



# **SERIES TRAINING FOR PCC PARTICIPANTS**

## **Series Statements and Series Authority Records**

### **Session 1: Introduction**

**Program for Cooperative Cataloging  
Standing Committee on Training**

**May 2014  
rev. May 2016**



# Series Statements and Series Authority Records

## Session 1: Introduction

### Summary

This introductory session provides general information that helps orient the trainee prior to delving into sessions that focus on the narrower aspects of Program for Cooperative Cataloging (PCC) series work. This session includes information about this manual, the purpose and scope of the training, 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 *Resource Description and Access (RDA)*. Lists of important definitions, concepts, and documentation are also provided.

### Objectives

At the end of this session, you should be able to:

- understand the purpose and scope of this training
- apply key definitions and concepts encountered when working with series
- know where instructions for PCC/NACO series authority practice are located
- understand the functions and context of a SAR
- know the types of resources for which a SAR is not normally created



## Table of Contents

About this Manual .....	1
About the Training .....	3
Purpose and Goals of the Training.....	3
Documentation .....	3
Scope of the Training .....	3
Series Authority Statistics .....	4
Overview .....	5
Definitions and Key Concepts .....	5
Functions of Series Authority Records.....	6
Context for Series Authority Records .....	6
Series Authority Control and <i>AACR2</i> , <i>RDA</i> .....	7
When to Create a Series Authority Record.....	7
Categories of Series Changes .....	9
Major Change in Title Proper .....	9
Three Categories of Major Change in the Title Proper of a Serial .....	9
Minor Changes .....	10
Title of Short Duration .....	14
Change in Responsibility .....	15
Translation -- Change in Title of Original .....	17
Change in Media Type.....	17
Change in Mode of Issuance .....	18
Main Series Appears/Disappears from Resource .....	19
Numbering Changes.....	20
Change of Place -- Minor Change.....	22
Related Works, Expressions, and Relationship Designators.....	23
The Relevant Structure of RDA .....	23
Other Relationships .....	24



## 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 the 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 was twofold: 1) discussing and making recommendations for policy questions that arose as the RDA in Series Training Task Group created its training materials; and 2) systematically reviewing all series-related documentation, and proposing any needed series-related changes to RDA, LC-PCC PSs, and DCM Z1. As of early March 2016, most of its policy recommendations have been incorporated into new releases of the RDA Toolkit and the DCM Z1 manual.

In March 2014, a preliminary edition of the series manual was made available on the Cataloger's Learning Workshop. In March 2015, a new group, the SCT Series Practice Task Group, began work on a 2015 revision of the manual. This group consists of the following members: Tim Carlton (LC), Joanna Dyla (Stanford), Les Hawkins (LC), Hien Nguyen (LC), Robert Maxwell (Brigham Young University), George Prager (New York University, Law), and two members from outside SCT: Becky Culbertson (University of California, San Diego), and Robert Rendall (Columbia University). 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.



## About the Training

### Purpose and Goals of the 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, and
- 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 and revise series authority records in the MARC 21 format, in accordance with *RDA* instructions and PCC/NACO 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 text of *RDA* is also available in a print edition. The print edition is updated annually, whereas the edition contained in the *RDA Toolkit* is updated quarterly.

### Scope of the 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. If there is a need, PCC catalogers may create series authority records for such series following the principles found in *RDA* and in this training.

## Series Authority Statistics

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 of series, the breakdown is as follows:

<b>008/12 (Type of series)</b>	<b>Jan. 2013</b>	<b>May 2007</b>
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%

<b>008/13 (Numbered/unnumbered)</b>	<b>Jan. 2013</b>	<b>May 2007</b>
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.

## Overview

### 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 RDA glossary definition above is sometimes thought to apply exclusively to the term Monographic series. However, it is important to note that the word “series” is defined more broadly in RDA, and is so used in the LC-PCC Policy Statements, and in the MARC 21 formats, and may include the following types of resources if they meet the glossary definition:
- Monographic series
  - Other type of serial
  - Multipart monograph
  - Integrating resource

The title of any such resource may be recorded in a bibliographic 490 field (series statement) if needed and appropriate. (LC-PCC Policy Statement 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, series statement is recorded in 490.

**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.

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

**Multipart monograph:** A resource issued in two or more parts (either simultaneously or successively) which is complete or intended to be completed within a finite number of parts (e.g., a series of novels by a single author, a series of publications covering the activities of a conference).

