

## Chapter 6, Section B

### Serials



#### Definition of a Serial:

"A continuing resource issued in a succession of discrete parts, usually bearing numbering, that has no predetermined conclusion. Examples of serials include journals, magazines, electronic journals, continuing directories, annual reports, newspapers, and monographic series." — *AACR2, 2002 Rev., Glossary.*

#### What publications qualify as serials?

In addition, for our group's purposes a bibliographic entity is treated as a serial when one or both of the following conditions are met:

1. It has an **ISSN** (International Standard Serial Number), with occasional exceptions, whether it can be found on the item or not. If it is not on the item itself, the ISSN can be found in other sources (e.g., Ulrich's, Gale, or OCLC.) However, an ISSN is not required to catalog an item as a serial.
2. A **volume number** or **date** (such as a **year**) is used to differentiate publications.

If it falls into one of the following categories it may be a serial:

- a) **travel guides**
- b) **price guides**
- c) **directories:**
  - directories of schools, colleges, universities
  - business directories
  - campgrounds and trailer park directories
  - bed & breakfasts, hotels, etc.



*Serial titles new to the CCS database which are collections of short stories, plays, literary collections, fairy tales, songs, Supreme Court cases and biographies should be entered as monographs with contents notes. Refer to the section named "Contents notes" in Chapter 5 of this manual.*

Notice that the above definitions do not mention frequency; it is not necessarily a criterion of a serial. An important phrase in the definition is "***has no predetermined conclusion.***" A multi-part item (a monograph complete or intended to be complete in a finite number of separate parts) is not a serial.

**When choosing a bibliographic record from OCLC do not alter a monographic record to be a serial or vice versa. If only a monographic record exists in OCLC, but no serial record, create a new serial record in OCLC.**

Publications that generally are **not** treated as serials:

1. Publications that lack a numeric or chronological designation
2. Publications revised on an irregular or infrequent basis (textbooks, dictionaries, handbooks, encyclopedias, manuals)

3. Multivolume monographs
4. Publications of limited duration
5. Censuses
6. Supplements to monographs
7. Loose-leaf publications (not just loose-leaf format; publications in loose-leaf binders to which new or replacement pages are added periodically)

### Basic concepts of serials cataloging

**If the rules outlined below do not cover a specific condition or do not treat the matter fully, consult the CONSER Cataloging Manual.** An abbreviated version is available at the CCS web site. (*From the home page, click on Member Resources, then Catalogers/Tech scroll down to Cataloging Tools & Useful Links, then click on CONSER Cataloging Manual.*) Also for more information about the AACR2 2002 revisions for serials see <http://lcweb.loc.gov/acq/conser/aacr2002/A2slides.html>.

1. AACR2 and CCS have adopted the policy of **successive entry**. A new record is created each time there is a major title change (AACR2 21.2A1) or when the corporate body used as main entry changes (see AACR2 21.3B1). A minor title change does not require a new record (AACR2 21.2A2). Each record contains information relevant only to the span of issues covered by that record. The relationship of successive entry records is shown through linking entry fields (tags 760-787). The record for the dead serial is closed off by adding data elements to the record to show that the title is no longer current.
2. The **chief source** is the title page or title page substitute of the first issue or the first available issue (AACR2 12.0B1 and 12.0B2).
3. The **description is based on** the first or earliest piece. You must indicate the issue upon which the description is based, either in the 362 field or in a note. Use a 362 field for this purpose when you have the first issue in hand. Use field 500 when you are basing the description on anything besides the first issue. This information is not changed until the record is closed off. Changes appearing on later issues, that do not require a new record, are given in notes.
4. **Designations** are important in serials. They provide the only means for distinguishing the individual issues of the serial. Designations may be numerical (volumes, numbers), chronological (date) or a combination of the two.
5. Most serials are **entered under title**. Give personal names as added entries if you feel they are responsible or important. Any person must be mentioned in the record to justify the added entry. Never give an editor or compiler main entry with a serial. Restrict use of personal main entry. (Criteria for personal main entry, see LCRI 21.1A2. Serials entered under corporate body, see AACR2 21.1B2 and LCRI 21.1B2)
6. **Uniform titles** (see AACR2 25.5B and LCRI 25.5B) are used when two serials have the same title. A uniform title is assigned, using the title proper and a qualifier. Prefer place as the qualifier. Use the authorized form of the place name. When using place, base the name on the earliest issue. However, you can also use corporate body, date of publication, frequency, or edition, or a combination of these terms, when the place is not sufficient to distinguish the title. (A change in a corporate body qualifier requires a new record. Changes to other qualifiers such as place of publication, date, frequency, or edition statement do not require a new record.)

