INTRODUCTION TO CATALOGING SERIAL WORKS

CCM Module 1

Contents

Revision history

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Module 1. Introduction to Cataloging Serial Works

If you are a new cataloger or a cataloger who hasn't cataloged serials before, cataloging a serial for the first time may seem daunting. How do you catalog from multiple issues? What happens when you don't have the first issue? How do you indicate that something has changed? How much data should be included and at what level will the record be created?

Working with serials often extends beyond cataloging. Many serial catalogers are involved in serial holdings, publication pattern creation, and other aspects of the control of serials.

This module will take a broad look at serial works, discussing what makes them unique, what kind of challenges they pose to the cataloger, and what is involved in cataloging them.

This Module will discuss:

- The importance of serial works
- How serials differ from single works and integrating works
- Aspects of the cataloging that are unique to serial works
- An overview of the cataloging process
- Other types of serials control

References

CONSER Editing Guide. https://www.loc.gov/aba/pcc/conser/more-documentation.html

CONSER Publication Patterns Initiative Web site. https://www.loc.gov/aba/pcc/conser/ppi/

CONSER Standard Record (CSR) RDA Metadata Application Profile. Program for Cooperative Cataloging. https://www.loc.gov/aba/pcc/conser/issues/CSR.html

MARC 21 Format for Bibliographic Data.. https://www.loc.gov/marc/holdings/echdhome.html

MARC 21 Format for Holdings Data.. https://www.loc.gov/marc/holdings/echdhome.html

Original RDA: Resource Description and Access Toolkit. American Library Association,. https://original.rdatoolkit.org/

Definitions used in this module

Diachronic work (continuing resource)

A work that is planned to be embodied over time, rather than in a single act of publication. When the plan is carried out, the content of the work changes over time by being realized by one or more discrete expressions that are embodied by one or more manifestations. (Original RDA Glossary)

Integrating work (integrating resource)

A bibliographic resource that is a type of diachronic work that is planned to be realized by a single expression. It will be added to or changed by means of updates that do not remain discrete and are integrated into the whole. Integrating works may be finite or continuing. Examples of integrating works include updating loose-leaf publications and updating Web sites. (Original RDA Glossary)

Iteration

An instance of an integrating work or, the expression that realizes it or, the manifestation that embodies it. The instance may be the initial state or the state after an update. (Original RDA Glossary)

Mode of issuance

A categorization that reflects whether a manifestation is issued in one or more units. (Original RDA Glossary)

Multiple unit (multipart monograph)

A mode of issuance of a manifestation that is issued as a multipart physical unit or intangible multipart logical unit. (Original RDA Glossary)

Serial Work (serial)

A successive work that is planned to be realized by multiple distinct aggregating expressions over an indeterminate timespan. A type of diachronic work, examples of a serial work include journals, magazines, electronic journals, continuing directories, annual reports, newspapers, and monographic series. (Original RDA Glossary)

Single unit

A mode of issuance of a manifestation that is issues as a single physical or intangible single logical unit. A single volume, a file available online, etc., are included. (Original RDA Glossary)

Single work (monograph)

A work that is planned to realize single or amalgamated content in one distinct expression. (Original RDA Glossary)

1.1. The significance of diachronic work publications

[Editor's note: the following excerpt was written by Linda Bartley and Bill Anderson for the 1st edition of the CONSER Cataloging Manual in 1993. Despite minor updates and corrections, the message remains relevant.]

Serial and integrating works are an essential and integral component of every major research library collection because the information they contain reflects the most current developments in all fields of activity. The basic nature of the publishing process ensures that their "sequential products" are distributed in a timely fashion; timeliness is fundamental to their relevance. It logically follows that efficient processing of these materials is key to providing the necessary timely access to them.

Rules for resource description set only three basic criteria for a serial publication:

1) it is issued in discrete parts

2) generally, each part carries a number or date that uniquely identifies it

3) the publication has no predetermined conclusion (see CCM Module 2). Within these basic requirements one finds material that differs as widely as one can imagine. Many government documents are issued serially and contain unique information that only such an agency could develop (e.g., CIA reports). On the other extreme one finds more ephemeral material that is generated by individuals with desktop publishing capabilities (e.g., family-specific genealogical information). From annual reports to car repair manuals, the serials cataloger typically handles a great variety of material, both physical and intangible, that present numerous challenges and also leads to exposure to a wide body of knowledge.

