



SERIES TRAINING FOR PCC PARTICIPANTS

Series Statements and Series Authority Records

Session 13: Updating Series Authority Data

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

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Summary

It is sometimes necessary to update series authority records. When subsequent parts are issued, they may carry changes in data elements that should be recorded. The appropriate and timely updating of SARs will solve problems with identification of series, and prevent the creation of unnecessary SARs.

This session covers the procedures related to Series Authority Records (SARs). It includes the identification of duplicate and unnecessary SARs, the procedures for requesting deletion of a duplicate SAR, the reasons to update a SAR (or not), how to make changes to SARs, and some cautions related to the updating of SARs. Finally, it addresses the evaluation and recoding of SARs as a result of the transition to RDA.

Some sections of this material repeat information covered in other modules. It is gathered together here in one place as a reference.

Objectives

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

- identify duplicate or unnecessary SARs
- request deletion of duplicate or unnecessary SARs
- update data in existing series authority records according to PCC practice
- evaluate and recode SARs resulting from the LC/NACO Authority File transition to *RDA*

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Duplicate Series Authority Records

Is it Really a Duplicate?

As with Name Authority Records (NARs), not all duplicate SARs are exact matches. Duplicates may reflect minor changes in title, different choices about where the title begins or ends, different choices in qualifier, etc.

Note that the question of whether a SAR should not have been created in the first place is a different question.

General Procedures for Resolving Duplicate SARs

With one exception (covered in the subsection below), the procedure for resolving duplicate SARs is the same as for duplicate NARs:

- Choose the record to be retained
- Transfer useful information (e.g. , 4XXs , 670s) from the duplicate SAR to the SAR to be retained
- Notify your institution's NACO liaison, who will request that LC delete the duplicate SAR, and copy its Library of Congress Control Number (MARC field 010) into 010 \$z of the SAR to be retained.

Requesting Deletion of a SAR

- While under review, send a deletion request to your reviewer
- When independent, send a deletion request to your institution's NACO liaison

(For more guidance on Series-like phrases, see Session 12 of these materials, "Series-Like Phrases")

Updating SARs

This section will first cover those situations when you should not update a SAR, and then those when you should (including some information about changes made by other NACO institutions). After clarifying these decisions, it covers the procedures for updating SARs, and provides examples.

Don't Update a SAR

Generally, do *not* update a SAR in the following situations:

- When the difference in an access point is a matter of cataloger's judgment (for example, choice of qualifier)
- To delete variant access points created under earlier policies
- To alter style or punctuation in source citations (670s), if no more significant changes need to be made

If the SAR is already being updated (008/31 (Record update in process) = b); if this byte has not changed after 2 weeks, notify OCLC, SkyRiver, or LC.

Update a SAR

Do update a SAR if you become aware of:

- A title change
- A variant title
- A need to suppress the display of a variant access point (using \$w)
- A change in producer, publisher, etc.
- A change in creator or issuing body
- A change in numbering
- A variation in another volume or part
- Information about an earlier and/or later series
- A typographical error in the authorized access point or variant access points
- A difference in series title or the body responsible for the series as represented in the CIP data and in the published resource, when the SAR was based on CIP data
- An error of fact/form in the authorized access point or variant access points, or in another field when the error hinders identification of the series
- The need to change a preliminary SAR (008/33 = d) to a full SAR (008/33 = a) when a publication in the series has been examined and the record edited if necessary

➤ Keep in mind that some changes will require a new SAR.

Changes Made by Other NACO Institutions

Although there are guidelines in RDA and its Policy Statements that indicate when changes are or are not necessary, the need for other changes may be evident only to the agency making the change (for example, to break a conflict when the searching universe (see next subsection) for the changing agency and the agency observing the change are different); assume that such changes are valid.

What is the ‘Searching Universe’?

The Introduction to Section Z1 of the *Descriptive Cataloging Manual* addresses the question of what constitutes the ‘Searching universe’ (referred to as “the database” in the DCM):

“In constructing authorized access points, variants, and recording information, NACO participants ... may make use of all records on the file against which the searching and cataloging is being done ... "database" refers to whatever file is being used for searching and cataloging.”

This generally means the cataloger’s bibliographic utility (e.g. OCLC or SkyRiver). LC’s catalog is also easily accessible and may optionally be considered.

