



SERIES TRAINING FOR PCC PARTICIPANTS

Series Statements and Series Authority Records

Session 5: Treatment Decisions

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Summary

This session covers the various treatment and practice decisions that can be encoded in a MARC21 series authority record, including whether or not items published as part of a series are analyzed (i.e., cataloged individually at the title level), whether an authorized access point (8XX) is provided (i.e., traced or not traced), whether items in a series are classified together or separately, and how a call number, if any, is provided for the series. Also covered are the various ways series are treated for items issued as republications.

Objectives

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

- Properly code series authority records (SARs) for analysis, classification, and tracing treatment decisions
- Indicate in a Series Authority Record the correct coding for providing call numbers
- Properly record data related to items in one or more series issued as part of a republication

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PCC Practice

The first thing to be noted about treatment decisions is that *RDA* instructions do not specify these choices. Individual libraries are free to make the treatment decisions for their own catalogs that they think will best suit their local workflow, shelving, acquisitions, and user needs. Treatment decisions are recorded in the 644, 645, and 646 fields.

Despite *RDA*'s lack of specification about these elements, there is a PCC consensus on a number of these treatment decisions among NACO catalogers who prepare series authority records. To promote shareable bibliographic records, the NACO program requires that all newly-created authority records for new series must include fields 645 and (when applicable) 642.

642 and 645 Fields

If the series is numbered – assuming the series is traced (i.e., there will be a series access point in the analytic bibliographic record, and the value in 645 is “t”) -- a 642 field (“Series numbering example”) is required. This field specifies the form or style of the numbering to be recorded in subfield \$v of the series access point (8XX field) of the analytic bibliographic record.

Example:

```
130 #0 $a Beiträge zur Brasilien-Forschung
642 ## $a Bd. 1 $5 DPCC $5 InU
645 ## $a t $5 DPCC $5 InU
```

The first \$5 above indicates that the treatment information is the PCC standard, and the second \$5 is the MARC 21 organization code for the library that input the field (examples in this session use the organization code “InU” for the purpose of illustration). Additional NACO libraries should not add their own codes to existing coded fields in connection with using the authority record.

For further information on the 642 field, see *Session 4: Recording Series Attributes*.

644 and 646 Fields

Fields 644 and 646 are not required by NACO, but very few NACO catalogers leave them out. In most cases these fields are coded as follows:

- analysis 644 f = analyze in full (i.e., make analytics for all volumes)
- classification 646 s = class separately (i.e., each volume has a unique call number)

Following these defaults is not mandatory. Possible reasons for making other decisions are discussed in the following pages.

Treatment Decisions

Analysis Practice (644 Field)

The PCC/NACO default code for this field is value **f** (= “fully analyzed”).

At most, two instances of subfield \$5 may appear in the field. For example, “\$5 DPCC \$5 InU” -- and in that order, with the “DPCC” value appearing first.

The 644 decision is sometimes driven by policy choice and sometimes by the nature of the volumes in the series.

The three possible values in subfield \$a of the 644 field are:

- **f** = fully analyzed -- analytic bibliographic records are made for every volume in the series, when all volumes are analyzable (008/12 OCLC fixed field Series = “a” or “b”); a policy decision
- **n** = not analyzed -- no analytic bibliographic records are worth preparing; a policy decision
- **p** = partially analyzed -- (1) policy decision that bibliographic records are made for only some analyzable volumes; **or** (2) if 008/12 Type of series = “z” (series partially analyzable), an accommodation to the nature of this series. The latter case is the common use of “p” value.

The 644 field is repeatable, to show a difference in treatment between libraries ...

Example:

```
644 ## $a n $5 DLC
644 ## $a f $5 InU
```

... or it can be repeatable to show a change in treatment by a single library, in two different ways.

Example:

```
644 ## $a f $d v. 49- $5 InU
644 ## $a n $d v. 1-48 $5 InU
```

This change in treatment is being described as before-and-after a given volume.

The change can also be described as before-and-after a given date.

Example:

```
644 ## $a f $d items cataloged after Dec. 31, 1980 $5 DLC
644 ## $a n $d items cataloged before Jan. 1, 1981 $5 DLC
```

In either case, the 644 field that contains the current information comes first.

