NACO > Yale Policies for NACO Series Authority Records

This document sets forth Yale University Library policies for creating, updating, and importing NACO series authority records (SARs) associated with monographic series and multipart monographs (MPMs). It is intended to supplement, not replace, standard documentation issued by the Library of Congress (LC) and the Program for Cooperative Cataloging (PCC).

Throughout these instructions, replace ‡5 CtY with your unit's specific code whenever applicable.

RELATED DOCUMENTS:

- Yale Policies for NACO Name Authority records [1]
- Bibliographic Records for Monographic Series and MPMs on Standing Order (Cataloging) [3]
- Multipart Policies and Procedures, [5](Cataloging)

1. Creating New SARS

1A. Where to Create New SARs

- Create all new SARs in the OCLC authority file according to Yale's NACO workflow
- Do not create new SARs in Orbis.

1B. When to Create New SARs

As a general rule, create new SARs for analyzed monographic series and MPMs whenever one or more of the following criteria apply

- the series or MPM requires cross reference(s) Exception: If the only reference would be a name-title reference from the issuing body and the body has not yet been established (requiring that an additional authority record for the body be established), creating the series authority record is optional; use judgment.
- the series or MPM requires a qualifier Exception: If the series requiring the qualifier is a non-academic series that has been issued by a commercial publisher, creating the series authority record is optional; use judgment.
- the series or MPM is on standing order
- the series or MPM will be classed together
- the series or MPM will be traced in a BIBCO record. NOTE: In a BIBCO record, the series may be tagged as untraced if it has not been established in a series authority record; only traced series need be established.
- the series or MPM is represented by a local SAR Note: Local SARs lack an 010 field. These records were created in ORBIS, rather than contributed to NACO, in accordance with former Yale policy. The local SAR should be deleted from ORBIS after the NACO record is created.
- a selector has identified the series or MPM as important and requested that a SAR be created

New SARs are not required for monographic series and MPMs whenever one or more of the following criteria apply:

- the monographic series or MPM will not be analyzed
- the monographic series or MPM is complete at the time of cataloging Exception: Unless it requires a cross reference or will be traced in a BIBCO record.
the monographic series or MPM will be untraced in a BIBCO record. *Note:* In a BIBCO record, the series may be tagged as untraced if it has not been established in a series authority record; only traced series need be established.

- the monographic series or MPM is judged to be trivial or exceedingly complicated
- the monographic series or MPM was published prior to 1981

### 1a. New MARC Authority Fields: 046, 370

New MARC Authority fields potentially applicable to series: 046 -- 370 -- 377 -- 380 -- 381

*Notes, Quotes, & Guidelines from STTF MARC21 in NACO RDA Series Authority Records*

#### 046 Special Coded Date (NR)

**Sources:** LC MARC 21 format for [046 - Special coded dates](6) and [DCM Z1](7)

**Subfields**

- ‡k *Beginning or Single Date created* (NR) For a work, earliest date (normally the year) associated with a work; that date may be the date the work was created or first published or released.

- ‡l *Ending Date Created* (NR) Ending date of the date range for which the beginning date is recorded in ‡k

**Extended Date Time Format (EDTF)**

The date and time are recorded according to [Extended Date Time Format](8) (EDTF) in the pattern using 4 digits for the year, 2 for the month, and 2 for the day, each element separated by a hyphen:

- year = yyyy
- year and month = yyyy-mm
- year, month, and day = yyyy-mm-dd

Use subfield ‡2 edtf to indicate the date schema

**PCC Practice for justifying 046**

- 670 field
- ‡u *Uniform Resource Identifier* (R)
- ‡v *Source of Information* (R)

**Trainer Notes:**

- use of delimiter v is optional if the same information/source is already cited in the 670
- use delimiter v if the information/source is not cited in a 670
- use of delimiter u is optional, and should always be preceded by delimiter v.
- use of delimiter 2 (‡2 edtf) is required

**Example:**

<table>
<thead>
<tr>
<th>046</th>
<th>‡k 2012 ‡2 edtf</th>
</tr>
</thead>
<tbody>
<tr>
<td>130</td>
<td>Masculin-feminin dans l'Europe moderne. ‡p</td>
</tr>
</tbody>
</table>
Examples:

Series with volume 1 published as the May 31, 2012 issue of a quarterly publication

| 046 | ‡k 2012-05-31 ‡2 edtf |

Approximate year? 2010?

| 046 | ‡k 2010? ‡2 edtf |

Single year and month:

| 046 | ‡k 2012-05 ‡2 edtf |

370 Associated Place (R)

- See RDA 6.5
- No indicators
- Subfields

‡g Place of origin of work (R) – country or other territorial designation from which a work originated
‡s Start period (NR)
‡t End period (NR)

Trainer notes: "For a work or expression: The country or other territorial jurisdiction from which a work or expression originated.