1.2. The nature of serial works

1.2.1. Characteristics of serials

Serials are different! They don't always look or behave like other types of publications. Here are some of the characteristics of serial works.

Serial works are extremely diverse, including scholarly journals, popular magazines and newspapers, newsletters, annual and statistical reports, directories and yearbooks, and monographic series.

Serial works are issued on a continuing basis, often with a regular frequency (e.g., annual, monthly, etc.).

Many serial works do not have a title page. Instead, the title is found on the cover or at the beginning of the text. This is particularly the case with periodicals (magazines, journals, etc.), newsletters, and newspapers.

Most serial works have numbering--numbers or dates or combinations of both that distinguish the individual issues. The only category of serial works that do not routinely bear numbering is unnumbered monographic series.

Serial works rarely have personal authors. Most persons associated with serial works are editors or compilers. Serial works are more often the output of one or more corporate bodies that have "issued" the serial.

Titles of serial works are often given in more than one place in the issue and sometimes in different forms.

Serial works are often related to other serial works (or single units or integrating works)--as earlier or later titles, companions, sections, language editions, translations, etc.

Serial works may have supplements, indexes, reprints, or special issues or may, themselves, be a supplement, index, reprint, or special issue.

Because serial works are issued continuously, the information presented on them may change. Such changes may be in the title, issuing body, form of numbering, frequency, size and physical appearance, or just about anywhere else!

1.2.2. Cataloging a serial work differs from cataloging multiple units or an integrating work

Serial works, incomplete multiple units, and integrating works are all issued over time and, thus, exhibit seriality. However, cataloging practices differ. In the case of multiple units, the distinguishing factor is the fact that these are finite and serial works are intended to be continued.

indefinitely. In the case of integrating works, it is the mode of issuance that is the distinguishing factor.

a. Successive entry cataloging

A new serial record is created each time a major change occurs according to Original RDA 1.6.2.3 –

1.6.2.5 and 1.6.3.1-1.6.3.4. This cataloging convention is called "successive entry cataloging." (See CCM Module 16 for a complete list of potential major changes.) Each successive entry record contains information relevant only to the span of issues covered by that record. The relationship of successive entry records is shown through linking authorized access points (see CCM Module 14). The record for the "dead" serial is "closed off"-- i.e., data elements are added or changed in the record to show that the title is no longer current (see CCM Module 21.3).

Multiple units that are not complete as first issued are also successively-issued and changes in title proper may also occur. However, because multiple units are finite, a single record is made, rather than successive entry records, and changes to the title proper in later parts are recorded in variant access points. . Multiple units are cataloged according to “earliest entry” conventions. (Original RDA 2.3.2.12)

For integrating resources, because there is only one preferred source at any one time, a single record is made and most changes are reflected in notes (field 247, 500, 550, etc.). This convention is known as latest entry cataloging and was also applied to serial works prior to the adoption of AACR2 in 1981.

b. Description based on the first or earliest issue

Serial works consist of a succession of issues, but the basic description of the serial is created from one issue. The primary difference between Original RDA and earlier rules is that since the adoption of AACR2 the description is based on the first or the earliest available issue. Every Original RDA serial work record must indicate the issue upon which the description is based, in ISBD area 3 (field 362, 1st indicator = 0)and in ISBD area 7 (field 588) . Once a serial work is described from the first issue, the "body of the entry" is not changed (except when adding successive numbering schemes, variations in physical description, or closing off the record for a "dead" title). An indication of changes appearing on later issues, that do not require a new record, is given in notes, as appropriate. Serials described from issues other than the first, however, may be retrospectively updated when the first issue becomes available.

As mentioned above, generally multiple units are also described from the first issue with most later changes described in notes or variant access points.

Integrating works are described from the latest iteration. The word iteration is used because there are no separate issues. An integrating resource is described based on the information that is current at the time of cataloging. If this information changes on subsequent iterations, the description is changed and earlier information is retained in notes or variant access points.

c. Numbering

In citing the issue upon which the description is based, the cataloger also describes the numbering system used by the serial work. Numbering is a collective term that may consist of numerical (or alphabetical) designations (volumes, numbers, etc.), chronological designations (dates), or a combination of the two. Numbering is important to serial works because it provides the only means for distinguishing their individual issues.

Multiple units may or may not be numbered.