The decision on analysis logically comes before the decision on classification, because the analysis decision is linked to the classification decision – that is to say, the volumes in a series that are not analyzed *must* be classified together.

Example:

644 ## \$a n \$d v. 18- \$5 DLC
644 ## \$a f \$d v. 1-17 \$5 DLC
645 ## \$a t \$5 DPCC \$5 DLC
646 ## \$a c \$d v. 18- \$5 DLC
646 ## \$a s \$d v. 1-17 \$5 DLC

If a series “loses” its numbering, that fact makes it much more practical to analyze those volumes even if most of the volumes in the series are left unanalyzed, since the unnumbered volumes cannot easily be accounted for in a comprehensive description of the series. This different treatment for different volumes in a series can be recorded in a pair of 644 fields with subfield \$d.

Example:

644 ## \$a n \$d numbered volumes \$5 DLC
644 ## \$a f \$d unnumbered volumes \$5 DLC

If a library has chosen to exclude certain volumes from a stated treatment decision, that fact can be recorded in subfield \$b.

Example:

644 ## \$a n \$b except v. 10-11 \$5 InU

For more on multipart monographs, see *Session 10: Multipart Monographs*.

Tracing Practice (645 Field)

The PCC/NACO default code for this field is **t** (= traced).

Include “\$5 DPCC” in all new records (except for authority records for earlier-published series). At most, two instances of subfield \$5s may appear in the record. For example: “\$5 DPCC \$5 [InU]” -- in that order.

The two possible values in subfield \$a of the 645 field are:

- t = traced – make a series access point in analytics
- n = not traced – do not make a series access point in analytics

The 645 field is repeatable, to show a difference in treatment between libraries....

Example:

645 ## \$a t \$5 DPCC \$5 InU
645 ## \$a n \$5 DLC

... or it can be repeatable to show a change in treatment by a single library, in two different ways.

Example:

645 ## \$a t \$d v. 29- \$5 InU
645 ## \$a n \$d v. 1-28 \$5 InU

This change in treatment is being described as before-and-after a given volume.

The change can also be described as before-and-after a given date.

Example:

645 ## \$a t \$d items cataloged after Dec. 31, 1980 \$5 DLC
645 ## \$a n \$d items cataloged before Jan. 1, 1981 \$5 DLC

In either case, the 645 field that contains the current information comes first.

Classification Practice (646 Field)

The PCC/NACO default is **s** (= volumes classified separately).

Include “\$5 DPCC” in all new records (except for authority records for earlier-published series). At most, two instances of subfield \$5s may appear in the record. For example: “\$5 DPCC \$5 [InU]” -- in that order.

Like the 644 decision, the 646 decision is sometimes driven by policy choice and sometimes by the nature of the volumes in the series.

Sometimes the classification decision follows simply and directly from the necessity of formulating a call number; some series include volumes that are not analyzable as well as volumes that can be analyzed:

Example title pages:

American History Studies <i>vol. 5:</i>	American History Studies <i>vol. 6: The War of 1812</i>
------------------------------------------------	----------------------------------------------------------------

In this case, the 008/12 (Type of series) should be coded **z** (= “other”; i.e., partially analyzable, partially not) and the series must be classified together (or classified within the main series), at least in the case of unanalyzable volumes such as vol. 5. This is because there is no basis for formulating a call number other than a call number for the series itself.

The opposite situation is the case of a series whose volumes do not bear volume numbering:

Example title page:

Études d’histoire littéraire Le roman de Sartre à Houellebecq

In this case, the 008/13 (Numbered or unnumbered series) should be coded **b** (= Unnumbered) and the series must be classified separately. This is because there is no volume number that could be used as the final element of a classification number.

The three possible values in subfield \$a of the 646 field are:

- **c** = volumes are classified together
- **m** = volumes are classified with the main series
- **s** = volumes are classified separately

Coding for the Classification Decision

c = volumes are classified together

This choice is ordinarily possible only if the volumes of the series are numbered.