‡g is used to record the jurisdictional information. ‡s and ‡t can be used to indicate start and end dates.

Of course, this is usually recorded in the 643 field too."

370 justification: same as 046: 670, ‡u, ‡v, ‡2

The STTF training slides pre-date the decision to use the NAF form punctuation. Catalogers should now use the NAF punctuation as found, e.g Chicago (Ill.) NOT Chicago, Ill.

If the source is the naf, ‡2 is not necessary. Some libraries add it routinely. Definitely use ‡2 if the source is lcsh

Example. Place of origin of the series changes.

| 643 | Chicago ‡b Windy City Pub. ‡d 2002- |
| 643 | Omaha ‡b Heartland Press ‡d 1989-2001 |
| 370 | ‡g Chicago, Ill. ‡s 2002 |
1b. New MARC Authority Fields: 377, 380, 381

Source: STF Series Training Slides

377 Associated Language (R)

- See RDA 6.11
- 2nd indicator 7 specifies that an alternate source of code is indicated in ‡2
- Subfields
  ‡a Language code (R) – identifies the language used for publication or in which a work is expressed
  ‡l Language term (R)
  ‡2 Source of code (NR) - If using the MARC Code List, ‡2 is left blank

"Note that we will use a 7 in the second indicator to indicate that the source of the language code is in the ‡2. But, if you are using a code from the MARC Code List for Languages which is the default source, the second indicator and ‡2 should be left blank."

Example:

"Here the entire Russian series is translated and published, volume by volume, so the authorized access point and the authority record as a whole represents an expression."

377 ‡a eng ‡l English
430 0 ‡a Proceedings of the Steklov Institute of Mathematics

380 Form of Work

"The 380 field is used to record the Attribute: Form of Work. Series is the term that shows up in RDA examples. But perhaps other Form of Work attributes could be used as well. Other forms might be Subseries, and terms from the coded 008/12, Multipart item and Series-like phrase. We will have to wait for the PCC to develop a best practice for this area.

By the way, series-like phrase records are not defined in AACR2 or RDA. However, PCC policy is unchanged (LC-PCC PS 2.12), and PCC catalogers should continue to create series authority records for series-like phrases."

- See RDA 6.3
- No indicators
Subfields:
‡a Form of work (R) – a term expressing the class or genre of the work

Examples:
380 _ _ Series
380 _ _ Subseries?
380 _ _ Multipart item?
380 _ _ Series-like phrase?

381 Other Distinguishing Characteristics of Work or Expression

• See RDA 6.6

• No indicators

• Subfields:
‡a Other distinguishing characteristic (R) – Any characteristic that is not accommodated in a special field that serves to characterize a work or expression. Examples are an issuing body, arranged statement of music, version, or a geographic term. May be used to differentiate a work from another work with the same title.

Justifying 381

• 670
• Subfields

‡u Uniform Resource Identifier (R)
‡v Source of information (R)
‡2 Source of term (NR) – Code from the Subject Heading and Term Source Codes

www.loc.gov/standards/sourcelist/subject.html [9]
• Multiple characteristics from the same source vocabulary may be recorded in the same field in separate occurrences of ‡a

Examples 1. Local Policy: for now, do not make authority records (including SARs) for conventional collective titles until PCC states definitively that CCTs need to be differentiated with a qualifier; use "Selections" and "Works" without differentiating qualifiers for the time being.

