

Series Training for PCC Participants

Series Statements and Series Authority Records

Preliminary edition

Session 1:

Introduction



Program for Cooperative Cataloging

NACO: Name Authority Cooperative Program

Developed by the

Program for Cooperative Cataloging

Standing Committee on Training

RDA in Series Training Task Group

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Summary

This introductory session provides general information that helps orient the trainee prior to delving into sessions that focus on narrower aspects of Program for Cooperative Cataloging (PCC) series work. This session includes information about this manual, the purpose and scope of the training it offers, statements about the overarching functions of series authority records (SARs) and their context, and key differences in the organization and location of information about series and their authority control under the new *Resource Description and Access (RDA)* instructions as opposed to the 2nd edition of the *Anglo-American Cataloging Rules (AACR2)*. Lists of important definitions, concepts, and documentation are also provided.

Objectives

At the end of this session, you should be familiar with general information that will help you to:

- Understand the purpose and scope of this training
- Be able to apply key definitions and concepts when working with series
- Know where instructions for PCC/NACO series authority practice are located
- Understand the functions of an SAR and their context
- Know the types of resources for which an SAR is not normally created

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About this Manual

This manual and the workshop materials that accompany it were prepared by the Program for Cooperative Cataloging Standing Committee on Training's RDA Series Training Task Group. It is a revision of: *Series Training for PCC Participants*, by Judith A. Kuhagen, LC CPSO, 2007.

While it was created with advice and support from the Library of Congress's Cooperative Cataloging Program, it is a uniquely PCC effort. On June 1, 2006, the Library of Congress implemented its decision not to create or update series authority records (SARs) and not to provide controlled series access points in its bibliographic records for resources in series. PCC offers its members the option to continue to trace series and create series authorized access points in the LC/NACO Authority File. Responsibility for series policy decisions and for series authority training now rests with PCC member institutions other than LC.

The PCC SCT RDA Series Training Task Group was formed in August 2012, with the following participants: Carl Horne, chair (Indiana University), Mary Jane Cuneo (Harvard University), Julie Dyles Darken (University of Georgia), Peter Fletcher (UCLA), Lisa Furubotten (Texas A&M University), Jenifer K. Marquardt (University of Georgia), Robert L. Maxwell (Brigham Young University), Melanie Polutta (Library of Congress), George Prager (New York University, Law), Steven Riel (Harvard University), and Beth Thornton (University of Georgia).

Not long after work on this manual was begun, the PCC Standing Committee on Training Series Policy Task Force was created. Its charge included discussing and making recommendations for policy questions that arose as the RDA in Series Training Task Group created its training materials. The Series Policy Task Group issued an interim report in January 2014, but no

decisions have yet been made on its recommendations. Within this manual, where those policy issues are relevant, mention will be made inside of clearly labeled text boxes.

Some of the examples used in this training manual are real, some are real but modified, and others are imaginary. For simplicity, not all fields are included in the examples, and some MARC 21 fields lack indicators.

Purpose of training



The goals of this training are that you will

- Learn to identify in a bibliographic resource those series elements that will be recorded in a series statement or series note, and will be used to construct a series authorized access point
- Learn how to search the database for existing series data; and if found, how to select and record the data needed for a series statement or series note, and a series authorized access point

So that you will

- Be able to create series authority records in MARC format that follow *RDA* instructions and meet PCC/NACO guidelines



Descriptive Cataloging Manual

Z1. Name and Series Authority Records

MARC 21 Format for Authority Data

1999 Edition

[LC Guidelines](#)

Documentation

The instructions for PCC/NACO series authority practice are found in:

- *RDA Toolkit* and the *LC-PCC Policy Statements* linked to it
- *MARC 21 Format for Authority Data*, supplemented by the *LC Guidelines for Authority Data*
- *Descriptive Cataloging Manual (DCM)*, *Section Z1 (Name and Series Authority Records)*

All of these documents are available in *Cataloger's Desktop*. *RDA Toolkit* may be accessed through *Cataloger's Desktop*, but it does require a separate subscription. The *Toolkit* is available in a print edition also.

