

SERIES TRAINING FOR PCC PARTICIPANTS

Series Statements and Series Authority Records

**Session 2: Recording the Series Statement in the
Analytic Bibliographic Record**

**Program for Cooperative Cataloging
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Summary

This session of Series Statements and Series Authority Records provides information on recording the series statement in the analytic bibliographic record.

Objectives

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

- discuss the sources of information for the series title
- identify the different types of series situations
- learn to identify the series in the resource being cataloged
- decide what information to transcribe in the 490 field of the bibliographic record

Table of Contents

Sources for the Series Title	1
What Am I Cataloging?	3
Types of Series Situations	3
Two Series Statements.....	3
Is it a Monographic Series or a Multipart Monograph?	4
Special Numbers/Supplements and Analyzed Journals.....	4
Series-Like Phrases.....	4
Is it a Series Title or Other Title Information of the Analytic Title?	5
Determining the Series Title	6
General Guidelines.....	6
Transcribing the Series Statement (490)	7
Typographical Errors in the Source.....	7
What Belongs in the Series Statement?	7
Subfield \$a of the 490 field: Special Cases.....	8
Multi-Language Series Title	8
Number with No Title, But There's a Corporate Body Name	8
Title and Its Acronym	8
Series Title Beginning With Introductory Phrase.....	9
What <i>Else</i> Belongs in the 490 Field?	9
Parallel Title	9
Statement of Responsibility.....	10
Other Title Information.....	10
ISSN (in \$x)	10
The Numbers Game: The \$v of the 490 Feld	11
Is the Series Numbered?.....	13
Whole or Internal Numbering.....	14
Numbering with Parallel Titles.....	14
Concurrent Numbering Systems.....	15
More Than One Number Within the Series	15

Sources for the Series Title

The series title proper can be taken from any source, but the preferred sources are the series title page or another source within the resource itself (see RDA 2.12.2.2).

If the series title appears in different forms within a resource, choose a form that appears on the series title page over forms found elsewhere.

For resources consisting of pages, leaves, sheets or cards, if there is no series title page, RDA 2.2.2.2 instructs us to choose a form that appears on the monograph title page. If no series title appears there, choose a form that appears on the first of the following sources: a) a cover or jacket issued with the resource, b) a caption, c) a masthead, d) a colophon. Similar priority lists are given for moving images in RDA 2.2.2.3, and for other resources in RDA 2.2.2.4.

For all resources, if the series title does not appear in any of these locations, it may be taken from any other source within the resource. Preference should be given to a source in which the information is formally presented.

If no series title appears anywhere in the resource, RDA 2.2.4 says that a series title may then be taken from “the following sources (in order of preference): a) accompanying material (e.g., a leaflet, an “about” file”, b) a container that is not issued as part of the resource itself (e.g., a box, case made by the owner), c) any other available source (e.g., a reference source).”

Prescribing clearly the source for the series title increases the likelihood of uniform cataloger choices of series title from one analytic bibliographic record to another, which promotes the sharing of bibliographic records.

What Am I Cataloging?

Types of Series Situations

Two Series Statements

When a resource has two series statements, you must first consider whether it consists of two (independent) series or a main-series/subseries pair (subseries will be covered in detail in Session 9). This is important because it will affect what we transcribe as the series title proper.

In the main-series/subseries situation the two titles typically appear adjacent to each other. Regardless of layout, the appearance of the two series titles that are associated with two different corporate bodies suggests that the two series are not closely related, unless both bodies are part of a single hierarchy, such as in the following situation:

Indiana University Kelley School of Business	Business matters	v. 87
Department of Finance	Corporate finance	no. 4

And if the two series have titles that are equally specific as far as their thematic content, that points to the situation representing two separate and independent series.

When there is ambiguity: (1) search the LC/NACO Authority File – there may already be a record for the main series, and even for other subseries. Failing that, (2) look for some relationship between the two series titles, one being larger and the other smaller – in one sense or another. One way we may see this is if one series is very general and the other is more specific:

History research today
South Asian history
Acta Universitatis Pragensis
Studia physica
Studia linguistica

When we see multiple series, one or both of them may be numbered. If both are numbered, the volume numbering can provide evidence pointing to a main-series/subseries relationship.

