

**Obtaining the Keys to the Kingdom:  
Secrets of Serial Bibliographic Records Revealed**

*Presentation Notes*

Mary Grenci, University of Oregon

[mgrenci@uoregon.edu](mailto:mgrenci@uoregon.edu)

1. –
2. Interspersed throughout the presentation there are boxes with search tips. Additional search tips are given at the end.
3. The definition of a serial has changed somewhat with RDA and now includes: Some things that do NOT have numbering; Limited term resources that exhibit characteristics of a serial
4. You can't rely on a full-level PCC record necessarily being perfectly fine as it is. Even if it is the correct record, it may not have up-to-date information in it and may need to be edited.

Also, serials cataloging rules have changed over time. I'll talk about that a bit more as we go along and again at the end.

5. –
6. This is how OCLC Connexion shows Type of Material
7. –
8. Latest entry cataloging is an old standard, where all changes were dealt with on a single bibliographic record. The 245 title was edited to always be the latest title on the piece, same with publication information and issuing body or author. Older information was moved to a note. New records were only created when there was a merger or a split.

Many libraries do not accept latest entry cataloging.

Latest entry and successive entry records are allowable duplicates in OCLC.

9. –

10. Alph is a code for language of the Key Title. The Key Title is only input by ISSN Centers and Alph is only coded by ISSN Centers.
11. CONSER defines “designation” as “a numeral, letter and/or date used to identify the issue of a serial.” There are numeric designations and chronological designations. A numeric designation is a numeral or combination of numbers, dates, letters or words that identifies an issue of a serial within a numeric sequence. A chronological designation is a date or combination of dates, numbers or words that identifies an issue of a serial within a chronological sequence. Serials may have either a numeric designation or a chronological designation or both. The final part of the chronological designation is what goes in the dates fixed field.
12. This is a fairly short 040. I’ve seen them that go on for 4 or more lines.
13. There are other subfields in the 022 field, for invalid ISSN and incorrect ISSN.
14. The 037 is always the direct subscription address, not a vendor address.
15. NSDP is the OCLC code showing this record has been authenticated by the U.S. ISSN Center.
16. Many serials do have an author 1XX, of course. Usually these are corporate bodies in a 110. The next most common is conference names in 111. Personal name 100 fields are very rare in serial records.

The rules for when to include a 1XX field are different for serials than for other formats, so you will see many more serial records that do not include a 1XX field.

17. One way to tell that this is an older serial record is that there is a note and added entries for personal names. Usually you will NOT find these personal authors or editors anywhere in a serial record. Occasionally personal names will be included for famous people or someone who is so tied up

with the publication that it cannot continue without that person. These are rare for serials, though, since serials are expected to continue indefinitely and people are not.

**18.—**

- 19.** Words that change from issue to issue are not included in serial titles. This includes dates and other designations, names of officials (for instance with governor's messages), prices (such as in publications like "Europe on \$10 a day") plus other things that are likely to change with each issue.

As you can see from this example, those types of words are replaced with ellipses. In general, when searching for a serial record do not include any title words or keywords that may change from issue to issue.

- 20.** Examples with 321 fields will be shown later

- 21.** The 362, or numbering, field contains the designation information. The 362 field will only be found in records where the cataloger either had the first and/or last issue in hand, or the cataloger knew information about the first and/or last issue.

The method of showing this information varies but is always in the 362.

- 22.** Serials can be published in monographic series. In most cases, series statements will not include \$v with volume information because usually each issue of the serial is published as a different—non sequential—volume of the series.
- 23.** Again, personal name added entries will generally NOT be found in current serial records, even for authors and editors. So, in general do NOT include personal names in searches for serial records.
- 24.** On the other hand, corporate body name entries are common. Commercial publishers will usually not be given added entries but other types of publishers, issuing bodies and corporate authors will be found. Sometimes sponsoring bodies will be found.

**25.–**

**26.–**

**27.** Again, the series added entry will usually NOT include volume numbering. Do not try to search for a series volume number in a serial record.