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

➤ *Comment:* The term is not defined in *RDA*.

**Comprehensive description:** A description that represents the resource as a whole. Series can be recorded in comprehensive descriptions. A series authority record is an example of a comprehensive description of a series. If represented in a bibliographic record, a comprehensive description of a monographic series is serial in nature; a bibliographic comprehensive description of a multipart monograph is monographic in nature.

**Analytical description:** A description that represents a part of a larger resource (e.g., a single volume of a series of novels by a single author, a single map forming part of a map series). [The part described may be a monograph, serial, or integrating resource.]

➤ *Comment:* The series authorized access point (8XX) in an analytic description matches the authorized access point in the series authority record (1XX) or the access point for the work or expression in the corresponding comprehensive bibliographic description (130, 245 \$a, 1XX/245, or 1XX/240 \$a).

## Functions of Series Authority Records

- *Authoritativeness:* to validate the authorized access point of the series; to document the authority data creator's reason for choosing that authorized access point
- *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

A Series Authority Record (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. Expressed in terms of the *Functional Requirements for Bibliographic Records (FRBR)*, the relationship is between two Group 1 entities. (Some name authority records (NARs) also represent works or expressions, and they function in the same way.)

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

Because the SAR represents a specific bibliographic resource, it must be “in synch” with any corresponding national level bibliographic record (CONSER or BIBCO) that may exist. A CONSER record is a serial or integrating resource record with 010 and 042 fields. A BIBCO record is a monograph or integrating resource record with an 042 field, and sometimes a 010 field. If the SAR represents a serial, it must have the same authorized access point, ISSN, start/end dates, numbering, etc., as the CONSER serial record. If the SAR represents a monographic resource, it must have the same authorized access point as the bibliographic record for the multipart monograph.

## Series Authority Control and AACR2, RDA

Under AACR2, some decisions about authorized series access points 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 any distinction between bibliographic description and authority description.. With RDA, the focus is on the FRBR entities: Work, Expression, Manifestation, and Item, with instructions for series authority records 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 section Z1 of *LC's Descriptive Cataloging Manual* (DCM). 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*.

## When to Create a Series Authority Record

Tracing series is optional in all PCC records, whether or not a SAR exists. However, if you want to trace a series in a PCC record, you must use an existing SAR or create one if there is none.



## Categories of Series Changes

This section addresses the following categories of series changes:

- Major change in title proper (including minor changes exceptions)
- Title of short duration
- Change in responsibility
- Translation: change in title of original
- Change in media type
- Change in mode of issuance
- Main series appears/disappears from resource
- Numbering changes (see also “Numbering Changes” in Session 6)
- Change of Place

### Major Change in Title Proper

- *RDA 2.3.2.12, Recording Changes in the Title Proper*
- *RDA 2.3.2.13, Major and Minor Changes in the Title Proper of Serials*
- *LC-PCC PS 2.3.2.13*

### Three Categories of Major Change in the Title Proper of a Serial

*NOTE: Major changes are covered in RDA 2.3.2.13.1, which splits into two sub-instructions: 2.3.2.13.1.1 covers Languages and Scripts That Divide Text into Words, and 2.3.2.13.1.2 covers Languages and Scripts That Do Not Divide Text into Words. The discussion below focuses on 2.3.2.13.1.1.*

2.3.2.13.1 cites three categories of major changes in the title proper of a serial:

- a) the addition, deletion, change, or reordering of any of the first five words (the first six words if the title begins with an article) unless the change belongs to one or more of the categories listed as minor changes (see 2.3.2.13.2)
- b) the addition, deletion, or change of any word after the first five words (the first six words if the title begins with an article) that changes the meaning of the title or indicates a different subject matter
- c) a change of name for a corporate body included anywhere in the title if the changed name is for a different corporate body

LC-PCC PS 2.3.2.13 instructs that if the change of the name of the corporate body recorded as part of the title proper requires the creation of a new AAP (Name Authority Record (NAR)) for the body, consider the change to be major. In other words, a “different” corporate body is one that has a different NAR, even if it is essentially the same organization with a name change.

Note that category a) above is conditional and must be considered in the context of the minor change exceptions (*RDA* and *LC-PCC PS 2.3.2.13.2*) discussed briefly below. Rules ii) and iii) are not conditional.

