



Program for Cooperative Cataloging
NACO: Name Authority Cooperative Program

SERIES TRAINING FOR PCC PARTICIPANTS

Series Statements and Series Authority Records

Session 3: Searching

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Session 3: Searching

Summary

This session will cover the importance of searching both as a discovery tool to avoid creating duplicate authorized access points (AAP) and as an aid in the formulation of the series authorized access point. This session will not cover LC Catalog or OCLC searching techniques specifically, but it will use searches in those databases as exercises.

Objectives

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

- Find a series authority record if it already exists
- Search thoroughly in the LC/NACO Authority File so that duplicate series authority records are not added
- Find a matching CONSER or BIBCO record for the authorized access point if it exists in the bibliographic database (“Bibliographic database” refers to the utility or node (e.g., The Library of Congress, OCLC, SkyRiver, the British Library) in which the cataloger participates).
- Discover works in the bibliographic and authority databases which conflict with your preferred series title and references and gather information that will assist you in qualifying the preferred title to create a unique authorized access point and acceptable references
- Discover works in the bibliographic and authority databases which tell you about the history of the series and provide information to help you correctly establish the new authority record or determine other actions needed to modify or correct existing authority records
- Apply knowledge of different cataloging codes to inform your searching strategy

Table of Contents

Why is Searching Important?.....	1
To Avoid the Creation of Duplicate Records.....	1
To Discover Related Database Records	1
To Discover and Address Conflicting Titles	2
Types of Searches	3
Search Strategy Plan of Action.....	3
Authorities First, Bibliographic Records Next	3
Never Stop After One Unsuccessful Search	3
Always Search Again After 24 Hours.....	4
Attribute Searches	4
ISSN	4
Title	4
Corporate Body.....	8
Personal Name.....	9
Combining Attributes in a Search	9
Limiting the Search	10
Entity Attributes.....	10
Other Points to Remember.....	10
Exercises for Types of Searches	13
OCLC Searching	13
Exercise 1 -- Searching for Analytic Records	13
Exercise 2 -- Searching for Analytic Records	13
Exercise 3 -- Searching for Analytic Records	14
Exercise 4 -- Searching for Analytic Records	14
Exercise 5 -- Searching for a Matching Serial Record.....	14
Exercise 6 -- Searching for a Matching Serial Record.....	14
Exercise 7 -- Searching for a Matching Serial Record.....	15
Exercise 8 -- Searching for a Monographic Title Conflict	15
Exercise 9 -- Searching the Authority File	17
Exercise 10 -- Searching the Authority File	17

Exercise 11 -- Searching the Authority File	18
Exercise 12 -- Searching the authority file	18
Exercise 13 -- Searching the Authority File	19
Exercise 14 -- Searching the Authority File	19
Library of Congress Authority File Searching	19
Exercise 1	20
Exercise 2	20
Library of Congress Bibliographic Record Searching	20
Exercise	20
Changes in Cataloging Rules for Serials	21
Earlier Rules: Choice of Entry	21
Earlier Rules: Title Truncated	22
Earlier Rules: Title “Propped Up”	22
Earlier Rules for Subseries: Direct or Indirect Entry	22
Earlier Rules for Corporate Body Headings	23
Earlier Rules Search Strategy	23
Cataloger Actions Based on Search Results	25
Search Results in the Authority File	25
SAR 1XX Matches Expected AAP for Bibliographic Resource Being Cataloged	25
SAR 4XX Matches Expected AAP for Bibliographic Resource Being Cataloged	25
SAR is for Bibliographic Resource Being Cataloged but AAP Doesn’t Match Either 1XX or 4XX	25
NAR for Same Bibliographic Resource	26
Multipart Item SAR: NAR for Same Multipart Resource	26
Multipart Item SAR: NAR for Different Multipart Resource	Error! Bookmark not defined.
Searching in the Bibliographic Database for AACR2 and RDA Analytic Bibliographic Records	26
If LC or PCC records are found	27
If Pre-AACR2 Analytic Records are Found	27

Why is Searching Important?

The series authorized access point is used for multiple purposes in shared databases and in your own local catalog. Using one consistent and established form in each instance promotes clarity and reliability. The established form of the series is used in:

- Comprehensive monographic set and serial records
- Analytic records
- Linking fields in comprehensive monographic set and serial records
- Series authority records (SARs) to provide links to related series authority records

To Avoid the Creation of Duplicate Records

You don't want more than one authorized access point (AAP) for the same series, but this can happen easily if you don't search carefully. Series may be reflected in the authority file in different ways because they are ongoing resources and can change over time. To avoid creating a duplicate series authority record, a thorough search is essential!

To Discover Related Database Records

You should search to see if there is a matching CONSER or BIBCO record representing an already established authorized access point. For all SARs but those for multipart monographs, the AAP on the new SAR should be "in synch" with the AAP or 245 \$a on any pre-existing CONSER record (serial record with 010 and 042 fields). (Synchronization can occur either by establishing the new SAR to match the CONSER record, or revising the CONSER record to match the new SAR). Similarly, for multipart monographs, the SAR should be "in synch" with the AAP or 245 \$a on any pre-existing BIBCO records.

