

Series Training for PCC Participants

Series Statements and Series Authority Records

Preliminary edition

Session 13:

Updating Series Authority Data



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

Series authority records are updated more frequently than name authority records. This is to be expected because of the dynamic nature of monograph series and multipart items. When subsequent parts are issued, they may carry changes in data elements that should be recorded.

The appropriate and timely updating of SARs will solve problems with identification of series, and prevent the creation of unnecessary SARs.

Within this module, some sections repeat information from earlier modules; other sections refer to earlier modules. The information is gathered here for reference.

Objectives

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

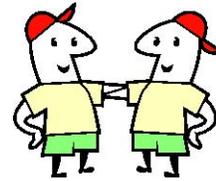
- Update data in existing series authority records according to PCC practice
- Know when and how to request deletion of duplicate and unnecessary SARs
- Know how to evaluate and recode SARs during and after the LC/NACO Authority File transition to *RDA*

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Duplicate SAR



As with NARs, not all duplicate SARs are exact matches. Duplicates may reflect minor changes in title, different choices about where the title begins or ends, different choices in qualifier, etc.

With one exception (shown in italics below), the procedure for resolving duplicate SARs is the same as for duplicate NARs:

- Choose the record to be retained
- Copy the Library of Congress Control Number (LCCN; MARC Authorities field 010) of the duplicate SAR into 010 \$z of the SAR to be retained, if your bibliographic utility allows editing of the 010 field
- Transfer all useful information (e.g. 4XXs, 643, 670s) from the duplicate SAR to the SAR to be retained
- *If the duplicate SARs have different authorized access points, it is not necessary to find LC bibliographic records with series authorized access points in conflict with the SAR to be retained; your NACO liaison does not need to report these*
- Notify your institution's NACO liaison, who will request that LC delete the duplicate SAR.

Unnecessary SAR

If a SAR should not have been made (e.g. the character string is not a series; or, cataloger's error), either ask your NACO liaison to request that LC delete the SAR; or convert it to a series-like phrase SAR, recording any useful information you have found, to be sure someone else does not re-establish it as a series.



Requesting Deletion of SAR

- While under review, send a deletion request to your reviewer
- When independent, send a deletion request to your institution's NACO liaison

Update an SAR if you become aware of:

- A minor title change
- A variant title
- A change in producer, publisher, etc.
- A change in creator or issuing body
- A change in numbering
- A variation in another volume or part
- Information about earlier and/or later series
- A typographical error in the authorized access point or variant access points
- A difference in series title or body responsible for the series as represented in the CIP data and in the published resource, when the SAR was based on CIP data

- An error of fact/form in the authorized access point or variant access points, or in another field when the error hinders identification of the series
- The need to change a preliminary SAR (008/33 = d) to a full SAR (008/33 = a) when a publication in the series has been examined and the record edited if necessary

See earlier Modules for details. Keep in mind that some changes will require a new SAR.

Evaluating and Recoding SARs During and After the LC Name Authority File Transition to *RDA*

Some authority records include a 667 field reading “THIS 1xx FIELD CANNOT BE USED UNDER RDA UNTIL THIS RECORD HAS BEEN REVIEWED AND/OR UPDATED.”

During the interim period prior to March 31, 2013, a SAR that does not include such a field may still be unsuitable for use under *RDA*. Proceed carefully.

- Prior to March 31, 2013, if the 1xx of an SAR is not suitable for use under *RDA* and current Policy Statements, and the SAR does not include a 667 field with text as described above, do not recode it to *RDA*. It will be mechanically evaluated and re-coded during March 2013.
- If the 1xx of an SAR is suitable for use under *RDA* and current *Policy Statements*, and the SAR does not include a 667 with the text described above, *RDA*-trained PCC catalogers should recode it as *RDA* (008/10 and 040 \$e).
- If the SAR includes a 667 field with the text described above, *RDA*-trained PCC catalogers should carefully re-evaluate the 1XX and the rest of the authority record (searching the database* and considering the existing 670 citations); change the 1XX and 4XXs if necessary, remove the 667, add any optional fields deemed useful, and recode the record to *RDA* (008/10 “z” and 040 \$ e “rda”).

For more detail and guidance, see the document “*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

*What is “the database”?