**28.–**

**29.** The examples of dates fields that I show are just that—examples of how dates might appear and be used in a serial record. There are definitely other options for how and where dates and full issue designations appear. So always remember to check the entire record for date and designation information that may help you identify whether the record covers the appropriate time frame that you are looking for.

**30.–**

**31.** u's are used in the Dates fixed field to show unknown dates. In this example, it is known that the publication started sometime in the 1980s but the precise year is unknown.

And it's known to have ceased with 2003.

**32.** Information is often repeated in different fields. Here we find the 2003 ending date was not only in the fixed field but is also in the publication statement field and the 362 numbering field.

Sometimes the beginning or ending dates in the 260 or 264 will not match the 362 dates. This is because the 260 or 264 will have the publication date and the 362 will have the designation date, which may be different.

**33.** The Description based on note cites the earliest issue the cataloger had in hand.

The spring 1986 date from the description based on note and the 2003 ending designation date shown earlier give the range of issues that are

known to belong on this record. Or rather, the range that the cataloger THOUGHT belonged on this record.

There is no indication about whether the cataloger had issues between 1986 and 2003. So, it's quite possible there was a major change somewhere in the middle. That's why it's important ALWAYS to look at multiple fields within a serial record before deciding it's the one you need.

For instance, if you have issues from the 1990s that have a slightly different title, there may be an uncaught title change. Or, it may be a minor title change that has not yet been recorded in the record. We will be looking at minor changes in a few minutes, to see how they can be shown in records. The important thing for now is that the change must be shown in the record if it's a minor change, or a new record created for a major change.

It's also possible there is no major or minor change between 1986 and 2003. You can only know what's what by looking at your piece and comparing it to the entire record.

- 34.** Here is another example of dates in serial records. According to the fixed field, the exact dates are unknown but it started and ended in the 1910s.
- 35.** The qualified title is what used to be called a uniform title and under RDA is the title portion of the preferred authorized access point. Qualified titles could be in 130 fields. There will be a little explanation of qualified titles near the end of this presentation.

Serial qualified titles do not always include dates. If there is a date in a qualified title, it will be the publication date of the earliest issue the cataloger had in hand. In the case of this record, this is NOT necessarily the publication date of the first issue of this title—it's just the earliest one the cataloger had.

**36.—**

- 37.** You'll notice in this case both the description based on and latest issue consulted are the same issue. This is one of those cataloging rules that

changed over time, so you will see a lot of older records where the cataloger had only a single piece in hand and only input a description based on note with no latest issue consulted note. You just take what you see in the record and try to extrapolate date ranges.

- 38.** Here we have a 780 with the previous title and a 785 with the next title. Both are qualified titles and the qualifier in both cases is the publication date of the earliest issue that the cataloger had in hand at the time of cataloging. The qualifier is needed here because the title has gone back and forth: the previous and later titles are the same and must be distinguished with a qualifier.

Putting all of the date information from the last few slides together, you can see that only issues for 1916, 1917 and 1918 may belong on this bibliographic record. If you have issues in hand that have the title and body found in this record but that are NOT 1916, 1917 or 1918, you must look for a different bibliographic record.

#### **Any questions about what we've covered so far?**

- 39.** Most of the rest of this presentation will be concentrating on the one true, consistent thing about serials: they change! Anything and everything about a serial is liable to change. That includes all the things on this slide and anything else you can think of.
- 40.** Changes can be either major or minor. Major changes require the creation of a new bibliographic record. Minor changes do NOT require the creation of a new bibliographic record but must be added to the existing record. These minor changes can appear in a variety of fields and the methods of including this information in records have changes over time. You don't need to know the details, only that if you see something different about the piece you have in hand than what you see in the bibliographic record, it probably needs to go to a cataloger to be dealt with.

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**42.**—

**43.**—

44. There are a number of indications in a record that there is or has been a major change (go through them) There may be other indicators as well.
45. Now we will look at a series of major title changes. There will be 3 records in the string of changes, linked together with 78X fields.

Here is the fixed field for the first record in a title string. Date status is d for dead.

46. The first date is 19uu because not even the decade is known. The second date is uuuu because it's not known if it ceased in the 1990s or the 2000s

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52. This is the next title in the publication string. It, too, has ceased.

