lakes & rivers in North America

670 \_\_ \$a \_\_\_\_\_ \$b panel (Lakes & rivers  
in North America)

Explanation of answer: Because the two differences are the substitution of the ampersand for the word “and” and the change of preposition from “of” to “in,” the difference in title is a minor change; the new title proper is given as a 430 field with a 670 citation to justify it. Multiple minor changes do not equal a major change!

Extra question about bibliographic record:

490 1\_ \$a Lakes & rivers in North America

830 \_0 \$a Lakes and rivers of North America.

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## APPENDIX A

### Selected MARC 21 Content Designation for Series Authority Records

#### **008 – Fixed-length data elements**

##### **008/06 : Direct or Indirect Geographic Subdivision**

n Not applicable

##### **008/09 : Kind of Record**

a Established heading  
g Reference record

##### **008/10 : Descriptive Cataloging Rules**

c AACR2

##### **008/11 : Subject Heading System / Thesaurus**

a Library of Congress Subject Headings (code “a” if the name can be used as a subject)  
n Not applicable (code “n” if the name cannot be used as a subject, as with some names of jurisdictions)

##### **008/12 : Type of Series**

a Monographic series  
b Multipart item  
c Series-like phrase

##### **008/13 : Numbered or Unnumbered Series**

a Numbered  
b Unnumbered  
c Numbering varies

##### **008/14 : Heading Use—Main or Added Entry**

a Appropriate for use as a main or added entry in a bibliographic record

##### **008/15 : Heading Use—Subject Added Entry**

a Appropriate (if the name can be used as a subject)  
b Not appropriate (used if the name cannot be used as a subject)

##### **008/16 : Heading Use—Series Added Entry**

a Appropriate

##### **008/17 : Type of Subject Subdivision**

n Not applicable

##### **008/28 : Type of Government Agency**

| No attempt to code (this is not coded in NACO practice)

**008/29 : Reference Evaluation**

- a Tracings are consistent with the heading
- n Not applicable (if there are no 4XX or 5XX reference tracings)

**008/32 : Undifferentiated Personal Name**

- a Differentiated personal name
- b Undifferentiated personal name
- n Not applicable

**008/33 : Level of Establishment**

- a Fully established
- c Provisional

**008/39 : Cataloging Source**

- \_ National bibliographic agency (e.g., Library of Congress)
- c Cooperative cataloging program
- d Other

**Variable data fields****010 : Library of Congress Control Number**

- First indicator: blank
- Second indicator: blank
- \$a LC/NACO control number
- \$z Canceled/invalid LC control number

**040 : Cataloging Source**

- First indicator: blank
- Second indicator: blank
- \$a MARC 21 symbol/code of original cataloging agency
- \$b language of the catalog for which the record is intended (use code from MARC code list, e.g., “eng” for English)
- \$c MARC 21 symbol/code of transcribing agency
- \$d MARC 21 symbol/code of modifying agency

**050 : LC Classification**

- First indicator: blank
- Second indicator: Source of call number: 0 = Assigned by LC; 4 = Assigned by agency other than LC
- \$a Classification number element—single number or beginning of a span
- \$b Classification number element—ending number of a span
- \$c Explanatory term

**082 : Dewey Decimal Call Number**

First indicator: Type of edition: 0 = Full; 1 = Abridged

Second indicator: Source of call number: 0 = Assigned by LC; 4 = Assigned by agency other than LC

\$a Classification number

\$2 Edition number of DDC

**1XX : Established Heading**

100 : Heading—Personal Name (and uniform title with associated personal name)

First indicator: 0 – forename; 1 – surname.

Second indicator: blank

110 : Heading—Corporate Name (and uniform title with associated corporate name)

First indicator: 1 – jurisdiction name; 2 – other name in direct order

Second indicator: blank

111 : Heading—Meeting Name (and uniform title with associated meeting name)

First indicator: 2 – name in direct order

Second indicator: blank

130 : Heading—Uniform Title (without associated personal or corporate name)

First indicator: blank

Second indicator: 0-9 (nonfiling characters)

*See below 5XX for subfield definitions*

**4XX : See From / UF (Used For) Tracings**

400 : See From Tracing—Personal Name (and uniform title with associated personal name)

First indicator: 0 – forename; 1 – surname.

