

Module 2. What is a Serial?

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Module 2. What is a serial?

Catalogers are faced with a broad spectrum of materials to catalog that often defies obvious distinctions. One of the first and often most difficult decisions that must be made is to determine what the item in hand is and what set of rules to apply to its cataloging. Some resources are very clearly one type or another. A magazine, such as *Newsweek* is clearly a serial; *The Bible* is clearly a monograph. And the publication you are reading now, whether in print or in its electronic form, receives updates that are incorporated into the main publication, and is, thus, an integrating resource.

The categorization of treatment for many other resources is not so obvious and will require a certain amount of investigation and decision-making in order to determine the most appropriate treatment. One treatment may be preferable over another due to the type of resource. *LC-PCC PS for 2.1 Basis for Identification of the Manifestation*, especially the section titled *Situations Requiring Further Consideration*, contains policy decisions about the preferred treatment for certain resources for the purpose of consistency.

This module will discuss:

- The criteria that must be met for a publication to be cataloged as a serial
- The types of publications that are serials or are treated as serials
- Other types of resources that exhibit seriality but that are not continuing resources
- How to determine treatment when there is no clear evidence
- When to change treatment

References

RDA: Resource Description and Access. Chicago, IL : American Library Association, 2010-

Library of Congress-Program for Cooperative Cataloging Policy Statements (LC-PCC PS).
2017 Update Number 3.

LC-PCC PS for 2.1

MARC 21 Format for Bibliographic Data. 1999 ed. Washington, D.C. : Library of Congress, Network Development and MARC Standards Office, 1999-

Glossary

Definitions of terms used in this module

Conference. A meeting of individuals or representatives of various bodies for the purpose of discussing and/or acting on topics of common interest or a meeting of representatives of a corporate body that constitutes its legislative or governing body. (*RDA Glossary*)

Continuing resource. Publication, in any medium, that is issued over time with no predetermined conclusion and made available to the public.

Note 1: Such a publication is usually issued in successive or integrating issues which generally have numerical and/or chronological designation.

Note 2: Continuing resources include serials such as newspapers, periodicals, journals, magazines, etc., and ongoing integrating resources such as loose-leaf publications that are continually updated and websites that are continually updated. (*ISSN Manual*, January 2015)

Distinctive title. A title that appears in addition to the title proper, is unique to an issue, and is often related to the topic or theme of that issue. (*CCM*)

Integrating resource. A mode of issuance of a manifestation that is added to or changed by means of updates that do not remain discrete but are integrated into the whole.

A loose-leaf manual that is updated by means of replacement pages, a website that is updated continuously, etc., are included. (*RDA Glossary*)

Loose-leaf publication. (*See* Updating loose-leaf)

Manifestation. A physical embodiment of an expression of a work. (*RDA Glossary*)

Mode of issuance. A categorization reflecting whether a manifestation is issued in one or more parts, the way it is updated, and whether its termination is predetermined or not. (*RDA Glossary*)

Monograph. A resource that is complete in one part or intended to be completed within a finite number of parts. (*RDA Glossary*)

Multipart monograph. A mode of issuance of a manifestation issued in two or more parts, either simultaneously or successively, that is complete or intended to be completed within a finite number of parts. A dictionary in two volumes, three audiocassettes issued as a set, etc., are included. (*RDA Glossary*)

Newspaper. A serial issued at stated and frequent intervals, usually daily, weekly or semi-weekly and that reports events and discusses topics of general current interest. (*ISSN Manual*, January 2015)

Numbering. The identification of each of the successive issues or parts of a serial. It can include a numeral, a letter, any other character, or the combination of these, with or without an accompanying word (volume, number, etc.), and/or a chronological designation. (*ISSN Manual*, January 2015)

Periodical. A type of serial, published at regular intervals, more frequently than annually and normally containing separate articles. (*ISSN Manual*, January 2015) A common working definition of serials can be found in 2.1.2.a.

Resource. A work, expression, manifestation or item.
A resource can be an individual entity, an aggregate, or a component of such an entity. It can be a tangible or intangible entity. (*RDA Glossary*)

Serial. A mode of issuance of a manifestation issued in successive parts, usually bearing numbering, that has no predetermined conclusion. A serial includes a periodical, monographic series, newspaper, etc. Reproductions of serials and resources that exhibit characteristics of serials, such as successive issues, numbering, and frequency, but whose duration is limited, such as newsletters of events, are also included. (*RDA Glossary*)

Seriality. A dimension of resources that are not complete as first issued that refers to the fact that they are issued over time and thus, may exhibit change. (*CCM*)

Series. A group of separate manifestations related to one another by the fact that each manifestation bears, in addition to its own title proper, a collective title applying to the group as a whole with or without numbering or, a separately numbered sequence of volumes or issues within a series or serial. (*RDA Glossary*)

Updating loose-leaf. An integrating resource that consists of one or more base volumes updated by separate pages that are inserted, removed, and/or substituted. (*RDA Glossary*)

Website. A website (also written as Web site) is a collection of web pages and related content that is identified by a common domain name and published on at least one web server. ([Wikipedia](#) viewed April 2, 2021)

2.1. What is a serial?

2.1.1. Definition and characteristics

Consider a publication to be a serial if it meets the criteria set by the definition in RDA:

A mode of issuance of a manifestation issued in successive parts, usually bearing numbering, that has no predetermined conclusion.

A serial includes a periodical, monographic series, newspaper, etc. Reproductions of serials and resources that exhibit characteristics of serials, such as successive issues, numbering, and frequency, but whose duration is limited, such as newsletters of events, are also included.

THE RESOURCE IS ISSUED IN SUCCESSIVE PARTS

A "part" is most frequently referred to as an "issue" by serials catalogers (e.g., the March 2020 issue of *Atlantic*). A serial consists of separate issues, each of which stands alone (e.g., an annual directory) or comprises part of a volume that could later be collected together (e.g., a monthly issue of a periodical, the 12 parts of which will be bound in a single volume). Sometimes there are several levels, such as issues and parts (e.g., an annual statistical publication that is issued in two parts each year). Some issues are cumulated and supersede all of the preceding issues. With electronic journals, the need for the issue has diminished and the parts may consist of separately numbered articles. What is important is that the issues or parts are not integrated; they remain intact or *discrete*. This is the primary distinction between serials and integrating resources and is an important determination in the way in which they are cataloged.