53. Here it is known the title started in the 2000s but the exact year is not known.

54. The ending year is known

55.—

56. There is no date in the publication statement even though the ending designation is known and shown in the fixed field. That's because the cataloging rules say to not include the date in the publication statement unless you have the piece in hand at the time of cataloging. So, in this case the date is known from another source but the piece was not in hand.

57. Here is one way of showing the known designation of the last issue

**58.** There is only a description based on note, no latest issue consulted note. That means the cataloger had only 2001 in hand for cataloging. The ending date given in the 362 and fixed field came from another source.

**59.**—

**60.**—

**61.** Now to the final title in the publication string. This one shows a c in the Date status field because it is a current, still published title

**62.** The designation of the first issue is known

**63.** 9999 is used to show an open date for a current publication

**64.**—

**65.** This time there is a date given in the publication information field

**66.**—

**67.**—

**68.**—

**69.** There is only a 780 field for the previous title. There is no 785 later title because this is the current title in the run.

### **Questions?**

**70.** Now we will move on to talk about minor changes and look at examples of various types of changes.

**71.** We will start with the most confusing type of minor change: minor title changes and how they relate to variant titles.

It can be confusing to differentiate in records between variant titles that are found on a piece and minor changes that occur over time. That's because they are found in the same MARC field: the 246. A combination of



indicator values, 246 \$i notes, 246 \$f dates and 5XX notes are all used to distinguish whether something is a variant title or a minor title change.

(State final 2 bullets)

**72.** We will look first at minor title changes, before moving on to variant titles.

As the name implies, a minor title change is one that does NOT require a new bibliographic record.

The major/minor change rules have changed radically over time. Methods of treating minor changes have also changed radically over time. I'll show a couple examples of different methods of showing changes.

**73.** Here a 246 \$i note gives the range of issues known to have the title that's in the 246 \$a, which according to current rules is a minor title change.

**74.** Here's a second example with a different method of showing a minor title change: 246 30 with no \$i, no \$f, no explanation at all in the 246 field

**75.** And a 500 note giving the explanation.

There are other methods of showing minor title changes. They will always be found in either a 246 or a combination of 246 and 5XX notes.

**76.** Next we will talk a bit about 246 title variants...

**77.** And now some examples. Here is a 246 with a \$i note that says certain issues has ALSO the title TLR. That means the title The Linguistic Review still appears on the piece, TLR is simply an additional title.

**78.** Here's another example that shows two variant titles that are found on the piece. In this case you can tell they are variants and not minor title changes because of the numbers in the 246 second indicator. The handout includes a field guide that explains 246 indicators and how to use them as an indication of variant title versus minor title change.

79. And here's another example of a 246 \$i for a variant title, in this case a cover title that appears in addition to the title proper that is in the 245.

80. Now for some examples that show both variant titles and minor title changes in the same record.

All of the variants on this slide are input because of the cataloging rules.

81. Plus there is a minor title change starting with 2003

82. In this example, the minor title change is in the first 246 field, with the explanatory note in \$i

83. And there is another 246 showing that some issues have a variant title

**Any questions about minor title changes and variant titles found in 246s?**

84. Moving on to corporate body changes:

The only corporate body changes that are major are the ones that affect a 1XX field, either a 110, 111, or 130.

As long as there is no 110, 111 or 130, then the corporate body change is minor.

85. In this first example, there is a 550 note showing a change in issuing body over time.

86. Each of the body names is given an added entry in a 710 field.

87. Here is a similar example, except the body that changed name is the compiler. Note the angle brackets in part of the example, showing that the exact dates with this body are not known. This is the earliest issue the cataloger had in hand that showed this body.

88. And again, there are 710 added entries for each body.

**89.**–

**90.**–

**91.**–

**92.**–

**93.** Different example

**94.** Note that in this case, not only the publisher but also the country of publication has changed

**95.** The fixed field was updated to match the latest place of publication.

In this case, these are commercial publishers so there are no 710s added to the record.

**96.**–

**97.**–

**98.** Notice that 10 issues per year is not exactly the same as what is coded in the fixed field, which is coded as monthly. The cataloger used the closest code that was available for the fixed field.