In the case of a major change in title proper, create a new AAP for the series and link the records appropriately.

For minor changes, the existing AAP for the series should be updated with variants and either cited in the 670 field or given in a general note in 667 (see also Session, Variant Access Points, and Session 13, Updating Authority Data).

## Minor Changes

Compare the types below against the *RDA* major change instruction 2.3.2.13.1, category a) to determine if the situation in hand is an exception to the major change.

*Further:*

- *RDA 2.3.2.13.2* stipulates that in case of doubt, consider the change to be a minor change.
- *LC-PCC PS 2.3.2.13* states that multiple minor changes in the title do not equal a major change.

*RDA 2.3.2.13.2* lists types a)-i), and the *LC-PCC PS* provides guidance for types a), c), e), g), h), and i).

a) Difference in the representation of a word or words anywhere in the title

This includes alternate spellings, acronyms, initialisms, dates, numbers, etc. vs. their spelled out forms, singular vs. plural, orthographic change, grammatical change such as singular vs. plural or change of case such as genitive vs. nominative, adjective vs. noun, hyphenated vs. unhyphenated words, one vs. two word compounds, etc.

*Examples:*

Psychological report	vs.	Psychological reports
Creative arts and crafts	vs.	Creative arts & crafts
Labor analysis study	vs.	Labour analysis study
JKL Society bulletin	vs.	JKL Society's bulletin
Nachrichten für Dokumentation	vs.	NFD
Africa news watch	vs.	African news watch
Openhouse	vs.	Open house

- b) the addition, deletion, or change of articles, prepositions, or conjunctions anywhere in the title

*Examples:*

Research in education	vs.	Research on education
History of Americas	vs.	History of the Americas

- c) a difference involving the name of the same corporate body and elements of its hierarchy or their grammatical connection anywhere in the title (e.g., the addition, deletion, or rearrangement of the name of the same corporate body, the substitution of a variant form)

Any variation or an absence of the same corporate body recorded as part of the title is a minor change ("Same" corporate body includes a body using a variant name that can be coded as such in authority data (MARC 21 4XX)).

*Examples:*

Discussion paper [issued by the International Medical Association]	vs.	Discussion paper of the International Medical Association
Iowa Farmers' Group report	vs.	IFG report
Biennial report	vs.	Biennial report to the Governor and Legislature
[recipient of the report is the same from year to year, but is added or dropped from the title]		
<i>But, major change:</i>		
Arbeitsbericht (Hochschule der Bundeswehr München. Institut für Interdependenz von Technik und Gesellschaft)	vs.	Arbeitsbericht (Universität der Bundeswehr München. Institut für Interdependenz von Technik und Gesellschaft)
[corporate body changed its name and a new NAR was created for the new body]		

- d) the addition, deletion, or change of punctuation, including initialisms and letters with separating punctuation vs. those without separating punctuation, anywhere in the title

*Examples:*

JMM paper series	vs.	J.M.M. paper series
Data-base applications	vs.	Data base applications

- e) a different order of titles when the title is given in more than one language on the source of information, provided that the title chosen as title proper still appears as a parallel title proper

The LC-PCC PS also states to apply this category when a title is given in more than one script, for example Latin vs. Arabic, etc. Furthermore, if the addition of a new title in another language or script appears on a later volume and it would affect the choice of title proper if the description were based on that volume, still consider the change to be minor unless the publisher has indicated in a statement of an intention to change the title or if a new ISSN appears on the volume.

*Example:*

On series title page:
South African medical journal
Suid Afrikaanse tydskrif vir geneeskunde
On series title page of subsequent volume:
Suid Afrikaanse tydskrif vir geneeskunde
South African medical journal

- f) the addition, deletion, or change of words anywhere in the title that link the title to the numbering

This is more applicable to non-analyzable serials, since the numbering for monographic series is rarely linked to the title.

*Examples (non-analyzable serials):*

Annual report for the year 2001	vs.	Annual report 2002
Tin	vs.	Tin in 2002

- g) two or more titles proper used on different issues of a serial according to a regular pattern

This is also rare for monographic series. However, the LC-PCC PS applies this category to situations in which the language of the title varies from one volume to another, according to the language of the content. This can mostly be determined retrospectively. If a statement from the publisher or the presence of a new ISSN on the resource indicates an intention to change the title, consider the change to be major.