Transactions of the ...	Studia	Documenta
Resource A: Transactions #7 =	Studia #3	#3
Resource B: Transactions #8 =	Studia #4	#4
Resource C: Transactions #9 =	Documenta #3	#3

Here the fact that there are two different issues of the Transactions that are #3 of another series indicates that Studia and Documenta are subseries of Transactions. This example illustrates the importance of searching for bibliographic records for additional volumes of a series, in an effort to reconstruct the publishing pattern of the series.

When in doubt, assume that the situation represents two separate and independent series (RDA 2.12.10.5). Other questions related to authority work for subseries will be dealt with in Session 9.

Is it a Monographic Series or a Multipart Monograph?

As stated in Session 1 (see definition for Multipart monograph), some series have a clear end-point, such as a set entitled “Continents of the World”. These series are called multipart monographs. This does not have any particular effect on the recording of the series statement in the 490 field; on the other hand, it may affect the authority work, as will be described in later sessions, especially Session 10.

Special Numbers/Supplements and Analyzed Journals

Statements on a resource like “Also published as volume 7 of [serial title],” are considered to be series statements. Special numbers and supplements to serials will be further discussed in Session 11.

Series-Like Phrases

Certain words or phrases that sound like they refer to series are not considered to be series titles. Guidelines for the cataloger making this decision are given in Session 12. When the word or phrase is deemed to be a series-like phrase, it is not recorded in a 490 field.

Is it a Series Title or Other Title Information of the Analytic Title?

One common kind of series title is a general category into which the topic of the individual monograph fits, e.g., “Historical research”. This very same type of phrase can, however, serve as other title information to the analytic title proper. So depending on the location of the phrase, there can be ambiguity as to whether the phrase is other title information or a series title. If there is a volume number linked to it that is clearly not a part number of the monograph itself, or if the phrase appears elsewhere not in proximity to the monograph’s title proper, it is most likely a series title.

Many other clues can suggest that the phrase is a series title:

- The proximity of the phrase to a corporate body name (suggesting that the name is an implicit statement of responsibility for the series) points to the existence of a monographic series.
- The presence of an ISSN or of a series statement of responsibility (“series editor John Jones”, for example) anywhere in the work suggests that we have a series title.
- If there is a listing of additional titles otherwise unrelated to the work you are cataloging, that listing can suggest you are dealing with a series even if the listing is described only as “Already published” or something else that makes no explicit reference to the existence of a series.
- If the noun in the ambiguous phrase is in the plural, that often points toward the phrase being a series statement rather than other title information to the analytic title proper.
- Another clue can be if the phrase is typographically or graphically distinct, or otherwise prominent.
- A check of the authority file may turn up a series authority record, which will settle the question.
- A search in OCLC for this phrase may turn up further monographs by the same publisher with the phrase, and that would point toward the existence of a series. The likelihood of finding other works with the phrase is greater if your work is not brand new, of course.
- Still another source of information may be in a publisher’s website. Does the publisher give the phrase in a listing of its “Collections” or give a description of the series; or does the publisher use the phrase as a mere label, or talk about it as a genre?

Sometimes, however, it is simply a matter of cataloger judgment. If your decision is to record it as a subtitle, you can make the title more discoverable by recording it in a 246.

Determining the Series Title

Some publishers produce a number of works with similar individual titles, and sometimes refer to them as a series:

Titles in this series:

Case Presentations in Arterial Disease
Case Presentations in General Surgery
Case Presentations in Neurology
etc.

Even if the introductory phrase is set off by distinctive typography, we do not consider the introductory phrase to be both part of the analytic title proper and the series statement – it is part of the analytic title proper because it is grammatically linked to the latter element; it is not a series title.

However, if the introductory phrase appears separately in any other source (another part of the resource, publisher's website, etc.) it may be considered a legitimate series.

Analytic title on title page:	The ethics of war and peace
Series title page:	Each engaging textbook from <i>The Ethics of ...</i> series

If the same series statement appeared on the publisher's website, that alone would be sufficient to establish the series.

General Guidelines

If choosing between two variants of the series title, prefer the form of title on the priority-order source.