Example:

in authority record:

050 #4 \$a LD758 \$b .C49 \$5 InU
 130 #0 \$a Chapters in the history of the University of California
 642 ## \$a v. 1 \$5 DPCC \$5 InU
 644 ## \$a f \$5 InU
 645 ## \$a t \$5 DPCC \$5 InU
 646 ## \$a c \$5 InU

in bibliographic record:

050 #4 \$a LD758 \$b .C49 v. 2
 100 1# \$a May, Henry Farnham, \$d 1915-2012.
 245 10 \$a Three faces of Berkeley
 830 #0 \$a Chapters in the history of the University of California ; \$v v. 2.

m = main (volumes in this sub-series are classified as volumes of the main series)

This choice is possible only when there is numbering that corresponds to the main series.

Example:

in authority record:

050 #4 \$a DB2000 \$b .A26 \$5 InU
 130 #0 \$a Acta Instituti Historici Universitatis Carolinae Pragensis. \$p Praehistorica
 642 ## \$a v. 6 \$5 DPCC \$5 InU
 644 ## \$a f \$5 InU
 645 ## \$a t \$5 DPCC \$5 InU
 646 ## \$a m \$5 InU

in bibliographic record:

050 #4 \$a DB2000 \$b .A26 v. 91
 245 10 \$a Neolithic excavations in Moravia
 830 #0 \$a Acta Instituti Historici Universitatis Carolinae Pragensis ; \$v 91.
 830 #0 \$a Acta Instituti Historici Universitatis Carolinae Pragensis. \$p Praehistorica ; \$v v. 13.

s = volumes in the series are classified separately

this choice is possible only if the analysis decision is “f” (analyze in full). As noted earlier, this choice is necessary when volumes of the series are unnumbered.

As stated above, the NACO default decision is to classify the series’ volumes separately. There are several situations, however, where classing the volumes of a series together may be advisable:

- Sometimes it is clear that the various volumes, if classified separately, would by and large end up clustered in a small range of class numbers, as in the case of the series “Chapters in the history of the University of California.” As an economic decision of allocating the cataloger’s time, it may not make sense to formulate individual call numbers.
- When the individual volumes are small, or in some other way not-so-significant, it may not make sense to expend significant cataloger time formulating individual call numbers. On the other hand, if catalog records for volumes of the series already have separately-assigned classification numbers, copy catalogers can efficiently process the cataloging.
- In the case of a multipart monograph, if there is an index to the entire resource, it may be better to class the set together.
- In a multipart monograph that is the output of a single author, if the series statement is more prominent on the title page than the volume title, that prominence argues for classing the series together. On the other hand, if the series statement is “buried” (in the colophon, for example), this may argue for separate classification of the volumes of the series. Additionally, “fiction” series (e.g. Tolkien’s *Lord of the rings*) are generally classified separately.
- If value “c” (classified together) or “m” (classified with main series) is used, the series authority record should contain a 050 field. We will say more about this field in the next Unit.

The 646 field is repeatable, to show a difference in treatment between libraries ...

Example:

```
050 #4 $a DB3150.B83 $b P74 $5 DLC
646 ## $a c $5 DLC
646 ## $a s $5 InU
```

... or it can be repeatable to show a change in treatment by a single library:

Example:

```
646 ## $a s $d v. 23- $5 InU
646 ## $a c $d v. 1-22 $5 InU
```

This change in treatment is described as before-and-after a given volume (or a given chronological designation, if that is serving as volume numbering).

There are other situations in which a difference of treatment decision may need to be recorded.

- Some series have some issues that are numbered and some that are unnumbered. A library may choose to make that the basis for a mixed treatment decision, since the unnumbered volumes need to be classified separately, given that there is nothing that could be used as the final element of a classified-together call number.

Example:

<p>050 #4 \$a HN932 \$b .S46 \$d numbered vols. \$5 DPCC \$5 DLC 646 ## \$a c \$d numbered vols. \$5 DLC 646 ## \$a s \$d unnumbered vols. \$5 DLC</p>

- Sometimes a mixed treatment decision relates to different sets of the series:

Example:

<p>050 #4 \$a K23 \$b .P27 \$d 1st set \$5 DPCC \$5 DLC 644 ## \$a f \$5 DLC 645 ## \$a t \$5 DLC 646 ## \$a c \$d 1st set \$5 DLC 646 ## \$a s \$d 2nd set \$5 DLC</p>

Call Numbers

The 050 field (Library of Congress Call Number) should be present in the Series Authority Record if the 646 classification practice is coded “c” (= collected) or “m” (= with the main series).

