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Introduction to Serials Cataloging with RDA

Steve Shadle
University of Washington
Alexis Zirpoli
University of Michigan Law School, alexismz@umich.edu

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Introduction to Serials Cataloging with RDA

Steve Shadle
Presenter

Alexis Zirpoli
Recorder

This one-day pre-conference workshop, presented by Steve Shadle at NASIG 2018, was based on an abridged version of the Serials Cooperative Cataloging Training Program (SCCTP) Basic Serials Cataloging Workshop.[1] Two sections of the workshop materials were omitted in order to complete the workshop in one day: Module 5 - Describing Carriers and Content, and Module 9 - Identifying Appropriate Copy. Module 10 - Working with Copy, was covered briefly. The overall goal of the workshop was to enable participants to catalog a "straightforward" print serial resource and to be able to understand elements of a serials cataloging record. The workshop focused primarily on cataloging print serials.

BODY OF PAPER

Introduction

This workshop, derived from an abridged version of the Serials Cooperative Cataloging Training Program (SCCTP) Basic Serials Cataloging workshop,[2] was aimed toward people with little serials cataloging knowledge. We used Resource Description and Access (RDA) and the corresponding Library of Congress-Program for Cooperative Cataloging Policy Statements (LC-PCC PS), the Cooperative Online Serials Program (CONSER) Standard Record, and the CONSER Cataloging Manual (CCM). Additionally, this workshop covered Machine Readable Cataloging (MARC) tags used in serial records, practicing creating some serial records, and

editing Online Computer Library Center (OCLC serial) records. Each module concluded with interactive exercises and quizzes.

Module 2 – Serials and Serials Cataloging

A serial is a resource that is issued in successive parts, is usually numbered or dated, and has no predetermined conclusion. There are some identifying characteristics unique to serials. If an International Standard Serial Number (ISSN) appears on the issue, it is a good indicator the resource is a serial. If a frequency is mentioned in the title (such as "weekly" or "annual") this indicates a continuing resource. The presence of enumeration, chronology, or years of coverage (for a serial published annually) also indicates a serial.

There are significant differences in cataloging between finite and continuing resources. For serials, the bibliographic record provides information about the serial as a whole. Cataloging a continuing resource involves ongoing maintenance of the bibliographic record due to the changing nature of serials. Therefore, there is less focus on physical description of an item, as with cataloging monographs. Serials frequently have non-standard presentation of bibliographic elements. These presentations often require catalogers to use their judgment and expertise to identify and record these elements.

As cataloging rules have evolved, there have been multiple approaches to documenting serial changes. The current practice, which began in the 1970s, is successive entry. Successive entry dictates that a new record must be created each time the serial undergoes a major change. Major changes are discussed in Module 8. Catalogers may also come across records for serials in which major changes are documented in a single record (by the addition of MARC 247 fields describing earlier titles). This practice is referred to as latest entry cataloging, in which the current/latest title appears in the 245 field.

Serial cataloging records rely on cooperative record creation and editing in a bibliographic utility such as OCLC. Many other components of a serial record are used to record receipt, processing, holdings information, order records, etc. One serial may have multiple bibliographic records due to the major changes in the serial when using successive entry cataloging.

There are many special types of resources that require further investigation in order to determine whether to catalog them as a serial or a monograph. These are covered in detail in the LC-PCC PS 0.0.

This module concluded with an overview of MARC tags involved in a serial record. This included special fixed field values, such as bibliographic level value, a code for successive or latest entry, the continuing resource type (previously referred to as serial type), frequency, regularity, and dates. There are a number of variable MARC fields specific to serials. These are covered in depth in Module 4.

Module 3 – Cataloging Preliminaries

This module focused on the foundation needed to catalog serials. We started with the concept of the basis for identification of the manifestation as outlined in RDA 2.1. It is first necessary to understand the underlying concept of Works, Expressions, and Manifestations, and Items (WEMI). Any bibliographic resource can be identified from the perspectives of WEMI. A Work is an abstract thing, expressed in any number of languages and any number of forms, manifested in a specific publication instance, and then a specific item. A journal is a collective Work. Serial Works can be manifested in multiple Expressions, typically language expressions, such a Russian journal with an English translation. They are the same serial Work because they

represent the same intellectual content. Serials are generally manifested in print, electronic, and microformats.