THE RESOURCE USUALLY BEARS NUMBERING

RDA uses the term *numbering* to refer to numbers and/or text (numeric and/or alphabetic designations), dates (chronological designations), or combinations of both that identify the individual issues or parts of a serial. These are also referred to as the *designation* or the *enumeration and chronology*. Numbering is important for check-in and recording of holdings so that issues can be properly identified and retrieved. Serials are generally collated by their enumeration/chronology before being bound, digitized, or microfilmed. There are serials that lack numbering. These include unnumbered series and publications where the first issue lacks a designation but it is assumed that the publisher will provide numbering on subsequent issues (see also 2.1.3c). In most other cases, an unnumbered resource is treated as a monograph. Choosing the appropriate numbering and deciding how it is to be recorded is discussed in Module 8.

THE RESOURCE HAS NO PREDETERMINED CONCLUSION

While both serials and multipart are successively issued, the factor that distinguishes them is whether they are continuing or finite. Because the multipart has an intended conclusion, even if not for some time, it is a monograph. Having “no predetermined conclusion” means that there is no stated or obvious finiteness, such as a limited scope.

Having no predetermined conclusion does not mean that the serial will never end--only that the publisher originally had no intention of ending it. A serial that dies after one or two issues is still a serial. Determining the intent of the publisher is probably the most difficult aspect of the definition since it may not be stated anywhere in the publication. The intention must often be surmised. Different ways of deciphering the publisher's intent are discussed in section 2.3 of this module.

By exception, *LC-PCC PS for 2.1 Situations Requiring Further Consideration* also allows certain types of finite resources to be cataloged using the rules for serials. These are covered in section 2.1.3. below.

2.1.2. Types of resources covered by the definition

The following discussion lists common types of serials. While certain categories of publications are cited in this module as being representative of the types of publications that are normally cataloged as serials, integrating resources, or monographs, terminology alone does not determine treatment. For instance, "encyclopedias" are cited as a type of publication that does not usually meet the criteria for a serial, but a regularly issued publication, such as the *Encyclopedia of Associations*, is cataloged as a serial.

a. Periodicals

RDA, like *AACR2*, does not specifically define "periodicals;" however, catalogers generally follow the definition used under earlier rules:

A serial appearing or intended to appear indefinitely at regular or stated intervals, generally more frequently than annually, each issue of which normally contains separate articles, stories, or other writings.

This definition best describes "magazines," perhaps the most commonly known type of periodical because they are published for the general public. While not all periodicals are true magazines, most of them at least **look** like magazines, having a similar format consisting of a cover followed by editorial or contents pages, and lacking a title page. (Fig. 2.1.) Electronic journals, whether they are an online version of an existing print publication or “born digital,” are also frequently considered periodicals. Many e-journals are packaged in “aggregations” (see Module 31).

Making the distinction between a periodical and any other type of serial is not critical to the cataloging since the same rules are applied to catalog all types of serials. Perhaps the most important distinction between print periodicals and other serials is not in the way they are cataloged but in the way they are housed. Many libraries house current issues of periodicals separately from the rest of the serial collection until the issues are bound, microfilmed, or digitized by a trusted repository. And while some libraries shelve bound periodicals by call number with other materials, other libraries shelve them alphabetically by title. These considerations are immaterial for electronic serials.

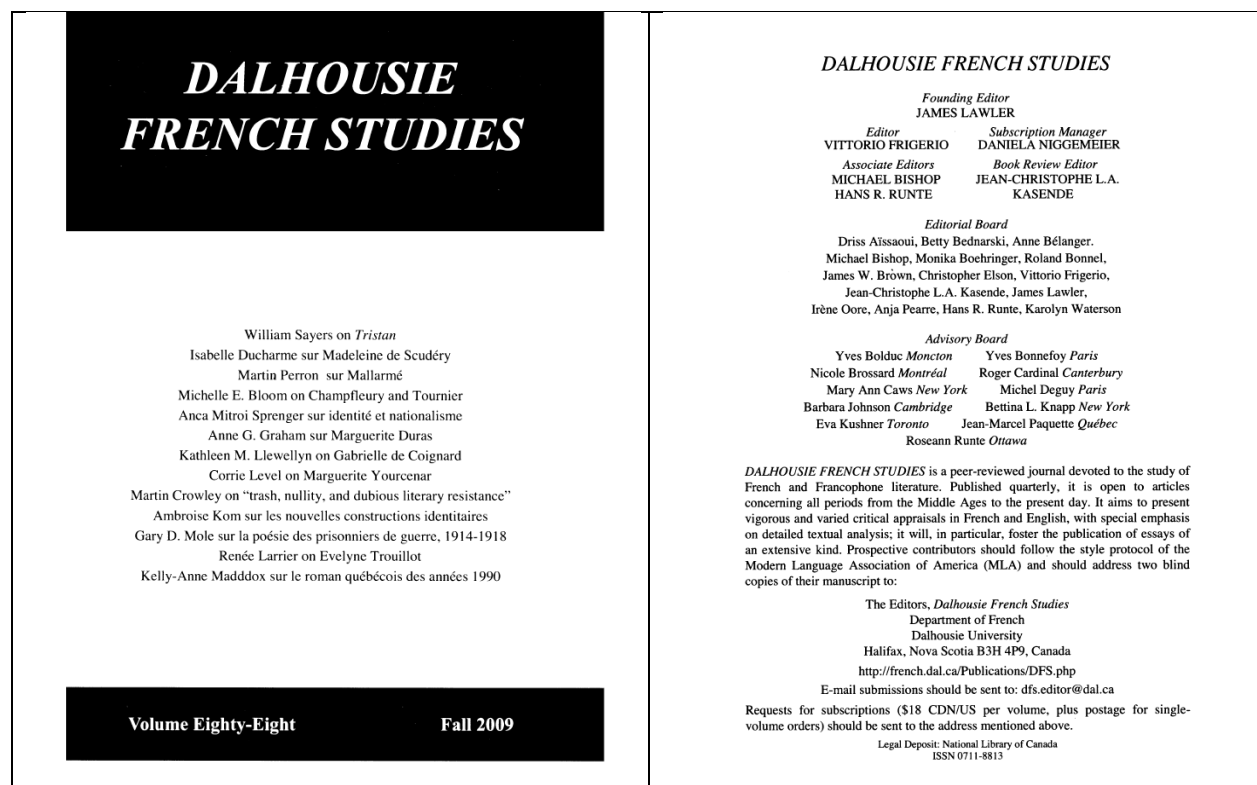


Fig. 2.1. is a typical periodical. The cover is followed by an editorial page containing the masthead and details of publishing. Following this page is the contents page. There is no title page.