Integrating works do not use numbering in the same way that serial works do. While updates to a loose-leaf publication or database may be numbered or bear revision dates, this numbering refers only to the update and not the publication as a whole. Thus, while the numbered update of a loose-leaf might be checked in according to that numbering, it is not reflected in the bibliographic record.

d. Preferred titles: created according to Original RDA 6.2.2

Because so many serials are entered under title according to Original RDA , it is important to be able to distinguish one serial from another. Original RDA 6.2.2.3 and the accompanying LC-PCC PS (Original RDA) provide the guidance for creating preferred titles to distinguish different works with the same title. The preferred title consists of the title proper and a qualifier (see CCM Module 5). In determining whether there is a conflict, catalogers consider all other works in all formats.

e. Linking entry fields

Serials are often part of "family" relationships. They may have parents (earlier titles), children (later titles), siblings (other editions, splits, etc.), and cousins (other related works). Original RDA specifies that these relationships be mentioned. in These relationships should be recorded in MARC 21-defined linking entry fields (760-787).

Linking entry fields are defined for single units as well as serial works, but have not been used on monograph records as extensively as with serial works. Because there is a single record for the entire multiple unit work, there is no need to link to earlier or later titles. Links to other physical formats should be provided, however.

Much of the same can be said for integrating resources, because a single record is involved. However, there are cases where links are appropriate and Original RDA 24.4 (original) rules for linking notes apply also to integrating resources.

f. The cataloging record must represent the entire serial work

In general, information contained in serial records must be broad enough to pertain to the span of issues covered by each successive entry record or a subset of those issues as noted by date spans. This is perhaps the most difficult concept for an experienced monograph cataloger to grasp.

Information that is specific to a single issue is usually omitted because it does not relate to the serial as a whole. For example, dates and numbers that represent the issue are dropped from the title statement, titles specific to one issue are omitted, and so forth. When information is given that relates to certain issues but not all, dates are given to indicate the span of issues to which the information pertains. Such dates are most often given with notes.

Integrating work records are very similar to serial works in that they too must cover the entire resource. It may be the case that earlier information has completely disappeared from an online integrating work and catalogers must use judgment in determining what to retain in notes.

1.2.3. Serial vs. single work cataloging: economy and access

CCM Module 2 discusses the criteria that are used to determine whether a publication is cataloged as a serial, a monograph, or an integrating resource. While the distinction between a serial work and an integrating work is based on how it is issued and is usually clear, the distinction between single works and serial works is based on whether or not the resource will continue over time. This is often not clear at all! Frequently the cataloger is left to decide the most appropriate treatment. The following considerations of economy and access are presented for situations in which a publication could be cataloged as either.

a. Economy

When a title is cataloged as a serial, all issues are represented by one record -- at least until the title changes. If successive issues are received, they can be checked in and added

to the collection without further cataloging. Other types of records (e.g., print check-in records) are also created. If nothing else is received (i.e., the publication is a single-issue serial work), nothing need be changed. Just think of the creator’s intention.

When a publication is cataloged as a monograph, however, and turns out to be a serial, the monograph records have to be canceled and the publication recataloged as a serial. On the other hand, treatment as a monograph is preferable when it appears that each issue will have a distinctive title. If separate records are going to have to be made for each issue due to constant title changes, it is may be more economical to catalog as a monograph because the records do not have to be linked nor do check-in records or union list records need to be created, depending on numbering, designations, etc.

b. Access

If serial works are classified by a library, treatment as a serial enables the shelving together of all issues, regardless of title changes. Generally, the title will also be accessible in sources other than the catalog, such as union catalogs, check-in files, and so forth. The cataloging record, however, will be less complex than individual monograph records would be, since one entry must serve for all issues. If there is important information that is specific to each issue, treatment as a monograph may be preferable. This is often the case for monographic series whose individual titles may require separate subject analysis and classification numbers to provide the appropriate level of access.

1.3 The process of cataloging a serial work

Original cataloging generally involves seven processes, some of which may occur at the same time. The order in which they are performed depends on whether the serial is cataloged on an integrated library system (ILS) or directly on a utility, whether the serial is straightforward or complex, and institutional guidelines and preferences. A further step, creating authority records, may also be necessary depending on institutional policy and whether or not authorized access points have already been established.