The basis for identification is essentially the individual issue or iteration used as the transcription source that forms the basis of the catalog record. There are the specific RDA rules that refer to what piece, or in the case of integrating resources what iteration, is used for transcribing information. Once the first issue is identified, unless the resource has a title page, there are a number of places from which the title is transcribed. RDA provides an ordered list of bibliographic sources from which to transcribe title information if there is no title page

The CSR core elements include all of the RDA core elements plus additional ones. The CSR (which was developed prior to RDA) is a baseline set of elements that emphasize access points over descriptive data. Any information that is important to the cataloging institution for identification can be included above and beyond the CSR. Some information is transcribed exactly as it appears (with allowances within the LC-PCC PSs for changing case) and some information is recorded.

Module 4 – Identifying Manifestations

This module explored identifying and recording/transcribing elements (and the associated MARC tags for those elements) of a manifestation to create a serial cataloging record. There are ten basic core elements that need to be present in a serial record.

The first element is the title statement, which includes the title proper, parallel titles, other title information, and any variants. The title proper is transcribed in field 245 subfields a, n, and p which are used for serial titles issued in parts. Refer to RDA 1.7.1 and its LC-PCC-PS for instructions on capitalization.

For serials, information that changes from issue to issue, such as dates, years, numbers, or government officials' names, (grammatically connected to the title) is omitted from the title proper. These pieces of information are indicated in the 245 by the mark of omission "…". RDA 2.3.1.4 indicates exceptions to transcription of the title proper. Typographical errors are one exception. If there is no presentation of a title anywhere on an item, then create a devised title and use a note stating the title is supplied by a cataloger. Introductory words, such as "Good Housekeeping presents" are omitted.

If a serial is presented with both a full form of a title and an acronym, the full form is selected as the title proper. For instance, the Journal of the American Medical Association, JAMA, would have Journal of the American Medical Association as the title proper. In this instance, JAMA is recorded as a variant title. This applies even if the acronym is more prominently displayed than the full form. If only an acronym is present on the resource then transcribe the acronym as the title proper.

Parallel titles, which are titles proper in other languages and/or scripts, are recorded from any source within the resource. Use the first and second indicator values of 1 in the 246 field to indicate this is a parallel title. Titles for which the parallel title was added in later issues can be recorded in the 246 field subfield i, which acts as a note, indicating when the parallel title was added.

Other title information (subtitles) should be transcribed only if including this information aids with identification and or discovery of the resource. This information often changes over the life of a serial. One option is to record it in a quoted 500 note. If other title information is included in the 245 it must be found from the same source as the title proper.

Variant titles are also recorded in the 246 field. Subfield i may be used as a note at the beginning of the field. Variant titles are also used when there are minor title changes, since minor title changes do not warrant the creation of a new record.

The next element needed to identify/access a manifestation is the statement of responsibility that may be recorded in 245 subfield c. It is provided if it is important for the identification of the title or if needed for authority work to document the usage of the statement of the responsible body. The statement can also be used as part of the Authorized Access Point (AAP) (discussed further in Module 6). If a cataloger wishes to include statement of responsibility information in the record, but does not want to use the 245 subfield c, this information can be included in a 500 note. If the responsible party changes over time, that information would be recorded in a 550 note, with dates noting changes in the responsible party. The CSR encourages the use of subfield 3 in the added entry fields (710) to indicate the time period the body is responsible for resource issuance instead of using 550 notes[2]. Local system displays need to be taken into account – if the 710 subfield 3 does not display it is appropriate to use 550 notes instead.

Edition statements, if present, can also be used to identify a manifestation. These statements are transcribed as they appear (abbreviated or spelled out). However, edition statements can be tricky because they can be used to represent issue numbering, such as year designation for an annually issued serial title. If the statement indicates the edition of a serial work title, such as a regional edition, then it is recorded in the 250 field.

Volume/issue numbering is an element used to identify a manifestation. There are a number of RDA statements that apply to transcription, recording numbers expressed as numerals and words, and sources used to identify numbering. The numbering is recorded in the 362 field.