In such cases, care should be taken to determine if there are actually parallel language editions of the series being issued simultaneously; if so, separate AAPs representing each language edition should be created and linked (see Session 6).

- h) the addition to, deletion from, or change in the order of words in a list anywhere in the title, provided that there is no significant change in the subject matter

The LC-PCC PS states that a list means at least three terms.

This rule is also more applicable to non-analyzable serials than to monographic series (travel guides, car manual, crafts periodicals, etc.)

*Example (non-analyzable serial):*

Quarterly returns of trade for the ports of Jenchuan, Chinnampo, Kunsan, Mokpo, Fusan, Masampo, Wonsan, and Songchin

vs.

Quarterly returns of trade for the ports of Chemulpo, Chinnampo, Kunsan, Mokpo, Fusan, Masampo, Wonsan, and Songchin

[Jenchuan dropped, Chemulpo added]

- i) the addition, deletion, or rearrangement anywhere in the title of words that indicate the type of resource such as "magazine," "journal," or "newsletter" or their equivalent in other languages.

LC-PCC PS states that the change of one word to a different type of resource word, for example, "series" to "report, or "studies" equals a major change, as do words that denote frequency such as "Bi-annual".

*Examples:*

Renaissance history series	vs.	Renaissance history
Collection Histoire et tradition	vs.	Histoire et tradition
Series on genetic research	vs.	Genetic research series
<i>But, major change:</i>		
ERS staff paper	vs.	ERS staff report

## Title of Short Duration

A title of short duration is a title that is a major change and appears on one or several volumes before switching back to the original title.

There is no specific rule for this in *RDA* or the policy statements, and this can only be judged in retrospect (for details, see CONSER Cataloging Manual 16.2).

Agreement is difficult on the number of issues or period of time that constitute a short duration. A PCC (CONSER/NACO SAR) policy has been to search the CONSER database and search for SARs (if it is a monographic series) to determine if separate records and/or ISSNs have been assigned to each title. In either case, records are to be left as they are. If there are no records or evidence of ISSN changes, treat the changes as minor and update existing SARs with notes and variant access points.

## Change in Responsibility

- *RDA 6.1.3.2, Works Issued as Serials*
- *RDA 6.1.3, Changes Affecting the Identification of a Work*

Change in the authorized access point (AAP) for a person, family, or corporate body used:

- in the AAP for the work (i.e., as a creator)
- as an addition to the AAP for the work (i.e., qualifier)

For these types of changes, it is necessary to identify whether or not a change of preferred name has occurred or a new entity is associated with the series. Consult a Name Authority Record (NAR) for the preferred name to compare with the name on the resource at hand: is it a variant, a change, or is a different entity now responsible for the series work?

In addition to creating a new SAR for a change in name or in responsibility, it is necessary to create a new NAR for a changed or different entity used in constructing the AAP for the series as a creator or as an addition to the AAP, if the NAR does not already exist.

It is more common that a series is associated with a corporate body, than with a person or family. So you will want to pay particular attention to RDA Chapter 11, *Identifying Corporate Bodies*.

- *RDA 11.2.2.6* deals with a change of the preferred name of a corporate body, and the *LC-PCC PS* describes minor name changes for corporate bodies.
- *RDA 9.2.2.7* provides instructions on a change of the preferred name for a person.
- *RDA 10.2.2.7* provides instructions on a change of the preferred name of a family.

*Examples:*

- Change in the corporate body as creator.

*New SAR:*

111 2# \$a Forensic Science Conference. \$t Forensic science proceedings  
 511 2# \$w a \$a Conference on Forensic Science. \$t Forensic science proceedings  
 670 ## \$a ...  
 670 ## \$a ...

- Change in the corporate body used as an addition to the AAP (with new NAR).

*New SAR:*

130 #0 \$a Discussion paper (American Society of Associations)  
 530 #0 \$w a \$a Discussion paper (American Society of Organizations)  
 670 ## \$a ...  
 670 ## \$a ...

*New NAR documenting the new name:*

110 2# \$a American Society of Associations  
 510 2# \$w a \$a American Society of Organizations  
 670 ## \$a Annual report, 2003: \$b t.p. (American Society of Associations) pref. (name changed in January 2003 from American Society of Organizations)

- However, if the NAR for a body used as a qualifier is revised, do not create a new SAR; instead, change the form of the name in the qualifier as necessary, to match the authorized access point in the NAR (*LC-PCC PS 6.27.1.9, Serials, 4. Change in qualifier, a) Body used as qualifier, ii*).

