Preliminary Bib. Records: Monographic Series & Multipart Monographs on Standing Order

Overview

The RDA definition of series is: "A group of separate items related to one another by the fact that each item bears, in addition to its own title proper, a collective title applying to the group as a whole. The individual items may or may not be numbered." Note that the definition applies to both serials and multipart monographs.

Series issued as (generally) irregular serials are sometimes called monographic series; as serials, monographic series are intended to be issued indefinitely. Generally items in a monographic series are single part monographs issued on an irregular basis. For printed materials the bibliographic record for the monographic series as a whole is entered in the MARC21 **Serials** format with **008 Type of Serial:m**.

A series may also be issued as a multipart monograph (mpm), i.e. with an intended conclusion. A multipart monograph series should be entered in the MARC 21 **Books** format.

Series may be **classed-together** (all items have the same call number; call numbers are distinguished by the volume number) or **classed separately** (each item in the series has a different call number). A series may be **analyzed** (separate bibliographic records created for the each distinct item in the series) or not. A series may be analyzed whether it is classed-together or classed separately; a classed separately series must be analyzed.

If a series is on standing order, a bibliographic record in Serials or Books format is always created. Series bibliographic records contain standard MARC fields with appropriate content designation and sufficient information for positive identification.

A bibliographic record generally is not created for a monographic series that is not received on standing order, although the cataloger may use that option for some classed-together situations. For mpm series not received on standing order, a bibliographic record is always created if the set is classed-together; a bibliographic record is not created if the set is classed-separately.

Bibliographic records for analyzed monographic series are used primarily as a hook to the Voyager Acquisitions line item and to ensure that acquisitions staff use the established form of the series and follow local classification decisions. The minimal encoding level is 7. The bibliographic record is suppressed from public display if the series is classed separately. In current practice, the bibliographic record is suppressed if the series is classed-together and analyzed, unless some parts lack distinctive titles. If the decision is to display the record to the public, the record may follow the same minimal standard used for classed-separately records if no cataloging copy is available. Because non-roman units catalog in OCLC, their series bibliographic records must be cataloged at E/L 7 and they may choose to create their preliminary records on the utility as well.

Bibliographic records for classed-separately multipart series on standing order are suppressed from public display and may remain at E/L 7. Bibliographic records for classed-together multiparts are always displayed and are always upgraded to full or core-level.

Because the series bibliographic record is used by acquisitions staff to determine the form of series used on analytics and to determine local classification practice, the first volume received for any new standing order series should be routed to the appropriate cataloging unit for priority cataloging. The cataloging unit is responsible for deciding whether the series will be classed together or classed separately, for creating or updating a series authority record for the series if necessary, and updating the bibliographic receipt records where necessary (e.g., for title changes or entering local classification decisions, or in some cases to full-level standard).

In a separate section, Bibliographic Records for Monographic Series & MPMs: Cataloging Policies and Procedures [1], standards and procedures are described for cataloging staff with responsibility for updating the bibliographic record for the series to conform to the established form of the series title.

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Part 1: General Procedures for All Preliminary (Monographic) Series Bibliographic Records Received on Standing Order

Acquisitions staff should only use the procedures for monographic series bibliographic records for monographic series received on standing order.

The decision to create a standing order is generally made post-receipt with the initial volume of the series in hand; the guidelines in this document are based on this assumption. A volume in the series is either received as part of a blanket order with or without a vendor record or as a sample for selector decision.

If there is evidence on or with the issue in hand that a title change is involved, consult with your supervisor before entering a new record into the database to ensure that the new title is associated with the appropriate purchase order.

For periodicals, refer to the separate document: Preliminary Bib Records: Serials [2].

Search **Orbis** to confirm that no record exists. If no record is found, create a brief preliminary record following the procedures in Part 2. Code the **MFHD** for all preliminary records according to the procedures in Part 4.

The default decision for monographic series is **classed separately** (analyzed). If at the time of cataloging the decision is revised to **classed-together analyzed**, the cataloger will be responsible for updating the series bibliographic record accordingly. Exceptionally, acquisitions staff may treat the series as classed-together if a title change has occurred, the numbering is continuous, and the earlier title was classed-together. Even in this exceptional situation, it is recommended that acquisitions staff consult with the cataloger before treating the new series as classed-together analyzed.

Since the default decision for a monographic series is classed separately (analyzed), the preliminary bibliographic record for the series should be suppressed. With the 2005 policy change, the bibliographic record for most classed-together analyzed series (the "cover record") will be suppressed as well.