7. The cataloging record must **represent the entire serial**. Information specific to one issue is usually omitted because it does not relate to the serial as a whole. When information relates to certain issues but not all issues, provide a note with dates to indicate the span of issues to which the information pertains. A common form of a note is:  
Introductory words: information, dates.

8. Consider the entire serial when assigning **subject headings**. Subject headings assigned are usually more general. Use headings from the previous title (with a title change) if they are appropriate.

9. If the item is a **loose-leaf publication**, do not catalog it as a serial if the updating issues are meant to be interfiled into the main volume and the resulting binder and information contained therein do not constitute specifically dated materials. Catalog a loose-leaf publication as a serial if it consists of numbered or dated issues which are to be filed chronologically in binders.

10. Current standard cataloging rules allow **supplements** to be cataloged on a new entry, or mentioned in a note on the record for the main work, depending on the nature of the supplement and its numbering. *Supplements intended to be used with the main work should generally be cataloged on the entry for the main work. Supplements which provide different types of information or focus on a special feature may be cataloged separately.*

#### **Changes that may require a new record**

1. Title (see below & AACR2 21.2A/LCRI 21.2A, AACR2 21.2C1/LCRI 21.2C)
2. Corporate body when used as a main entry heading (AACR2 21.3B1)
3. Corporate body when used as a qualifier in a uniform title (LCRI 21.3B)
4. Uniform title for a translation or language edition (LCRI 21.3B)
5. Numeric designation (LCRI 12.3G)
6. Physical format (LCRI 21.3B)

#### **Serial title changes**

A title is considered to have changed when words that affect access or that change meaning or scope of the title are added, changed, rearranged, or dropped. **Special situations will be addressed by the database manager.**

#### ***Consider the title to have changed if:***

1. The serial is given a completely different title.

Example: Toxicity assessment --> Environmental toxicology and water quality

2. A word (other than an article, preposition, or conjunction) is added, changed or dropped within the first five words of the title (six if there is an initial article).

Example: ACE newsletter --> ACE journal

3. A word is added, dropped, or changed anywhere in the title that changes the meaning or indicates a change in scope.

Example: The best bed & breakfasts in the world --> The best bed & breakfasts in the United States

4. A word in the section title (§n) or part title (§p) is added, changed, or dropped.

Example: World meetings. §p Social & behavioral sciences, education & management -->  
World meetings. §p Social & behavioral sciences, human services & management.

5. The order of the first 5 words (or 6 with an initial article) changes.

6. The name of a corporate body included in the title changes its name.

Example: Reports of the Institute of High Speed Mechanics, Tohoku University -->  
Reports of the Institute of Fluid Mechanics, Tohoku University

7. The language of the title changes.

**Consider the title NOT to have changed if:**

1. A word is added after the first five words that does not change the meaning or scope of the serial.

Example: Directory, educational and career information services -->  
Directory, educational and career information services for adults {scope has not changed}

2. An article, preposition, or conjunction is added, deleted or changed anywhere in the title. Make an added entry if the change occurs in the first five words.

Example: Roster, licensed architects --> Roster of licensed architects

3. The only change is in the representation of a word or words.

Examples: hyphenated words vs. non-hyphenated words  
numerals or dates vs. spelled-out words  
one-word compounds vs. two-word compounds, hyphenated or not  
signs and symbols vs. spelled-out forms  
a change in grammatical forms (e.g., singular forms vs. plural forms; adjective vs. noun)

4. The name of the same corporate body is added or deleted, or changes position anywhere in the title, or the representation of the name is changed (e.g. from full form to acronym or in the fullness of the hierarchy presented). (AACR2 21.2A1).

Examples: The U.S. Dept. of Agriculture handbook of home food preservation -->  
The U.S. Department of Agriculture handbook of home food preservation  
CONSER annual report --> Annual report of CONSER

5. Words linking the title to the chronological designation are added, deleted, or changed.

Example: OSMRE annual report --> OSMRE annual report for the fiscal year ...

6. The order of a parallel title changes; but if the title chosen as the title proper no longer appears on the serial as a parallel title, consider this to be a major change.