b. Annual reports and recurring reports of activities

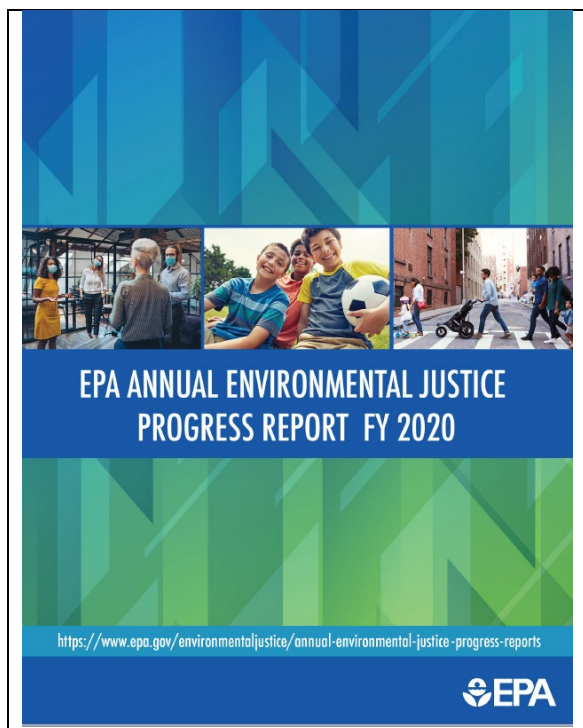


Fig. 2.2

Many agencies, businesses, and institutions issue a report on a regular basis, such as an annual or biennial report. Such reports usually have a title page and are most often identified by date (Fig. 2.2.). Annual, quarterly, etc. reports of limited term projects are now treated as serials even though they have a predetermined conclusion. They are among the types of resources that are cataloged using the serial rules according to *RDA 1.1.3* (covered in section 2.1.3a below.)

c. Directories, yearbooks, and other similar reference works

Many reference works, such as directories and yearbooks, are cataloged as serials because they are issued regularly to be kept up-to-date. Such publications are often identified by a number or date accompanied by the word "edition." Examples are *Research Centers Directory*, *Yearbook of International Organizations*, and *Information Industry Directory* (Fig. 2.3.). Reference works issued in editions that are issued irregularly or infrequently are often cataloged as monographs (see *CCM 2.1.4a*). Note that because these are updating resources, when they are issued electronically, they are usually integrating resources.

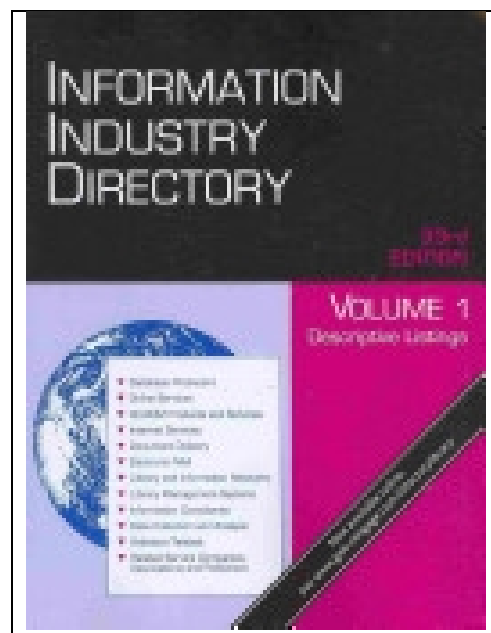


Fig. 2.3

THE NASIG NEWSLETTER
The Newsletter of the North American Serials Interest Group, Inc.

Vol. 15, no. 4 ISSN: 0892-1733 December 2000

TABLE OF CONTENTS		PRESIDENT'S CORNER
PRESIDENT'S CORNER	1	Connie Foster, NASIG President
NASIG 16 TH ANNUAL CONFERENCE (2001)		<i>Remembering</i> Crystal Graham. All too soon we pay tribute to another outstanding serials professional and dedicated NASIG member. Crystal was unable to attend the wonderful San Diego conference at her own institution, a conference that she helped shape through programming and local arrangements. We will also dedicate to her memory the 2000 NASIG Conference Proceedings. Thanks to Christa Easton for gathering these remembrances contained in this issue of the NASIG Newsletter.
CPC UPDATE	3	
PPC UPDATE	4	
NASIG 15 TH ANNUAL CONFERENCE (2000)		<i>Moving ahead</i> with conference evaluations. During the summer the Evaluation and Assessment Committee, chaired by Diane Grover, tabulated and transcribed hundreds of evaluations from the 15th conference. June Chressanthia highlights results. We cannot emphasize too much the importance of the evaluation in refining or changing conference plans to strengthen NASIG's annual meetings. Finding varied and suitable campuses with enough volunteers, access to major transportation, and many other considerations remain challenges. Only through on-campus accommodations can we maintain an affordable conference site and program. As always, we will provide a list of area hotels should that type of lodging prove more suitable for your needs and expectations. We will try to be as explicit as possible in describing accommodations, but feel free to email the Board or local conference people with specific questions as conference information becomes available this spring.
CONFERENCE EVALUATION REPORT	4	
ABOUT NASIG MEMBERS		
REMEMBRANCE OF CRYSTAL GRAHAM	5	
TITLE CHANGES	13	
CEC FALL REPORT	15	
NASIG AWARDS		
TUTTLE AWARD RECIPIENT REPORT	17	
CONFERENCE STUDENT GRANT	18	
HORIZON Award	18	
FRITZ SCHWARTZ SCHOLARSHIP	19	
LETTERS		
KATY GINANNI: PEACE CORPS	20	
SUSAN DAVIS: JOHN HAYNES	22	
CALENDAR	23	
CEC CALL FOR VOLUNTEERS	23	For many of you the next conference theme could be

Fig. 2.4**d. Newsletters**

Newsletters are issued by corporate bodies or individuals to provide news on a topic and recent activities. Most newsletters lack a cover and title page. Instead, the title is usually found in a caption appearing at the top of the first page of text. An example is *The NASIG newsletter* (Fig. 2.4.).