In addition to the series bibliographic record, the default procedure will be for acquisitions staff to create a separate analytic bibliographic record for the volume in hand following the guidelines for creating monographic preliminary records (or, exceptionally, serial preliminary records) (see Preliminary Bibliographic Records [3]). The analytic bibliographic record must have an 830 series field that matches the 130 of the series bibliographic record (in the absence of a 130 field, the 830 field should match the 245 ‡a ‡n ‡p). The item record should be linked to the analytic record's MFHD. If the cataloger decides not to analyze, it will be the cataloger's responsibility to relink the item record to the series bibliographic record and delete or suppress the analytic bibliographic record.

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Part 2: Creating a New Preliminary Bibliographic Record for a Series

[For multipart processing, see Part 7. Multipart series standing orders [4].]

Decide whether the sso title is a monographic series or a multipart. If in doubt, consult with your supervisor. If the sso is for a monographic series, create a new record by using the serial bib template for preliminary series. See the instructions for changing bibliographic record templates on Orbis at:

http://web.library.yale.edu/cataloging/macroexpress-templates [5]

If a vendor record has already been entered in Orbis, modify it following the guidelines for creating new preliminary records.

Leader: Leave the leader coding on the serial template as is.

008: Update 008 as follows. Otherwise, leave the fixed fields as is.

Date 1 (yyyy) (record the earliest date of the volume in hand) and **Date 2 (9999)** (unknown ending date**).** If the date for the first volume is unknown or uncertain, use 200u or, for older material, 19uu.

Place of publication Assign the appropriate code from the list

Type of Serial Use "**m** Monographic series"

Language Assign the appropriate code from the list

Variable fields: The variable fields for the preliminary serial bib record as they appear in the RDA serial template:

	Tag	I1	I2	Subfield Data
→	022			‡a
	040			‡a CtY ‡b eng ‡e rda ‡c CtY
	245	0	0	‡a
	264		1	‡a : ‡b : ‡c
	300			‡a volumes ; ‡c cm
	336			‡a text ‡2 rdacontent
	337			‡a unmediated ‡2 rdamedia
	338			‡a volume ‡2 rdacarrier
	588			‡a Description based on ; title from
	588			‡a Latest issue consulted:

The preliminary serial bib record with required information in variable fields (2 examples). Delete the 588 fields. Delete field 022 if there is no ISSN. In the example, the 336-338 fields are left out for reasons of space; in practice, retain the 336-338 fields. Note that 264 ‡c is not entered.

022			‡a 0094-243X
245	0	0	‡a AIP conference proceedings.
264		1	‡a Woodbury, N.Y. : ‡b American Institute of Physics
300			‡a volumes
245	0	0	‡a Bulletin of the Peabody Museum of Natural History, Yale University.
264		1	‡a New Haven : ‡b Peabody Museum of Natural History
300			‡a volumes
780	0	0	‡t Bulletin of the Bingham Oceanographic Collection

Guidelines for entering variable fields

022 (ISSN): If available, record the ISSN (International Standard Serial Number) in field 022:

022			‡a ####-####

Transcribe the hyphen.

245 00 ‡a (Title)

245	0	0	‡a Title.

When transcribing the title, do not transcribe initial articles or diacritics.

The series title often appears in multiple places on the book, and the form of the series title often varies depending on the source. It is important that the series title be transcribed from the chief source for the series title, since the chief source is used to determine the form used on the series added entries. As the list below indicates, the title page of the volume is not the chief source for the series title.

For the series title, transcribe from the volume in hand according to the following order:

1. series title page (the series title page is a separate page preceding the title page of the volume and is considered to be the chief source for the series title). If there is no series title page, transcribe the series title from 2.

2. the title page of the volume. If the series is not on the series title page or the title page of the volume, transcribe the series title from 3.

3. the cover of the volume. (Including the back cover, as well as cover flaps for paperback books if the flap is permanently part of the cover). If the series is not on 1., 2., or 3., transcribe from 4.

4. anywhere else (e.g. the last page of the book)

Capitalization in cataloging can be quite complex. The simplest approach is to just follow the capitalization as it appears on the series title page. Transcribe a statement of responsibility for the issuing body if it can be readily determined; otherwise do not transcribe a statement of responsibility.

Examples:

245	0	0	‡a Occasional Papers of the Bibliographical Society.

245	0	0	‡a Working Papers / ‡c African Studies Center, Boston University.

Microform. The AACR2 ‡h [microform] subfield is no longer used. There is a separate template for microform. Consult with your supervisor.