In constructing headings/references and recording information, NACO participants ... may make use of all records on the file against which the searching and cataloging is being done: OCLC, British Library, etc. ... "database" refers to whatever file is being used for searching and cataloging. (*DCM Z1, Introduction*)



Don't update an SAR:

- When the difference is a matter of cataloger's judgment (for example, choice of qualifier)
- To delete variant access points created under earlier policies
- To alter style or punctuation in source citations (670s)
- To correct a source citation (670) based on CIP—for example when the authorized access point, title proper or imprint date differs on published resource; HOWEVER, check to see if 670 \$b needs to be updated to record differing information in the published resource, and if 1xx needs to be changed)
- If the SAR is already being updated (008/31 (Record update in process) = b); if this byte has not changed after 2 weeks, notify series@indiana.edu

Changing the series authorized access point

Authorized access points should be changed ONLY if they are clearly incorrect—for example, if the authorized access point is incorrectly formulated, or there is a typo, or an incorrect form of name appears in a qualifier. This cautious approach will keep bibliographic file maintenance

(automated and manual) to a minimum. If a series authorized access point does need to be corrected, be sure to:

- adjust variant access points on the SAR being corrected, and on other SARs as needed
- find and correct the authorized access points on any related subseries SARs

Changes made by other NACO institutions

Although there are guidelines in *RDA* and its *Policy Statements* that indicate when changes are or are not necessary, the need for other changes may be evident only to the agency making the change (for example, to break a conflict when the searching universe* for the changing agency and the agency observing the change are different); assume that such changes are valid. (*DCM Z1, Introduction*; reworded for *RDA*)

*"Searching universe": for definition, see the text box above in the section on Evaluating and Recoding SARs.

Adding information

- Add a 640 field when you learn the extent of a multipart item:

640 1# \$a To be complete in 10 volumes \$z v. 2, title page verso

640 1# \$a Vol. 1 published in 1954 \$z p. 2 of cov., v. 15

- Add a 641 field when you discover numbering peculiarities:

641 \$a Numbering begins with v. 8

- Add a 642 field when a new numbering system appears on the resource. (Distinguish a new system from an inconsistent presentation of the same system.) Give the new 642 field as the first 642 field. It doesn't need to be justified with a source citation in 670.

642	\$a	no. 19	\$d	items published <1982->	\$5	xxx
642	\$a	v. 3, no. 6	\$d	items published <-1981>	\$5	xxx

- Add a 642 field when an unnumbered series becomes numbered, and the numbering takes into account all of the previously-published issues. (Also recode 008/13 to c: Series numbering varies.)
- Add a 643 field when the imprint changes; give it as the first 643 field. It does not have to be justified with a source citation in 670. See *DCM Z1* for detailed instructions.
- If your institution's local treatment decisions have been recorded in 64X fields, you may also record subsequent changes in local treatment decisions. (For more information and for examples, consult Session 5, Treatment Decisions and *DCM Z1*.)
- When a variant access point (4XX) is added, it may follow the existing 4xxs; alternate access points do not need to be arranged in tag-number order.
- Justify an added variant access point (4XX) with a source citation in 670 unless it falls into one of the exceptional categories listed in *DCM Z1* (670).
- Add a 670 field to cite the first instance when a numbered series lacks numbering, if there is no clear statement from the publisher that the numbering has been

discontinued. In \$b, say “[numbering lacking]” or “[numbering not given]”. Change 008/13 (Numbered or unnumbered series) to “c”. After more issues have arrived, the numbering situation is likely to be clearer, and other SAR changes may be appropriate. For more information about numbering changes, see Session 6 Constructing the Authorized Access Point as well as Session 8, Related Series.

Please note there is an outstanding policy issue concerning whether we should consider numbered and unnumbered versions of the same series to be different series. The Series Policy Task Group has recommended that catalogers “discontinue the practice of distinguishing between unnumbered and numbered versions of the same series,” but no final decision has been made.

- Always give the usage from the preferred source when adding a 670 to an existing SAR (as well as any variant usage that may have prompted the addition). This will confirm that the series title has not changed.

130 #0 \$a Imaginary lands series
 430 #0 \$a Imagined lands series
 670 ## \$a Shangri-La, 2009: \$b series title page (Imaginary lands series)
 670 ## \$a Oz, 2012: \$b series title page (Imaginary lands series) p. 4 of cover (Imagined lands series)
 NOT
 670 ## \$a Oz, 2012: \$b page 4 of cover (Imagined lands series)

- When justifying an earlier or later form of the authorized access point, it is helpful--but not necessary--to cite the volume/part bearing the last or first instance of that form.
- When coding SARs for the earlier and later forms of an authorized access point: for each of the related SARs, the 670 supporting the authorized access point may be copied to support the 5xx in the related SAR, in reciprocal fashion. (See Session 8, Related Series, for discussion and examples.)

- Optionally, add information to fields other than 1XX, 4XX, and 5XX that helps to identify and/or disambiguate the series, or may help to do so in the future.



Cautions

- Never re-use a cancelled Library of Congress Control Number (LCCN)
- Once an LCCN has been assigned to an SAR for a resource, don't change the data in the record to represent a different resource

Re-using a cancelled LCCN in another record or changing the data in a record so that it represents a different resource wreaks HAVOC both in the management of the authority file and in automated maintenance activities in shared databases and in other libraries' catalogs.