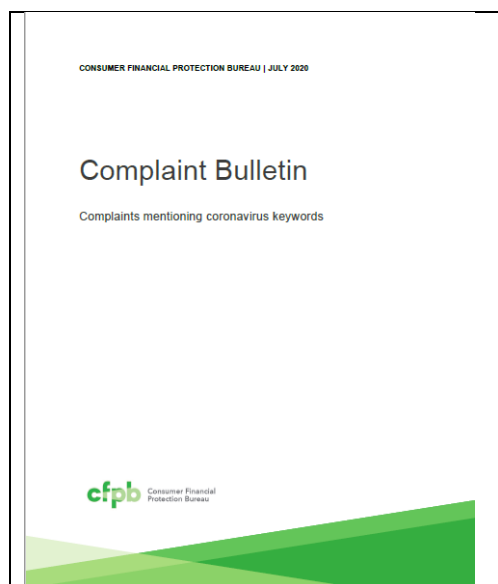


Fig. 2.5

e. Statistical publications

Publications containing statistics that are gathered and issued regularly are treated as serials. This category includes many government publications. (Fig. 2.5.)

f. Newspapers

A newspaper is defined in the *ISSN Manual*, January 2015 as:

A serial issued at stated and frequent intervals, usually daily, weekly or semi-weekly and that reports events and discusses topics of general current interest.

Newspapers cover general news. Special interest newspapers, whose focus is general news of interest to a specific group (e.g., ethnic newspapers), are also cataloged as newspapers. Publications that are issued in newspaper format or on newsprint and that cover a specific topic (e.g., *Women's wear daily*) are not newspapers, nor are publications that call themselves newspapers but cover a specific topic (e.g., *The Economist*). The serials cataloger must be able to distinguish newspapers from other serials since there are distinctions made in the cataloging of newspapers. See Module 33, Newspapers, for more details on newspaper cataloging.



Fig. 2.6

The Washington Post is a newspaper because it covers general news. (Fig. 2.6.)

The Chronicle of Philanthropy (Fig. 2.7.) is not a newspaper, even though it calls itself "the newspaper of the non-profit world" because it covers a specific topic.

g. Legal and official publications

Publications such as court reports, administrative regulations, and gazettes are serials (e.g., *Federal register*). Legal serials are covered separately in Module 34.

h. Monographic series

While both numbered and unnumbered series fit the definition of serial, in many cases the individual issues in a series are cataloged as separate monographs. Series are included in section 2.2., Special types of resources.

2.1.3. Other resources treated as serials according to *RDA 1.1.3*

While most resources must meet the definition in all aspects in order to be cataloged as serials, there are occasions when a resource can be cataloged using the rules for serials even though one aspect of the definition is wanting. The first two categories below are covered in *RDA 1.1.3 (mode of issuance)*, the third is a further clarification of when unnumbered resources can be treated serially.

a. Publications of limited duration

RDA 1.1.3 states that:

“Guidelines and instructions in chapters 2–4 that apply to serials also apply to: manifestations that exhibit characteristics of serials, such as successive issues, numbering, and frequency, but whose duration is limited (e.g., newsletters of events)”

Examples of limited duration resources include annual or quarterly technical reports of limited-term projects, an annual report of a commission that is only to exist for five years, a newsletter from a single event such as the 1992 Winter Olympics, or the working papers of a single conference. Such resources function similarly to serials, covering events that occur over time, whereas multipart monographs generally cover a defined scope of material that cannot be contained in a single volume.

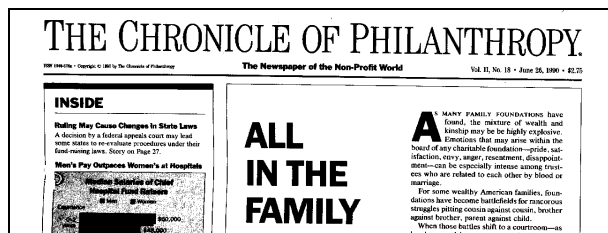


Fig. 2.7

Examples are *United Nations Transport and Communications Decade in Africa (1978-1988) : annual progress report* (Fig. 2.8.) and *Decade Link*, a publication of the Ecumenical Decade of Churches in Solidarity with Women which is issued 2-3 times a year, presumably for ten years.

b. Reproductions of serials

Reproductions of serials are also treated as serials according to *RDA 1.1.3*, even when they are published as a finite set of volumes. Since they substitute for the original serial, it is desirable that the cataloging be similar and that they file with the original. Details on the cataloging of reprints are included in Module 17.

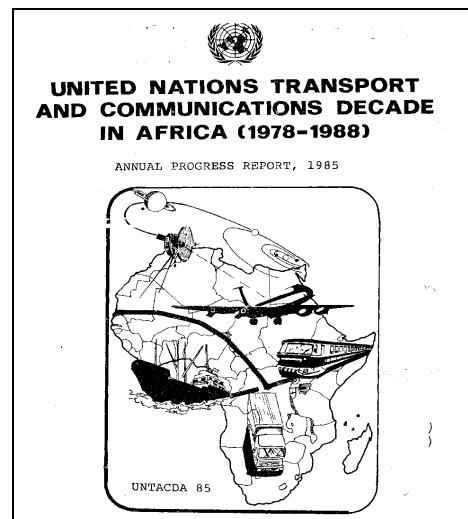


Fig. 2.8

c. Resources that lack numbering

As noted above, numbering is important to the identification and control of serials. In most cases, therefore, a resource that bears no more than a publication or copyright date is treated as a monograph, rather than as a serial. However, when there are clear indications that the publication is a serial but the publisher has failed to provide numbering on the first issue, *RDA 2.6.2.3* and the *LC-PCC PS* for 2.6.3 and 2.6.5 allow the cataloger to 1.) supply a numeric and/or alphabetic designation for first issue or part of sequence based on the pattern. (Indicate that the information was taken from a source outside the manifestation itself.) 2.) When the publication date is not present, and a chronological designation is appropriate to identify the issue, a copyright date can be used to supply the chronological designation. 3.) When a chronological date is not appropriate, [No. 1]- is given.