The 050 field is repeatable, to indicate treatment differences between libraries, periods of time (usually indicated by volume numbers, not by date cataloged), etc.

As shown in some of the examples in the previous Unit, subfield \$d is used if the call number doesn't apply to all volumes. When the 050 is assigned by a PCC library, the second indicator “4” is used and the assigning library's code must be in subfield \$5.

Example:

```
050 #4 $a DB3150.B83 $b P74 $5 InU  
646 ## $a c $5 InU
```

There are other call numbers that can occur in a series authority record, although they are used much less frequently than LC Call Numbers:

- 060 National Library of Medicine call number
Can be added by any PCC library; include subfield \$5
- 070 National Agricultural Library call number
Used only by NAL
- 082 Dewey Decimal call number
Can be added by any PCC library; include subfield \$5
- 090 LC-type call no., without subfield \$5
Before Jan. 1999, field 090 was used for all call numbers supplied by PCC libraries.
Libraries should no longer use field 090 in PCC records, but may use it in their local copy of the SAR if they like.

Republications

In the context of series, republications are manifestations of the same work published later, usually by a different publisher, in the same or a different physical medium:

- microfiche
- reprint (= photo-offset reprint)
- digitized
- large print
- braille

Possible Republication Situations

Publisher Gathers Previously-Published Works to Create a New Series

Sometimes a publisher creates a new series by gathering works that were published previously. For these, the series treatment follows what has already been stated, with the addition that the medium is noted in the series authority record (it is only necessary to note the medium if the different versions are treated differently by the library (e.g., if the paper and microfiche versions are classed differently)).

Example:

```
130 #0 $a Neighborhood churches of Chicago
643 ## $a Chicago $b Barnes Microforms Co. $d microfiche
644 ## $a f $5 InU microfiche
645 ## $a t $5 DPCC $5 InU microfiche
646 ## $a s $5 InU microfiche
670 ## $a Microfiche/St. Joseph's of Cicero, 1997: $b added t.p. (Neighborhood churches of Chicago)
```

Series Appeared on the Original Publication

The series may have been on the work as originally published. The republished volume must display the original series statement, which will be in a bibliographic history note (*RDA 27.1.1.3*):

Example:

```
in bibliographic record:
264 #1 $a New York : $b Harper & Row, $c 2006.
500 ## $a Reprint of: Venice / by Cecil Roth. – Philadelphia : The Jewish Publication Society of
    America, 1930. – (Jewish communities series ; v. 3)
830 #0 $a Jewish communities series ; $v v. 3.
```

Since the series of a reprint is always the same work as the original non-reprint series, we do not create a distinct access point and separate authority record; instead, the access point and authority record are the same for both the original and any republication. The access point and the authority record reflect the original publication.

Example:

in authority record:

130 #0 \$a Jewish communities series

642 ## \$a v. 3 \$5 DPCC \$5 InU

643 ## \$a Philadelphia \$b The Jewish Publication Society of America

Resource Bears a Series Statement from the Original and One from the Republication

A republication may carry two series statements, one from the original manifestation and one from the republication. This situation represents a combination of the first two scenarios, and will have two series access points in the bibliographic record. The bibliographic record will reflect both series and the cataloger must be careful not to confuse the two.

Example:

245 10 \$a Golf greens and green-keeping

264 #1 \$a Chelsea, MI : \$b Ann Arbor Press, \$c 2001.

490 #1 \$a Classics of golf course maintenance and construction

500 ## \$a Reprint of: Golf greens and green-keeping -- London : Country Life, 1906. -- (The "Country Life" library of sport)

830 #0 \$a Classics of golf course maintenance and construction.

830 #0 \$a "Country Life" library of sport.

And, of course, there will be two authority records.

Resources Reissued as Sound Recordings or Moving Images

In the case of reissued resources that are sound recordings or moving image material, we consider these to be different expressions of the same work, rather than republications. Separate series authorized access points and separate authority records are made.