In the above situations:

- Add a "varying form of title" field:  
*246 1\_ \$i Some issues have title: \$a*
- If no added entry is necessary, create a note:  
*500 Title varies slightly.*

- Include a date in the 246 if the variant form does not appear on all the issues in hand. For example, a variant form of the title appears on the cover for 1989 only:  
*246 14 National parks and reserve areas \$f 1989*  
-OR- if you want to note the time period of a title variation, use:  
*246 1\_ \$i Vols. for 1982- have title: \$a*

7. The title is a fluctuating title — one that changes back and forth on a regular or irregular basis. This can only be determined in retrospect.

*Examples of fluctuating titles include:*

- The title switches back to a former title within a year
- Alternate issues are published with a different title
- The title changes according to the language of the text
- The serial has one title for most issues, but a few randomly spaced issues have another title

An intentional title change is not treated as a fluctuating title (such as when it is explained in the publication). In this case, create a new record.

Always give a 500 note and an added entry for a fluctuating title (LCRI 21.2C) such as:  
*246 1\_ \$i Alternate issues published with title: \$a*

When collapsing a record from a title change back to the original title, be sure to remove the 785 tag for the succeeding entry in the original record.

### Closing serials

When you create a new record, close off the old record. The extent to which each element is completed depends on the issues that are in hand and the information that is available (see chart in *CONSER Cataloging Manual*, Module 16, page 20).

Three fields that must be changed are:

- Publication Status (**DtSt**) in the fixed fields. Change from c to d.
- Add the ending date to both the **Dates** fixed field and the **260 \$c**.
- Add a **785** uniform title succeeding entry in subfield t, not subfield a. Do not transcribe initial articles.

### How to handle an incorrect or obsolete entry

- Send **e-mail to all libraries** that own items attached to the obsolete record, explaining the situation.
- The cataloger creating the new serial record has the option to **move** other libraries' holdings or not, but the cataloger must communicate with other libraries in any case. Always add the **appropriate subfield \$z** of the call number(s) before moving any holdings, and be sure that subfield \$z of the call number(s) conforms to the **patterns established** in the CCS database. (*For further information see specific sections on entering volume information in \$z of Call Numbers and entering MARC Holdings records in Chapter 3*).

## Specific situations

<u>Includes index note:</u>	Do not use an "Includes index" note in a serial record (AACR2 12.7B17).
<u>Cumulations:</u>	See LCRI 12.0 for determining when to make a separate record for serials issued in cumulations.
<u>Subtitles:</u>	AACR2R 12.1E1 provides information on when to give other title information. Usually you don't transcribe a subtitle because it may change from issue to issue.
<u>Edition statements:</u>	If the word "edition" is accompanied by a number or a date (such as 1st ed. or 1997 ed.), then this information goes in the numeric/chronological designation (MARC tag 362.) If the word "edition" is accompanied by other words such as Eastern states ed., then this information goes in an edition statement (MARC tag 250).

Note: The Library of Congress generally does not make authority records for serials.



## Travel Guidebooks

According to LCRI 1.0, effective 2001, the Library of Congress will generally catalog travel guidebooks as serials. CCS will follow this Rule Interpretation, amended thus:

- If the item bears a year (other than a publication date) or an edition statement (other than 1<sup>st</sup> ed.), catalog it as a **serial**.
- If the item bears no year (other than a publication date), and no edition statement, causing uncertainty as to whether it's a serial, catalog it as a **monograph**.  
EXCEPTION: if the item emanates from a travel publisher (e.g. Fodor's), catalog as a serial even in doubtful cases. For other publishers, if a subsequent edition is published containing a year and/or edition statement, recatalog the title as a serial and move the monographic holdings to the serial record.

**When formulating the title for any travel series all such guidebooks, try to be consistent with the titles for similar or related records already in the CCS database.**

*Examples (some fields omitted):*

245 00	Chicago
440 _0	Compass American guides (Series)
<b>NOT</b>	
245 00	Compass American guides. †p Chicago
245 00	Miami.
440 0	DK Eyewitness top 10 travel guides, †x 1479-344X
<b>NOT</b>	
245 00	DK Eyewitness top 10 travel guides. †p Miami.

## CCS Guidelines for Inputting MARC Holdings Records for Serials (Those with a frequency of semi-yearly or more)

First of all, be sure you are attaching your holdings to the correct record.