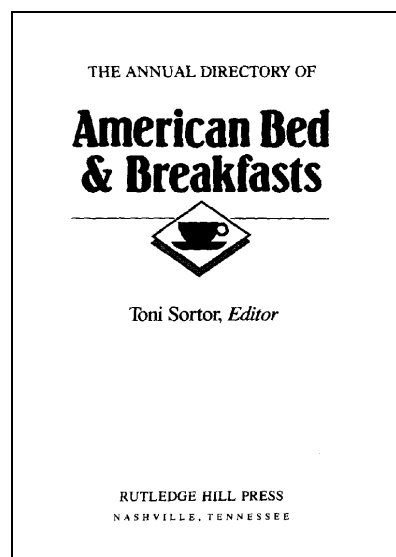


Fig. 2.9

Note: When there is no copyright date or publication date, a best estimate is supplied (as either a chronological designation or [No.1-] whichever is appropriate) based on information within the publication itself, from the publisher (if this can be obtained) or other external sources.

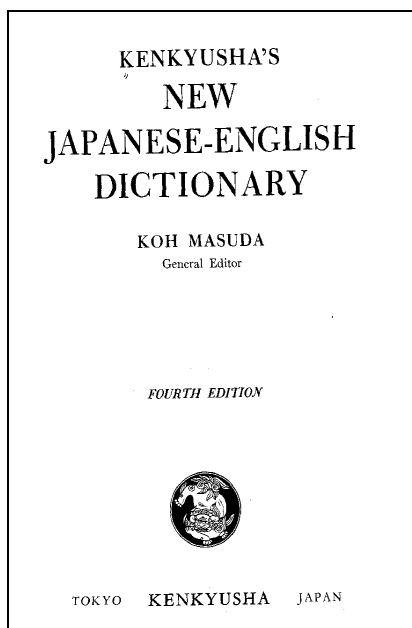
In this example, the first issue was published with only the copyright date of 1989 (which appears on the verso of the title page). When it was first cataloged, the designation would have been 362 1 Began in 1989. The record now reflects the designation system adopted on later issues.

245	04	\$a The annual directory of American bed & breakfasts.
264	#1	\$a Nashville, Tennessee : \$b Rutledge Hill Press, \$c c1989-
362	1#	\$a Began with: [1990 ed.]

See Module 8, Section 5.1 for other examples.

2.1.4. Successively-issued resources that exhibit seriality but are usually treated as monographs

a. Publications revised on an irregular or infrequent basis



A publication that comes out in revised editions only as the need arises is not a serial because there is no clear intention for it to continue. Most textbooks and dictionaries fall into this category, as do handbooks and manuals that are not regularly revised. (Fig. 2.10.)

First edition	1918
Second edition	1931
Third edition	1954
Fourth edition	1974

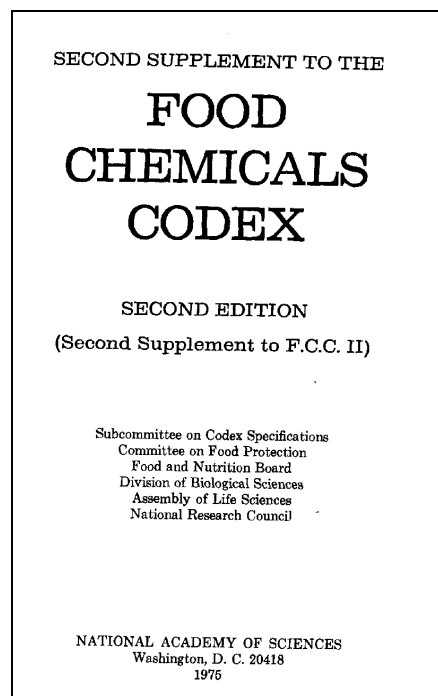
Because this dictionary is revised on an irregular basis, it is cataloged as a monograph.

LC makes some exceptions to this policy by treating certain irregularly revised resources as serials. These include travel guides, alumni directories, and sales catalogs.

Fig. 2.10

b. Multipart items

Also called *multipart*s, multipart items are works that are finite in scope and usually have some predetermined conclusion, even though it may be over many years. Encyclopedias are the most common example. The *Handbook of the Birds of India and Pakistan* is an example of a multipart item. Each volume contains a portion of the total number of birds covered in the work, for example, vol. 2 covers "Megapodes to Crab Plover," vol. 3, "Stone curlews to Owls," and so forth.

**Fig. 2.11**

c. Supplements to monographs

Resources that consist of a monograph and separately issued supplements are treated as monographs, even when the supplements are issued on a frequent or regular basis. If, however, a publication begins as a monograph and is subsequently issued serially, the publication is cataloged as a serial (e.g., 1st issue covers 1937-1956, annual volumes issued each year thereafter). In Fig. 2.11., *Food Chemicals Codex* is a monograph and thus, this supplement is noted on the record for the monograph.

2.2. Situations Requiring Further Consideration (LC-PCC PS for RDA 0.0 Determining Mode of Issuance)

Determining how to catalog some resources requires further consideration. These resources include electronic resources, resources issued loose-leaf format, conference publications, and supplements. Institutional practice may differ on the treatment of these publications. The following discussion explains the Library of Congress' policies, as expressed in the LCC-PCC PS for RDA Chapter 0.

2.2.1. Electronic resources

Base decisions on the electronic resource itself, not how it may have been issued in other formats.

Catalog as a serial:

- a) Remote access resource: a resource having material added as discrete, usually numbered issues (an “issue” can consist of a single article). The resource might contain a listing of back volumes, back issues, images of journal covers for sequential issues; only current issue may be available as a separate issue.
- b) Direct access resource: a resource whose carrier is issued successively (this situation is analogous to a print serial whose latest volume supersedes any earlier volumes). Note that such resources can be mounted on networks such that the successive issuance of the carrier is not observable to the cataloger or end user; when contributing cataloging in a shared environment (e.g., bibliographic utility), the record should reflect the carrier and mode of issuance as published.

Catalog as an integrating resource:

- a) Remote access resource: a resource having material added, changed, or deleted via updates that do not remain discrete (e.g., might contain articles from more than one journal).
- b) Direct access resource: no direct access resource can be issued as an integrating resource (assumption that would be changed if proven incorrect).

Catalog as a monograph: Remote or direct access resource: a resource complete in one part or intended to be complete in a finite number of parts, including those resources that are corrected via “errata” information.