Optionally, catalogers may take into account series information found in non-authenticated English language bibliographic records. The cataloger may also take into account any foreign language cataloging records, either in their bibliographic database or in other databases.

A search may uncover evidence of a major or minor title change. Variations that are not present on your item but which appear in other records, such as those for analytics, might enlighten your search. You may discover changes in publishing, language, or numbering history. You may even find evidence that the "series" is not a true series.

To Discover and Address Conflicting Titles

Many different series and other works have the same titles, which may result in an authorized access point that conflicts with that of another series or work. You need to find out if there are such conflicts. Then you can determine the need to qualify the access point you are formulating or the references included in the authority record in order to eliminate confusion. Examining the conflicting titles also helps you decide what type of qualifier is needed. A place of publication, for instance, would not be an appropriate qualifier if that place is also the location of a conflicting title's publisher.

When creating a new SAR, remember that you must address differentiating all works (serials, monographs, and integrating resources). You will need to distinguish the new access point for a series from one that is the same or similar but represents a different work or from one that represents a person, family, corporate body, or place, following RDA 6.27.1.9.

You want to avoid conflicts with:

- An authorized access point of a different series, a serial, an integrating resource, or a monographic work in the bibliographic file, as found either as a formal authorized access point in a bibliographic record, or a 1XX + 245 combination;
- Another authorized or variant access point in the authority file;
- An authorized access point of another entity (usually a corporate body, but sometimes a personal name or a family name).

Types of Searches

Searching for series is IMPORTANT! Patrons and library staff value series access. Using a successful search strategy, we can avoid the creation of duplicate or confusing SARs that might hinder access or even require time-consuming and costly problem-solving to correct. Series authority searching is a special skill that, once mastered, allows us to dodge many pitfalls quickly and efficiently.

Remember as you search that many different resources have the same or similar titles. There are also major and minor titles changes to take into account. The issuing body or publisher of a series can change over time. Different qualifiers might have been used. Not all potential duplicates will exactly match the authorized access point you have in mind.

Also, series which have been treated as untraced series or notes are often not indexed as authorized access points. With experience, you will navigate series searching with confidence and develop a sixth sense concerning what searches are needed!

Search Strategy Plan of Action

Authorities First, Bibliographic Records Next

One aspect of searching strategy which is easy to overlook is the order in which one carries out the searches. After examining your series item in hand, your first searches should be against the authority file, to see if the series is already established. Most of the time it is, and a quick look at the authority record confirms an unequivocal match. In that case, no further searching is necessary.

Try a variety of different searches before concluding that you need to create a new authority record. Use your cataloging experience and judgment to consider new ways of looking for the series.

Only after you have searched the authority file should you move on to bibliographic file searches.

Never Stop After One Unsuccessful Search

If you don't retrieve a matching SAR on your first search, you should not immediately create a new SAR. The relevant SAR title that *is* in the authority file may not match the title on your piece exactly, or the publisher or issuing body on the SAR might not be the same as that on your volume.

To avoid creating a duplicate SAR, be alert to such common issues as:

- Different applications of cataloger's judgment on where a series title begins or ends
- Different time periods of the series which might involve minor title variations, different publishers, or different issuing bodies

Remember: Try a variety of searches before concluding that you need to create a new authority record.

Always Search Again After 24 Hours

Always search again if you are not contributing the SAR immediately after your original search. Remember that the database is constantly changing. PCC catalogers around the world are constantly creating SARs. To avoid duplicates, search both the authorized access point and the references again.

Attribute Searches

ISSN

The International Standard Serial Number is one Identifier of the Work or Identifier of the Expression attribute in a SAR (although it is more closely a Manifestation identifier). Because it is unique, it should retrieve either a perfect match for the series in hand, or an earlier, later, different language, or different medium version of the series. Search for the ISSN in both the authority and bibliographic files. In the bibliographic file, search for the serial record representation of the work. The new SAR should be "in sync" with CONSER records (serial records with 010 and 042 fields) which are likely to have an ISSN.

Title

The title is the Title of the Work attribute. Remember that with this search you are looking for both the preferred title and the variant titles of the work.

Also keep in mind that you are looking for three different kinds of information:

- The same work as the series you have
- Works with the same authorized access point that conflict with your authorized access point or variant access points. This includes preferred titles found in the authority file.
- Analytic records representing titles in the series

Title Searching Tips

- If you search for the entire series title phrase, the search could be too exact to pick up a variant title

Examples:

A full phrase search for:

Principles **of** environmental accounting

would miss:

Principles **in** environmental accounting

A full phrase search for:

Chemistry and physics topics for middle grades **series**

would miss:

Chemistry and physics topics for middle grades

- Try broader and narrower searches

Examples:

If you are looking for the series “Chemistry and physics topics for middle grades,” a broad search for just the word “physics” may pull up too many results to easily sift through. Narrow the search by adding a second title word such as “middle.”