1. Check the **Bib\_Lvl** code to make sure it is a serial record (Code **s**.)
2. Check the **Form(at)** code to be sure you don't have a microform record. Also check for the presence of 245 †h. ALL holdings should be added to the record for the PAPER format. (Code should be **blank**.)
3. **S/L\_Ent** (Code should be **0** (zero))
4. Check the **title** on the serial to be sure it is the same as that in the 245 or 246 field of the record.
5. Check the **date(s)** of publication on the record.
  - a. If the second date is 9999, the title is still being published.
  - b. If the second date has a u or two at the end, the title is closed and another record must be used for current holdings.
  - c. If the first date is later than your beginning holdings, you need to find a previous title (one or more) for those holdings. Use the 780 field to find a preceding title or the 785 field to find a succeeding title.

Select the **MARC Hldgs** tab which is to the right of the **Bib** tab in Unicorn (either click on it with the mouse or use F2.)

1. Click on the **Add Holdings** button (Alt-2).
2. Make sure that your library name is displayed in the box on the first window. If not, type the first letter or two in the box and it should appear. Enter (or Alt-1 or Click on OK).
3. In the third box down on the left side of the Fixed Field section of the window (Copies), type **001** to show that you have one copy of the title. *This also tells SIRSI that this holding record should be retrieved for the CCS Union List and should be sent to OCLC for SILO.* A number larger than 1 is also OK.
4. In the Holdings Entries section of the window:
  - a. Enter your location in the long box beside the 852 tag. Overwrite the **\*\*REQUIRED FIELD\*\*** text.
  - b. Be sure to use **subfield c** for your location or it won't enter properly! Also, you must use one of the authorized SIRSI locations. If you need a list, there is a multicolored box at the top left of the Modify Title window. Click on that. It will show you the list, but will not transfer the one you want into the 852 box. e.g. 852 †cmagazine
  - c. You don't need to type the location in all caps, the system will change that for you.
  - d. **IMPORTANT !!** Put your holdings statements in the **866** field (not the 863 field). *If you put textual holdings in the wrong field, it will lock the record for everyone until someone searches it by the title control number or by a single library and fixes the mistake. You will see the error message: "Invalid enumeration and chronology format."*
  - e. Holdings go in **subfield a** and special notes go in **subfield z**. The "Incomplete" note needs to go to OCLC and should be put into subfield a after the holdings. *See below for the proper formatting of your holdings statements.* Notes such as "Does not circulate." would go in subfield z. Subfield x can be used for "staff only" notes that do not display to the public.
  - f. If you have microform (microfilm, microfiche, microopaque) holdings, they go in a separate holdings record with the location: †cMICROFORM
  - g. If you have a subscription database of serials or an online subscription and you can make copies for patrons, you may make a separate MARC Holdings record for

these titles. (If they change frequently, you may not want to enter these since there would be a lot of upkeep on the records.) The location to use in the 852 field would be  $\neq$ cINTERNET and be sure to change the Copies to 001. Holdings that you have access to would be formatted as stated below.

h. Since OCLC allows only one holdings record per library per title, we can only use one holdings record for each type of item format - paper, microform, online. There are two choices if you have holdings in two or more locations that you want staff and patrons to know about. In either case, put the summary of all holdings into subfield a of one record and set the Copies field to a number.

i. After putting the summary of all holdings into **subfield a**, you can list the other location(s) in **subfield z** of the same record. Subfield z will print in the CCS Union List and will display in iBistro but will not be sent to OCLC. For example:

**866** Retains current + 5 years.  $\neq$ zJMAGAZINE Retains current + 2 years.

OR:

**866** 1940-1972 Retains current + 4 years.  $\neq$ zMAGAZINE 1940-1972  
Retains current + 2 years. BUSINESS Retains current + 4 years.

Use the same format for subfield z holdings as for subfield a to give a uniform look to the CCS Union List and in iBistro.

j. After putting the summary of all holdings into subfield a of one record and setting Copies to 001, you can use additional, separate MARC holdings records for each location (use subfield a) and leave the Copies field blank in these records. Holdings with the Copies field blank will not show up in SILO or the CCS union list, but will show in iBistro.