CONSER guidance on preferred sources is found in CCM 8.3. When transcribing numbering and levels of enumeration are present, those levels are separated by a comma and a space. There are some cases in which substitutions can be made in transcribed data, such as numerals for numbers expressed as words, and the CONSER practice to replace a hyphen with a slash to indicate inclusive dates or numbers.

Publication information is recorded in a 264 field. When there are multiple presentations of publisher, only the first place and publisher are required. If the first or last issue is in hand, the publication date is required in the 264 subfield c. Multiple 264 fields are also used if there are changes in the serial, over time, for the responsible body. The order of publication statements are recorded in the first indicator. Entities are recorded in chronological order from earliest to latest. The second indicator records the function of the entity. Generally, the indicator for publisher is used. Copyright information, if separate from publication information, is not recorded for serials as it is for monographs. If there is only a copyright date, that date is supplied in square brackets. The place of publication is transcribed as it appears on the resource. CONSER practice is to find information on place of publication from any source as opposed to using the "place of publication not identified" statement. The same is true for publisher name and date of publication. If there is no approximate date to be inferred, omit the date.

Recording series statements in a 490 field is required. Recording the AAP for the series in an 830 field is optional. Title proper, ISSN, and numbering are core elements for the series and any subseries that may exist. As for other transcription elements, there are priority orders for sources for transcribing core elements. The numbering in the 490 is recorded exactly as it appears on the issue. If there is a serial issued as part of a series, the transcription depends on

whether or not the series numbering is consistent across all issues of the serial. If the series number changes from issue to issue, that numbering is not included in the 490 subfield v.

The frequency of publication is required for CONSER. The current frequency, recorded in the 310 field, is always required. The former frequency, recorded in the 321 field, is required for updating existing records or copy cataloging, but is not required for original cataloging. Frequency changes over time are recorded chronologically from earliest to latest.

The ISSN is a core element for RDA. The two subfields seen in the 022 field for ISSN most frequently are the subfields a and y. Subfield a is the correct ISSN for the title. Subfield y is for the ISSN of another format or any other ISSN that appears erroneously. Separate ISSNs are assigned for different formats - print and electronic versions of a serial each get a separate ISSN.

Notes are incredibly useful for serials cataloging and there are a wide variety of note fields used in serials records. A good resource for understanding notes is the book "Notes for Serials Cataloging" which includes examples for notes organized by MARC tag.[3] CONSER dictates that all notes, besides the 533 (reproduction notes which are listed at the end of note fields), are listed in tag order. The "description based on" note (588) is the basis of identification of the issue and is transcribed from that issue. It is combined with a statement indicating the title source. The second 588 field is used to indicate the latest issue consulted. If the issue used as the basis for description or latest issue consulted lacks an issue date, the publication date of that issue is included in the 588 field. There are first and second indicator values available for the 588, but these are not used. CONSER practice is to use the introductory wording rather than the indicator values, even though the indicators are valid in MARC. The numbering peculiarities note (515) is frequently seen in serial records. These are good places to indicate that the issue numbering restarts each volume. If a supplement is not being cataloged separately from the

parent publication then the 525 note alone is used. If the supplement is not cataloged separately, but there is a regular title for which the cataloger wishes to provide a description, that title would be included in the 525 with a corresponding 740 to trace the title. The issuing body note (550) is not required except if there is a sequence of issuing bodies changing over time or if there is information that cannot be included in the 710 field. Otherwise 710 fields are sufficient without the 550 note.

The last element for identifying manifestations is the Uniform Resource Locator (URL) for accessing an online version of a print record. It should be noted that this practice, referred to as the single-record approach, is discouraged by CONSER. This is different from a provider neutral approach for an e-resource with multiple sources for access. The second indicator value is important for identifying whether the URL is for the e-version of the serial (second indicator 0) or for the electronic version of the print record (second indicator 1). For online reproductions of print, such as the Hathi Trust version, CONSER treats these as an electronic version (second indicator 0) since the distinction between a reproduction of print versus a digitally produced version is often difficult to ascertain. LC-PCC PS 1.11 gives instructions on handling Print on Demand reproductions.