If your piece in hand published by Scrivener Press bears the series “Conflicts and trends in business and management ethics,” a search for that entire phrase would not turn up a possible earlier title by Scrivener such as “Conflicts and trends in business ethics.” To be thorough, try several broader searches for the keywords “conflicts trends,” “trends ethics,” and “management conflicts.”

- Keyword searching is helpful when:
 - there are uncommon words in the series title
 - there are various ways a title might be interpreted
 - you suspect a title change
 - you are unfamiliar with the language
 - title words may vary – plural/singular, string of topics, one word versus a compound word

Example with uncommon words:

There would be no need to enter an elaborate search or even multiple keywords to find the series “Abhandlungen aus dem Gebiet der Hirnforschung und Verhaltensphysiologie.” Try an easy search first, such as for the keyword “Hirnforschung.” If that search does not find the series, follow-up with more searches.

Example with a rearranged string of words:

A browse/scan title search for the series “Advances in control, information, and systems engineering” would not drop you close in the browse list to the authority record for “Advances in systems, control, and information engineering.” A keyword search for “systems control information,” on the other hand, would find the existing authority record rather easily.

- Qualify searches. This is especially useful with common or generic titles. If you retrieve a lot of results, try a revised search using a likely place or corporate body qualifier

Examples:

Try the attribute Place of Origin of the Work. Sometimes a country name is a good choice in case the city of publication has changed. For the one-word series title “Guide,” a search for that one word would result in a large number of results through which to sort. A keyword combination with the country of publication, for instance, “guide Italy” can significantly reduce the search results.

Some simple, one-word titles are qualified by a corporate entity such as the publisher. While a search for only “essai” would yield many hits, a search for “essai Flammarion” would limit the results.

- Browse/Scan the title. This is a good starting point for a short or fairly unique title, or for titles that contain spelling errors or different versions of words. This search is also ideal for uncovering analytic records in the bibliographic file that have the same series name but a different publisher and thus indicate a series title conflict. A scan search of your series title may discover that all the analytic records in the bibliographic file have the same personal author.

Examples:

Your series in hand is “African theatre.” If you begin your browse search with “African theat,” you will find either spelling of the word “theater.”

A search for items in the series “Inclusive practice in the early years” shows that author Hannah Mortimer wrote all of the titles published in this Scholastic series.

- Search for the subseries as a separate series as well as in conjunction with the main series. What appears to be a subseries could have originally appeared independently. It is sometimes a matter of judgment whether the series is established directly on its own or indirectly under main series. Be sure to look at the SAR for the main series, which may contain information relating to subseries.

Example:

The BAR international series is a good example of cataloger’s judgment. This main numbered series has many subseries. Some have been entered directly and others have been entered as subseries. Hopefully the authority and serial records will have a cross-reference for the method not selected. But if you are searching for analytic records in the bibliographic file, you should search both ways:

- Directly: First Neolithic sites in central/south-east European transect
- Indirectly: BAR international series. First Neolithic sites in central/south-east European transect

- Use your imagination. Build upon your experience creating series. Consider the different approaches a cataloger might take to provide access for the series and search accordingly.

Example:

Search the series title as a corporate body. Yes, really! There are two reasons for this search. It is possible that the series title is also the name of a corporate body. The corporate search helps you determine the need to qualify your series so that it doesn't conflict with the corporate NAR. Another common situation is that the series title is actually a corporate imprint and not a series at all.

- The possible series "Earthscan from Routledge," for instance, would be discovered by a corporate search with the supporting information that "Earthscan is now part of the Taylor & Francis Group, publishing books under the Earthscan from Routledge brand."
- In another instance, searching "MIT Working papers in linguistics" as a corporate body reveals that "MIT Working papers in linguistics" is a series and "MIT Working Papers in Linguistics (Organization)" is a student-managed organization

Other Examples:

Consider typography, spacing, and grammatical connections as they might apply to a decision to treat some words as a subtitle rather than as part of the AAP. Also consider variations such as:

- Words versus symbols (the ampersand is the most common example)
- Numbers spelled-out versus in Roman or Arabic form
- Separate words or use of a compound word
- With or without an introductory corporate body name or other introductory words such as "Welcome to ..." or "[company name] presents"
- Different spellings of a word
- Plural and singular forms
- Spelled-out versus an acronym or initialism
- Series in another language

Corporate Body

A corporate body associated with a series is an Other Distinguishing Characteristic of the Work attribute.

Corporate Body Searching Tips

- Scan the corporate body name and look to see what series are already associated with that body. Not only can such a search retrieve the exact series; it might also make you aware of a minor title change. It is often helpful, as well, to see the patterns of a corporate body's publications.

