

SERIES TRAINING FOR PCC PARTICIPANTS

Series Statements and Series Authority Records

Session 9: Subseries

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

May 2014

rev. December 2015

Series Training for PCC Participants

Session 9: Subseries

Summary

This session covers the topic of subseries. It first addresses how to determine whether a subseries is present, as opposed to situations which seem to but do not in fact constitute subseries. It also covers the identification and recording of both the 'title' portion of the subseries and the other portions of the series statement for subseries (i.e., parallel other title information, other title information, statement of responsibility, ISSN, and numbering).

In addition, it covers the recording of series authorized access points, and the complement of series authority records (SARs) that are required in various situations.

Learning Objectives

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

- Assess a situation to determine whether a subseries is present
- Use practical steps to help you test for the presence of subseries
- Identify and transcribe the title portion of the series and subseries statements
- Identify and transcribe other portions of the series and subseries statements
- Provide the proper complement, with appropriate MARC coding, of series authorized access points in bibliographic records and series authority records (SARs)

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Decision that a Subseries Is Present

Definition of Subseries

To determine whether or not a subseries is present, we must begin by looking at its definition in *RDA*:

“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.”

(*RDA Glossary*)

How Can You Determine That a Subseries is Present?

A “series within a series” requires two “series” titles. This is in addition to the analyzable manifestation title. Therefore, for a subseries to be present, you must have a resource with (at least) three titles.¹

Presence of Subseries Affected by Exception to Priority Order of Sources

For both the main series and the subseries, *RDA* specifies a priority order of sources

- a) the series title page
- b) another source within the resource itself
- c) one of the other sources of information specified under *RDA* 2.2.4.

This priority order is consistent for both main series (*RDA* 2.12.2.2) and subseries (*RDA* 2.12.10.2).

However, LC-PCC PS 2.12.10.2 allows for an exception to this priority order of sources for subseries. For both LC and PCC practice, “For main series and subseries, use a source that has both titles.”

This exception allows us to consider a subseries to be present even when its title does not appear on what would normally be the source with the highest priority.

In cases in which two or more sources have titles of main series and subseries and those titles aren’t the same on both sources, apply the priority order in choosing which source to use.

In determining whether or not a subseries is present, it is also important to note that the cataloger can disregard the *order* in which the parts of the title (i.e., main series title and subseries title) are presented on the source of information (*RDA* 2.3.1.7.1). Proximity on the same source is not necessary.

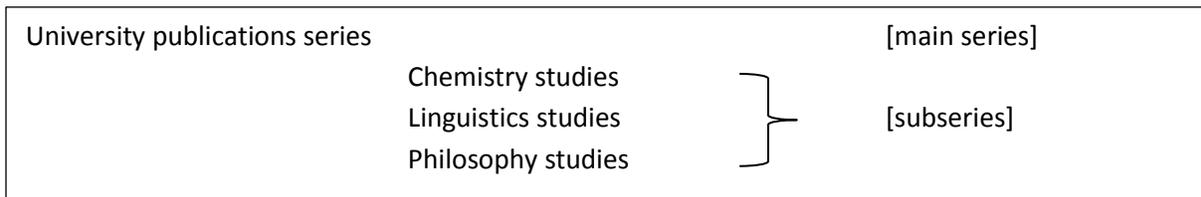
¹ In this module, for the sake of simplicity in illustrating principles, we will refer to resources that have three titles, two of which are the title of the main series and the title of the subseries, in addition to the analyzable title of the manifestation. When we say “two titles,” we are referring to the two titles other than the analyzable title of the manifestation. In reality, a resource may have more than three titles.

