

M4. Serial versus Non-serial Cataloging Treatment in LC

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M4.1. Summary

DCM M4 presents guidelines for resolving questions about serial versus non-serial cataloging treatment of resources in LC. It primarily addresses the concerns of LC staff seeking to obtain resolutions of such questions, rather than those of the serials expert staff whose cooperation they request to resolve them. It summarizes the LC policy making serial versus non-serial questions necessary and the bases for serial versus non-serial decisions. It distinguishes "known LC serials" and "possible serials," provides guidance for dealing with each, and briefly describes processing that occurs in conjunction with each.

M4.2. LC General Policy

By general policy, if the Library of Congress catalogs a resource collectively as a serial, it does not (once it has made that decision) also create separate non-serial records for items that are parts of the serial. For example, if LC's catalog has a serial record for an annual story anthology, LC records the 2006 anthology in holdings on the serial record and does not also create a monograph record for it.

Exceptions: The LC catalog intentionally has both a serial bibliographic record and non-serial records for parts of the serial in certain circumstances:

- 1) **Rarely**, LC creates a separate non-serial record for an individual serial issue when the issue's individual importance for user needs is sufficient that a recommending officer requests separate cataloging.
- 2) Since April 25, 2006, when LC catalogs a resource collectively as a serial after it earlier completed cataloging some volumes individually as monographs, it **keeps the existing completed monograph records** and does not cancel them, reclassify them or re-label items. (Before this policy, LC catalogers routinely canceled monograph records covered by new LC serial records.) LC catalogers add notes to the serial and non-serial bibliographic and holdings records affected, in order to help users and staff locate and process LC holdings. For example:

	<i>Bibliographic record</i>	<i>Holdings record</i>
Monograph	500 ## \$a Issues for 1996- cataloged as a serial in LC. \$5 DLC 955 ## \$a SEND ALL OTHER ISSUES FOR SERIAL CATALOGING	852 0# \$b c-GenColl \$h PC2119 \$i .A45 1998 \$t Copy 1 \$z Issues for 1996- cataloged as a serial in LC.
Serial	500 ## \$a Earlier issues, 1993-1995, cataloged as monographs in LC. \$5 DLC	852 0# \$b c-GenColl \$h PC2119 \$i .B35 \$t Set 1 \$z Earlier issues, 1993-1995, cataloged as monographs in LC.

Instructions for this are in ABA's procedural document Monograph-to-Serial Cataloging in the LC ILS (www.loc.gov/staff/idt/ABAW-P/SER/SER-CAT/CATTYPE-MonoToSerial.pdf).

If LC monograph records get **completed** (despite policy) **after** the LC serial record already exists, LC follows the same procedures and keeps those records. *Note:* **In-process** monograph records covered by LC serial records **do** get canceled.

Note: See DCM C8.2 concerning items stored off-site that LC recatalogs as serials. In those cases, LC cancels the non-serial **bibliographic** records but retains the non-serial **holdings records** (including non-serial call numbers), re-linked to the serial bibliographic record in the LC ILS database.

The existence of serial or non-serial records cataloged by agencies outside LC (which can make different decisions) does not necessarily indicate the way LC is treating the resource(s)—search LC's catalog as necessary to discover that. Likewise, the LC ILS database incorporates vendor-supplied resource records (with only "acqvend" under "History") in batches that include some monograph records for issues covered by LC serial records; but those do **not** mean LC will catalog those as monographs—LC checks in the serial issues normally upon receipt and deletes the unwanted resource records.

The policy described in the preceding paragraphs **does not apply to monographic series** and is distinct from LC's policies for series analysis and classification decisions (see LC-PCC PS 1.5.1, LC-PCC PS 2.1.3, LCRI 13.3, and DCM M5). For series that LC gave "analyze, classify as a collection" decisions in the past, the LC catalog intentionally has both serial records for the monographic series and monograph records for analytics.