*Example:*

130 #0 \$a Series title (Instytut belaruskaj kul'tury (Minsk, Byelorussian S.S.R.))

## Same SAR 130, updated:

130 #0 \$a Series title (Instytut belaruskaj kul'tury (Minsk, Belarus))

According to *LC-PCC PS 6.27.4, Other Situations, 6. Change in parenthetical qualifier not requiring a new record*, a variant access point can be provided from the series with the “changed” qualifier. In this case, the variant for the series with the former form of the qualifier could be retained in the SAR if thought to be useful in identification. Also, according to DCM Z1, 4XX See From Tracings, Best practices guidelines for RDA, catalogers should trace a former AAP as a cross reference in all cases.

*Example:*

130 #0 \$a Series title (Instytut belaruskaj kul'tury (Minsk, Belarus))  
 430 #0 \$a Series title (Instytut belaruskaj kul'tury (Minsk, Byelorussian S.S.R.))

## Translation -- Change in Title of Original

- *LC-PCC PS 6.1.3.2, Works Issued as Serials*

When there are different language expressions of a series work, and the preferred title of the work changes (i.e., the original language version), create a new SAR even though the different language expression (i.e., the translated title) has not changed.

*Example:*

130 #0 \$a Builders of hope. \$l Spanish
430 #0 \$a Forjadores de esperanza
530 #0 \$w b \$a Hope builders. \$l Spanish
130 #0 \$a Hope builders. \$l Spanish
430 #0 \$a Forjadores de esperanza
530 #0 \$w a \$a Builders of hope. \$l Spanish

## Change in Media Type

- *RDA 1.6.2.2, Change in Carrier Characteristics of a Serial*
- *LC-PCC PS 24.6, H. One or Several Series Authorized Access Points*

For the following variations, consider that a single series exists, unless there is evidence showing that they are in fact separate series:

- if the media type varies or changes within the series.
- if the carrier type varies or changes within the series
- if all parts of the series are each published in two or more media or carrier types.

If warranted, add information on the authority record or records explaining the variation.

For example, if a series issued on a microfilm reel changes to microfiche (see also Session 13, Updating Authority Data). Also, do not create a new description if the media type varies within the series work; instead, create a note explaining the variation.

Print and online manifestations of the same series should not be differentiated by means of a qualifier. Since these two manifestations are the same work and expression, they should have the same series AAP and a single SAR.

*Examples:*

130 #0 \$a Biograph series 530 #0 \$w b \$a Biograph series (DVD)
130 #0 \$a Biograph series (DVD) 530 #0 \$w a \$a Biograph series
130 #0 \$a CSIRO Atmospheric Research technical paper 530 #0 \$w b \$a CSIRO Atmospheric Research technical paper (Online)
130 #0 \$a CSIRO Atmospheric Research technical paper (Online) 530 #0 \$w a \$a CSIRO Atmospheric Research technical paper

## Change in Mode of Issuance

- *RDA 1.6.2.1 Serials, Change in Mode of Issuance of a Serial*

If a monographic series (a type of serial work) changes to a multipart monograph or an integrating resource, or vice versa, a new description (i.e., AAP for the series work) is created. LC-PCC PS points out that modes of issuance are indicated in bibliographic records via the MARC Bibliographic level codes (Leader/07), such as “s”=serial, “m”=monograph, etc. Modes of issuance are coded in the MARC authority format element “Series” (008/12); for example “a”=monographic series, “b”=multipart item, etc.

*NOTE: When a monograph series changes to a serial, or vice versa, the mode of issuance has not changed -- because monograph series are serials. In such cases, recode 008/12 (use value “z – Other” for serials that are not monographic series) and add a 667 to the SAR (see DCM Z1, 667 (4) and 64X – SARs for serials other than monographic series).*

## Main Series Appears/Disappears from Resource

- *LC-PCC PS 6.1.3.2, Works Issued as Serials*
- *RDA 6.1.3, Changes Affecting the Identification of a Work*
- *(See also Session 9)*

Create a new AAP for the series:

- when the title of a main series included in the existing SAR disappears from later volumes;
- when the title of a main series not included in the existing SAR appears on later volumes.

If the presence/absence of the main series is thereafter inconsistent, update the SAR for the later AAP with information and variant access points as needed, rather than creating another AAP for the change.