Second indicator: blank

410 : See From Tracing—Corporate Name (and uniform title with associated corporate name)

First indicator: 1 – jurisdiction name; 2 – other name in direct order

Second indicator: blank

411 : See From Tracing—Meeting Name (and uniform title with associated meeting name)

First indicator: 2 – name in direct order

Second indicator: blank

430 : See From Tracing—Uniform Title (without associated personal or corporate name)

First indicator: blank

Second indicator: 0-9 (nonfiling characters)

*See below 5XX for subfield definitions*

**5XX : See Also From Tracings**

500 : See Also From Tracing—Personal Name (and uniform title with associated personal name)

First indicator: 0 – forename; 1 – surname.

- Second indicator: blank
- 510 : See Also From Tracing—Corporate Name (and uniform title with associated corporate name)  
 First indicator: 1 – jurisdiction name; 2 – other name in direct order  
 Second indicator: blank
- 511 : See Also From Tracing—Meeting Name (and uniform title with associated meeting name)  
 First indicator: 2 – name in direct order  
 Second indicator: blank
- 530 : See Also From Tracing—Uniform Title (without associated personal or corporate name)  
 First indicator: blank  
 Second indicator: 0-9 (nonfiling characters)

### **1XX, 4XX, 5XX subfields**

#### **X00 : Subfields**

- \$a – personal name (including surname and/or forename)
- \$d – dates associated with name
- \$q – fuller form of name
- The following subfields are used with name/title uniform titles*
- \$f – date of work
- \$k – form (used for “Selections” as part of a UT for an individual work)
- \$l – language (of translation)
- \$n – number of part or section of a work
- \$p – name of part or section of a work
- \$t – title

#### **X10 : Subfields**

- \$a – Corporate name
- \$b – Subordinate unit
- The following subfields are used with meeting names entered subordinately*
- \$c – Location of meeting
- \$d – Date of meeting
- \$n – Number of meeting
- The following subfields are used with name/title uniform titles*
- \$f – date of work
- \$k – form (used for “Selections” as part of a UT for an individual work)
- \$l – language (of translation)
- \$n – number of part or section of a work
- \$p – name of part or section of a work
- \$t – title

#### **X11 : Subfields**

- \$a – Meeting name
- \$c – Location of meeting

\$d – Date of meeting

\$e – Subordinate unit

\$n – Number of meeting

*The following subfields are used with name/title uniform titles*

\$f – date of work

\$k – form (used for “Selections” as part of a UT for an individual work)

\$l – language (of translation)

\$n – number of part or section of a work

\$p – name of part or section of a work

\$t – title

### **X30 : Subfields**

\$a – uniform title

\$f – date of work

\$k – form (used for “Selections” as part of a UT for an individual work)

\$l – language (of translation)

\$n – number of part or section of a work

\$p – name of part or section of a work

### **5XX subfields : in addition to the above,**

\$w – control subfield

Position 1 (also called byte 0) – Special relationship to the entity represented in the 1XX field:

a – earlier heading

b – later heading

### **640 : Dates of Publication and/or Sequential Designation**

First indicator: 0 = formatted style; 1 = unformatted style

Second indicator: blank

\$a - Dates of publication and/or sequential designation

\$z – Source of information

### **641 : Series Numbering Peculiarities**

First indicator: blank

Second indicator: blank

\$a - Dates of publication and/or sequential designation

\$z – Source of information

### **642 : Series Numbering Example**

First indicator: 0 blank

Second indicator: blank

\$a - Dates of publication and/or sequential designation

\$d - Volumes/dates to which series numbering example applies

\$5 – Institution to which field applies

**643 : Series Place and Publisher/Issuing Body**

First indicator: 0 blank

Second indicator: blank

\$a – Place

\$b - Publisher/issuing body

\$d - Volumes/dates to which place and publisher/issuing body apply

**644 : Series Analysis Practice**

First indicator: 0 blank

Second indicator: blank

\$a - Series analysis practice

f - Analyzed in full

p - Analyzed in part

n – Not Analyzed

\$b - Exceptions to analysis practice

\$d - Volumes/dates to which series numbering example applies

\$5 – Institution to which field applies

**645 : Series Tracing Practice**

First indicator: 0 blank

Second indicator: blank

\$a - Series tracing practice

t - Traced as a series added entry

n – Not Traced as a series added entry

\$d - Volumes/dates to which series numbering example applies

\$5 – Institution to which field applies

**646 : Series Classification Practice**

First indicator: 0 blank

Second indicator: blank

\$a - Series classification practice

c - Volumes are classified as a collection

m – Volumes are classified with main or other series

s - Volumes are classified separately

\$d - Volumes/dates to which series numbering example applies

\$5 – Institution to which field applies

**667 : Nonpublic General Note**

First indicator: blank

Second indicator: blank

\$a - note

**670 : Source Data Found**

First indicator: blank

Second indicator: blank

\$a – Source citation

\$b – Information found

**675 : Source Data Not Found**

First indicator: blank

Second indicator: blank

\$a – source citation

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## APPENDIX B

### Bibliography

#### Books and Periodicals: General

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Furrie, Betty. *Understanding MARC Bibliographic: Machine-Readable Cataloging*. 7<sup>th</sup> ed. Washington, D.C.: Cataloging Distribution Service, 2003.

*Library of Congress Rule Interpretations*. 2nd ed. Washington, D.C.: Cataloging Distribution Service, 1989. 2v. (loose-leaf).

*MARC 21 Concise Formats*. 2003 ed. Washington, D.C.: Cataloging Distribution Service, 2003.

*MARC 21 Format for Authority Data*. 1999 ed. Washington, D.C.: Cataloging Distribution Service, 1999. 2v. (loose-leaf)

*MARC 21 Format for Bibliographic Data*. 1999 ed. Washington, D.C.: Cataloging Distribution Service, 1999. 2v. (loose-leaf)

Maxwell, Robert L. *Maxwell's Guide to Authority Work*. Chicago, Ill. : American Library Association, 2002.

Taylor, Arlene G. *The Organization of Information*. 2nd ed. Westport, Conn.: Libraries Unlimited, 2004.

*Understanding MARC Authority Records: Machine-Readable Cataloging*. Washington, D.C.: Cataloging distribution Service, 2004.

#### Online Resources

*Cataloger's Desktop*. Washington, D.C.: Cataloging Distribution Service, 1994. Available by subscription, CD-ROM or Web version. Updated quarterly. ISSN 1073-4929.

Also available as CD-ROM.

Includes several tools used in this workshop: *AACR2*, *LCRIs*, *MARC Formats*, *NACO Participants' Manual*

*Classification Web*. Available by subscription. See <http://classweb.loc.gov>

*Library of Congress Authorities.* <http://authorities.loc.gov>

*Library of Congress Online Catalog.* <http://catalog.loc.gov>

MARC Standards. <http://lcweb.loc.gov/marc>

NACO (from the PCC home page). <http://www.loc.gov/catdir/pcc/naco/naco.html>

NACO Participants' Manual. <http://www.loc.gov/catdir/pcc/naco/npm2ed.pdf>

## APPENDIX C

### Exercise Answers

#### Module 3:

#### Exercise 1 Answers: a

- a) What is the established form of this series access point?
- Applied mathematics series  
(Washington, D.C.)

#### Module 3:

#### Exercise 1 Answers: b

- b) What non-established forms are given as cross-references to it?
- National Bureau of Standards applied mathematics series
  - United States. \$b National Bureau of Standards. \$t Applied mathematics series

### Module 3:

#### Exercise 1 Answers: c

c) Which MARC field contains the series publisher information?

- 643

### Module 3:

#### Exercise 1 Answers: d

d) What information is conveyed in the 642 field?

- A series numbering example

## Module 3: Exercise 1 Answers: e

- e) What is the meaning of subfield \$5 in fields 642, 644, 645, and 646?
- The subfield contains the code for the institution to which the practice decision applies;
  - DLC is the code for the Library of Congress (DPCC, not present in this example, is the code for the Program for Cooperative Cataloging)

## Module 3: Exercise 1 Answers: f

- f) What do the codes in fields 644, 645, and 646 tell you?
- 644 = analysis decision: “f” indicates that this series is analyzed in full
  - 645 = tracing decision: “t” indicates that this series is traced
  - 646 = classification decision: “c” indicates that this series is classified as a collection

### Module 3:

#### Exercise 1 Answers: g

g) What is the relationship between the 050 and 646 field?