2.2.2. Resources issued in loose-leaf format

Base cataloging decisions on the mode of issuance of the primary component. Most loose-leaf publications are integrating resources because there is one base volume that is updated over time. Even though the individual updates may be numbered and issued on a regular basis, they are not treated as serials.

Some publications that are issued in a loose-leaf format, however, may be treated as serials. If the base volume is issued on a regular basis, such as an annual volume with a semiannual update, the publication may be treated as a serial rather than as an integrating resource.

From LC/PCC PS directly:

Catalog as a serial:

a) Resource otherwise meeting definition of serial whose issues remain discrete even though they are to be stored in a binder (as successive sections in the binder or subdivided/filed into separate sections in the binder).

b) Resource whose binders are issued successively even though the contents filed into each binder may be updated in integrating fashion until the next binder is issued.

Catalog as an integrating resource: Resource consisting of a binder or binders in which pages are added, removed, or replaced until the next edition of the resource is published or until complete.

Catalog as a monograph: Resource complete as issued or intended to be complete in a finite number of parts.

2.2.3. Conference publications

This category includes papers, proceedings, or transactions of meetings of the members of societies, as well as meetings on a particular topic that may be sponsored by one or more societies or institutions. Cataloging all issues as a serial saves time; however, information specific to each conference must be omitted. Cataloging each issue as a monograph is more time consuming; however, the number, date, and place of the conference, sponsors, "distinctive" or theme titles, and subject headings specific to the theme of the conference may be provided.

Once the decision to catalog as a monograph or as a serial is determined (based on the first or earliest issue of a conference publication), prefer to retain that decision. When there is a change in the authorized access point for a conference publication cataloged as a serial, consider the publication to be "new" and decide whether to catalog it as a monograph or as a serial.

The LC/PCC PS limits serial treatment to ongoing conference publications that do not have unique titles and/or are not part of a numbered monographic series.

This results in the following:

- Conference publications that are most likely to be cataloged as serials are the meetings of societies, etc. because they are less likely to have unique titles or be issued in series.
- Conference publications that are most likely to be cataloged as monographs are conferences on a topic, because they more frequently have unique titles and are issued in monographic series.
- There is some flexibility of approach, even within CONSER. Some institutions have chosen to catalog all of the conference publications on a topic as monographs, while others use the policy statement to determine which can be treated as serials.

Note that stability of the title is not a consideration when cataloging from the first or a single issue. When cataloging retrospectively, the stability of the title may be taken into account when determining which treatment to use.

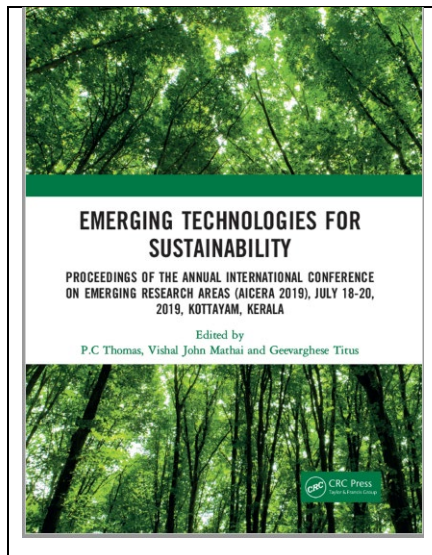


Fig. 2.12

The conference in Fig. 2.12. has a distinctive title and is treated as a monograph.

- | | | |
|-----|----|--|
| 111 | 2# | \$a Annual International Conference on Emerging Research Areas \$d (2019 : \$c Kerala, India) |
| 245 | 10 | \$a Emerging technologies for sustainability : \$b proceedings of the Annual International Conference on Emerging Research Areas (AICERA 2019), July 18-20, 2019, Kottayam, Kerala / \$c edited by P.C. Thomas, Vishal John Mathai, Geevarghese Titus. |



Fig. 2.13

The conference publication in Fig. 2.13. is ongoing and there is no unique title or series; thus, it can be cataloged as a serial.

```
111 2# $a Annual Earth System Grid Federation Face-to-Face Conference, $j  
author.  
245 10 $a ... Annual Earth System Grid Federation Face-to-Face Conference  
report.
```

2.2.4. Supplement

Supplements that can be used independently from the main resources should be cataloged separately based on their type of issuance. Create a separate bibliographic record for a serial supplement to another serial if the supplement does not update that related serial and carries its own designation system that is distinct and independent from that used by the related serial. Otherwise, give a note about the supplementary material on the record for the main resource.

2.2.5. Republications

Catalog a republication of a serial as a serial unless it is a republication of a single issue or limited number of issues or it is a collection of bibliographically unrelated serials or articles.

2.2.6. Series

RDA defines a series as:

A group of separate manifestations related to one another by the fact that each manifestation bears, in addition to its own title proper, a collective title applying to the group as a whole with or without numbering or, a separately numbered sequence of volumes or issues within a series or serial.

The individual titles in a series may be monographs or serials or a combination. Most numbered series are identified by a number rather than a date because they are issued on an irregular basis and do not "cover" a specific time frame. Therefore, dates appearing on series publications usually refer to issuance rather than coverage.

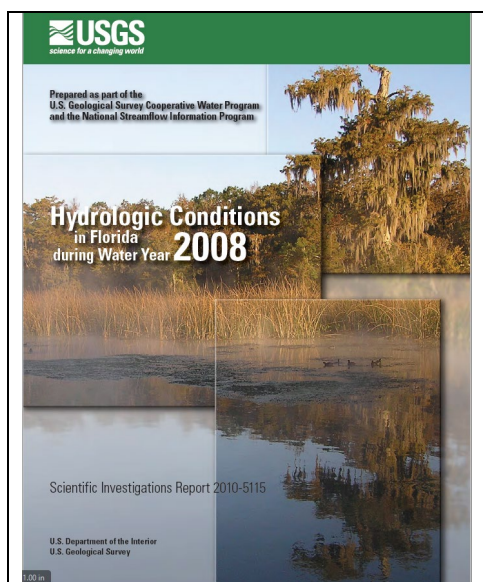


Fig. 2.14

Series are special publications because they can be cataloged as entities in themselves (at LC this is referred to as a *collected set*), or each item in the series can be separately cataloged. "Series treatment"--the decision to catalog at the series level or to catalog each title in the series separately, as well as how to classify--is a matter of institutional policy. The LC/NACO Authority File contains the treatment decisions that have been made by LC¹ and other participating libraries. The presence of one form of treatment in a series authority record (SAR) does not prohibit catalogers in other institutions from treating the series in a different manner, provided that the entry for the series is recorded as found in the SAR. Recording the series statement in serials record is covered by Module 12.

