



Program for Cooperative Cataloging
NACO: Name Authority Cooperative Program

SERIES TRAINING FOR PCC PARTICIPANTS

Series Statements and Series Authority Records

Session 12: Series-Like Phrases

Program for Cooperative Cataloging

Standing Committee on Training

May 2014

rev. December 2015 and October 2023

Series Statements and Series Authority Records

Session 12: Series-Like Phrases

Summary

This session will cover how to identify and treat series-like phrases. It will also explain common situations in which authority records are usually made for them, and how these authority records should be coded using MARC 21.

Objectives

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

- understand the concept of a series-like phrase
- identify the most common categories of series-like phrases
- recognize how series-like phrases differ from monographic series
- determine whether or not a series authority record should be made for a series-like phrase
- properly code authority records for series-like phrases using MARC 21
- understand how to treat undifferentiated series-like phrases

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Introduction

The concept of “series-like phrase” does not appear in either *RDA* or *AACR2*. Current PCC practice, as recorded in *LC-PCC PS 2.12*, has essentially been carried forward from LCRI 1.6.¹ The Rule Interpretation primarily addressed the question of valid sources for the series title. The Policy Statement, on the other hand, primarily addresses the question whether the data string constitutes a series or, as discussed in this training session, a phrase. *LC-PCC PS 2.12* states:

“Distinguish between phrases that are true series and those that are not, with the latter sometimes included elsewhere in the bibliographic record (e.g., given as a quoted note) and sometimes not transcribed at all.”

The decision whether a text string is a series or a phrase is often a matter of judgment. Some specific categories are given in *LC-PCC PS 2.12*, and these are addressed individually in the next section of this material. For situations beyond the categories listed there, or when it is not clear whether the string fits one of the categories, the first cataloger to encounter the string makes the necessary decisions.

Reconsider an existing “series or phrase” decision only if more facts become available. Don’t replace someone else’s judgment with only your judgment!

¹ LCRI 1.6A2 included one category of series-like phrase that is no longer applicable, and is not included in *LC-PCC PS 2.12* “Series title embedded in text in invalid source”. This is because the entire resource as well as any available reference may be used as the source of the series in *RDA* (*RDA 2.12.2.2* directing also to *2.2.4*). Therefore, the concept of “invalid source” does not exist in *RDA* for series title.

Definition

A series-like phrase might be defined as:

'A phrase that resembles a series title, but is not considered to be a series title.'

No comprehensive bibliographic descriptions are made for series-like phrases, since series-like phrases unlike series, are not bibliographic resources. However, a series authority record for a series-like phrase may be created as a 'memo for catalogers' to convey information, so the same situation doesn't need to be investigated again – and again – and again ... and the same decisions remade (or worse, inconsistent decisions made on an ad hoc basis in different bibliographic descriptions).

Example: Series-like phrase SAR:

```
130 #0 $a RAS Company publications
380 ## $a Series-like phrase
430 #0 $a RA Swanson Company publications
643 ## $a Crystal Lake, IL $b RAS Co.
667 ## $a Give as a quoted note if RAS Co. does not appear in the publication, distribution, etc., area.
670 ## $a Walking for your health, 2005: $b t.p. (RAS Company publications) spine (RA Swanson Company publications)
008/12 = c (OCLC fixed field: Series)
008/13 = b (OCLC fixed field: Ser num)
```

Searching

Search for a SAR first. Although a text string may look like a series-like phrase to you, some other cataloger may have already decided that it's a legitimate series and established it as such.

If no SAR is found, search for any bibliographic records:

- Search as a series
- Search as a note
- Search as part of a title proper
- Search for the information as a corporate body (imprints, for instance, often look like series).

Optionally, search for information in other resources such as the publisher's website.

Common Phrase Situations

The section, “Series or Phrases” of *LC-PCC PS 2.12* discusses ten categories of phrases, nine of which are generally – although not always – rejected as series, and provides treatment guidelines and examples for each (the list is not a closed list). In some cases, if the phrase is rejected as a series, it is recorded in a quoted note on the bibliographic record; in other cases, the phrase need not be recorded anywhere. Be sure to read the categories very closely, as the distinctions are sometimes very subtle. But the treatment decisions are logical, and the examples are helpful in illustrating the situations.