- The 646 field conveys that LC's practice is to classify the volumes in this series as a collection, and the 050 provides the classification number for the collected set

### Module 3:

#### Exercise 1 Answers: h

h) What type of information is given in the 670 fields?

- The source and form(s) of the series authority data

### Module 3: Exercise 1 Answers: i

- i) What do the codes in 008 positions 12 and 13 mean?
- 008/12 indicates the type of series (“a” = monographic series)
  - 008/13 indicates whether the series is numbered, unnumbered, or numbering varies (“a” = numbered)

### Module 3: Exercise 1 Answers: j

- j) What is the relationship between the 008/13 and the 642 fields?
- 008/13 “a” indicates that the series is numbered, and 642 provides an example of the numbering designation

## Module 3: Exercise 2 Answer

245 04 \$a The Kurdish question and the 2003  
Iraqi war / \$c edited by Mohammed M.A.  
Ahmed and Michael M. Gunter.

260 \_\_ \$a Costa Mesa, Calif. : \$b Mazda,  
\$c 2005.

**440 \_0 \$a Kurdish studies series ; \$v no. 5**

## Module 3: Exercise 3 Answer

100 1\_ \$a Kirby, Robion C., \$d 1938-

245 10 \$a Mathematical triangulations /  
\$c by Robion Kirby.

260 \_\_ \$a Washington, D.C. \$b National Bureau of Standards, \$c  
c2002.

**490 1\_ \$a Applied mathematics series ; \$v 22**

**830 \_0 \$a Applied mathematics series (Washington, D.C.) ; \$v  
22.**

## Module 7.1: Exercise 1 Answers

- For resources #A-#C, fill out the following on each answer sheet:
  - Multipart monograph or monographic series?
  - Bibliographic record:
    - 4\_\_ field
    - 8\_\_ field
  - Series authority record:
    - 1\_\_ field

## Module 7.1: Resource #A Answers

Monographic series

Bibliographic record:

440 \_0 \$a Library of American composers

Series authority record:

130 \_0 \$a Library of American composers

## Module 7.1: Resource #B Answers

Multipart monograph

Bibliographic record:

490 1\_ \$a The 10 greatest explorers ; \$v v. 2

800 1\_ \$a Allensby, Carole, \$d 1950- \$t 10  
greatest explorers; \$v v. 2.

Series authority record:

100 1\_ \$a Allensby, Carole, \$d 1950- \$t 10  
greatest explorers

## Module 7.1: Resource #C (1) Answers

Monographic series

Bibliographic record:

490 1\_ \$a Research paper / International Institute  
for Peace, \$x 2424-4848 ; \$v v. 1 = \$a  
Cuaderno / Instituto Internacional de la Paz  
; \$v no. 1

830 \_0 \$a Research paper (\_\_\_\_\_) ; \$v v. 1.

*Note:* Statements of responsibility not required

## Module 7.1: Resource #C (2) Answers

Series authority record:

130 \_0 \$a Research paper (\_\_\_\_\_)

## Module 7.1: Exercise 2 Answers

- For resources #A-#C, fill out the following on the same answer sheets used in Exercise 1:
  - Series authority record:
    - 4\_\_ field(s) as appropriate
    - 670 field

## Module 7.1: Resource #A Answers

670 \_\_ \$a Aaron Copland's music, c2005: \$b jewel box (Library of American composers)

*Note:* SAR 670 may have additional data elements and different punctuation, e.g.:

670 \_\_ \$a Copland, Aaron, 1900-1990. Aaron Copland's music [SR], c2005 \$b jewel box (Library of American composers)

## Module 7.1: Resource #B (1) Answers

430 \_0 \$a 10 greatest explorers

400 1\_ \$a Allensby, Carole, \$d 1950- \$t Great explorers

400 1\_ \$a Allensby, Carole, \$d 1950- \$t Ten greatest explorers

670 \_\_ \$a Leif Ericsson, 2006: \$b ser. t.p. (The 10 greatest explorers) cover (Great explorers)