The seven processes are:

1) Examining the issue(s) of the serial in-hand or on-screen
2) Searching for an existing record
3) Describing the serial work
4) Determining name and title access points
5) Assigning subject headings and a classification number
6) Inputting the record
7) Updating related records

1.3.1. Examining the issue(s) of the serial

Once a cataloger determines that a resource is a serial work (see CCM Module 2), the following questions must be answered after skimming the serial:

- What is the preferred source of information?
- What is the title proper? If there is more than one issue, does the title proper appear to have changed?
- What is the numbering system (i.e., a number or date that identifies the issue)?
- Is this the first issue?

- Are there corporate bodies named on the serial work?
- Does the publication mention a relationship to other resources or an earlier title?
- Are there changes evident on later issues?
- What is it about? (optional)

1.3.2. Searching

Searching for an existing record may include shared bibliographic databases such as OCLC or other institutional online catalogs. Search to determine if a serial has already been cataloged within your institution, then search in a bibliographic database to determine whether it has been cataloged by another library. The cataloging database for LC/CONSER catalogers is OCLC.

- Is there another work with the same title (i.e., will creating a preferred title be necessary)?
- Are there related records that will affect the cataloging, requiring links to the record being created?
- Are all of the headings that will be used in the record established in the LC/NACO Authority File? Are there appropriate subject headings to cover the subject of the serial work?
- Is the resource one of a group of similar publications and if so, is it desirable that the serial work being cataloged be described in a similar manner?
- Are there single unit records for the publication that might indicate that the publication is not really a serial? For instance, there may be several editions with a wide range of publication dates that indicates no clear pattern of issuance. Or, is there a succession of monograph records for each year indicating that the title should be redone as a serial?

1.3.3. Describing the serial work

Once the searching has been done and you have skimmed the serial, now is the time to consult the rules and policy statements. What do the various elements found on the issue represent and how will they be transcribed in the cataloging record? Will information have to be supplied that does not appear on the issue?

Describing a serial involves two processes:

- Locating the essential elements that will compose the cataloging record as required by the rules
- Deciding what to do with what is found on the issue

Both activities are interrelated. To locate the essential elements, a knowledge of what the rules consider to be the essential elements is necessary. Deciding what to do with what is found on the issue is the more difficult aspect because it involves interpreting the information to determine what the publisher is trying to convey and knowing where the information will best fit in the catalog record or whether it should be omitted.

Keep in mind that description according to Original RDA is just what is says--description! While the rules do allow for some modification of the data, in most cases, data is given in the form in which it appears

on the item. However, the data must also be interpreted and given in its appropriate place. It is important to know what elements need to be included in the record whether or not they are found in the preferred sources of information, when to piece together information from different sources, and when to supply information that doesn't appear in the issue.

The following charts list the descriptive elements that must or may be given in the cataloging record for a serial.

Descriptive elements that must be given for serial works at all levels in CONSER records (full, core, minimal)
• Title proper • Designation of the first issue (except for unnumbered series) • Description based on note • Place of publication or Place of publication not identified • Name of publisher or "Name of publisher not identified. • Date of publication when first/last issue is in hand

Descriptive elements that may be given depending on what appears, level of cataloging, or type of material
• Other title information Parallel titles • Statement of responsibility • Subsequent statements of responsibility Edition statement • Place and name of distributor Physical description (extent of item) • Illustration statement and size of publication Series statement • Notes • Links to related records

1.3.4. Determining name and title access points

Access points are the entries under which the serial can be searched in the catalog. The first decision is usually what will be the authorized access point (see CCM Module 4). For serials, this is generally a question of whether an authorized access point for the creator, the title proper, or a preferred title will be used as the initial access point-. Added access points may be made for corporate bodies that have not been given as the authorized access point, persons responsible for the serial (in some cases), or conference names.

Access points are also given for the preferred title when it is not the initial access point and, in most cases, for other titles or variations of the title proper. If the serial is issued within a series, the series may

also be given as an access point (see CCM Module 12). Since access points are critical to the retrieval of records, many of them, such as series titles, series like phrases, and corporate names are established in authority files.

1.3.5. Assigning subject headings and a classification number

Determining what the serial is about and how it should be classified requires different thought processes from those used to determine the bibliographic description. For this reason, subject analysis is usually done as a separate process, whether by the same or another cataloger (see CCM Module 15). Note that supplying a classification number is not mandatory for CONSER because many libraries choose not to classify some of their serials (e.g., newspapers, microforms, intangible serial works). But CONSER members are encouraged to add classification to full level CONSER records whether the resource is physical or intangible.