*Example of main series disappearing, and then reappearing:*

*Original SAR:*

130 #0 \$a Plant studies. \$p Current research

When a subsequent volume is received, the main series has disappeared from the resource. Create a new SAR without the main series and link it to the earlier SAR using 5XX fields.

*New SAR:*

130 #0 \$a Current research  
530 #0 \$w r \$i Continues (work): \$a Plant studies. \$p Current research

*Previous SAR:*

130 #0 \$a Plant studies. \$p Current research  
530 #0 \$w r \$i Continued by (work): \$a Current research

When the main series/subseries 'returns' on a later volume, add a 430 for it on the latest SAR for the (include a qualifier, in this case a date, to the AAP for the variant access point per *LC-PCC PS 6.27.4*, since the variant would otherwise conflict with the AAP for the earlier SAR):

130 #0 \$a Current research  
430 #0 \$a Plant studies. \$p Current research ([date])  
530 #0 \$w r \$i Continues (work): \$a Plant studies. \$p Current research

## Numbering Changes

- *LC-PCC PS for 24.6, H. One or Several Series Authorized Access Points*
- (See also Session 6)

Consider that a single series exists if some issues are numbered but one or more issues are unnumbered. Numbered/unnumbered issues are part of the same aggregate work, and use the same authorized access point.

All changes in numbering can be updated in the existing SAR. Here are the most common situations:

- a numbered series becomes unnumbered;
- an unnumbered series becomes numbered and starts with “1” and the numbering system exclude previously numbered issues.
- some issues lack numbering
- an unnumbered series starts numbering with the next number after the total number of volumes already published
- a numbered series restarts its numbering from “1”, with or without a designation such as “new series” (note that, per *RDA 2.12.9.6*, “new series” is supplied in brackets if it is not present).

Catalogers can use MARC field 641 (Series Numbering Peculiarities) to indicate when numbering stopped, etc., or use a 670 to indicate any available information justifying the change.

*Examples:*

- Numbered series becomes unnumbered:

```
130 #0 $a American philosophy series
530 #0 $a American philosophy series (Unnumbered) $ w b
641 ## $a Numbering ends with no. 19
642 ## $a no. 1
```

*New SAR:*

```
130 #0 $a American philosophy series (Unnumbered)
530 #0 $a American philosophy series $w a
```

- Unnumbered series becomes numbered, and the numbering system excludes the previous unnumbered issues:

*Existing SAR:*

```
130 #0 $a Critical interventions in theory and praxis
670 ## $a Dialogics of cultural encounters, 2006: $b series t.p.
```

*SAR after editing:*

130 #0 \$a Critical interventions in theory and praxis (Unnumbered)  
 530 #0 \$a Critical interventions in theory and praxis \$w b  
 670 ## \$a Dialogics of cultural encounters, 2006: \$b series t.p.  
 670 ## \$a Reconsidering social identification, 2011: ser. t.p. (Critical interventions in theory and praxis) cover (Critical interventions in theory and praxis, 1)

*New SAR:*

130 #0 \$a Critical interventions in theory and praxis  
 530 #0 \$a Critical interventions in theory and praxis (Unnumbered) \$w a  
 670 ## \$a Reconsidering social identification, 2011: \$b ser. t.p. (Critical interventions in theory and praxis) cover (Critical interventions in theory and praxis, 1)  
 670 ## \$a Dialogics of cultural encounters, 2006: series t.p.

- New system of numbering starts with phrase “new series”:

*SAR edited with new 642:*

130 #0 \$a Pragmatics & beyond  
 642 ## \$a new series, 1 \$d 1988-  
 642 ## \$a IV:5 \$d 1980-<1986 >

- Same system of numbering starts without distinguishing phrase:

*SAR edited with new 642 and supplied phrase in brackets:*

130 #0 \$a UC Mediterranean studies  
 642 ## \$a [new series], v. 1 \$d 2013-  
 642 ## \$a v. 1 \$d 1980-2012

## Change of Place -- Minor Change

- LC-PCC PS 6.27.1.9, *Additions to Access Points Representing Works, Serials, 4. Change in qualifier, b) Place used as qualifier*
- LC-PCC PS 6.27.4 *Variant Access Point Representing a Work or Expression, Other situations, 6, Change in parenthetical qualifier not requiring a new record*
- Do not create a new SAR when the place of publication changes and the place is used as a qualifier. Add a 4XX variant with the new place as qualifier if it helps in identification

*Example:*

<p>130 #0 \$a Wissenschaftliche Reihe (Husum, Schleswig-Holstein, Germany)          430 #0 \$a Wissenschaftliche Reihe (Nienburg, Germany)</p>
--

- However, if the AAP on the name authority record for the place used as a qualifier is revised, revise the form of the name in the qualifier of the SAR to match the revised AAP for the place.