It is important to decide where the title begins and ends:

- Consider typography and spacing.
- Take grammatical connections into consideration.
- When a corporate body name is present, decide whether it is part of the series title or is a statement of responsibility. A further presentation of the series title elsewhere on the resource may clarify the publisher's intent.
- Determine whether numbering is integrated with the title.

Transcribing the Series Statement (490)

Typographical Errors in the Source

If a title (here, a series title) contains a typographical error, RDA 1.7.9 prescribes “When instructed to transcribe an element as it appears on the source, transcribe an inaccuracy or a misspelled word unless the instructions for a specific element indicate otherwise Make a note correcting the inaccuracy if considered important for identification or access.”

In the case of a series, this would be recorded in the analytic record as

Example:

490 1# \$a Natural wonders of the world

500 ## \$a Series title should read: Natural wonders of the world

or

246 1# \$i Series title should read: \$a Natural wonders of the world

What Belongs in the Series Statement?

The cataloger *must* record the series title proper. The cataloger may *also* record:

- Parallel title(s) of series
- Other title information for series
- Statement of responsibility for series
- ISSN of series (often doesn't appear with series title)
- Numbering of series (sometimes doesn't appear with series title)

Other title information and statements of responsibility, if recorded, must come from the same source as the title proper of the series. Parallel titles may be recorded from any source within the resource. ISSN and numbering can come from any source, but should be bracketed if recorded from a source outside the resource itself. Use caution when recording elements from sources other than that of the series title proper: be sure that the information in fact applies to the series.

Subfield \$a of the 490 field: Special Cases

Multi-Language Series Title

If the series statement on the priority source gives the title in more than one language, you must first determine which title constitutes the title proper of the series. The RDA instruction for recording the series title proper (2.3.2.4) refers us back to the general instruction on titles in more than one language or script (2.3.2.4):

“For resources primarily consisting of written, spoken, or sung language content, choose as the title proper the title in the language or script of the main content of the resource.”

After determining the title proper of the resource, you may optionally record one or more parallel titles. The RDA instruction for recording parallel titles of series (2.12.3.3) refers us back to general instructions for recording parallel titles proper, which is to “record the titles in the order indicated by the sequence, layout, or typography of the titles on the source or sources of information.” (2.3.3.3)

Number with No Title, But There’s a Corporate Body Name

If a number appears together with a corporate body’s name, and nothing that looks like a title appears anywhere together with the number, record the name as the series title (2.3.1.5). (Even if the form of the body’s name that appears together with numbering is an acronym or initialism and the full form of the name also appears (but not in conjunction with numbering) give the acronym/initialism as the title.) The question of the form that the series authorized access point will take will be discussed in Session 6.

Example:

490 0# \$a European Association of Legislation = \$a Europäische Gesellschaft für Gesetzgebung ; \$v 14

Title and Its Acronym

If a title and its acronym/initialism both appear equally prominently, use cataloger’s judgment to determine which form to record in the first \$a of the 490 field.

on series t.p.:

IFTF

Investing for the Future

It is also cataloger’s judgment whether to include the other form in the 490 field of the bibliographic record at all. In Session 7, we will further discuss how to deal with the other form that is not chosen.

Series Title Beginning With Introductory Phrase

If the series statement includes an introductory phrase (e.g., “Welcome to ...”, “[name] presents ...”), don’t include them as part of the series title (2.3.1.6).

on container:

FAS Films Presents Classic Musicals

in bibliographic record:

490 0# \$a Classic musicals

This applies mostly to moving image materials and electronic resources.

What Else Belongs in the 490 Field?

Note: Do not bracket other information, unless it comes from outside the resource.

Parallel Title

As already stated, if the series statement on the priority source gives the title in more than one language, we must first determine the title proper of the series, based on the predominant language content. Additional titles in other languages from anywhere within the resource may be recorded as parallel titles “in the order indicated by the sequence, layout, or typography of the titles on the source or sources of information.” Note the use of ISBD punctuation and subfield coding.

on series t.p.:

Linguistik Linguistics

language content of resource is primarily German).

in bibliographic record:

490 0# \$a Linguistik = \$a Linguistics, \$x 0023-6721

(If a series authority record is already in the authority file, series access point in 8XX field uses that access point, of course, regardless of the ordering of the parallel titles in the 490 field of the bibliographic record).