Module 6 – Identifying Works and Expressions

This module covered the process used for constructing the AAP for a serial work or expression. The first part of constructing an AAP involves determining if there is an agent/creator of a work. If this is the case then that agent is part of the AAP for the work, followed by the preferred title of the work. RDA and LC-PCC PS 19.2.1.1.1 give instruction on determining if a corporate body is the agent for a serial. There are three categories for which a serial is considered to have a corporate body or person as agent (as entered in the MARC 1XX

field). Shadle indicated that category b, as listed in the instructions, can sometimes be challenging to discern. If a cataloger comes across a work that is the collective thought of a body, they should carefully review the LC-PCC PS wording. If a body does not fit these criteria, it is considered an issuing body and included in the 710 field. In situations where a serial work does not have an agent, the AAP would be the preferred title.

The AAP for a work needs to be unique across all resources. Under RDA if a serial work has a preferred title that conflicts with another serial, additions need to be made to the AAP to make it unique. Usually place of publication or issuing body is used as a qualifier to make the preferred title unique. The qualified title would be entered into a 130 field. An authority record is not required for this entry as the serial record serves as the authority. When using the 130 field, catalogers need to be sure to have the first indicator 1 in the 245 field. In some cases, the corporate body or place of publication doesn't suffice as a qualifier. In this situation, the year the serial began would be used as the qualifier. Generic titles often require multiple qualifiers (some combination of place of publication, corporate body, and /or year). The elements of the qualifier are separated by a space colon space.

The LC-PCC PS 6.27.3 lists types of resources for expressions that require unique identification. Serial expressions usually come in the form of language editions or translations. The AAP for an expression is the preferred title of the *original* work plus the language of the translation. The cataloger also includes a linking field (775) to link the language expression with the original. If there is a single publication that has parallel text in different languages within it, the title of one of those texts is used as the preferred title and an AAP is provided for the language expression(s) in 730 fields.

Module 7 – Basics of RDA Relationships for Serials

This module discussed relationships between entities and resources and among serial records. They connect resources and the entities responsible. Entities (corporate bodies, persons, families) are connected to WEMI resources by relationship designators or MARC tagging. Sometimes the relationship is implicit within the selected MARC tag and therefore a relationship designator is not needed.

Relationship designators express a role or a function of an entity. RDA Appendices I and J have lists of possible relationship designators for use. However, it should be noted that these are not closed lists – catalogers may use a relationship designator not indicated in the RDA appendices if an appropriate designator is not found. There are PCC guidelines that give guidance on relationship designator application.

As mentioned in Module 6, there are three categories from which a cataloger can determine if a work has an agent. If the resource has an agent it is entered into a 1XX field with relationship designator appearing in subfield e. PCC guidelines mention "creator" and "publisher" for agent designators but there are others that can be used. There can be multiple relationship designators in these fields and there is no stated order for the listing of the designators. "Sponsoring body" is not required unless it is used as part of the AAP for the work or expression. Bodies related to manifestations are usually producers, publishers, manufacturers, or distributors. CONSER requires these entities be recorded only if these bodies are part of the title or if their function is beyond that of producing, publishing, etc., such as compiling. When tracing corporate bodies in added entry fields (710) the preferred relationship designator in subfield e is "issuing body". If the cataloger is certain that a body is responsible for publishing or sponsoring then in that case the respective relationship designator would be used.

The bulk of this module focused on the relationships between resources. MARC linking fields perform two functions: they relate records to each other and they provide a structured description (a note) about the relationship. There are two types of relationships. Sequential relationships are used to track changes of a serial over time. Horizontal, or simultaneous, relationships are for two expressions or manifestations existing at the same time, such as with language editions or print and online versions.

CONSER practice is to use subfield i in linking fields whenever possible since this field serves as the note. Most of the MARC linking fields have a subfield i for use as a note with the exception of the 780 and 785 fields (which are used for sequential relationships). Linking entry fields are comprised of a number of subfields. Subfields a, t, x, and w are the subfields used most often. Subfield a is for author, t is for title, x is for ISSN, and subfield w is for control numbers (such as LC or OCLC or local record identifier).