245	0	0	‡a Bulletin of the Bingham Oceanographic Collection.

246 (Varying form of title) Although variant form access is important for order records to avoid duplication, the priority workflow when the item has been received means that cataloging will take care of the variant forms within a short window of time.

If the item is in hand, in some rare situations, the series title page may have a typographical error. In that case, use the corrected form in 245 (no brackets to indicate the correction).

Series title page: Case **stidies** in literary theory.

245	0	0	‡a Case studies in literary theory.

264 (Place, publisher and date) Record the place of publication and the name of the publisher according to the following pattern. Subfield c is not transcribed. Note that it is no longer current practice to enter a comma after the name of the publisher when the date is not recorded.

264		1	‡a Place of publication : ‡b Name of publisher

If there is more than one place of publication, record the first named only. If there is no place of publication, use [Place of publication not identified]. Leave it to cataloging to provide an inferred place of publication if it can be reasonably determined.

If there is no publisher, omit ‡b (do not use [s.n.]).

Examples are roughly in order of best case to worst case. Hopefully you will never have to use the last example.

264		1	‡a London : ‡b Nomos
264		1	‡a [Place of publication not identified] : ‡b T. Front
264		1	‡a London
264		1	‡a [Place of publication not identified]

710. If the title is generic, cataloging will provide access with a 110 or 710. Since the item will be in the priority processing workflow, the name of the corporate body in either (or both) the 245 and 264 will be sufficient for identification in the preliminary record.

245	0	0	‡a Occasional papers of the California Academy of Sciences.
264		1	‡a San Francisco : ‡b California Academy of Sciences
300			‡a volumes

780/785. If there is clear evidence of a title change, make a linking 780 field to the earlier title. For example, the issue arrives with a letter from the publisher indicating the title has changed from X to Y; or the cover of the issue says "Title Y (formerly Title X)." Include the evidence, if any, with the item when it is sent for priority cataloging. Be sure to precede the title in 780 with ‡t NOT ‡a. Consult with your supervisor if in doubt. In general, do not update the record for the earlier title (i.e. with a 785 linking field) without an OK from your supervisor.

245	0	0	‡a Working papers in African studies. *<new title>*
264		1	‡a Boston, MA : ‡b African Studies Center, Boston University
300			‡a volumes
780	0	0	‡t Working papers (Boston University. African Studies Center) *<earlier title>*

See also the Peabody Museum example above.

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Parts 3-5: Authority Validation; Recording Information in the Or?bis MFHD; Item r?ecords

Part 3: Authority Validation

After completing the record, save it by clicking on the sailboat icon labeled "**Save to DB**." The authority validation window will appear. Validate all of the headings that appear on the record (name and series) according to established policy at:

Authority control workflow for C&T staff [6]

Part 4: Recording Information in the Or?bis MFHD

MFHDs for order records should be entered in the form:

852	8	1	‡b <location code> ‡k Suppressed ‡h On order ‡x sso

MFHDs for in-process records should be entered in the form:

852	8	1	‡b sml ‡k Suppressed ‡h In Process ‡x sso

Since the default is classed-separately, the record would normally be suppressed and no 866 would be created for the volume received (the receipt would be recorded in the Voyager Acquisitions module, however).

Part 5. Item r?ecords

The item record should be linked to the MFHD of the analytic bibliographic record. ENUM/CHRON data is not entered if the item record is linked to the analytic.

EXCEPTIONS:

If the series is NOT analyzed, the item record should be linked to the MFHD for the bibliographic series. Appropriate data should be entered in the ENUM/CHRON fields. In general, do not use **jour** item types for unanalyzed series volumes; use **circ**, **nocirc**, **reference**, etc. as appropriate.

If the title is classed-together analyzed (full or serial analytics), and some volumes are without an analyzable title (i.e., the volume only has the series title), then ALL item records should be linked (or re-linked) to the series bibliographic record. Appropriate data should be entered in the ENUM/CHRON fields.

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Part 6. Adding Volumes

The procedures described here apply only to work done by acquisitions staff in the Voyager Cataloging Module. Most of the acquisitions work procedures for added volumes are performed in the Voyager Acquisitions Module. However, acquisitions staff will be responsible for updating the 866 MFHD for added volumes for classed-together series.

Acquisitions staff should add new volumes to the 866 MFHD as volume holdings (41 indicators) rather than as receipts (__ indicators); in general, receipt information for classed-together series will only be recorded in the Voyager Acquisitions Module, not in the Cataloging Module 866 MFHDs.