In the years immediately following the transition to *RDA*, it will also be important to consult:

- *Summary of Programmatic Changes to the LC/NACO Authority File: What LC-PCC RDA Catalogers Need to Know* http://www.loc.gov/aba/rda/pdf/lcnaf_rdaphase.pdf

Scope of Training

This manual focuses on creating and updating authority metadata for monographic series. It also includes specific sessions for multipart monographs, analyzed issues of serials, supplements and special issues, and series-like phrases, showing how these types of resources differ from monographic series.

This training does not cover series authority metadata for integrating resources, because few libraries create analytic descriptions for parts of those resources, especially online integrating resources.

- Most series authority work pertains to monograph series. As of January 2013, series authority records constituted **5.7%** of the records in the LC/NACO Name Authority File. By type, we have:

008/12 (Type of series)	Jan. 2013	May 2007
a: Monograph series	89.4%	89.0%
b: Multipart monograph	7.9%	7.6%
c: Series-like phrase	2.5%	3.1%
z: Other (e.g. other serial, integrating resource)	0.3%	0.3%
008/13 (Numbered/unnumbered)		
a + c: Numbered + Sometimes numbered	53.0%	55.0%

Source: Jan. 2013 statistics courtesy of Gary Strawn (Northwestern University). Earlier figures from: *Series Training for PCC Participants*, published May 2007; it is not known when those statistics were gathered.

- Numbered and unnumbered series are usually handled the same way; when they are not, this manual (and the documentation) will explain the differences in treatment.

Definitions and Key Concepts

Except where noted, the definitions below are from the Glossary in *RDA Toolkit*; added explanations appear in text boxes.

Series: A group of separate resources related to one another by the fact that each resource bears, in addition to its own title proper, a collective title applying to the group as a whole. The individual resources may or may not be numbered.

Comment: The definition above applies also to the term **Monographic series**. However, it is important to note that the word “series” is often used more broadly in *RDA*, *LC-PCC Policy Statements*, and in the *MARC 21* formats to mean any comprehensive bibliographic resource whose title is given in the bibliographic 4XX field (series statement):

- Monographic series
- Other type of serial
- Multipart monograph
- Integrating resource

(*LC-PCC Policy Statement* for 2.12)

Series statement: A statement identifying a series to which a resource belongs and the numbering of the resource within the series. A series statement may also include information identifying one or more subseries to which the resource being described belongs.

Comment: In MARC 21: 4XX.

Subseries: A series within a series (i.e., 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.

Comment: “In conjunction with” means “present on the same source” (LC- PS 2.12.10.2). Neither *RDA* nor the Policy Statements define “dependent” title. The term suggests a title that would not be very informative standing alone; an example is given in LC-PCC PS 2.3.2.7.PCC

Serial: A resource issued in successive parts, usually bearing numbering, that has no predetermined conclusion (e.g., a periodical, a monographic series, a newspaper).

Periodical: A serial, usually issued at regular or stated intervals, generally more often than annually, each issue of which normally contains separate articles, stories, or other writings.

Comment: The term is not defined in *RDA*; this definition is drawn from the *CONSER Cataloging Manual* and *MARC 21 Format for Bibliographic Data* (008/21 for Continuing Resources).

Multipart monograph: A resource issued in two or more parts (either simultaneously or successively) that is complete or intended to be completed within a finite number of parts (e.g., a dictionary in two volumes, three audiocassettes issued as a set).

Series-like phrase: A character string (words, letters, combination of letters and numerals) not considered to be a series, though it may appear to be one.

Comment: The term is not defined in *RDA*; this definition is drawn from *Series Training for PCC Participants, 2007*.

Integrating resource: A resource that is added to or changed by means of updates that do not remain discrete but are integrated into the whole. An integrating resource may be tangible (e.g., a loose-leaf manual that is updated by means of replacement pages) or intangible (e.g., a Web site that is updated either continuously or on a cyclical basis).