<table>
<thead>
<tr>
<th>100</th>
<th>1</th>
<th>Shakespeare, William, ‡d 1564-1616. ‡t Plays. ‡k Selections (Stratford-upon-Avon, England)</th>
</tr>
</thead>
<tbody>
<tr>
<td>381</td>
<td></td>
<td>Selections</td>
</tr>
<tr>
<td>381</td>
<td></td>
<td>Royal Shakespeare Theatre (Stratford-upon-Avon, England) ‡2 naf</td>
</tr>
<tr>
<td>400</td>
<td>1</td>
<td>Shakespeare, William, ‡d 1564-1616. ‡t</td>
</tr>
</tbody>
</table>
2.-3. Updating & Importing New SARS

2. Updating Existing SARs

2A. Where to Update SARs

OCLC

- Updating a SAR in OCLC if making **national-level** changes.
- National-level changes include such things as: changing fixed fields, headings, and cross references adding new cross references, and adding new 640, 641, 642, 643, 645, 667, and 670 fields.

ORBIS

- Update a SAR in ORBIS if making **local** changes.
- Local changes include such things as: adding 090 fields, recording Yale analysis and classification decisions in 644 and 646 fields, and recording local notes in 690 fields. It might be necessary to import the SAR from OCLC into ORBIS before making the update.

2B. 090 Field (update in ORBIS)

**Class together**

Add an 090 field to the ORBIS record to record the call number of a series or MPM that will be classed together, even if the number is exactly the same as the one recorded in the 050 field. Preface the call number with the Yale location to which it pertains. Example:

<table>
<thead>
<tr>
<th>Before</th>
<th>After</th>
</tr>
</thead>
<tbody>
<tr>
<td>050</td>
<td>BX3201 $b$ .S78 $5$ CtY-D</td>
</tr>
<tr>
<td></td>
<td>DIV: BX3201 .S78</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Before</th>
<th>After</th>
</tr>
</thead>
<tbody>
<tr>
<td>050</td>
<td>BX3301 $b$ .A52</td>
</tr>
<tr>
<td></td>
<td>SML: BX3301 .A52 (LC)</td>
</tr>
</tbody>
</table>
If you discover existing bib records in ORBIS (for the same location) that have been classed separately, use judgment in deciding whether to 1) reclassify them, 2) add a note to the SAR specifying a change in practice after a certain date, or 3) continue to class separately. The third option is discouraged.

**Encoding Level 7 Analytics**

Add text in square brackets to the end of the call number in the 090 field to record a decision to create encoding level 7 analytics (EL7) for a monographic series or MPM. Example:

<table>
<thead>
<tr>
<th>Before</th>
<th>After</th>
</tr>
</thead>
<tbody>
<tr>
<td>090 SML: HB5 D58 (LC)+ Oversize</td>
<td>090 SML: HB5 D58 (LC)+ Oversize [EL7 ANALYTICS ONLY]</td>
</tr>
</tbody>
</table>

**Classed Separately**

Decision to class separately may be highlighted in 090 fields but the practice should generally be limited to the following situation:

- changes in Yale classification practice (see example below)
- complex situations involving especially voluminous numbered series
- different practices for different Yale locations (especially locations that use the same MARC institutional code)

<table>
<thead>
<tr>
<th>Before</th>
<th>After</th>
</tr>
</thead>
<tbody>
<tr>
<td>090 SML: J525 St94 1-19</td>
<td>090 SML: J525 St94 1-19</td>
</tr>
</tbody>
</table>

**Not Analyzed**

Decision not to analyze may be highlighted in 090 fields but the practice is not required. Example:

<table>
<thead>
<tr>
<th>Before</th>
<th>After</th>
</tr>
</thead>
<tbody>
<tr>
<td>090 DIV: DO NOT ANALYZE</td>
<td>090 DIV: DO NOT ANALYZE</td>
</tr>
<tr>
<td>644 f ‡5 DLC</td>
<td>644 f ‡5 DLC</td>
</tr>
<tr>
<td>644 n ‡5 CtY-D</td>
<td>644 n ‡5 CtY-D</td>
</tr>
</tbody>
</table>

---

**2C. 642 Field (update in OCLC)**

- Do not retrospectively add a ‡5DPCC code to an exiting 642 field.

**2D. 645 Field (update in OCLC)**

- If the existing SAR contains a DPCC or LC “traced” decision, follow it. If the existing SAR contains only an "untraced" decision, follow it.
- Do not add new 645 fields
- Do not retrospectively add a ‡5 DPCC code to an existing 645 field.