For some of these categories, a series authority record (SAR) is generally created by PCC catalogers to reflect the decision (if your institution creates SARs). So the following discussion is organized by that distinction.

Phrases for Which SARs are Generally Created by PCC Catalogers

Category 1: Unnumbered Statement of the Emanating Body

If the phrase is essentially an unnumbered statement of the name of the body from which the item emanates

- *reject it as a series title*
- give the phrase as a quoted note *if* the name of the emanating body is not given elsewhere in the bibliographic record (e.g., as the name of the publisher, in a note for the issuing body, etc.).

Example:

In source:

A Stovall Museum publication

SAR:

130 #0 \$a Stovall Museum publication
643 ## \$a Norman \$b University of Oklahoma Press
667 ## \$a Give as a quoted note if museum not noted in bibliographic record

Bibliographic record:

500 ## \$a “A Stovall Museum publication”--Half title page

Note: Compare the above phrase with “A Stovall Museum ethnography publication”, which would most likely be considered a true series.

Category 2: Numbered Statement of the Emanating Non-Commercial Body

If the phrase is essentially a numbered statement of the name, initialism/acronym, or part of the name of the body from which it emanated and that body is not a commercial publisher

- *consider the phrase to be a series title*
- transcribe the information in the series statement

Example:

in source:

Buckinghamshire Record Society No. 21

Bibliographic record:

490 1# \$a Buckinghamshire Record Society ; \$v no. 21

Category 3: Statement of the Commercial Publisher or Sub-imprint/Subsidiary Name

If the phrase is essentially a numbered/unnumbered statement of the commercial publisher or includes a sub-imprint name or name of a subsidiary, a division, etc., of a publishing firm

- *reject it as a series title*
- give the phrase as a quoted note *if* the name is not recorded in the publication statement.

Example:

in source:

an Interscience Publication
published by JOHN WILEY & Sons

SAR:

130 #0 \$a Interscience publication
643 ## \$a New York, N.Y. \$b Wiley
667 ## \$a Give as a quoted note if Interscience does not appear in the imprint

Bibliographic record:

264 #1 \$a New York : \$b Wiley, \$c 1995.
500 ## \$a "An Interscience publication."

Category 4: Phrase Includes Name of In-house Editor or Other Official of the Firm

If the phrase includes the name of an in-house editor or some other official of the firm, etc.

- *reject it as a series title*
- give the phrase as a quoted note.

Example:

in source:

Michael di Capua Books

SAR:

130 \$a Michael di Capua books
 643 \$a New York \$b Farrar, Straus and Giroux
 667 \$a Give as a quoted note

Bibliographic record:

500 \$a "Michael di Capua books."

Category 5: Named Lecture Series Appearing on the Item as a Series Title

If a named lecture series appears on the item as a series title, i.e., it is not extracted from another context (e.g., other title information, prefatory material) and it has or is likely to have data that remain constant from issue to issue

- *treat the name of the lecture series as a series title*
- however, in case of doubt, do not treat the name as a series
- if the name is rejected as a series, record the name in the MARC 245 field or give the name with associated data in a quoted note.

Example A: Lecture series treated as series:

in source:

ANNUAL LECTURE SERIES No. 1
 Lectures on Jainism

SAR:

130 #0 \$a Annual lecture series (University of Madras. Dept. of Jainology)
 642 ## \$a no. 1 \$5 xxx
 644 ## \$a f \$5 xxx

Bibliographic record:

245 10 \$a Lectures on Jainism ...
 490 1# \$a Annual lecture series ; \$v no. 1
 830 #0 \$a Annual lecture series (University of Madras. Dept. of Jainology) ; \$v no. 1.

Example B: Lecture series not treated as series:***In source:***

Major Development and Transportation Projects
Public/Private Partnerships
Proceedings of the Specialty Conference (including the Second Francis S. Turner Lecture)...

SAR:

130 #0 \$a Francis S. Turner lecture
667 ## \$a Give phrase as a quoted note if not already recorded in the body of the entry.

Bibliographic record:

245 10 \$a Major development and transportation projects : \$b public/private
partnerships : proceedings of the specialty conference (including the Second
Francis S. Turner lecture)

Phrases for Which SARs are Generally Not Created by PCC Catalogers

Category 6: Number That Cannot be Associated With a Series Title

If a combination of letters or letters and numbers cannot be associated with a series title, and there is evidence that the combination is assigned either to every item the entity issues for control purposes or to certain groups of items for internal control or identification

- generally, *do not treat the combination as a series*
- give the information as a quoted note (do not give the note on a bibliographic record for a serial)

Example:

500 ## \$a "UC-13."

