

SERIAL TITLE CHANGES

Serials Cataloging Unit Procedures

The following procedures apply to serial/series titles cataloged as a set. Procedures for “call # varies” records (“sep” treatment) are not addressed in this document and are still under discussion.

Although certain check-in procedures are mentioned in this document to help provide a workflow overview or identify areas where library-wide procedures may be needed, details of those procedures will be found elsewhere.

I. REFERRING TITLE CHANGES AND MAIN ENTRY NAME HEADING CHANGES TO SERIALS CATALOGING

The receiving unit (Serials Check-in Unit of the Acquisitions Dept., or the branch for received direct material) identifies and refers title changes and main entry name heading changes to the Serials Cataloging Unit as follows:

- If likely to be treated as a “major” change requiring successive entry cataloging:
Create an in-process record for new title in Millennium and annotate old check-in card.

- If likely to be treated as a “minor” change requiring only 246 added entry:
Do not create in-process record; only annotate the existing check-in card.
In exceptional cases, if lack of interim access for a potentially ‘minor’ title change would be particularly problematic for the unit, make in-process record.

The goal is to provide access for major changes while title is still “in process”, while minimizing the likelihood that extraneous records will need to be deleted for minor changes. Since the degree of bibliographic expertise or OCLC searching performed varies among units, staff should make a reasonable effort to apply the above guidelines, but are not expected to be cataloging experts or to agonize over which approach to take.

Information on what constitutes a major vs. minor title change may be found in sections 21.2C1 and 21.2C2 of AACR2: Anglo-American Cataloging Rules, 2nd edition, revised.

-----Background information-----

The BPM procedure currently says to create in-process records and does not address differences in major/minor treatment. The following factors were considered in making the above recommendations (which are also the procedures currently being used in the Check-in Unit of Acquisitions Dept., which generates the majority of these referrals):

- *Unlike Innopac, where check-in staff could add a protected cross-reference for interim access while title was “in process”, in an integrated Millennium environment an in-process record would be necessary for access.*
- *Deletion of extraneous records in Millennium is a more cumbersome process with less immediate results than in GLADIS/Innopac. Since most library staff, do not have authorization to delete bib or holdings records, these actions are dependent upon batch processes or centralized in a few individuals.*
- *Since the number of situations considered “minor” changes according to national standards has increased over the years, our procedures should reflect this reality.*

II. SERIALS CATALOGING

Serials cataloger determines if the change should be treated as a “major” change (successive entry cataloging) or “minor” change (added entry on existing record), according to national cataloging standards as defined in CONSER Cataloging Manual (Module 16) and the evaluation of OCLC cataloging copy.

If title falls into one of our temporary exception categories awaiting Millennium procedures, do not catalog at this time.

A. Successive Entry Cataloging

1. New Title

The basic procedure parallels our guidelines for other new cataloging.

- **Catalog in OCLC, exporting record to create or overlay Millennium bibliographic record**
Record should have link note (780 field) to the old title and beginning date information to the degree that it can be determined.

- **Update or create holdings record**
If holdings record was already created by check-in staff, update in Millennium.
If no holdings record exists, create via OCLC or in Millennium.
If significant check-in card information will need to be moved from the old to the new title, consider using the “copy record” function in Millennium (see procedure on page 5 of this document).
 - The following fields should always be input or edited as necessary:
 - Location
 - Call no.
 - Use same call number as old title if numbering is continuous; otherwise slide cutter or assign new call number as appropriate.
 - Lib Has
 - UPI
 - Bdes will generally be the same as old title unless numbering change or other problem warrants a different marking pattern.
 - Add PD shelving note if appropriate:
 - If MAIN with unbound issues in Current Periodicals:
add appropriate note; see CPER procedures for details
 - If MAIN with unbound issues or latest vol. in DREF/GREF/SSEA/AH-C:
hold these until further guidelines received
 - If branch: do NOT add shelving notes; branch will add if appropriate

- **Create item record if appropriate** according to standard serials cataloging guidelines (e.g., comes bound; MAIN bind-on-receipt)

2. Old Title

- **Update bibliographic record**
 - Add link note (785); change DtSt to “d”; close date fields as appropriate; other updating as necessary per standard maintenance guidelines.
 - For non-CONSER records requiring updates, replace OCLC master record (unless workload to do so would be prohibitive). For authenticated CONSER records, we are not authorized to replace OCLC master record.
 - In most cases, overlay the Millennium record with the OCLC record (being sure to preserve any local fields). In some situations, updating directly in Millennium would be appropriate.