M4.3. Bases for Serial Versus Non-serial

Standards: The primary standards that determine whether LC catalogs a resource as a serial or not are the following:

- 1) **RDA** and **AACR2**: RDA's definitions of "serial¹," "integrating resource²," and "monograph³" and the scope instructions in

¹ A resource issued in successive parts, usually bearing numbering, that has no predetermined conclusion (e.g., a periodical, a monographic series, a newspaper). Includes resources that exhibit characteristics of serials, such as successive issues, numbering, and

RDA 2.13 are the main guidance for serial versus non-serial treatment decisions. AACR2's definitions of those terms and the scope instructions in AACR2 12.0A1 were the guidance for resources cataloged according to AACR2.

- 2) **LC-PCC PS 0.0** and **LCRI 1.0**: LC-PCC PS 0.0 interprets the RDA definitions and guidelines for application in LC cataloging and gives LC-specific instructions for certain situations and categories of resources (such as conference publications). LCRI 1.0 did the same for resources cataloged according to AACR2.

Facts: Along with the standards cited above, **facts** discovered when processing a resource contribute to the observation that LC may catalog the resource as a serial (or not):

- The **resource in hand** sometimes provides relevant information—for example, a volume calls itself "number 1" and states that it is annual.
- **Circumstances** sometimes provide significant facts—for example, multiple volumes in hand from 2002, 2004, and 2006 suggest that a resource is a serial when an individual volume in isolation might not.
- Information from acquisitions providers, bibliographic records, or **other information sources** sometimes supports considering the resource as a serial—for example, an annual subscription is available, or volumes from different years exist. *Note*: LC catalogers routinely search in the database(s) where they normally work (for example, the LC ILS database) and consult other sources only **selectively**, when their judgment tells them doing so may help them be more timely and accurate.

ISSN: Consider presence of an International Standard Serial Number (ISSN) in a resource **in conjunction with** the standards and fact sources described above. Not every resource carrying an ISSN is a serial. Include a search for any ISSN that the resource carries as part of routine searching to find whether the resource is a "known LC serial" (see M4.4.1). If it is not, apply the standards described above and, if there remains **any** doubt about whether the resource is a serial for LC cataloging purposes, handle it as a

frequency, but whose duration is limited (e.g., newsletters of events) and reproductions of serials.

² 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).

³ A resource that is complete in one part or intended to be completed within a finite number of parts.

"possible serial" (see M4.4.2).

M4.4. Resolving Serial Versus Non-serial Questions

Obtain the cooperation of local staff with serials cataloging or serials processing expertise (those in your section or others who help your division with such problems) in order to resolve questions about whether a resource will be treated as a serial or not in LC and to ensure that the resource is processed correctly. If there is difficulty resolving the matter locally, consult ABA Policy and Standards Division.

Request cooperation from serials expert staff by whatever method is mutually agreeable and effective (for example, email, meeting, or using a Materials Routing slip). Best practices are to provide your expert colleagues with record IDs for any serial or non-serial records involved and access to any physical items in hand, along with concise information about what you want them to do.

If it is clear, recognize whether the resource you have is a "known serial" or a "possible serial" and take appropriate steps according to M4.4.1 and M4.4.2.

Note: Look for any note in a non-serial record for the resource indicating LC already made a serial versus non-serial decision and does not need to make one again:

- 1) LC rejected the resource for cataloging as a serial (note in 955 or 952); *or*
- 2) LC recorded in a note that it decided to leave that item cataloged on that non-serial record and catalog other issues as a serial (note in LC-specific 500, as described in M4.2).

M4.4.1. Known LC Serials

Definition and identification: A "known LC serial" for the purposes of these instructions is a resource that **already has a serial bibliographic record in the LC ILS database and that LC is controlling by means of that serial record.**

Leader/07 (bibliographic level) with code "s" identifies a bibliographic record that you found as being for a serial. It helps to recognize, additionally, whether the serial record has a nonpermanent retention decision or an "acquire" decision in LC.