**866** Retains current + 5 years.  
(Location MAGAZINE, Copies 001)

**866** Retains current + 2 years.  
(Location BUSINESS, Copies blank)

OR :

**866** 1940-1972 Retains current + 4 years.  
(Location MAGAZINE, Copies 002)

**866** 1940-1972 Retains current + 2 years.  
(Location REFERENCE, Copies blank)

**866** Retains current + 4 years.  
(Location BUSINESS, Copies blank)

## Guidelines for Standardized Formatting of Retention Statements

### RETENTION STATEMENTS

If your library has a policy of keeping issues for a finite time and discarding them as new ones arrive, you can use a Retention statement. This should be for no longer than 12 years. After that, use volumes and years.

Format the Retention statements as follows:

- 866** Retains current + 3 years. ‡zCHILDRENS Retains current year.
- 866** Retains current 6 months.
- 866** Retains current + 2 years. Incomplete.
- 866** Retains current month.
- 866** Retains current 3 weeks.
- 866** Retains current 4 weeks. Sunday only. |zDoes not circulate.
- 866** Retains current issue.
- 866** Retains current + 1 year.

**Notice that each statement begins with a capital letter and ends with a period. The only ones that use a + sign are years! Please don't add any other words at the beginning of the statement. "Weekends only." would be OK at the end.**

When entering retention statements for new titles, it is acceptable to use 2-year longer time periods in the statement than you have holdings until the holdings catch up. For instance, you have 6 months of a new title, but intend to keep "current + 2 years" as the issues accumulate. It is OK to use the "Retains current + 2 years." indication in your holdings statement. However, if you only have 6 months but intend to keep it 5 years, it would be better to use dates for the first few years and then switch to a retention statement when you have 5 years of issues.

The reason for using Retention statements is to keep from changing the holdings you report each year. Therefore, if you begin a subscription in 2003 and your policy is to keep 5 years plus the current one, you can write 2003- until 2008. At that time you would begin discarding the 2003 issues so at some point you would need to change to 2004- and keep changing each year. So in 2008, you would want to change your statement to Retains current + 5 years. which would be good until you change your subscription, your policy, or the title changes.

## **VOLUMES AND YEARS**

When your library holds issues indefinitely (or until the next weeding project), use volumes and years. Although volumes are optional, it is good to look for and use them because they may show your holdings more specifically than just using years, especially when volumes begin in the middle of a year or there is more than one volume per year. **Years are always written as 4 digits.**

To show more exactness in Unicorn, you may add month designations as shown below, but no days. The MARC holdings record is just an overview of your holdings; the exact ones are shown in the All Volumes section of Unicorn. The months will be stripped out before the holdings are sent to OCLC, but will appear in the Unicorn Union List and in iBistro.

For issues that span months, list just the first month for the beginning date and just the last month for the ending date: e.g., for

Jan./Feb.1987-Nov./Dec.2001 list as

Jan. 1987-Dec. 2001

Put "v." in front of the first volume number of the set but no space. The only spaces will be one between the last volume number and the first year number and between the month abbreviation and the year number if you use months. No periods except after the v for volume or the month abbreviations.

Do not put spaces around dashes in a date or after the v. for volume. No period after the

years. No spaces around commas.

Yes: 1982-1999      not 1982 – 1999.  
 Yes: v.4- 2000-      not v. 4- 2000-  
 Yes: v.16-20,25- 1987-1991,1996-      not v. 16-20, 25- 1987-1991, 1996-

Jan.	May	Sept.	Spr.
Feb.	June	Oct.	Sum.
Mar.	July	Nov.	Fall
Apr.	Aug.	Dec.	Win.

**866** v.2-6 Oct. 1987-Sept. 1991

**866** v.8- Jan. 1985-

**866** v.12- Mar. 1975- ‡JMAGAZINE Retains current year.

**866** v.16-20,44-56 1932-1936,1960-1972

**866** v.25-32 1978-1985 Incomplete.

**866** v.1-5,10- Sum. 1988-Spr. 1992,Fall 1997-

All microform holdings use this same format, but are put into their own holdings record.

The incomplete note is used when several issues are missing from your reported holdings. If one or more volumes are missing, break the holdings statement with a comma – as above – and don't use the incomplete note.

Sometimes a library has back issues, either bound or not, that are kept and then the current issues are only kept for a few years. These would be noted as:

**866** v.1-15 1935-1949 Retains current + 2 years.

Since the months are not sent to SILO, if you have only one or two issues from a whole year, you may want to consider listing only the next or previous year. For example, if you began your subscription in December 2000, but the title was published for most of 2000, you may want your holdings statement to be: 2001- . If your subscription ended with February 2003 but the title continued, you might want to end your holdings statement with -2002.