Practical Steps in Determining the Presence of a Subseries

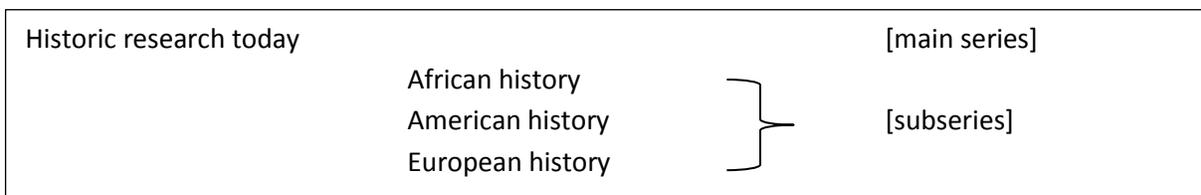
- First, search for SARs in LC/NACO NAF; SARs for the main series and even for other subseries may already exist.
- In some cases, it may be useful (though not required) to do a brief check of the publisher's website if the cataloger thinks that a subseries exists. Remember that *RDA* 2.12.10.2 states that evidence of a subseries may be taken from outside the resource itself (pointing to *RDA* 2.2.4).
- If no SARs are found, determine if the two titles other than the analyzable title of the manifestation are related, one being "larger" and the other "smaller." The relationship between the main series and the subseries generally falls into one of two categories:
 - General topic/Specific topic
 - Larger number/Smaller number

Examples:

- General topic/Specific topic
 - Main series has a generic term (e.g., Bulletin, Report) and no topical subject
 - Subseries titles represent subject subdivisions

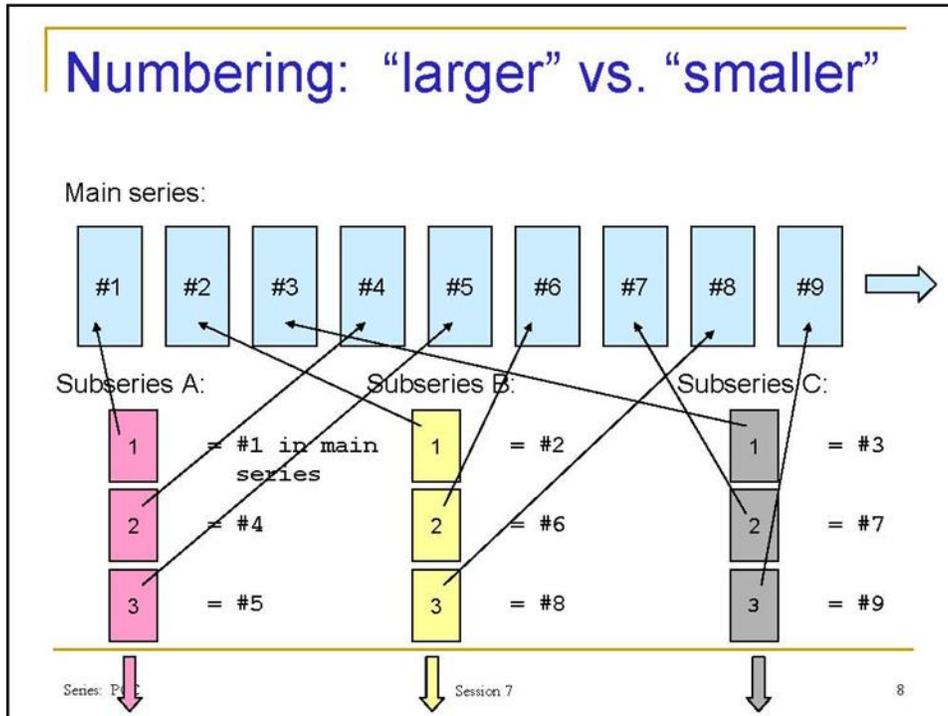


- General topic/Specific topic
 - Main series is a general topic
 - Subseries titles represent subdivisions of that topic



- Larger number/Smaller number

(Note that the numbering of the main series grows faster than that of the subseries)



The Presence of Three Titles Does Not Always Indicate a Subseries

There are a variety of situations in which three titles may be present on a resource, yet no subseries is present:

- Two *separate* monographic series may be present instead, in which case they should be transcribed in separate series statements (*RDA* 2.12.1.5). Two situations that indicate that the titles are separate monographic series, rather than a main series with a subseries, are:
 - Each title has equal subject specificity
 - Each title has a different responsible body
- Titles of two multipart monographs may be present instead, in which case one multipart work would be part of a larger multipart work. This situation is covered in Session 10 of this training, “Multipart monographs”
- The titles may represent a multipart monograph and a monographic series
- The titles may represent a single series with other title information that at first appears to be – but turns out not to be -- a second, separate title
- Of the two titles present, one may indicate that it is a supplement to the other (*RDA* 2.3.1.7)
- One of the two titles may be a phrase such as “new series,” “second series,” etc.; whether such titles represents a subseries depends upon the presence of numbering (*RDA* 2.12.10.4):
 - When such a phrase appears, and *numbering appears* on the resource:
 - Record the phrase as part of the numbering of the series, following the instructions for recording series numbering (*RDA* 2.12.9.6):