If a resource has no predominant language, again RDA instructs to “choose the title proper on the basis of the sequence, layout, or typography of the titles on the source of information” (2.3.2.4—as instructed at 2.12.2.4).

on series t.p.:

Böhmische Volkskunde	Band 2
Česká lidová kultura	svazek 2

on t.p.:

Volkmelodien aus Böhmen Lidové melodie z Čech

in bibliographic record:

490 0# \$a Böhmische Volkskunde ; \$v Band 2 = \$a Česká lidová kultura ; \$v svazek 2

Statement of Responsibility

Include the statement of responsibility primarily if the series title is generic and the statement of responsibility is found on the same source as series statement.

Example:

490 0# \$a Occasional papers / Department of Biology, King's College London

Other Title Information

Only record other title information of the series if it is considered necessary for identification of the series. (It can be noted in the authority record, in the 667 field).

in series authority record:

130 #0 \$a Pocketful of stories
667 ## \$a Series subtitle: Books for young readers

ISSN (in \$x)

The example above (under Parallel Title) shows the location of the \$x in that case:

490 0# \$a Linguistik = \$a Linguistics, \$x 0023-6721

When there are multiple titles, the \$x is paired with the title to which it corresponds.

490 0# \$a Acta Universitatis Wratislaviensis, \$x 0239-6661. \$a Historia, \$x 0524-4498

The Numbers Game: The \$v of the 490 Field

Transcribe captions as found. Do not abbreviate captions unless they are abbreviated in the resource itself. (RDA 2.12.9.3 fifth example: tome 3, partie 2)

as found on volume:

Music for Children Number 5

as recorded in analytic:

490 0# \$a Music for children ; \$v number 5

Record numerals in the form in which they appear in the source (LC PCC PS 1.8.2, following the first alternative).¹ For guidance on what form of numbering should be used in the authorized access point for the series (8XX), see Session 6b.

Numbering for series on chief source of information reads:

tome III

as recorded in analytic:

490 0# \$v tome III

If a series title proper is accompanied by numbering and if the number is expressed as a word, record the number as an Arabic numeral (RDA 1.8.3).

as found on volume:

Ohio History Series, no. eight

as recorded in analytic:

490 0# \$a Ohio history series ; \$v no. 8

¹ However, when recording numerals found in these non-Latin scripts:

Chinese, Japanese, Korean, Perso-Arabic, Cyrillic, and Greek, substitute Western-style Arabic numerals when non-Latin script numerals appear on the resource.

One way that publishers occasionally indicate numbering is by a number of symbols such as asterisks displayed on the series title page (or spine) of the individual volumes.

on series title pages:

Obras Completas de Pablo Neruda

Confieso que he vivido

Obras Completas de Pablo Neruda

Cien sonetos de amor

To feel confident that the symbols are intended to indicate numbering, the cataloger may need to examine several volumes. If this is the case, the cataloger should supply a volume number in the 490 field and note the idiosyncrasy in the series authority record.

in bibliographic record:

245 00 \$a Cien sonetos de amor

490 0# \$a Obras completas de Pablo Neruda ; \$v 5

in series authority record:

667 ## \$a Vol. numbering is indicated by a cluster of asterisks on ser. t.p.

If a phrase such as second series, new series, etc., appears with the title proper of an unnumbered monographic series, record the phrase as a section title (RDA 2.3.1.7). In this case, where the number is part of a section title, do not express the number as a numeral.

490 1# \$a Usborne young reading. \$n Series two

Another problematic presentation is when a volume number appears only on the spine, where it is easy to overlook. The NACO cataloger should assist future catalogers by including notation of the number's placement in a 670 field in the series authority record, or by explaining it in a 667 field.

670 ## \$a His Complete short stories, 2003: \$b t.p. (Complete short stories) spine (3)

or

667 ## \$a Series numbering appears on spine.

Is the Series Numbered?

If the number appears only in CIP data (or in CIP-like data from another country's national cataloging agency), the series should be considered unnumbered.