If the combination of numbers and letters is a stock number, government documents number, or publisher's number assigned to music-related materials, it may be recorded in field 037, 086, or 028 respectively, rather than, or in addition to, field 500.

Category 7: Slogan, Motto, Prize, etc.

If the phrase is a slogan, motto, prize, etc.

- *reject it as a series*
- Give the phrase as a quoted note. Use field 500 if the phrase is a slogan or motto; use field 586 if it is information relating to a prize or award. .

Example:

in source:

Workers of the whole world, unite!

Bibliographic record:

500 ## \$a At head of title: Workers of the whole world, unite.

The last three categories are very similar, but subtly different. Note that a key factor in deciding how to treat these types of phrases is considering the particular source where the phrase is found.

Category 8: Unnumbered Genre or Characterizing Word

If an unnumbered genre or characterizing word in the singular form (or plural form having singular meaning) *appears only on the cover or container*

- *reject it as a series*
- Generally, do not give it as a quoted note.

Examples:

Mystery
Essai
Graphics

Category 9: Unnumbered Phrase Indicating a Broad or Subject Category

If an unnumbered phrase indicating a broad subject or category *appears only on page 4 of the cover, on the cover flaps, or on the container*

- *reject it as a series*
- Generally, do not give it as a quoted note.

Examples:

Computers
Etiquette
Educational software

Category 10: Publisher's Listing is Subdivided Into Broad Categories

If the publisher's listing is subdivided into broad categories

- *generally do not consider the captions to be series titles* unless
 - the same phrases appear elsewhere in the resource as series titles;
 - the phrases include a word such as "series," "library," "collection," etc.; or
 - there is other evidence to consider them series (e.g., listed titles are numbered sequentially)
- Generally, do not give as quoted notes.

Example:

in source, on p. 210:
ROMANS ET NOUVELLES
(listing of titles, without numbering)

Key Points in Summarization

- A decision on series vs. phrase does not apply to such specific information as publishers' and plate numbers for printed music or publishers' stock numbers for sound recordings; such numbers are addressed in *RDA 2.15.2* and *RDA 2.15.3*.
- If a decision concerning the phrase has not been recorded in the LC/NACO authority file, base the current decision primarily on judgment. You are free to create a record if none exists.
- To assist you in exercising that judgment, the 10 categories listed in *LC-PCC PS 2.12* address some of the most common situations. However, please be aware that it is *not* a closed list.
- Create the SAR if you think another cataloger might consider the phrase to be a series
- Create the SAR if you have useful information from other research you did
- Create the SAR if you think it is important to maintain consistency in the database for the phrase
- Do not create the SAR for numbers only or for numbers/letters not associated with a title
- Generally respect decisions that have already been recorded in SARs.

Treatment and Processing

Inconsistent Decisions in Database

If evidence in the database shows that inconsistent decisions have been made regarding the phrase, make a decision to guide future treatment, and create a SAR to document that decision. Include in the SAR an explanation of the previous inconsistent practice.

Example:

667 ## \$a Prior to [date of decision], handled inconsistently as series and as [quoted note, other title information, etc.]

Bibliographic file maintenance on pre-existing records is encouraged, but not required.

Different Treatment from Monographic Series SARs

Phrase SARs bear several differences from monographic series SARs. In every aspect *other than the coding of the 008/13 for numbering status*, treat phrase SARs the same as monographic series SARs.

008/12 (Type of Series)

008/12, for 'Type of series', should be coded with value "c", for 'series-like phrase'

380 Field (Form of Work)

Optionally, you may include the 380 field to indicate the form of the work. In this case, supply "Series-like phrase."

5XX (References)

Generally, do *not* code references as earlier/later (i.e., no subfield \$w) unless information is readily available (See Session 8, "Related Series")

Absence of 642, 644, 645, 646 Fields

Because the phrase isn't treated as a series, the series treatment fields are not appropriate. Do not include fields 642, 644, 645, or 646. Instead, give instructions in a 667 field. Indicate in a 667 field any earlier different practice, and be sure to include the cut-off date.