Serials with nonpermanent retention in LC: The 925 field with the current selection information has subfield \$a with a "do not acquire" decision or one that includes "CIO" (current issues only), such as "acquire-CIO" or "acquire-CIO until microfilm." The record generally has "bbc" (basic bibliographic control) in 906 \$b, indicating the record follows LC local guidelines but not necessarily other cataloging standards.

Cooperate with local colleagues who process serials in order to get serial items with nonpermanent retention decisions checked-in ("CIO" decisions) or discarded ("do not acquire").

If there is doubt about the selection decision or whether the serial record covers the item in hand, request help in resolving the matter from local colleagues who catalog serials. Also work with them if the item in hand has a monograph IBC record with an LCCN and, therefore, the monograph LCCN needs to be tracked in the serial bibliographic record's 010 \$z when the monograph record is canceled.

Serials with "acquire" decisions in LC: The 925 field with the current selection information has "acquire" in subfield \$a. The record generally has "cbc" or "cbu" in 906 \$b, indicating cataloging was completed, or "par," indicating descriptive cataloging was completed but subject cataloging or shelflisting is in process. The record follows cataloging standards (such as RDA or AACR2) that applied at the time of the record's creation.

Field 050 should be present and have first indicator "0" (item is in LC). If it has first indicator "1" (item not in LC), handle the item according to the selection decision in the record.

Field 050 should not contain a message "UNC" or "CLASSED SEPARATELY," which indicates the serial record remains in the LC ILS database from earlier practices and represents a **monographic series analyzed and classed separately** in LC (so LC is not controlling the series by means of that record.) If field 050 has either of those messages, proceed with processing the analytic item in hand as a separate resource.

Field 050 should not contain a message "ISSN record," which indicates the serial record was created for registration of an International Standard Serial Number but LC (a) has decided not to acquire the serial or (b) has made no selection decision yet. If field 050 has that message, handle the item according to the selection decision in the record. If there is no selection decision yet, cooperate with local serials cataloging colleagues and selection officers to obtain one and initiate processing consistent with that

decision.

Field 042, if present, should not contain "xlc," indicating LC decided not to treat the resource as a serial (although other institutions may do so).

If the serial record found meets the above criteria, cooperate with local colleagues who process serials in order to get "acquire" serial items checked-in.

If there is doubt about whether the serial record covers the item in hand, request help in resolving the matter from local colleagues who catalog serials. Also work with them if the item in hand has a monograph IBC record with an LCCN and, therefore, the monograph LCCN needs to be tracked in the serial bibliographic record's 010 \$z when the monograph record is canceled.

Processing of "known LC serials" after resolution of questions: Local staff and serials experts may divide tasks in a way that is convenient and effective for them, but need to accomplish the following things, using procedures in ABA's serials cataloging workflow and procedures documentation (www.loc.gov/staff/idt/ABAW-P/).

- Items are checked-in on serial records, as appropriate.
- If a significant change in a serial is noticed (such as a new publisher or a minor change in title), staff who catalog serials modify the serial record as necessary.
- If there are LC completed monograph records for some parts that are stored off-site, staff do processing according to DCM C8.2. Otherwise, if there are LC completed monograph records for some parts, cataloging staff add explanatory notes as described in M4.2.
- LCCNs from any canceled monograph records are tracked in 010 \$z in the serial bibliographic record.
- Barcoded item records from any canceled monograph records get re-linked to the serial record and updated appropriately.

- Canceled monograph records get deleted from the LC ILS database. (If there is much delay expected between the decision to cancel the records and their deletion, 955 cancellation messages get input, as described in DCM M3.3.4.1.)

M4.4.2. Possible Serials

Definition and identification: A "possible serial" for the purposes of these instructions is a resource that **you believe is or possibly may be a serial** for LC cataloging purposes (based on available facts and application of the standards described in M4.3) **and that does not fit the criteria for a "known LC serial"** in M4.4.1.