On resource: “Second Series” and “Volume 4”

490 1# \$a ... \$v 2nd series, volume 4

NOTE: This situation is more common with generally non-analyzable serials (e.g., periodicals) than with monographic series.

- When such a phrase appears, and *no numbering appears* on the resource:
 - Record the phrase as a subseries title, following the instructions for recording titles:

On resource: “Second Series” and no numbering

490 #1 \$a ... \$n Second series

It is important to remember that whenever you are in doubt about whether to treat a second title as a subseries or as a separate series, *RDA* 2.12.10.5 instructs you to treat it as a separate series, until more information becomes available that disproves this assumption.

Identifying the Series/Subseries: Series Statement

The Subseries Title

The instructions on transcription of the title of a subseries in a series statement (*RDA* 2.12.10.3) are eventually linked back to the general instructions in *RDA* 2.3.1.7, including the exception in 2.3.1.7.2.

Recording the Subseries Title Proper

If

- a resource is a separately issued part, section, or supplement [i.e., a subseries] of another resource, and
- its title as presented in the source of information consists of the title common to all parts or sections (or the title of the larger resource [i.e., main series]) *and* the title of the part, section, or supplement,

then

- record the common title followed by the title of the part, section or supplement. In such a case, disregard the order in which the parts are presented in the source.

Recording Enumeration or Alphabetic Designations That Precede the Subseries Title

If:

the title of the separately issued part, section, or supplement appears on the same source of information with the title common to all parts or sections (or the title of the larger resource)

and

the title of the part, section, or supplement has an enumeration or alphabetic designation,

then:

record the common title followed by the enumeration or designation, ~~followed~~, followed by the title of the part, section, or supplement. (*RDA* 2.3.1.7.1 & 2.3.1.7.2 exception).

Transcription of Subseries -- Examples

(subseries designations are underlined in examples below)

Music education. Series IV *

Scientific investigations. Part A, Physics **

University research studies. Contributions in anthropology

Economics papers. Macroeconomics today. B, International trade **

* in titles, do not abbreviate words or convert Roman numerals to Arabic numerals

** capitalize subseries titles after subseries designation

MARC Coding of Subseries -- Statement vs. Access Point

It is important to note the differences in coding between series statements and series access points.

Examples for series statements (490 in analytic bibliographic record):

490 1# \$a Physics and chemistry of the earth. Part A, Solid earth and geodesy ; \$v volume 24, number 10
 490 1# \$a Cambridge library collection. Fiction and poetry
 490 1# \$a Biblioteca de arte hispánico ; \$v 8. \$a Artes aplicades ; \$v 1
 490 1# \$a Celebrated compositions. Series IV

NOTE: Remember that \$n and \$p are invalid subfield codes in the 490 Series Statement.

Examples for series authorized access points (8XX in analytic bibliographic record; 1XX in SAR):

830 #0 \$a Physics and chemistry of the earth. \$n Part A, \$p Solid earth and geodesy ; \$v v. 24, no. 10
 830 #0 \$a Cambridge library collection. \$p Fiction and poetry
 830 #0 \$a Biblioteca de arte hispánico ; \$v 8
 830 #0 \$a Biblioteca de arte hispánico. \$p Artes aplicades ; \$v 1
[if both the main series and the subseries are numbered they must be indexed by a pair of 8XX fields]
 830 #0 \$a Celebrated compositions. \$n Series IV

NOTE: Remember that \$n and \$p are valid subfield codes in the 8XX Series Authorized Access Point.