Resolving Conflict with Another Phrase SAR

When you are resolving a conflict with a *non-phrase* SAR AAP, follow usual procedures. But when you are resolving a conflict with another *phrase* SAR, do not create a second SAR, with a qualifier for that heading. Instead, create an undifferentiated phrase SAR (see the detailed instructions later in this material).

What to do With the Phrase in Bibliographic Records

Use cataloger judgment to determine the best use of the phrase in the bibliographic record. Consider the source of the phrase when making this judgment. Remember that under RDA the entire resource can be used as the preferred sources (note the plural). However, here is some further guidance:

- If the phrase appears one of the more-prominent preferred sources, generally include it in the bibliographic record unless *LC-PCC PS 2.12* says not to (for example, categories 8, 9, or 10, or those for which you do not provide a quoted note if the phrase is recorded elsewhere).
- If the phrase appears in the less-prominent of the preferred sources, apply cataloger's judgment in deciding whether to record it.

The Most Common Decision -- Give as a Quoted Note (Sometimes)

The general procedure is to record the phrase as a quoted note if the same information is not recorded elsewhere (e.g., in the publication statement), and to record this guidance in the SAR 667 field. But occasionally other guidance is recorded in the 667 field.

Examples of SAR 667 fields: quoted notes:

130 #0 \$a Dallas/Ft. Worth folded map series

667 ## \$a Give as a quoted note

130 #0 \$a Raccoon pamphlet

667 ## \$a Give as a quoted note if Raccoon Books is not in imprint.

130 #0 \$a World Bank software

667 ## \$a Give as a quoted note if not in the body of the entry.

Examples of SAR 667 fields: other instructions:

130 #0 \$a D.O.T. (Series-like phrase)

667 ## \$a Is part of sales number on spine; ignore in bibliographic record.

130 #0 \$a Alfaguara (Series-like phrase)

667 ## \$a Is an imprint, not a series. Give in publication, distribution, etc., area of the record.

130 #0 \$a Faulkner and Yoknapatawpha (Series-like phrase)

667 ## \$a Short form of the name of annual conference; record as statement of responsibility.

130 #0 \$a Exploring in

667 ## \$a Even though publisher refers to a series, words "Exploring in" appear only as part of title proper of each volume; give them as part of title proper in the 245 subfield \$a.

Undifferentiated Phrase SAR

Policy

The Introduction to Descriptive Cataloging Manual (DCM) Z1, "Name and Series Authority Records", includes a section titled, "How many SARs should be made?" Question (8) is "How many series-like phrase heading SARs are made for the same phrase used by different bodies?"

There should be only one SAR. If an SAR already exists, treat it as an undifferentiated phrase record; delete from the existing heading any qualifier other than "(Series-like phrase)."

If the heading on an undifferentiated phrase record is the same as the authorized access point of another entity, or consists of a combination of letters that is the same as an acronym/initialism or name of a corporate body, use the qualifier "(Series-like phrase)." If the heading on an undifferentiated phrase record conflicts with the title of a serial (monographic series or non-analyzable serial), a qualifier should be added to the access point for the serial on its bibliographic record. If the serial record is an authenticated record, and you lack the authorization to revise it, submit a request for a CONSER cataloger to do so.

SAR 643, 667, and 670 Fields

Give the 643 field as "Various places : various publishers." This 643 is sufficient to record publisher variations, so do not additionally include a 667 to indicate the same thing.

However, the 667 field can be included for the purpose of providing additional processing instructions. In such cases, include two 667 fields:

- The first should state either "Give phrase as a quoted note" or "Do not give phrase as quoted note."
- The second should state: "Undifferentiated phrase record: Covers all instances when this character string used by any publisher is considered to be a series-like phrase; if character string is considered to be a series, separate SAR has been made."

Example:

643 ## \$a Various places \$b various publishers

667 ## \$a Undifferentiated phrase record. Covers all instances when this character string used by any publisher is considered to be a series-like phrase; if character string is considered to be a series, separate SAR has been made.

667 ## \$a Give phrase as a quoted note

Regarding 670 fields:

- Only one 670 field is needed to justify the form in the 130 field
- Record others as needed to justify variant forms in 430 fields
- It is acceptable to include a 430 field which applies to only one of the phrases covered by the SAR