The serial in Fig. 2.14., *Hydrologic conditions in Florida during Water year...*, is issued in the series, *Scientific investigations report*.

```
245 00 $a Hydrologic conditions in Florida during water year...
490 1# $a Scientific investigations report
830 #0 $a Scientific investigations report.
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¹ On June 1, 2006, the Library of Congress implemented its decision not to create/update series authority records and not to provide controlled series access points in its bibliographic records for resources in series. (*SERIES AT THE LIBRARY OF CONGRESS: JUNE 1, 2006*. URL: <http://www.loc.gov/catdir/cpsr/series.html>). LC serial catalogers will still consult SARs when testing for conflict.

<p>Volume 1 Ethics in a Changing World</p> <p>APPLIED ETHICS AND ETHICAL THEORY</p> <p>edited by David M. Rosenthal</p> <p>and Fadlou Shehadi</p> <p>Foreword by Margaret F. Battin and Leslie P. Francis</p>	<p>The monograph in Fig. 2.15., <i>Applied Ethics and Ethical Theory</i>, is published in the series, <i>Ethics in a Changing World</i>.</p> <pre> 245 00 \$a Applied ethics and ethical theory / \$c edited by David M. Rosenthal and Fadlou Shehadi ; foreword by ... 490 1# \$a Ethics in a changing world ; \$v v. 1 830 #0 \$a Ethics in a changing world ; \$v v. 1 </pre> <p>Unnumbered series have been defined as serials since 2002. Prior to that time only a numbered series was defined as a serial. However, unnumbered series have always been considered serials for purposes of ISSN assignment. While catalog records are not generally created for unnumbered series, unnumbered series are</p>
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Fig. 2.15

serials in every sense but their lack of numbering. The same rules for establishing title, entry, and for determining changes in title apply to them.

2.2.7. Serials issued with distinctive titles

A distinction is made between publications that are issued in **series** and **serials** that are issued with distinctive titles. The indicators are as follows:

- Series normally contain a single work by one or more authors whereas serials normally contain multiple articles by different authors.
- Serials usually have volume and issue numbers; series are more likely to have numbers only.
- Serials usually have a regular frequency; series are usually issued irregularly.

When the work is to be treated as a serial, a note, such as "Each issue also has a distinctive title" or "Some issues also have a distinctive title," is added. Added entries for the individual titles are not generally given. This note is not given on a collective record for a monographic series.

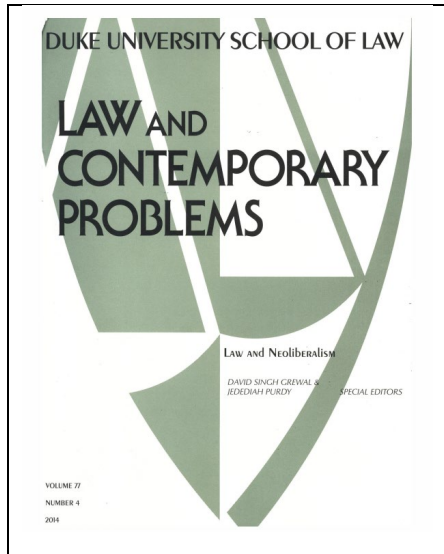
**Fig. 2.16**

Fig. 2.16. represents a serial, each issue of which has a distinctive title. Note that there is a "series editor" for the serial and that the designation scheme is typical of that of periodicals. There is also a list of forthcoming issues inside, each with its own title.