\$n = number of subseries (repeatable)

\$p = name of subseries (repeatable)

Remainder of the Series Statement for Subseries

Parallel Title Proper of Subseries

- *RDA 2.12.11.3*

Parallel title of subseries is not a core element in RDA. The cataloger may choose to record only one or none, or any number of parallel titles. If recording parallel titles proper of subseries, apply the instructions on recording parallel titles proper given at *RDA 2.3.3.3*.

Other Title Information

- *RDA 2.12.12.3*, which leads to *RDA 2.12.4.3*

Record other title information of a subseries only if it is considered necessary for the identification of the series.

Statement of Responsibility

- *RDA 2.12.14.3*

Record statements of responsibility associated with the title of a subseries only if they are considered necessary for identification of the subseries

ISSN of Subseries

- *RDA 2.12.16.3*

ISSN of Subseries is a core element for LC/PCC catalogers. Therefore, if it appears on the resource, transcribe it as it appears.

Further, *LC-PCC PS 2.12.16.3* instructs: "Do not omit the ISSN of the main series if the ISSN of the subseries is given." Note that this contradicts *RDA 2.12.16.3* as written.

Numbering Within Subseries

- *RDA 2.12.17.3*, which leads to the more general instructions in *RDA 2.12.9*

The instruction for numbering within the subseries instructs the cataloger to follow the same procedures as for numbering within the series. The series instruction, at *RDA 2.12.9*, is to record the numbering within the series as it appears on the source of information.

LC-PCC PS 2.12.9 provides special instructions for numbered subseries with parallel titles. Instructions vary depending on whether the numbering appears in multiple languages or in only one language.

Identifying the Subseries: Series Authorized Access Points

Once it has been determined that a subseries is present and the series statement has been recorded in the bibliographic record, the determination of how many series authorized access points and how many SARs are required is a relatively simple process. It is based on whether the main series is numbered.

Unnumbered Main Series

If the main series is unnumbered, there is only one series authorized access point in the bibliographic record for the subseries, and one SAR (LC-PCC PS 6.27 G).

Examples:

Unnumbered main series, Example 1:

Uppsala Studies in Medicine
Pediatrics No. 1
[Analytic title]

Analytic record:

490 1# \$a Uppsala studies in medicine. Pediatrics ; \$v no. 1
830 #0 \$a Uppsala studies in medicine. \$p Pediatrics ; \$v no. 1.

One SAR:

130 #0\$a Uppsala studies in medicine. \$p Pediatrics
642 ## \$a no. 1 \$5 DPCC \$5 ____

Unnumbered main series, Example 2:

University publications Journalism No. 2
Estudios de la Universidad Periodismo No. 2
[analytic title/text in English]

Analytic record:

490 1# \$a University publications. Journalism ; \$v no. 2 = \$a Estudios de la universidad.
Periodismo ; \$v no. 2
830 #0 \$a University publications. \$p Journalism ; \$v no. 2.

One SAR:

130 #0 \$a University publications. \$p Journalism
642 ## \$a no. 2 \$5 DPCC \$5 ____

Please note that for this situation, the title recorded as the main series may not have its own series authorized access point (and its own SAR) if it doesn't exist by itself without the subseries.

➤ **What if an SAR already exists for an unnumbered main series, and you are cataloging a subseries that is a part of that main series?**

Some unnumbered main series had a “prior existence” as “simple” monographic series. In such a case, the main series existed with the same title before the publisher decided to add subseries titles. While the main series was issued as a “simple” monographic series, an SAR may have been made for it.

- Ignore an SAR for such an earlier series when establishing the “main series/subseries” combination.
- Determine the subfield \$a segment of the new SAR for the “main series/subseries” combination, based on the wording in the resource being cataloged; do not use the series AAP from the earlier SAR (there may be a difference in the title, and/or the earlier series AAP may have a parenthetical qualifier).

Numbered Main Series

If the main series is numbered, there are two series authorized access points in the bibliographic record for the subseries, and two SARs (*LC-PCC PS 6.27 G*).

Examples:

Numbered main series, Example 1:

Series t.p.:
Monographs in Psychology No. 36
Rehabilitation Psychology Vol. 2

Analytic record:

490 1# \$a Monographs in psychology ; \$v no. 36. \$a Rehabilitation psychology ; \$v vol. 2
830 #0 \$a Monographs in psychology ; \$v no. 36.
830 #0 \$a Monographs in psychology. \$p Rehabilitation psychology ; \$v v. 2.