**2E. 644 and 646 Fields (update in ORBIBIS)**

For monographic series and MPMs that are new to Yale, generally follow analysis and classification decisions recorded by LC and other PCC libraries. If necessary, update SARs to record Yale decisions by adding new 644 and 646 fields or by modifying existing ones according to the guidelines below.

**Adding New 644 and 646 Fields**

Add Yale analysis and classification decisions in new 644 and 646 fields in the ORBIS record in the following
situations:

Yale decisions differ from the decisions already recorded in the SAR. Example:

<table>
<thead>
<tr>
<th>Before</th>
<th>After</th>
</tr>
</thead>
<tbody>
<tr>
<td>646 s ‡5 CoU</td>
<td>646 s ‡5 CoU</td>
</tr>
<tr>
<td></td>
<td>646 c ‡5 CtY</td>
</tr>
</tbody>
</table>

SAR lacks 644 and 646 fields. Example:

<table>
<thead>
<tr>
<th>Before</th>
<th>After</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>644 t ‡5 CtY-BR</td>
</tr>
<tr>
<td>645 t ‡5 DPCC</td>
<td>645 t ‡5 DPCC</td>
</tr>
<tr>
<td></td>
<td>646 s ‡5 CtY-BR</td>
</tr>
</tbody>
</table>

Modifying Existing 644 and 646 Fields

Do not delete decisions already in the SAR for LC and other PCC institutions.

Modify existing 644 or 646 fields in the ORBIS record whenever a Yale decision of "do not analyze" or "class together" duplicates an existing decision. Example:

<table>
<thead>
<tr>
<th>Before</th>
<th>After</th>
</tr>
</thead>
<tbody>
<tr>
<td>646 c ‡5 DLC</td>
<td>646 c ‡5 DLC ‡5 CtY-BA</td>
</tr>
</tbody>
</table>

Do not generally record a Yale decision to "analyze" or "class separately" when it duplicates an existing decision unless you want to differentiate it from a decision for another Yale location. Examples:

<table>
<thead>
<tr>
<th>Before</th>
<th>After</th>
</tr>
</thead>
<tbody>
<tr>
<td>646 s ‡5 DLC</td>
<td>646 s ‡5 DLC</td>
</tr>
<tr>
<td></td>
<td>646 s ‡5 DLC ‡5 CtY-M</td>
</tr>
<tr>
<td>646 c ‡5 CtY</td>
<td>646 c ‡5 CtY</td>
</tr>
</tbody>
</table>

Recording Changes of Practice

Use ‡d to record a change in practice for a location, placing the ‡5 code at the end of the field:

<table>
<thead>
<tr>
<th>Before</th>
<th>After</th>
</tr>
</thead>
<tbody>
<tr>
<td>646 s ‡5 CtY-D</td>
<td>646 s ‡d vols. cat. before Oct. 1, 2003 ‡5 CtY-D</td>
</tr>
<tr>
<td></td>
<td>646 c ‡d vols. cat. after Sept. 30, 2003 ‡5 CtY-D</td>
</tr>
</tbody>
</table>

3. Importing SARs

3A. When to Import SARs

As a general rule, do not import SARs into ORBIS from OCLC. MARS will send us the SARs as a result of weekly bib record processing.

Exceptions: You may import a SAR if:
• you need to update the SAR in ORBIS with local information
• you are cataloging the first volume of a standing order
• the SAR is for a series-like phrase (008 Type of series=c) Note: MARS does not usually send us SARs for series-like phrases because the phrases tend to be recorded in bibliographic records in note fields, which are not examined during MARS processing.

3B. How to Import SARs

Authority records are imported from OCLC in the same way that bib records are imported (although authority records will rarely need to be imported; see 3A).

Document issued by the NACO Coordinating Committee.

Contact: Rick Sarcia

Source URL: https://web.library.yale.edu/cataloging/authorities/series-policy-book

Links
[1] https://web.library.yale.edu/cataloging/authorities/name-policies
[2] https://web.library.yale.edu/cataloging/workflow/sso
[3] https://web.library.yale.edu/cataloging/serials/series-mpm-cataloging
[4] https://web.library.yale.edu/cataloging/minimal-level
[5] https://web.library.yale.edu/cataloging/multipart-workflow