Example:

A search by corporate body for the Association of American Geographers, for instance, would retrieve these already established series:

- Annals of the Association of American Geographers. \$p Map supplement
- Discussion paper (Project on Soviet Natural Resources in the World Economy (U.S.))
- Monograph series of the Association of American Geographers
- Occasional paper (Portland State University. Department of Geography)
- Occasional publications of the Association of American Geographers
- Resource papers for college geography
- Resource publications for college geography
- Resource publications in geography

- Look for the corporate body AAP itself. The name authority record can provide several types of information. Has the corporate body changed its name? If so, the series may exist connected with an earlier or later body name. The form of the body on the piece in hand may be a variation that hinders your search. An indirect access cross-reference may make you aware of the involvement of a larger corporate body to which the series actually belongs. You may find that the publisher is an imprint of a larger publisher which originated the series. A 670 may include the series mentioned as the serial from which the corporate body was established. And so on.

Example:

The United States Bureau of Education once published a bulletin which has this SAR AAP:
Bulletin (United States. Bureau of Education)

If you had the first volume of the Bulletin published after the corporate body changed to the United States *Office* of Education, it would be helpful to search that earlier corporate body to discover the details of the corporate body change, of any series already established under it, and of possible series title change relationships.

- Publisher as qualifier. If you suspect that the series may be qualified by publisher, merely entering the publisher as a title keyword search may retrieve the SAR.

Personal Name

A personal name associated with the series is also an Other Distinguishing Characteristic of the Work. If a person is a creator of a series, his/her name might be added to the preferred title to create the AAP. Or it may be part of a cross-reference. Searching by personal name is likely to be useful when a person is the creator of a series.

Personal Name Searching Tip

- Scan the personal name to see what series are already associated with that name

Example:

A browse/scan for McDonald, Megan will find both name/title NARs and SARs for the works of Megan McDonald. If you have a probable new series featuring her character Judy Moody, this search will help you verify whether the SAR has already been established and let you examine the listing in case the series exists but with a different title, or in a different language or different format version.

Combining Attributes in a Search

We have already covered some of these combination searches in the material on searching above. This is a powerful search strategy, especially for reducing search results in the bibliographic file.

Try combining:

- Name of issuing body and title keywords or phrases
- Publisher and title keywords or phrases
- Personal name and title keywords or phrases
- Place of publication/origin and title keywords or phrases

Limiting the Search

When searching the LC/NACO Authority File, attributes such as Form of Work (MARC field 380) and Date of Work or Expression (MARC field 046) are useful in limiting a search to the areas of the database that are of interest and in reducing search results to manageable amounts.

Tips on Limiting the Search

- When searching the bibliographic file for a monographic series, one approach you can use is to limit results to serial records. You want to find any exactly matching serial record or any serial records which expose title conflicts with your series AAP and its references. In some cases, you might also limit to other bibliographic formats such as maps or sound recordings. For multipart monographs, you could limit to the books format.
- Range of years. This may be necessary when a series title is very generic. If you find you have too many results from a search in the bibliographic file, limit your search to a probable year range.

Entity Attributes

Take advantage of the new elements found in many RDA records. In OCLC you can combine the “entity attributes” index with other indexes. For example, combining the entity attributes “series AND France” with the title word “philosophie” quickly finds the series “Essais d'art et de philosophie”.

This is not an effective *exclusive* search method at this time, as the bulk of authority records do not contain the new fields. However, as the number of records with RDA elements increases, this type of searching will become increasingly useful.

Other Indexes to Consider

OCLC's authority file includes other indexes that can be useful, especially when looking for example records. Would you like to see examples of series that have merged with other titles to form something new? Are you interested in seeing if a publisher has other similar series to the one you have in hand? Are you looking for example 667 notes to explain something unusual? Consider the following options.

- The index Descriptive Conventions (dx:) with value RDA
- A truncated LCCN (ln:) value such as 2016? to limit a search records for the current year
- A relationship designator in the Relationship (rx:) index
- A search term in the Keyword (kw:) index which searches all available fields and subfields including the 643, 667, and 670 fields
- A search term in the Notes (nt:) index which searches some subfields in a variety of 6XX fields (See authorities Title Indexes in OCLC's help pages for specifics.)

Other Points to Remember

- It is easy to forget to search for the variant access points that you will create when you are focused on establishing a unique AAP. Remember to search for those references!
- Volume numbering can be a valuable clue. If you have a numbered series with a low number, you are probably the first PCC participant to process a volume in the series. But remember, volumes are not always published in numerical order. Do not assume that number one is the first volume and do only a cursory search. Likewise, if the series number is high, be suspicious because someone somewhere should have processed a volume in the series.
- Numbering can also provide evidence pointing to a main-series/subseries relationship. Searching bibliographic records for additional volumes of a series assists you in reconstructing the publishing pattern of the series.
- If you don't find any analytic records, try searching for a comprehensive set record. Or, a non-analyzable serial may have just changed to a monographic series.
- Publishers' websites can be a good source of information. They often provide a list of their series, titles published within a series, or indications that they consider something to be a genre rather than a series. The publisher's intent as illustrated on their website can be very helpful.
- Searching other library databases is also a good option. If you cannot find any data on an esoteric or obscure series, you might find something useful in a national library catalog, a catalog from a university associated with the series, or from a regional library catalog.
- Searching the Internet can be useful too. If you are in doubt about whether a title is a series, or can find nothing useful in other catalogs, sometimes an Internet search will provide evidence of other titles in the series.