**99.** If done correctly, the earliest frequency will be in the first 321. Subsequent frequencies will follow, in chronological order.

**100.** A series is a type of serial. Series' contain monographs or serials or both. When a serial is issued as part of a series, the series can change over time. All changes to the series statement and series added access point are minor. This includes a serial that was not originally part of a series suddenly being issued as part of a series. It also includes when a serial that has been issued as part of a series keeps coming out but is no longer issued as part of a series.

**101.** This is the original series statement. Note the designation date of the serial is included at the beginning of the series statement. This designation is for the serial itself and NOT for the series.

Even though only one issue of the serial was published in that series before the series change titles, there is still no \$v in the series field.

- 102.** And the later series statement, with the relevant serial designations of first and last serial issues that are in this series.

If there were subsequent series, they would be given in chronological order.

- 103.** The 830s are given in chronological, not alphabetical, order. Again, there are no \$v's in these fields.

- 104.** –

- 105.** One example of a numbering change

- 106.** –

- 107.** Another example, with the old method of showing a numbering change

### **Questions?**

- 108.** Now we will talk a bit about some additional complexities that arise with serials

- 109.** Qualified titles, previously known as uniform titles and now part of the preferred authorized access point.

Qualified titles have long been used in serial records for a variety of reasons. The most frequently found are qualified titles that are used to distinguish between publications that have the same title. These can be either related titles, such as when a title changes and then changes back to what it was earlier, or they can be unrelated publications that happen to have the same title.

Qualified titles are also used for multiple editions that have the same title and must be distinguished. There are other cases as well but these are the ones we will look at here.

- 110.** Here is a partial search result screen for a Connexion client search looking for Title Whole Phrase equals Reporter, limited to only serials, and limited to a particular date range because Connexion puts results in ranges when there are too many to show all at once.

Notice there are various types of information in the qualifiers. This first screen shows a title qualified by corporate body name. If that name changes, it will require a new bibliographic record.

- 111.** Here we have a title qualified by place of publication. The oddity with place of publication as qualifier is that when the place changes it does NOT require a new record. In the past catalogers were strongly encouraged to use place of publication as qualifier for this very reason, so fewer records needed to be created. It can make record identification difficult, however, as it means you must look at the bibliographic record to see if there is a different current place of publication. But as you see, most of the titles in this list are qualified by place of publication.

- 112.** Here we have a qualifier that uses both place of publication and date. Presumably this is because there is another publication with the same title and place of publication but a different date. That would appear in a different search result screen that I did not copy here.

- 113.** As a last look at qualifiers, here is a search result screen for a title that is issued in multiple frequency editions that are cataloged separately. In this case, you must match both the title and the frequency, in addition to the body name, dates, etc., before knowing if you have the correct record.

In this case, there are 3 different formats of each of these editions in Connexion. Each format is on its own record, with the result that there are 9 bib records.

**114.** The next little complexity I'll touch on is changes to serials cataloging rules over time. There won't be any examples for this because there are just so many possibilities out there. It is worth mentioning, though, because our catalogs contain serial records created over a number of years and using various standards that evolved over time.

(Go over the slide)

### **Questions?**

**115.** Here are some search tips. Some of these were listed on earlier slides and some were not.

**116.** And more search tips...

**117.** Now, let's look at another typical serial record that shows some of the things we've talked about

**118.** –

**119.** –

**120.** –

**121.** –

**122.** –

**123.** –

**124.** –

**125.** –

**126.** These 321s are not in the correct order. They should be in chronological order from earliest to latest. You will, of course, find these types of errors in records so just need to look at the dates subfields to see what time period is covered by the field.

**127.** –

**128.** –

**129.** –

**130.** Finally, let's walk through a couple scenarios live, using Connexion browser

**131.** And another scenario

Finally, the Northwest Central version of this presentation will be available soon. It will include the slides, my notes, and a handout with search tips, a MARC field guide for serials, and—for those who want the extra information—a copy of the RDA major/minor title change rules. Remember that the RDA major/minor title change rules are only the latest in a long history of revisions to what requires a new bibliographic record and you will be seeing and using records created according to previous rules.

**132.** Questions?