*Example:*

*Existing SAR:*

<p>130 #0 \$a Series title (Kinshasa, Zaire)          670 ## \$a ___ \$b _____</p>
--

*Same SAR with updated 130:*

<p>130 #0 \$a Series title (Kinshasa, Congo)          670 ## \$a ___ \$b _____</p>
--

Also, generally following LC-PCC PS 6.27.4 and according to DCM Z1, 4XX *See From Tracings, Best practices guidelines for RDA*, catalogers should trace a former AAP as a cross reference in all cases.

*Same SAR with added 430:*

<p>130 #0 \$a Series title (Kinshasa, Congo)          430 #0 \$a Series title (Kinshasa, Zaire)          670 ## \$a ___ \$b _____</p>
---

## Related Works, Expressions, and Relationship Designators

### The Relevant Structure of RDA

As illustrated in an earlier section of this session, *MARC Series Authority Records: Earlier/Later (and Other) Conventions*, relationships between SARs can be coded using an RDA relationship designator term found in RDA Appendix J. It can be used in the MARC record to express or reference the relationship.

*NOTE: Remember that: DCM Z1, Tracings and References, General Information, 4XX Fields, instructs not to use relationship designator subfields and codes (\$i, \$w code "r") for 4XX fields.*

*RDA Chapter 24, General Guidelines on Recording Relationships Between Works, Expressions, Manifestations, and Items* addresses the recording of relationships between the FRBR Group 1 entities.

*RDA 24.5, Relationship Designator* provides instructions on how to indicate relationships between SARs, and directs the cataloger to record a term from the appropriate list in Appendix J.

The most common terms used to designate relationships between SARs are those of earlier and later Authorized Access Points. The applicable standard designators are found in:

- J.2.6 Sequential Work Relationships
  - "Continuation of (work)"
  - "Continued by (work)"
- J.3.6 Sequential Expression Relationships
  - "Continuation of (expression)"
  - "Continued by (expression)"

These can be included in 5XX fields as indicated above in the section *MARC Series Authority Records: Earlier/Later (and Other) Conventions*.

RDA Chapter 24 also includes instructions for information recorded in parts of the SAR. For example, *24.7 Source Consulted* addresses the information recorded in 670 fields, such as how to cite sources that illustrate a relationship such as a change in series title. *RDA 24.8 Cataloguer's Note* addresses the information recorded in a 667 field useful for using or revising relationship data, which could include an AAP not represented by a SAR, when an earlier or later series is not represented by a SAR.

RDA Chapters 25 and 26 deal with recording Related Works and Expressions. *RDA 25.1.1* contains the *Basic Instructions on Recording Relationships to Related Works*; the relationship designators relevant for works are in Appendix J2. *RDA 26.1.1* contains the *Basic Instructions on Recording Relationships to Related Expressions*; the relationship designators relevant for expressions are in Appendix J3.

## Other Relationships

Many other relationships – some of them somewhat rare for series -- can be expressed using relationship designators.

For example, if a series expression is a translation of another series expression, *RDA 26.1.1.3 Recording Relationships to Related Expressions* and *J.3.2 Derivative Expression Relationships* would be applicable if the relationship is not sequential but parallel.

Another example is the case of a parallel, translated series, for which the relationship designator “Translation of” would be appropriate (note that the relationship designator for translation does not have a Group 1 entity added parenthetically).

Another example could be a series issued in another format (i.e., the same expression of a series work is issued in a different manifestation), for which *RDA 27.1.1 .3 Recording Relationships to Related Manifestations* and *J.4.2, Equivalent Manifestation Relationships* would be applicable. This could be an equivalent manifestation relationship such as a series issued in both print and microform formats, and the relationship designator “Also issued as” would be appropriate.

Note: For PCC guidelines on bibliographic records, see [Relationship Designators in Bibliographic Records: Guidelines for Application](#) (Word: 24 KB) on the [PCC web site](#).