## Module 7.1: Resource #B (2) Answers

*Note:* SAR 670 may have additional data elements and a different style, e.g.:

670 \_\_ \$a Allensby, Carole, 1950- Leif Ericsson,  
2006 \$b series t.p. (The 10 greatest  
explorers ; v. 2) cover p. 1 (Great explorers ;  
v. 2)

## Module 7.1: Resource #C (1) Answers

430 \_0 \$a Cuaderno (\_\_\_\_\_)

410 2\_ \$a International Institute for Peace. \$t Research  
paper

430 \_0 \$a IIP research paper

430 \_0 \$a Cuaderno del IIP

## Module 7.1: Resource #C (2) Answers

670 \_\_ \$a The role of volunteer organizations, c2006: \$b t.p. (Research paper = Cuaderno) cover p. 4 (IIP research paper; Cuaderno del IIP)

*Note:* SAR 670 may have additional data elements and a different style, e.g.:

670 \_\_ \$a Martinez, Pablo, 1972- The role of volunteer organizations, c2006 \$b title p. (Research paper / International Institute for Peace = Cuaderno / Instituto Internacional de la Paz) cover p. 4 (IIP research paper; v. 1 = Cuaderno del IIP ; no. 1) t.p. verso (ISSN 2424-4848)

## Module 7.1: Exercise 3 Answers

- For resources #A-#C, fill out the following on the same answer sheets as used in Exercise 1:
  - Bibliographic record:
    - 260 field
  - Series authority record:
    - 020 field as appropriate
    - 022 field as appropriate
    - 643 field

## Module 7.1: Resource #A Answers

Bibliographic record:

260 \_\_ \$a Detroit : \$b American Music Corp.,  
\$c c2005.

Series authority record:

643 \_\_ \$a Detroit \$b American Music Corp.

## Module 7.1: Resource #B Answers

Bibliographic record:

260 \_\_ \$a Chicago : \$b Dominski Pub. Co. ; \$a  
Richmond, VA : \$b JD Publishers, \$c 2006.

Series authority record:

020 \_\_ \$a 0201853922 (set)

643 \_\_ \$a Chicago \$b Dominski Pub. Co. \$a  
Richmond, VA \$b JD Publishers

## Module 7.1: Resource #C Answers

Bibliographic record:

260 \_\_ \$a Miami : \$b Century Pub. Co., \$c c2006.

Series authority record:

022 \_\_ \$a 2424-4848

643 \_\_ \$a Miami \$b Century Pub. Co.

## Module 11: Exercise #1 Answers

Numbered multipart monograph SAR:

130 \_0 \$a Our solar system

Action: update existing SAR.

Add: 430 \_0 \$a Solar system

670 \_0 \$a \_\_\_\_\_ \$b label (Solar system)

**Module 11:  
Exercise #2 Answers**

**Unnumbered monographic series SAR:**

130 \_0 \$a Trends in elementary education

**Actions: create new SAR.**

130 \_0 \$a Trends and practices in elementary  
education

530 \_0 \$a Trends in elementary education

675 \_\_ \$a . . .

**Also: add 530/675 to existing SAR.**

**Module 11:  
Exercise #3 Answers**

**Numbered monographic series SAR:**

130 \_0 \$a Mathematical biology study

**Action: update existing SAR.**

**Add: 430 \_0 \$a Mathematical biology studies**

670 \_\_ \$a \_\_\_\_\_ \$b t.p. (Mathematical  
biology studies)

**Module 11:  
Exercise #4 Answers**

**Numbered monographic series SAR:**

130 \_0 \$a Research report of the ABC Society

**Action: update existing SAR.**

Add: 430 \_0 \$a ABC Society research report

670 \_\_ \$a \_\_\_\_\_ \$b cover (ABC Society  
research report)

**Module 11:  
Exercise #5 Answers**

**Unnumbered multipart monograph SAR:**

100 1\_ \$a Philip, Allan. \$t Plantagenet kings  
of England

**Action: update existing SAR.**

Add: 400 1\_ \$a James, Andrew. \$t Plantagenet  
kings of England

670 \_\_ \$a James, A. \_\_\_\_\_ \$b ser. t.p.  
(Plantagenet kings of England)