There are common relationships between serial works, expressions, and manifestations. Relationships between serial works are usually sequential to link records for serials that have had a major change – these are traced in the 780 (earlier title) and 785 (later title) fields. Supplements are recorded in the 772 field. Expression level resources are generally linked for language expressions. Translations are recorded in the 765 and 767 fields. Language editions are recorded in the 775 field. Manifestation level resources are linked to each other if they exist in other formats, are reproductions, or have changes in mode of issuance. Changes in mode of issuance can be considered a major change that requires a new record (discussed more in Module 8). There is also a 787 field for recording relationships for which a MARC linking field does not exist. When using this field, note the nature of the relationship in subfield i. Consult RDA

Appendix J (relationships between WEMI resources) for a list of relationship designators for that subfield.

Sometimes the 77X-78X linking fields and their subfields are not enough to explain the types of relationships between records. In these instances notes fields are used in addition to the linking fields. The 533 note is used for any sort of reproduction. The 580 is used most commonly in serials records where the relationship can't be expressed in linking field tagging. For example, if one title later gets split into fifty titles, it would be overwhelming to link that many different records. In this example, the CCM indicates that the fifty different titles can be listed in the 580 with their corresponding record control numbers (Library of Congress Control Number (LCCN) and ISSN). CCM Module 14 is a useful resource, with visual images, for understanding linking fields and MARC tagging.

Module 8 - When Do I Need a New Description?

The RDA concept of "creating a new description" means we create a new serial cataloging record for that resource. This module covered major and minor changes to a resource. There are six categories of changes that trigger a new record: major changes in title proper, corporate body change in the AAP, edition statement, language expressions, mode of issuance, and, in some cases, carrier. Minor changes are usually noted in the record. CCM Module 16 provides guidance for these changes.

Major title changes, generally, are changes in the first five words (after initial articles) in the title proper, but there are exceptions. If, after the first five words, there are indicators of subject matter change or scope of the resource, this is a major change. If there is a corporate body as part of the title proper (subfields a, n, and p) and that body changes then that is a major change. Similarly, if the corporate body is part of the AAP, that is a major change.

As mentioned earlier, if a corporate body is the creator or part of the AAP as a qualifier, and its name changes, that is a major change. When the place name in the qualifier in the AAP changes, that is a minor change, but the fixed field for the place of publication needs to be updated in the record. If the edition statement is transcribed as part of the title or in the record, and a change in that statement causes a change in scope, that is a major change. If a resource changes mode of issuance (multipart monograph, integrating resource, or serial) then that requires a new record. For media type (337) it is important to pay attention to patterns. When a serial fluctuates between media types over the course of that serial's life, that is a minor change that needs to be noted. Carrier type (338) changes are usually minor changes except if a computer carrier type changes from a physical form to an online form, as from a CD to an online resource.

The remainder of this module addressed closing out records if there is a major change and a new record is required. The "old title" (meaning the one is that is no longer valid) needs to have its 008 field updated as well as a number of variable fields modified. We discussed using the 780 and 785 fields for linking sequential changes and those are used as part of this process. The exception to using linking fields 780 and 785 is to use the 776 field if the physical format ceases in favor of online access. The cessation of the physical format is noted in the 776 subfield i.

Module 10 – Working with Copy

Many of the changes to existing copy are mentioned in previous modules. Catalogers will often see many records cataloged under many different cataloging rules. The general rule of thumb for this is that one should never delete useful information. If a record is not an RDA record, but contains valid information, it does not need to be changed. If a cataloger has an

earlier issue in hand, or the record is difficult to interpret, it is useful to re-describe the record according to RDA.

NOTES

1. Serials Cataloging Cooperative Training Program (SCCTP), Cooperative Online Serials Program (CONSER), "Basic Serials Cataloging Workshop -Trainee Manual" (Washington, DC: Library of Congress, 2014), accessed June 7, 2018,

https://www.loc.gov/aba/pcc/conser/scctppt/Basic-2014/Basic-Trainee-Mannual.pdf

2. This practice was put into place since the last publication of the Basic Serials Cataloging materials upon which this workshop is based.

3. Cecilia Genereux and Paul D. Moeller, eds. *Notes for Serials Cataloging*, 3rd ed. (Santa Barbara: ABC-CLIO, 2009).

CONTRIBUTOR NOTES

Steve Shadle is the Interim Head of Serials Cataloging, University of Washington, Seattle, Washington.

Alexis Zirpoli is Serials Librarian, University of Michigan Law School, Ann Arbor, Michigan.