Volume numbering can be at the beginning or end of the series title. If so, it is not part of the title.

as found on volume:

Ohio History Series vol. 7

as recorded in analytic:

490 0# \$a Ohio history series ; \$v vol. 7

as found on volume:

30th Biological Research

as recorded in analytic:

490 0# \$a Biological research ; \$v 30th

When volume number is embedded within the series statement, record the series statement as found

as found on volume:

Publication 14 of the Dickens Society

as recorded in analytic:

490 0# \$a Publication 14 of the Dickens Society

Beware! The same words can comprise either part of the series title ... :

Monograph no. 3 -- Institute of Genealogy Research

490 0# \$a Monograph / Institute of Genealogy Research ; \$v no. 3

... or part of the numbering:

as found on volume:

Changing African family series Monograph no. 7

as recorded in analytic:

490 0# \$a Changing African family series ; \$v monograph no. 7

This is partly a matter of cataloger judgment when establishing the series. If the first example had been established "Changing African family series monograph", the word "monograph" would have been recorded as part of the series title proper.

Whole or Internal Numbering

What is the exact nature of the numbering system?

When a number appears with a year, it may be a numeric designation or a chronological designation. In the first example below, the series began with number “1”, which *continues* from year to year; the publisher has also added a date. This type of numbering is what serials catalogers call ‘whole numbering’, so this is the 254th issue in the entire series. The “2002” is a chronological designation.

as found on volume:

Medical discoveries 254/2002

as recorded in analytic:

490 0# \$a Medical discoveries ; \$v 254 (2002)

By contrast, in the next example, the numbering *restarts* at “1” at the beginning of each year. The year must be transcribed as part of the 490 field because in reality it is part of the numbering. The year is recorded before the number, per RDA 2.12.9.3 and 2.6.2.3.

as found on volume:

Medical discoveries 2/2002

as recorded in analytic:

490 0# \$a Medical discoveries ; \$v 2002/2

The cataloger may need to examine other resources within the series in order to determine whether the year is part of the numeric designation or a chronological designation. It may be impossible to tell which analysis is correct when the series is first encountered.

Numbering with Parallel Titles

If the enumeration includes captions (terms or abbreviations) that correspond to the languages of the parallel titles and if the additional-language titles are included in the 490 field, record the enumeration more than once, pairing each \$v with its corresponding title, as in the first example below.

490 0# \$a Linguistics ; \$v vol. 2 = \$a Linguistik ; \$v Band 2

On the other hand, if the volume numbering has no caption, record it only once, at the end of the string of parallel titles, even if it appears twice, as in this second example.

490 0# \$a Literary studies = \$a Literaturwissenschaft ; \$v 2

Concurrent Numbering Systems

If a series has two different numbering systems, record both enumerations in a 490 field, separated by [space] = [space].

numbering as found on issue:

Physics abstracts 2002, number 2 volume 3, number 2

as recorded in analytic:

490 0# \$a Physics abstracts ; \$v 2002, number 2 = volume 3, number 2

More Than One Number Within the Series

Sometimes separate series numbers apply to different volumes within a multivolume resource. Record all numbers related to the multivolume resource being cataloged. If the numbers are consecutive, the first and last may be recorded, separated by a dash. Separate non-consecutive numbers with commas. Do not use the “etc.” technique that was used prior to RDA.

Examples:

245 00 \$a Regulated cell death / \$c edited by Avi Ashkenazi, Junying Yuan, James A. Wells.

300 ## \$a 2 volumes ...

490 0# \$a Methods in enzymology, \$x 0076-6879 ; \$v volume 544-545

245 04 \$a The colloquia of the Hermeneumata Pseudodositheana / \$c edited with introduction, translation, and commentary by Eleanor Dickey.

300 ## \$a 2 volumes ...

490 0# \$a Cambridge classical texts and commentaries ; \$v 49, 53

245 14 \$a Die Freimaurer im Alten Preussen 1738-1806 / \$c Karlheinz Gerlach.

300 ## \$a 3 volumes ...

490 0# \$a Quellen und Darstellungen zur europäischen Freimaurerei ; \$v Bd. 8-9, 14