Often there is no serial bibliographic record found in the LC ILS database for a "possible serial." In some circumstances, however, there is a serial record in the LC ILS database that covers the resource but it appears LC has not cataloged the serial yet. Handle such cases as "possible serials," too, for practical purposes. Those circumstances include **at least** the following:

- Field 906 has "ibc" or "acq" in subfield \$b (even if the record has an "acquire" decision), indicating the record is in a pre-cataloging state.
- Field 050 has "ISSN RECORD" and the record does **not** have "xlc" in field 042, indicating the record so far is for ISSN registration and LC has not yet processed the resource as a serial **but** has not decided **not** to treat it as a serial in LC.

Also handle an item as a "possible serial" if you are not sure whether a serial record you found in the LC ILS database covers it or not.

If you find serials cataloging for a resource in a bibliographic source outside LC, that may be a clue that it is a "possible serial." Observe whether the record has field 042 with the code "**xlc**." Only LC serials catalogers input that code. It indicates that LC has seen the record and decided **not** to catalog the resource as a serial in LC. In that case, generally do not handle the resource as a "possible serial" (unless you have new information that you believe calls for a new decision.)

Cooperate with local staff who catalog serials in order to resolve how LC will treat a "possible serial." If there is difficulty

resolving the treatment locally, consult ABA Policy and Standards Division.

It is helpful to provide for the serials experts from whom you request help any information you found that makes you think the resource may be a serial (such as records found in another bibliographic source or information from a publisher's Web site).

Processing of "possible serials" after resolution of questions: Local staff and serials experts may divide tasks in a way that is convenient and effective for them, but need to accomplish the following things, using procedures in ABA's serials cataloging workflow and procedures documentation (www.loc.gov/staff/idt/ABAW-P/).

- Serials experts determine whether the resources are serials for LC cataloging purposes or not, applying the **standards cited in M4.3, CONSER documentation, ABA serials procedural documentation**, etc.
- Resources rejected as serials in LC return for non-serial processing. If there is a serial record in the LC ILS database already, guidelines in M4.5 are applied.
- Resources accepted as serials get serial IBC records and serial selection decisions (which are separate from any prior decisions for items as non-serials).
- Serials with "do not acquire" or nonpermanent retention decisions (such as "acquire-CIO") get basic bibliographic control records. Items are discarded or checked-in nonpermanently, depending on the decision.
- Serials with "acquire" decisions get Purchase Orders processed, as necessary. Then they continue as IBC records and enter the cataloging process. Serial bibliographic records are processed in OCLC for the CONSER database and merged with the serial IBC records in the LC ILS. LC local data are completed in the LC ILS.
- Items are checked-in on serial records, as appropriate.
- If there are LC completed monograph records for some parts that are stored off-site, staff do processing according to DCM C8.2. Otherwise, if there are LC completed monograph records for some parts, cataloging

staff add explanatory notes as described in M4.2.

- LCCNs from any canceled monograph records are tracked in 010 \$z in the serial bibliographic record.
- Barcoded item records from any canceled monograph records get re-linked to the serial record and updated appropriately.
- Canceled monograph records get deleted from the LC ILS database. (If there is much delay expected between the decision to cancel the records and their deletion, 955 cancellation messages get input, as described in DCM M3.3.4.1.)

M4.5. Non-serial Instead Of Serial

If there is a serial bibliographic record (IBC or completed) already in the LC ILS database but it is determined that the resource should be cataloged as a non-serial in LC instead (based on the criteria in M4.3), colleagues with the necessary serial and non-serial expertises cooperate to get the resource processed for LC with the correct treatment.

Catalogers resolving such a situation take the actions instructed in ABA's procedural document *Monograph vs. Serial Treatment Decisions* (under "Publications rejected as serials"). Those steps include the following:

- Add "xlc" in 042 in any CONSER serial record in OCLC for the resource, indicating LC decided not to treat the resource as a serial.
- Annotate any existing non-serial LC ILS bibliographic record for an item in hand by adding 955 \$a "[code date] Rejected as serial." (A brief explanation of the rejection may also be noted, if it seems helpful.)
- See that appropriate Purchase Order changes are made, as necessary.
- Cancel the serial bibliographic record in the LC ILS database (and in the CONSER database, if appropriate).