**Module 11:  
Exercise #6 Answers**

**Numbered monographic series SAR:**

130 \_0 \$a Anthropological discoveries in Africa

**Action: update existing SAR.**

Add: 643 \_\_ \$a New York \$b EA Press \$d <2005>

Change: 643 \_\_ \$a Stockholm \$b Isaksson Press \$d  
<2001>

Change 008/13 from “a” to “c”

**Module 11:  
Exercise #7 Answers**

**Numbered monographic series SAR:**

130 \_0 \$a Technical report (Ross Laboratory)

**Actions: create new SAR.**

130 \_0 \$a Technical report (Ross and Lowell  
Laboratory)

530 \_0 \$w a \$a Technical report (Ross Laboratory)

675 \_\_ \$a . . .

**Also, add 530/675 to existing SAR.**

**Module 11:  
Exercise #8 Answers**

Unnumbered monographic series SAR:

130 \_0 \$a Elementary linguistics series

**Action: update existing SAR.**

Add: 430 \_0 \$a Elementary linguistics

430 \_0 \$a Elementary linguistics series for  
beginners

670 \_\_ \$a \_\_\_\_\_ \$b ser. t.p. (Elementary  
linguistics) t.p. (Elementary linguistics  
series for beginners)

**Module 11:  
Exercise #9 Answers**

Unnumbered monographic series SAR:

130 \_0 \$a Essays and studies in French literature

**Actions: (a) create new SAR:**

130 \_0 \$a Essays and studies in French and Italian  
literature

530 \_0 \$a Essays and studies in French literature

675 \_\_ \$a . . .

**(b) add 530/675 to existing SAR.**

**Module 11:  
Exercise #10 Answers**

Unnumbered monographic series SAR:

130 \_0 \$a Lakes and rivers of North America

Action: update existing SAR.

Add: 430 \_0 \$a Lakes & rivers in North America

670 \_\_ \$a \_\_\_\_\_ \$b panel (Lakes & rivers  
in North America)

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## Appendix D: Evaluation Form Fundamentals of Series Authorities

Your evaluation of this workshop is very important to the future development of this course and other similar courses. Your honest, candid answers to the following questions will assist us in providing quality programs.

Please rate the following aspects of today's workshop by checking the box that best reflects your evaluation:

1. The overall content of the workshop:

	5	4	3	2	1	
a. was extremely valuable						was of little value
b. provided enough detail						was too general
c. was current & relevant						was outdated
d. was cohesive & logical						was fragmented/difficult to follow
e. was appropriate to my needs						was not at all appropriate
f. met its stated objectives						did not meet objectives

2. Presenter:

	5	4	3	2	1	
a. was knowledgeable						was unsure of the material
b. had good presentation skills						had poor presentation
c. encouraged participation						discouraged participation
d. addressed my level of understanding						did not consider my level
e. answered questions directly						did not answer questions
f. was prepared						was not prepared
g. understood the audience dynamics						ignored audience dynamics

3. Presenter:

	5	4	3	2	1	
a. was knowledgeable						was unsure of the material
b. had good presentation skills						had poor presentation
c. encouraged participation						discouraged participation
d. addressed my level of understanding						did not consider my level
e. answered questions directly						did not answer questions
f. was prepared						was not prepared
g. understood the audience dynamics						ignored audience dynamics

4. The handouts:

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	5	4	3	2	1	
a. are excellent						are poor
b. followed course content sequence						are disjointed/out of
c. are valuable for future reference						are of no value

5. The PowerPoint slides:

	5	4	3	2	1	
a. were clear and easy to read						were hard to read
b. were well organized						were poorly organized
c. illustrated concepts clearly						were confusing
d. covered an appropriate amount of information						contained too much or not enough information
e. were visually effective						were not effective
f. were enhanced by and supported the presenter's remarks						were poorly related to the presenter's remarks

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**Please give the following information about yourself:**

6. Your level of knowledge in the subject of this workshop before today: expert 5 4 3 2  
1 novice
7. Your level of experience in the subject of this workshop before today: very experienced 5 4 3 2  
1 beginner
8. Other comments:

**Comments on specific sessions:**

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THANK YOU!