- **Update holdings record**
 - Close Lib Has field. Add // if last issue held is also the last issue published.
 - Leave PD shelving notes if already present (apply cataloger’s judgment, such as when moving item records to a different bibliographic record)
 - Other updating as necessary

- **Item Records**
 - If have pieces in hand, create item records if appropriate, according to standard serials cataloging guidelines (e.g., bound volumes, MAIN bind-on-receipt).
 - If any item records need to be moved to the new title, move to appropriate record using ‘transfer attached’ function.
 - If item record needs to be linked to multiple bibliographic records because issues of old and new titles have been bound together:
 - If it is a simple successive entry where titles have same call number: see local Serials Cataloging procedure: Procedure for item record in two bib records (email 1/13/2010)
 - If it is a more complex situation involving multiple call numbers: hold these until further guidelines received

B. Minor Title Change (246 added entry)

Serials cataloger does the following:

- **Update Bibliographic Record**
 - Add 246. Do other updating as necessary per standard maintenance guidelines.

 - For non-CONSER records requiring updates, replace OCLC master record (unless workload to do so would be prohibitive). For authenticated CONSER records, we are not authorized to replace OCLC master record. Either do OCLC overlay or key directly in Millennium as appropriate.

- **Update Lib Has of holdings record if appropriate** (MAIN bound vols. or bind-on-receipt)
- **Add item record if appropriate** (bound vols. or MAIN bind-on receipt)

If an in-process record was created by the receiving unit:

- code holdings record for suppression [do not code for deletion, since card will still be attached until post-cataloging check-in work is done]
 - Mark for Deletion field: n [suppress]
 - check note: <yyyymmdd> NO SEC <initials>
- move holdings record to the full-level bibliographic record
- code bibliographic record for deletion:
 - bib code 3: d [delete]
 - 999 note: <yyyymmdd> DELETE: EXTRANEIOUS RECORD <initials>

III. DISTRIBUTION AND POST-CATALOGING PROCESSING

Serials cataloger distributes material according to standard procedures.

All titles with active serial orders should be routed to the Check-in Unit, Acquisitions Dept. (regardless of whether title is received in Check-in Unit or directly in branch). Check-in Unit does the following:

A. Successive Entry Cataloging

Check-in Unit performs the following actions for active titles and then distributes material. Specific actions may vary depending on whether title is received centrally or received direct; whether it is shelved in main or branch; and other situations particular to that title.

- move order record from old to new title
- update holdings record to reflect additional fields necessary to support check-in, claiming, binding
- update check-in card as appropriate
- change item record status from p to b, if MAIN bind-on-receipt
- other actions to holdings or order record as necessary

B. Minor Title Change (246 added entry)

Check-in Unit updates holdings record and check-in card of the full-level record as necessary.

If an in-process record was created for the new title:

- Delete the in-process holdings record and check-in card
- Leave the bibliographic record as coded for deletion by the serials cataloger

How to Copy Holdings A Record Including the Check-in Card

In some cases (e.g., title change occurred years ago and everything on the existing check-in card applies to the new title), consider using the “copy record” function to copy the holdings record including card, since the check-in card cannot be moved independently of the holdings record. You must be in the cataloging module in order for the copy record function to copy the card. This function will copy all of the information on the check-in card and the following fields of the holdings record: Call No. (c), UPI (g), Holdings (h), Identity (i), PD Shelving Note (u), PD Other Note (x), Captions (y), and all the fixed field values.

1. Copy record

Go to the holdings record of the old title:

Edit > Copy record > Select a template > Save [will get new c#]

2. Transfer new holdings record to the bib record of the new title

From summary screen of the old title:

Edit > Transfer record > Search new title > Use BIB

3. If check-in card on old title is no longer needed, delete card

Right click on the card > Card Menu > Delete card