And above all,

- Be thorough! If the best search still pulls up a lot of results, carefully sift those results.

Exercises for Types of Searches

In this unit, go to the indicated database and conduct the searches described below. Read the description and consider the questions posed. There are no answers provided for the questions. These exercises are simply designed to illustrate some of the search types and results already discussed.

OCLC Searching

For help with OCLC searching, you can take the online tutorials “Searching WorldCat” and “How to Search the Authority Files” located on the OCLC Connexion Client Tutorials webpage at:

<http://www.oclc.org/support/training/connexion/client/tutorial/default.htm>

You can also click on Help and find guides to searching both the bibliographic and authority files.

Exercise 1 -- Searching for Analytic Records

Step 1. In OCLC, press F2 or select Cataloging and choose Search and then WorldCat...This brings up the Search WorldCat box.

The Command Line Search is ideal for discovering analytic records with a series statement. This search uncovers both traced and untraced (490 0) instances of the series statement.

Step 2. In the command line, enter the following index label, equal sign, and complete series phrase from your imaginary piece in hand published by the Houghton Mifflin Company:
se=concepts in chemistry

Step 3. Examine the results of the search in the Books group. Notice that the same titles seem to be published by both Houghton Mifflin (a United States publisher) and Longman (an English publisher), often in the same year.

Consider whether this is a series published simultaneously in two countries or two unrelated series with conflicting AAPs. If the former, the same authorized access point should be used (If there already exist multiple SARs for the same series published in different countries, retain one SAR, and report the other SAR for deletion). If you have two unrelated series with the same AAP, you will need to break the conflict by adding a qualifier to the series you establish.

Exercise 2 -- Searching for Analytic Records

Step 1. Return to the Command Line Search box and enter the following search:
se=studies in visual culture

Step 2. Examine the results of the search. Notice that there are a number of publishers. If your series is published by Thames & Hudson, Inc., New York, N.Y., would you be able to qualify the new series AAP with the place of publication?

Exercise 3 -- Searching for Analytic Records

Step 1. Return to the Command Line Search box and enter the following search:
se=industria cinematografica e audiovisual brasileira

Step 2. Examine the results of the search. Your title in hand is *Economia da cultura e cinema* published by Editora Terceiro Nome. Notice that you have two publishers in the results, each located in São Paulo. Look at the series statement and numbering on each title. Also compare the publishers carefully. Do you think that you have the same series published by a different publisher. Or do you have a new series?

Exercise 4 -- Searching for Analytic Records

Step 1. Return to the Command Line Search box and enter the following search:
se=studien zur philatelie und postgeschichte

Step 2. Examine the results of the search. Your title in hand is *Luftschutz im Dritten Reich* by Alfred Meschenmoser. Should the author be included in your AAP?

Exercise 5 -- Searching for a Matching Serial Record

Step 1. Return to the Command Line Search box and enter this ISSN search (include the hyphen):
in:1055-6095

Step 2. Examine the results. Your analytic title is *The oil rush in Vietnam*, no. 3 in the series *Asia Pacific briefing paper*. Have you found a matching CONSER serial record you can use as the basis of your AAP?

Exercise 6 -- Searching for a Matching Serial Record

Step 1. Return to the Search WorldCat box. This time enter the following information in the Keyword/Numeric Search area.
In a keyword box type: **studi di archeologia**
Choose to search for that information in the Title area.
Under Format: select Serials.

Step 2. Examine the results under each Textual Serials group. Do you find an exact match for your series title *Studi di archeologia* which is published by Carlo Saladino Editore? Is it a useful match? Do you find any other serials with the same title that would be conflicts?

Step 3. Just in case you missed the match, re-do the search, this time adding the publisher name “saladino” in another keyword box and choosing publisher as the area to search.

Step 4. Examine the results. Did you find anything different?

Exercise 7 -- Searching for a Matching Serial Record

Step 1. Return to the Search WorldCat box Keyword/Numeric Search area and enter the following information.

In a keyword box type: **northwestern university african studies**

Choose to search for that information in the Title area.

Under Format: select Serials.

Step 2. Examine the results. Is there anything useful?

Step 3. *northwestern university african studies* appears on the title page; “african studies” is in a bolder typeface. Perhaps that form, which you had thought of as a reference, might be the form in the serial record. Search again. You want to search for “african studies” anyway, because you need to check for conflicts with any references you use in the SAR.

In a keyword box type: **african studies**

Choose to search for that information in the Title area.

Under Format: select Serials.

Step 4. There are too many records found for your search. Your piece in hand is an older gift item published in 1958, and it is no. 1 in the series. Try adding another component to your search. A broad span of years would help narrow the search

In a keyword box type: **african studies**

Choose to search for that information in the Title area.

Under Format: select Serials.

Under Years: provide the range: **1920-1970**

Step 5. Consider the search results. You searched for two possible versions of the series AAP. You can now determine which form to use in the SAR AAP, whether that form needs to be qualified, and what version can be used as a variant access point in the SAR.