Comprehensive description: A description that represents the resource as a whole (e.g., a map, a periodical, a collection of posters assembled by a library, a kit consisting of a filmstrip, an audiotape, and a teacher's manual [also a monographic series or a multipart monograph]).

Comment: The comprehensive description for a monograph series is serial in nature; the comprehensive description for a multipart monograph is monographic.

Analytical description: A description that represents a part of a larger resource (e.g., a single volume of a three-volume biography, a single map forming part of a map series.) [The part described may be a monographic, serial, or integrating resource.]

Comment: The series authorized access point (8XX) in an analytic description matches the authorized access point (130, 245, 1XX/245, or 1XX/240) for the corresponding comprehensive description.

Functions of Series Authority Records (SARs)

- *Authoritativeness*: to validate a title or name/title combination used to identify a series; to document the authority data creator's reason for choosing that title or name/title
- *Identification*: to confirm that the series represented corresponds to the series sought; to distinguish between two or more series with similar characteristics; to place that series in context and clarify its relationship to other entities
- *Treatment*: to document local decisions regarding analysis, series access, and classification of the individual parts of a series

SARs are not just for catalogers; they are useful also for collection development, acquisitions, reference staff, and patrons. They underpin the collocation of resources, a service that patrons expect the library to provide.

Context for Series Authority Records

An SAR represents a bibliographic resource (a work or expression); its authorized access point is used in the description of another resource to record the relationship between the two bibliographic resources—i.e., between two *FRBR* Group 1 entities. (Some Name Authority Records (NARs) also represent works or expressions, and they function in the same way.) However, when an NAR represents a person, a family, or a corporate body, its authorized access point is used to record the relationship between this Group 2 entity and a Group 1 entity.

Please note there is an outstanding policy issue concerning the mixing of *FRBR* entities within series authority records. The Series Policy Task Group has recommended that catalogers “do their best not to mix *FRBR* entities on the same series authority record,” but no final decision has been made.

If the individual parts of the resource represented by an SAR are classified separately, the only description of the resource as a whole is the SAR (although acquisitions staff may need also a brief comprehensive description to manage a standing order, etc.).

Because the SAR represents a specific bibliographic resource, it must be “in synch” with any corresponding CONSER record that may exist. A CONSER record is a serial record with 010 and 042 fields; “in synch” means they have the same authorized access point, ISSN, start/end dates, numbering, etc.



Series authority control and AACR2, RDA

Under AACR2, some decisions about authorized series access were made based on analogies with comprehensive descriptions (then called “collected set records”) for serials and multipart items in *Part I* of the code; decisions about choice and form of authorized access point and number of SARs were made based on *Part II*.

RDA does not make so clear a distinction between bibliographic description and authorized access. With *RDA*, the focus is on the *FRBR* entities: Work, Expression, Manifestation, and Item, with instructions for series authorities primarily (but not exclusively) found in the chapters for Works and Expressions.

Because AACR2 did not address series authority work directly, LC and PCC practice was documented over the years primarily in the *LC Rule Interpretations* associated with that code, and in LC’s *Descriptive Cataloging Manual* (DCM), in section Z1. Most of these practices have been brought forward in *LC-PCC Policy Statements* linked to *RDA*; they are labeled “PCC practice” because they no longer apply to LC. Detailed instructions for series authorities are also being maintained in *DCM Z1*.

Don't create an SAR for:

- A republication lacking the original series statement
- A periodical with analyzable issues, unless by exception. *DCM Z1: Introduction* advises against this practice; the serial record (especially if it is CONSER) provides authoritative information for use in the 8xx of the analytic descriptions. Nevertheless, SARs for periodicals are occasionally created, and coded 008/12 (Type of series code) = z.
- A periodical that has selected issues published separately (LC-PCC PS 2.12)

PCC Participants have the option not to create SARs related to some or all of the materials they catalog. Consult *DCM Z1* (64x) for more information, and BIBCO and CONSER documentation for program specifics.