Before:

852	0	1	‡b lsfssl ‡h HB1 ‡i W671X (LC) ‡x EL7 anlyz no. 74-
866	4	1	‡8 0 ‡a no.74-119,
866	4	1	‡8 0 ‡a no.121-no.145,
866	4	1	‡8 0 ‡a no.147-no.235,
866	4	1	‡8 0 ‡a no.237-no.242

After:

852	0	1	‡b lsfssl ‡h HB1 ‡i W671X (LC) ‡x EL7 anlyz no. 74-
866	4	1	‡8 0 ,a no.74-119,
866	4	1	‡8 0 ‡a no.121-no.145,
866	4	1	‡8 0 ‡a no.147-no.235,
866	4	1	‡8 0 ‡a no.237-no.243

[2005 revision] If a series bibliographic record has been created prior to the implementation of the current procedures, and the bibliographic record has not been suppressed and/or no MFHD 866 has been created to record volume holdings, both the bibliographic and MFHD records should be suppressed. If no MFHD 866 has been created, volume holdings should be recorded from that point onward; updating the MFHD for previously received volumes is not necessary but may be performed if the information is readily available. The procedure applies to all classed-together series: c.t. (fully) analyzed, c.t. serial analytics; and c.t. (not analyzed). MFHD 866 volume holdings are not recorded for classed separately series.

If recording the complete volume holdings retroactively is not feasible, add a note in this form:

‡x For volumes in this series received prior to [year], search under individual author or title.

Example (classed separately prior to 1996; serial analytics from 1996; no 866 recorded up till 2003).

852	0	1	‡b sml ‡k Suppressed ‡h HB5 ‡i D58 (LC) ‡m Oversize ‡x EL7 anlyz from 5/23/1996; cs thru 5/22/1996 ‡x For volumes in this series received prior to 2003, search under individual author or title.
866	4	1	‡8 0 ‡a no.75(2003)

If cataloging copy is not found, new series bibliographic records for c.t. analyzed and E/7 analyzed series are cataloged at E/L 7 with 008 fields upgraded to standard level. [2005 rev.:] *If suppressed, the series bibliographic record is NOT exported to MARs & OCLC. For an ongoing series that has not been suppressed, the series bibliographic record should be suppressed. [2014]: The EL7 analytics are exported to MARS and subsequently OCLC.*

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Part 7. Multipart standing orders

For a multipart standing order, generally follow the procedures for creating preliminary records for monographs described above.

Note that, unlike monographic series, cataloging copy for the bibliographic record for the multipart should be searched in OCLC.

If no cataloging copy is found and there is doubt whether the item is a multipart or a monographic series, consult with your supervisor to determine whether the bibliographic record should use the Serials or Books template.

The default decision for multiparts is to display the bibliographic record. Do not suppress the bibliographic record for multipart monographs on standing order. [Note that the policy to display the cover record for classed-together

multiparts has not changed with the 2005 revision.]

The default analysis decision for a multipart standing order is classed-together (not analyzed). Do not create a separate analytic bibliographic record for the first volume received. Record the first volume received in 866.

MFHDs for order records should be entered in the form:

852	8	1	‡b <location code> ‡h On order ‡x sso

MFHDs for in-process records should be entered in the form:

852	8	1	‡b sml ‡h In Process ‡x sso
866	4	1	‡8 0 ‡a <volume received>

The first volume received for the standing order should be flagged for priority cataloging as a standing order item.

If the cataloging decision is to analyze, the cataloger will enter the instruction in 852 ‡x. When later volumes are received, acquisitions staff should check the cataloging decision in 852 ‡x (it should correspond to the series authority record decision) to determine whether a separate preliminary record for the analytic needs to be created.

If the cataloger decision is to class separately, the multipart bibliographic record will be suppressed by the cataloger. The record will remain at E/L 7. Volume holdings will not be recorded.

All classed-together multipart series will display. Unlike monographic series, the bibliographic record for all classed-together multipart series will be updated to full or core level by the cataloger.

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Links
[1] https://web.library.yale.edu/cataloging/serials/series-mpm-cataloging [2] https://web.library.yale.edu/cataloging/workflow/preliminary-bib-records/pb2 [3] https://web.library.yale.edu/cataloging/workflow/preliminary-bib-records [4] http://www.library.yale.edu/cataloging/documentation/prelimseries.htm#multiparts [5] http://web.library.yale.edu/cataloging/macroexpress-templates [6] http://www.library.yale.edu/cataloging/authorities/ctacworkflow.htm