Exercise 8 -- Searching for a Monographic Title Conflict

Step 1. You have number 1 of a new series “Papers in applied psychology” published by the University of Georgia Press in Athens, GA. In OCLC, return to the Command Line Search box and enter the following search:
sca ti= papers in applied psychology

Step 2. Examine the results of your search and choose to look at the bibliographic record. Is there a monograph which conflicts with your new series AAP?

Exercise 9 -- Searching the Authority File

Step 1. In OCLC, press the keys Shift+F2 or select Authorities and choose Search and then LC Names and Subjects. This brings up the Search LC Names and Subjects box.

Step 2. You have a series *Research report* published by the Institute of International Agriculture at Michigan State University.
In the Keyword/Numeric Search area, search for: **research report**
Choose to search for that information in the Title area.

Step 3. Obviously this search was too broad. Try narrowing the search by adding some information from the corporate body to the query.
In a keyword box type: **research report**; search for that information in the Title area.
In another keyword box type: **agriculture Michigan**
Choose to search for that information in the Corporate/Conference Names area.

Exercise 10 -- Searching the Authority File

Step 1. Return to the Search LC Names and Subjects box. On your series title page you have *Poesie*. The publisher is Officina edizioni located in Rome. Enter the following search.
In a keyword box type: **poesie**
Choose to search for that information in the Title area.

Step 2. Examine the search results. Notice that, in addition to the large number of search results, the list also gives us an idea of a possible variant form of this series title. Our series could be under the title “Collection Poesie.” Before looking through the many results in this list, try another search or two.
Search for both title and place of publication; Rome may have been used as a qualifier.
In a keyword box type: **poesie rome**
Choose to search for that information in the Title area.

Step 3. Is the resulting SAR a match?
Search for both title and name of publisher; Officina may have been used as a qualifier.
In a keyword box type: **poesie officina**
Choose to search for that information in the Title area.

Step 4. Consider the result. If you had not found the series through these two narrower searches, you might try another combined keyword search with italy instead of rome. There is a chance that the location of the publisher has changed. Officina edizioni could have been earlier located in Bergamo, for example.

Exercise 11 -- Searching the Authority File

Step 1. Return to the Search LC Names and Subjects box. The title in hand is published by L. Rienner. The series title page has *Explorations in peace, justice, and human rights*, along with a list of previously published titles the first of which is “Global politics in the human interest.”

In a keyword box type: **Explorations in peace justice and human rights**
Choose to search for that information in the Title area.

Step 2. Searching for the full series title did not locate a match. There could be a major or minor title change, so try a number of keyword searches to see if you can find anything.

In a keyword box type: **peace justice rights**
Choose to search for that information in the Title area.
Not the right series? Try again.

In a keyword box type: **explorations peace**
Choose to search for that information in the Title area.

Step 3. Compare the SAR found with the piece in hand. The publisher is the same. And the first title listed under the series is the one used to establish the SAR. So, it looks like your next step is to determine if the title change is a major one, or a minor one.

Exercise 12 -- Searching the authority file

Step 1. Return to the Search LC Names and Subjects box. The numbered series on your piece is *Sci-fi*, and it is published by P. Siry located in Paris.

In a keyword box type: **sci-fi**
Choose to search for that information in the Title area.

Step 2. It looks like this series is not established. But let's do one further search. How about spelling “sci-fi” out as “science fiction” and adding the publisher to narrow the search results?

In a keyword box type: **science fiction siry**
Choose to search for that information in the Title area.

Step 3. Consider the search results. Is the difference in series title a minor or major one?

Exercise 13 -- Searching the Authority File

Step 1. Return to the Search LC Names and Subjects box. Let's try a search from the Command Line Search area. You have a piece published by the Rand Corporation with the series title *MR*. You know that Rand is a prolific publisher of series. Why not start with a scan title type of search?

In the Command Line Search box enter: **sca co:rand corporation**

Step 2. Examine the results. At the head of the list is the corporate AAP. Under that comes a listing of the various series and series-like phrases that have already been established. Glancing at these various AAPs, you can see that if *MR* had not been established, you have several other series titles with only an initial or two that might have provided a helpful pattern for you.

Exercise 14 -- Searching the Authority File

Step 1. Return to the Search LC Names and Subjects box. Let's try another search from the Command Line Search area. The title page has the series statement "FES peace and security series." FES sounds like a fairly unique start to a series.

In the Command Line Search box enter: **sca ti:fes**

Step 2. Examine the results. When you have an unusual beginning to your series, scan title is an obvious first search option. Unusual words typically also make good keywords to search. Compare the earlier search with the results of this search:

In a keyword box type: **fes**

Choose to search for that information in the Title area.

Library of Congress Authority File Searching

You may not often use this version of the authority file for searching. But it can come in handy as a backup if OCLC access is unavailable and you suspect that the series in hand is already established. In your Web browser, go to <http://authorities.loc.gov/>. You can also find this page by following the link on any page of the Library of Congress Online Catalog. Click on the Help indicator to find out current information about searching this file.

For the non-keyword searches you will need to carefully consider alternatives to your basic search, such as differences in spelling, compound words, and others similar options.