Two SARs (the SAR for the main series probably already exists in the NAF):

- 1) 130 #0 \$a Monographs in psychology
642 ## \$a no. 1 \$5 DPCC \$5 ____
- 2) 130 #0 \$a Monographs in psychology. \$p Rehabilitation psychology
642 ## \$a v. 2 \$5 DPCC \$5 ____

Numbered main series, Example 2:

Series t.p.:
Augustana College
 Publication Volume 24
 Series VI, Library Monograph no. 1

Analytic record:

490 1# \$a Publication ; \$v volume 24. \$a Series VI, Library monograph ; \$v no. 1
 830 #0 \$a Publication (Augustana College) ; \$v v. 24.
 830 #0 \$a Publication (Augustana College). \$n Series VI, \$p Library monograph ; \$v no. 1.

Two SARs (the SAR for the main series probably already exists in the NAF):

- 1) 130 #0 \$a Publication (Augustana College)
 642 ## \$a v. 2 \$5 DPCC \$5 ____
- 2) 130 #0 \$a Publication (Augustana College). \$n Series VI, \$p Library monograph
 642 ## \$a no. 1 \$5 DPCC \$5 ____

Recap: Number of Series Authorized Access Points and SARs**If the main series is unnumbered:**

| | |
|---|------------|
| Analytic bibliographic record series statement(s) (490) | = 1 |
| Analytic bibliographic record series authorized access point(s) (8XX) | = 1 |
| SAR(s) | = 1 |

If the main series is numbered:

| | |
|---|------------|
| Analytic bibliographic record series statement(s) (490) | = 1 |
| Analytic bibliographic record series authorized access point(s) (8XX) | = 2 |
| SAR(s) | = 2 |

Other Subseries Situations that Affect the Series AAP

When the Main Series and Subseries Do Not Appear on the Same Source

When the main series and the subseries do not appear on the same source in the resource, treat it as two separate series

| | |
|---|-----|
| Analytic bibliographic record series statements (490) | = 2 |
| Analytic bibliographic record series authorized access points (8XX) | = 2 |
| SARs | = 2 |

Example:

series t.p.: Monographs in Psychology No. 54
cover: Rehabilitation Psychology Vol. 13

Analytic record:

490 1# \$a Monographs in psychology ; \$v no. 54
490 1# \$a Rehabilitation psychology ; \$v vol. 13
830 #0 \$a Monographs in psychology ; \$v no. 54.
830 #0 \$a Rehabilitation psychology ; \$v v. 13.

Existing SAR:

130 #0 \$a Monographs in psychology
642 ## \$a no. 1 \$5 DPCC \$5 ____

New SAR:

130#0 \$a Rehabilitation psychology
430 #0 \$a Monographs in psychology. \$p Rehabilitation psychology *
642 ## \$a v. 13 \$5 DPCC \$5 ____

* It is best practice to provide a variant access point through the main series for access to all titles that the cataloger strongly suspects or knows to be a subseries, despite the fact that the two titles do not appear together on the resource.

When the Main Series is Never Present on the Resource

When the main series is never present on the resource, but the subseries designation and subseries title are, follow *RDA* 2.3.1.7.1:

“If the title of a separately issued part, section, or supplement appears on the source of information without the title that is common to all parts or sections, record the title of the part, section, or supplement as the title.”

NOTE: The usual MARC subfields \$n and \$p cannot be used in these situations, because there would not be a preceding main series title in \$a; therefore, use only \$a.

Example:

| |
|--|
| <p>Cover: Series VI, Library Monograph No. 21</p> |
| <p>Analytic record: 490 1# \$a Series VI, Library monograph ; \$v no. 21 830 #0 \$a Series VI, Library monograph ; \$v no. 21.</p> |
| <p>SAR: 130 #0 \$a Series VI, Library monograph 642 ## \$a no. 21 \$5 DPCC \$5 ____</p> |

The Main Series Title Appears and Disappears

The situation in which the main series title appears and disappears on the preferred source of information for the series statement is covered in Session 8, “Related Series.”