1.3.6. Inputting the record

Before inputting the new record, it is advisable to search the title again if much time has elapsed since it was first searched. If the serial work is new, it is possible that another library has input a record during the time you were composing the content! Records must be input with the appropriate tagging. The primary tool consulted for questions relating to tagging is the CONSER Editing Guide.

1.3.7. Updating related records

LC/CONSER catalogers are not only responsible for inputting new records to the LC/OCLC database, but also for updating those already shared. This may mean adding a linking entry field, closing off a record for a "dead" serial, correcting a heading, or identifying a duplicate record for deletion. For instructions on duplicate records, consolidation of records, and general updating, see CCM Module 21 and CONSER Editing Guide, Section C. Other catalogers may report needed updates for online entry to those authorized to make the changes (OCLC, etc.).

1.4. Levels of cataloging

CONSER records may be created at two levels: full, or minimal. Most records are created at the full level; minimal level cataloging is generally used only when the authority work needed for full-level cataloging cannot be done due to lack of language expertise, etc. A complete listing of which elements are required for each level is contained in section B6 of the CONSER Editing Guide (CEG). The instructions in the CCM do not, for the most part, specifically address how each area of the record is constructed according to the potential levels of description.

The challenge for a beginning cataloger, is that Original RDA is quite neutral on what should be included. If the code was read literally, a cataloger might feel that all possible notes would have to be created. Of course, this is not the case! Thus, the cataloger can use the CONSER Standard Record (CSR) RDA Metadata Application Profile as a guide in determining what is an acceptable level of description for most serials. Depending on institutional policies, the cataloger can choose the level of description that will be most appropriate for any one serial work.

1.5. Serial works and their control

Because serial works are ongoing, they have special needs for control and for the recording of holdings. Catalogers may or may not be actively involved with these additional aspects of control.

1.5.1. Check-in and holdings records

Most libraries maintain a separate file containing records in which individual issues of a serial are "check-in" upon receipt. This file may be automated or manual. Frequently, information from the cataloging record is used as the basis for the check-in record. The cataloging entry may serve as the entry for the check-in record and the numbering selected by the cataloger may set the pattern for the check-in of future issues.

Check-in records normally contain:

1) bibliographic data pertaining to the serial--the title, responsible issuing body or publishing information, frequency, references to earlier or later titles, etc.

2) instructions for the disposition of the issues--whether to keep or discard, how many copies to retain and bind, where to send the issues, and so forth

3) holdings of issues, and

4) the local call number. Also included may be notes pertaining to supplements not separately cataloged, numbering irregularities, information regarding the source of the item, etc.

Automated check-in systems may also have functions for binding and claiming of issues not received. Often the check-in component is part of an acquisitions module within an ILS and check-in records may be connected to purchase orders or other types of acquisition records.

Many libraries have implemented systems that use the MARC 21 Format for Holdings Data (MFHD). The display in the OPAC of holdings of unbound issues is generated from the check-in component, but the display of bound holdings comes from a separate holding, or in some cases, item record. One of the keys to MFHD is the publication pattern.

1.5.2. Publication patterns and the CONSER Publication Pattern Initiative

A publication pattern consists of coded data that describes two things:

1. The captions that are used for enumeration and chronology and
2. The frequency and regularity of issuance of a serial work. This data enables systems to:
    - predict upcoming issues to facilitate check-in and claiming, and
    - to display the holdings of a library in a standardized manner according to ANSI/NISO standard Z39.71.

In 1999, CONSER began an initiative to add the publication pattern for each serial to the CONSER record so that it could be shared with all libraries. The publication patterns initiative is no longer active

1.5.3. Union lists and consortia

Union lists are a primary tool for interlibrary loan. In the past, the printed book catalogs, the Union List of Serials and New Serial Titles were based exclusively on CONSER cataloging records. Union lists, now mostly online, are currently the basis for indicating the holdings symbols for reporting institutions. Libraries may also participate in consortia.

Summary

- Serial works are a vital part of any library collection because they are a major source of current information.
- Before cataloging serial works, it is important to understand their nature and what information is to be included in or excluded from the cataloging record.
- Serial works have many defining characteristics which distinguish them from single unit and integrating works.
- Describing a serial work can be a balancing act between describing what is found and supplying the necessary elements.
- Serial works are a challenge to catalog because they can change.
- In addition to bibliographic records, serial works are often represented in check-in files, MFHD and union lists.