There are four left-anchored search types, and you begin each of those searches with the leftmost words of the index entry you are looking for. Searches are automatically truncated. Additionally, there is a "Keyword Authorities (All)" search that is useful for putting together a series search using separate elements of the title. It searches all types of headings (e.g., title, name, name/title, subject).

Exercise 1

Step 1. You have a book with the series title *Working papers in multiculturalism*, which is associated with the Centre for Multicultural Studies at the University of Wollongong. Choose the search type “Title Authority Headings”
Type: **working papers in m**

Step 2. Examine the search result, noting that you have been dropped into a browse listing. You find a link to the AAP.

Step 3. Now try another method of searching.
Choose the search type “Name/Title Authority Headings”
Type **university of wollongong cen**
Again you drop into a browse list, this time showing a reference link to the correct AAP.

Exercise 2

If you are interested in viewing one particular name/title NAR or SAR associated with William Shakespeare, you could use the “Name/Title Authority Headings” search more precisely.

Enter the entire personal name authorized access point for Shakespeare followed by the title or a portion of the title.

Type: **Shakespeare, William, 1564-1616 Works 1983**

Library of Congress Bibliographic Record Searching

You can look for keyword phrases in the LC catalog. This is particularly useful when you are working with older gift materials and seeking evidence of additional analytic titles within the series. Keyword searches can uncover possible series titles otherwise not indexed because of the many and various ways that they have been interpreted and recorded in LC bibliographic records.

In your web browser, go to <http://catalog.loc.gov/>.

Exercise

You have a title bearing the phrase *Beech Tree paperback book*.

Step 1. Choose “Guided Search” and search as a phrase for: **Beech Tree paperback book**

Step 2. Examine the MARC Tag version of each record and note the various ways that LC has chosen to record the information.

Changes in Cataloging Rules for Serials

We are going to look quickly at how serials were cataloged under previous cataloging rules. If you add older gift materials to your collection or are involved in a retrospective conversion project, you need to know some of the different ways serials were cataloged in the past. Then you will know how those differences may impact your search results.

Most large databases contain bibliographic records reflecting multiple cataloging codes as well as revisions and updates to those codes. In fact, many individual bibliographic records have been edited over the years and embody elements of more than one code. In addition, the rules for monographic series and other serials have changed more than any other rules from one cataloging code to the next. The following section will increase your awareness of the cataloging changes that relate to series statements, series added entries, and serial records.

Earlier Rules: Choice of Entry

AACR had separate rules for serials regarding the construction of the authorized access point (called “main entry” at the time).

- Generic serial titles were entered under corporate body. Generic titles, such as occasional papers, bulletin, or monograph, lack subject specific words. The serial entry would have two component parts: corporate body and generic title:

Example:

International Geological Association. Study

- A serial title containing an initialism representing the name of the corporate body was also entered under corporate body. The serial title on the piece “BWS bulletin” would have the corporate body added to the entry elements of the bibliographic record:

Example:

Bird Watchers Society. BWS bulletin

Earlier Rules: Title Truncated

- A revision of AACR instructed the cataloger to delete the corporate body's name from the title of a serial.

Example:

Both the title "Monograph of the Cancer Research Laboratory" and the title "Cancer Research Laboratory monograph" were transcribed as simply "Monograph" in the title field.

Earlier Rules: Title "Propped Up"

- Another AACR revision instructed the cataloger to add the corporate body's name to a generic series title using the following formula:
[Generic series title] [space] [hyphen] [space] [body's name as found on the resource]

Because there were often variations of the corporate body name from volume to volume for a serial, there were many title changes.

Examples:

Publication - The Zoology Department, University of Virginia
Publication - Department of Zoology
Publication - The University of Virginia Zoology Department

Earlier Rules for Subseries: Direct or Indirect Entry

- AACR entered subseries based upon the "strength" of the subseries title. 'Strong' subseries titles were entered directly under those titles. 'Weak' subseries titles were entered subordinately under the name of the main series. The strength of the title was a matter of cataloger judgment and might vary from one cataloger to another.

Example (subseries title strong; direct entry):

Advances in organic chemistry

Example (subseries title weak; indirect entry):

Drug interactions. Studies

Earlier Rules for Corporate Body Headings

- During the time period that *AACR* was in force, LC catalogers retained earlier headings constructed according to the 1949 *ALA* rules. This policy, called superimposition, saved catalogers' time; it means that some corporate bodies were entered under a local place or under jurisdiction.

Example:

Michigan. University

With the implementation of *AACR2* came "de-superimposition": LC re-established corporate body headings and corrected all existing access points **except those for series**. The reason series headings were not changed is that it would have meant an overwhelming amount of bibliographic file maintenance. Because LC knew that many series would need to be changed from corporate main entry to title main entry, LC didn't want to change the series access points twice and redistribute the records twice: once to update the form of the name in the name/title series heading and then later in the same records to update to title main entry. So, headings such as the following remain in the catalog:

Example:

Christchurch, N.Z. University of Canterbury. Dept. of Psychology and Sociology. Research project

As these last two examples illustrate, the most problematic category for series is those issued by universities because under *ALA* rules, universities were entered under local place or government jurisdiction.