```

245 00 $a Law and contemporary problems.
310 ## $a Quarterly
362 1# $a Began with: Vol. 1, no. 1
      (December 1933-)
500 ## $ Each issue also has a distinctive
      title.
  
```

2.3. What to do when the appropriate treatment is unclear

In the discussion of types of publications covered above, the assumption has been made that the issuing pattern is known or can be predicted with confidence. What happens when only one issue is in hand and that issue has a designation but does not indicate that further issues will be published? Or what happens when a resource is issued electronically and there is no clear indication that it will be regularly updated and what form the updates will take?

2.3.1. Search shared databases and online catalogs

Catalogers today have a wide spectrum of databases and catalogs in which to search. CONSER catalogers always begin by searching OCLC (WorldCat). They may also choose to search individual library catalogs, particularly national library catalogs from other countries.

a. Serial vs. monograph

Search for both serial and monograph records and apply the following guidelines:

Frequency of publication

- If the resource has a stated frequency of publication (in the title proper, in the preface, etc.), catalog as a serial.
- If the resource is published in new editions, catalog as a serial if the frequency of the editions is one to two years; give greater consideration to continuing to catalog as monographs if the editions are published three or more years apart.

Presence and type of numbering. Although the presence of numbering is no longer part of the definition of a serial, most serials except for unnumbered monographic series will have numeric, alphabetic, and/or chronological designations.

- If the resource has a numeric/alphabetic (e.g., volume 1; tome 3; Heft A) or chronological designation (e.g., 2001; June 2002; 2002-1) in the title proper or elsewhere in the resource and it is likely that the resource doesn't have a predetermined conclusion, catalog as a serial.
- If the resource has acquired a numeric, alphabetic, or chronological designation after the first issue, recatalog as a serial.
- If the resource is published in frequent editions, it must have a designation (e.g., date, numeric edition statement) that could be used as numbering in order to be cataloged as a serial.

Likelihood of no predetermined conclusion. If the resource indicates that there is no predetermined conclusion, catalog as a serial. If the resource doesn't have such information, assume that a resource that has either of the following characteristics is a serial if it also meets the criteria given above for frequency and numbering.

Local policies can also determine how the resource is cataloged.

b. Integrating resources

The main distinguishing characteristic of an integrating resource is that the updates are integrated into the resource as a whole and do not remain as discrete parts. If the decision has been narrowed down to “serial vs. integrating resource” and the resource has wording that refers to “edition,” determine if that wording represents a numeric designation or an edition statement. If it is a numeric designation, catalog the resource as a serial; if it is an edition statement, catalog it as an integrating resource.

Consult Module 35 for detailed instructions on identifying and cataloging integrating resources.

2.3.2. Look further at the piece

If a database search does not help, and the obvious clues are missing (e.g., volume numbering, ISSN on a successively issued resource, frequency in title, subscription information, statement of updating practice, etc.), look at the introduction, preface, letter of transmittal, or, in the case of electronic publications, the “about” pages. Phrases such as “This is our first report ...” or “In future issues ...” are a good indication that the intent is to continue the publication. If the publication is from a government agency, investigate to determine whether the report is mandated by a law or regulation requiring the publication of a report each year.

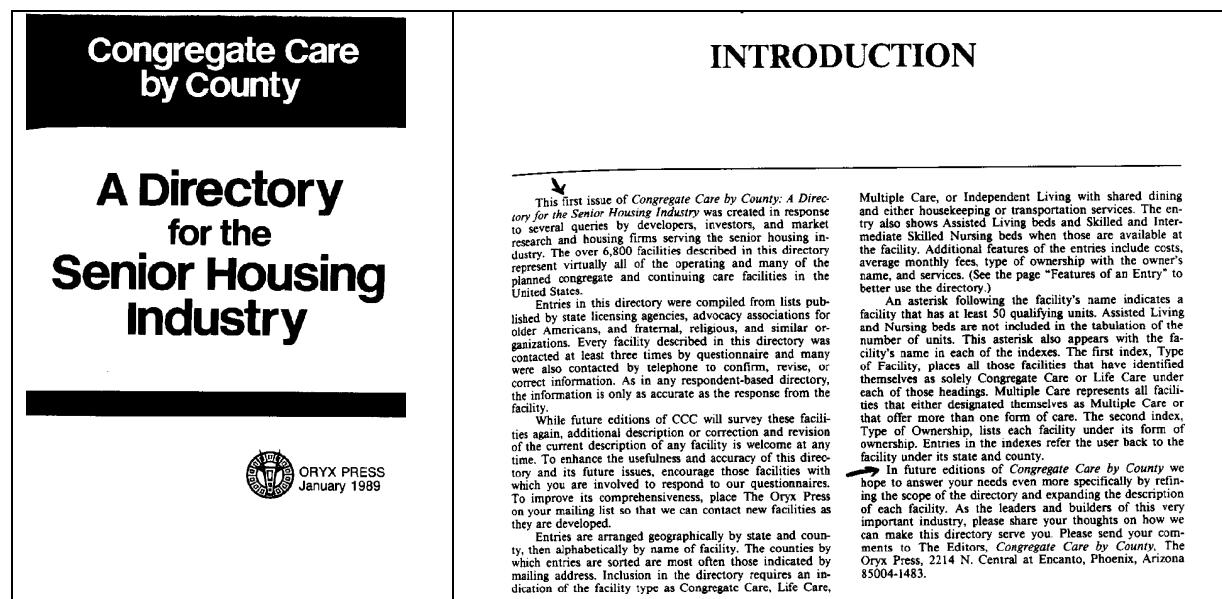


Fig. 2.17

In Fig. 2.17, the introduction calls this the *first* issue and mentions *future editions*. Thus a cataloger might deduce that this is intended to be a serial, even though no chronological designation is given on the chief source.

Consider the contents and nature of the resource. Does the resource contain the type of information that is likely to be issued on a continuing basis? Statistics, directories, reports of

activities or research are all types of information that are likely to be issued or updated regularly. If the topic seems finite, of a limited duration, or very specific, it is best to treat as a monograph.

2.3.3. Search publisher's websites, etc.

If you are really uncertain as to the nature of the work, a publisher's website may contain further information about the work that will indicate an intention to continue. If you can locate the contact information for an editor or publisher, ask them directly: will there be future editions? etc... Many publications also now contain the email address of the editor.

2.4. When to change treatment

It is often impossible to predict with accuracy what a publisher will do in the future. As a result, it may be necessary to change the way in which a publication has been cataloged due to information gained in "hindsight." Such decisions can only be made on a case-by-case basis. In a cooperative environment, catalogers not only make decisions of cataloging treatment that relate to their own libraries but must also evaluate decisions of cataloging treatment made by others, as evidenced by records on a cooperative database (e.g., OCLC).

2.4.1. Monograph to serial

This is the most common case for change of treatment and it includes the following situations.

- It becomes evident that the publication is being issued on a regular basis.
- It becomes evident that the title has changed and an earlier or later title has been cataloged as a serial (see also Module 16).

2.4.2. Serial to monograph

This is rarely done but may be necessary when it becomes apparent that the title is unstable and has changed with every, or almost every issue, and it appears that the title on future issues is also likely to change. The cataloging need not be changed, however, if a publication has been cataloged as a serial and it becomes obvious that the publication is being revised only on an as-needed basis.

2.4.3. Serial to integrating resource

An example of this situation occurs when an electronic journal stops publishing successive issues and changes to integrating updates or into a database. Earlier titles may not be retained; if so, this should be mentioned in a title history note. The change may warrant re-cataloging as an integrating resource although if a U.S. or Canada ISSN assignment is involved, the appropriate ISSN center should be contacted first.

2.4.4. Integrating resource to serial

This situation may occur when a loose-leaf has been cataloged as an integrating resource and it is later learned that the base volume is regularly issued; the record should be changed to a serial.

Summary

- When making determinations about treatment, consider first whether the resource will be issued on a continuing basis or whether it is finite, then the form in which it is issued (i.e., serial or integrating).
- Catalog a resource as a serial if it meets the definition or is one of the types of resources given in the definition of “serial” in *RDA 1.1.3 (Mode of Issuance)*.
- Treat a resource as an integrating resource when it meets the definition of an integrating resource (even if it was previously issued as a serial).
- When treatment is unclear, consider all available sources of information, including online catalogs and databases.
- Conference publications that have unique titles or are in a numbered monographic series are cataloged as monographs. Other conference publications can be cataloged as serials if they appear to be ongoing.
- Most loose-leaf publications are cataloged as integrating resources.
- Series may be cataloged as serials or the individual titles may be cataloged as monographs, serials, or integrating resources as appropriate. The decision on how to treat a series is made by each institution.
- Monographs are re-cataloged as serials when there is clear evidence that the publication is being issued regularly.
- Serials are not often recataloged as monographs.

NOTES