Changing the Series Authorized Access Point

Authorized access points should be changed **ONLY** if they are clearly incorrect -- for example, if the authorized access point is incorrectly formulated, or there is a typo, or an incorrect form of name appears in a qualifier. This cautious approach will keep bibliographic file maintenance (both automated and manual) to a minimum. If a series authorized access point does need to be corrected, be sure to:

- adjust variant access points on the SAR being corrected, and on other SARs as needed
- find and correct the authorized access points on any related SARs (e.g. subseries)

Adding Information to SARs

- Add a **640** field when you learn the extent of a multipart item:

Example:

640 1# \$a To be complete in 10 volumes \$z v. 2, title page verso 640 1# \$a Vol. 1 published in 1954 \$z p. 2 of cov., v. 15

- Add a **641** field when you discover numbering peculiarities:

Example:

641 ## \$a Numbering begins with v. 8

- Add a **642** field when a new numbering system appears on the resource (be careful to distinguish a new system from an inconsistent presentation of the same system). Add a new 642 field as the first 642 field. It does not need to be justified with a source citation in 670.

Example:

642 ## \$a no. 19 \$d items published <1982-> \$5 xxx
642 ## \$a v. 3, no. 6 \$d items published <-1981> \$5 xxx

- Add a **642** field when an unnumbered series becomes numbered, and the numbering takes into account all of the previously-published issues. In such cases, also recode 008/13 to **c** = Series numbering varies.
- Add a **643** field when the imprint changes; add it as the first 643 field. It does not have to be justified with a source citation in 670. See *DCM Z1* for detailed instructions.
- If your institution's local treatment decisions have been recorded in 64X fields, you may also record subsequent changes in local treatment decisions (For more information and for examples, consult Session 5, Treatment Decisions and *DCM Z1*).
- When a variant access point (4XX) is added, it may follow the existing 4XX fields; variant access points do not need to be arranged in tag-number order.
- Justify an added variant access point (4XX) with a source citation in 670 unless it falls into one of the exceptional categories listed in *DCM Z1* (670).
- Add a **670** field to cite the first instance when a numbered series lacks numbering, if there is no clear statement from the publisher that the numbering has been discontinued. Record "[numbering lacking]" or "[numbering not given]" in \$b, and change 008/13 (Numbered or unnumbered series) to value "c". After more issues have arrived, the numbering situation is likely to be clearer, and other SAR changes may be appropriate. For more information about numbering changes, see Session 6, "Constructing the Authorized Access Point" as well as Session 8, "Related Series."

- Always record the usage from the preferred source when adding a 670 to an existing SAR (as well as any variant usage that may have prompted the addition). This will confirm that the series title has not changed.

Example:

130 #0 \$a Imaginary lands series
430 #0 \$a Imagined lands series
670 ## \$a Shangri-La, 2009: \$b series title page (Imaginary lands series)

Added 670:

670 ## \$a Oz, 2012: \$b series title page (Imaginary lands series) p. 4 of cover (Imagined lands series)

NOT

670 ## \$a Oz, 2012: \$b page 4 of cover (Imagined lands series)

- When justifying an earlier or later form of the authorized access point, it is helpful -- but not required -- to cite the volume/part bearing the last or first instance of that form.
- When coding SARs for the earlier/later forms of an authorized access point, the 670 supporting the authorized access point may be copied to support the 5XX in each of the related SARs, in reciprocal fashion (see Session 8, "Related Series," for more discussion and examples)
- Optionally, add information to fields other than 1XX, 4XX, and 5XX that helps to identify and/or disambiguate the series, or may help to do so in the future.

Cautions

- Once an LCCN has been assigned to an SAR for a resource, don't change the data in the record to represent a different resource

Evaluating/Recoding SARs Resulting from the LC/NACO Authority File Transition to RDA

Some authority records include a 667 field reading “THIS 1XX FIELD CANNOT BE USED UNDER RDA UNTIL THIS RECORD HAS BEEN REVIEWED AND/OR UPDATED.” A SAR that does not include such a field, however, may still be unsuitable for use under RDA. Proceed carefully. Always look critically at authority records before recoding them as RDA or assuming that records that have been mechanically evaluated and re-coded are fine.

- If the 1XX of an SAR is suitable for use under RDA and current Policy Statements, and the SAR does not include a 667 with the text described above, RDA-trained PCC catalogers may recode it as RDA (008/10 and 040 \$e), and may add RDA-related elements.
- If the SAR includes a 667 field with the text described above, RDA-trained PCC catalogers should carefully re-evaluate the 1XX and the rest of the authority record (searching the database and considering the existing 670 citations); change the 1XX and 4XXs if necessary, remove the 667, add any optional fields deemed useful, and recode the record to RDA (008/10 “z” and 040 \$ e “rda”). The cataloger is also encouraged to add RDA-related elements.

For more detail and guidance, see the documents:

- “Summary of Programmatic Changes to the LC/NACO Authority File: What LC-PCC RDA Catalogers Need to Know” (http://www.loc.gov/aba/rda/pdf/lcnaf_rdaphase.pdf)
- “PCC Post RDA Test Guidelines” (<http://www.loc.gov/aba/pcc/rda/PCC%20Post%20RDA%20Test%20Guidelines.html>)