Earlier Rules Search Strategy

Develop a searching strategy for the different types of series titles you encounter.

For older series, remember to take the factors mentioned above into consideration when searching. Ask yourself these questions:

- Am I searching for records that were likely created before the implementation of *AACR2* in 1981?
- Does my search involve a possible generic title?
- Should I expect that a corporate body may be part of the authorized access point?
- Should I try searching without the corporate body that today would be considered part of the series title?
- In what different ways could the corporate body have been recorded?
- Do I have a "strong" or "weak" subseries?

Cataloger Actions Based on Search Results

This unit looks briefly at search results and appropriate corresponding cataloger actions. This information is not comprehensive and is designed for quick future reference. The actions and the reasons behind the actions are covered in later sessions of this series training. Each of these action statements assumes that you have already made a thorough search.

Search Results in the Authority File

SAR 1XX Matches Expected AAP for Bibliographic Resource Being Cataloged

Check identification fields such as publisher, corporate affiliation, and numbering status

- Same resource? If yes, use SAR
- Different resource? Create new SAR and add qualifier to preferred title

Reminder: Just because you may get one SAR as a result of a search, don't automatically use that heading without confirming that it is for your resource. The instruction here to check the identification fields is very important. You must be sure that the SAR is for your series, not for another resource with the same title.

SAR 4XX Matches Expected AAP for Bibliographic Resource Being Cataloged

Check identification fields such as publisher, corporate affiliation, and numbering status

- Same resource with minor title change? Use SAR.
- Same resource with major title change? Create a new SAR and link two SARs with 5XX and 670 fields. Remove the 4XX from the existing SAR.
- Different resource? Create new SAR and add the appropriate qualifier to the conflicting 4XX so that it does not conflict with the new 1XX.

SAR is for Bibliographic Resource Being Cataloged but AAP Doesn't Match Either 1XX or 4XX

- Is difference a minor title change? Update SAR: add 4XX for form of title on volume being cataloged as well as a 670 for that volume
- Is difference a major title change? Create a new SAR and link the two SARs with 5XX and 670 fields

NAR for Same Bibliographic Resource

One example of this is when a NAR for an ordinary monographic personal name/title AAP has been created and it becomes clear with further publications that the monographic title could also be treated as a series. Either approach might be legitimate, but in order to allow the access point to be valid on a bibliographic record either as a series authorized access point or as a "name" authorized access point, the authority record needs to be coded as a series. In such a case, convert the NAR to SAR by recoding the fixed fields and adding series-related variable fields. Generally, include a 667 note, stating that the record can be used to validate either a "name" AAP or a "series" AAP.

Searching in the Bibliographic Database for AACR2 and RDA Analytic Bibliographic Records

If your searches for an authority record and for a matching serial record find no matches, you should next look for information in other bibliographic records. Because subfield \$a of the 4XX field in AACR2 records was transcribed from the source, forms of titles found in AACR2 records may be used as evidence for choosing the preferred title in RDA series authority records.

However, because numbering in AACR2 4XX subfield \$v was manipulated by abbreviating the caption and converting forms of numerals (and therefore it is not possible to know what was on the resource), information found in these fields *cannot* be used as evidence for the form of numbering example in RDA series authority records. Form of numbering should be determined from volume 1 or the earliest issue available, or an RDA record for the same.

If LC or PCC records are found

Create a Series Authority Record (SAR) as follows:

- If the form of series title is the same on your piece and on the RDA or AACR2 record(s), base the SAR's authorized access point and form of numbering on the volume you are cataloging.
- If the forms on your piece and on the LC/PCC RDA or AACR2 record(s) are different, determine if the title change is major or minor.
- If the different forms on the LC/PCC RDA or AACR2 analytic records are *minor* changes, base the new SAR's Authorized Access Point on volume 1 (or the earliest volume published) if it is represented by a record or is the volume being cataloged. If volume 1 (or the earliest volume published) is not represented by an LC/PCC RDA or AACR2 record, base the new SAR on the volume being cataloged.
- If the different forms are *major* changes, create a new SAR for the volume being cataloged. If the earlier or later series title is not represented by a SAR, provide "Continues/Continued by" information in a 667 field.

If Pre-AACR2 Analytic Records are Found

Create a Series Authority Record SAR as follows:

- If the form of the series title on the bibliographic records matches your title in hand, base the SAR on that volume being cataloged.
- If the forms are different, determine if the difference is due to a change in cataloging rules or if the difference is a change in the title of the series
 - If the difference is due to a change in cataloging rules, base the new SAR on the volume being cataloged and consider adding cross-references for the other forms
 - If the differences represent *minor* changes, base the new SAR on the volume being cataloged and consider adding cross-references for the other forms
 - If the differences represent *major* changes, create a new SAR only for the volume being cataloged. If the earlier or later series title is not represented by a SAR, provide "Continues/Continued by" information in a 667 field.