RDA AND SERIALS CATALOGING

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ED JONES

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ED JONES has been cataloging serials, on and off, since 1976, and over the years has authored several scholarly papers and made numerous presentations on serials cataloging, the FRBR and FRAD conceptual models, and RDA. He has been a member of the CONSER Operations Committee, on and off, since 1981, and recently served as an RDA advisor. In 1995, he received his doctorate in library and information science from the University of Illinois at Urbana–Champaign. He is currently associate director for assessment and technical services at National University in San Diego.

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INTRODUCTION

HIS MANUAL PROVIDES AN INTRODUCTION TO Resource Description and Access (RDA) as it applies to the cataloging of serials and ongoing integrating resources. It is designed to be used by serials catalogers who are new to RDA and by monograph catalogers who are new to both serials cataloging and RDA. It assumes a working knowledge of the *Anglo-American Cataloguing Rules* (AACR2) and of the MARC 21 formats, but not necessarily as they apply to the cataloging of serials and ongoing integrating resources.

In addition to providing an introduction to RDA, this manual provides a context for the work of serials cataloging. Those new to serials cataloging will be introduced to both the infinite variety of the objects of serials cataloging—*serials*—and the sometimes arcane mysteries of the craft itself. This context is given in chapter 1, which delineates the salient characteristics of serials, and also describes the variety of cataloging practices that have held sway at one time or another during the last hundred years or so, along with the arguments offered in support of these practices and those raised in opposition. These arguments tend to get replayed from time to time—occasionally when the original context is long forgotten—and it is useful to understand that a solution designed for one environment may not be suitable once that environment no longer exists, or has changed beyond recognition. It is also useful to understand that nearly every solution imaginable has been deemed appropriate at one time or another, but none has proved permanent, nor is any likely to.

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Chapter 2 also elaborates the context of RDA in terms of the Functional Requirements for Bibliographic Records (FRBR) conceptual model and the changes that have occurred from AACR2 cataloging.

Chapter 3 provides some rudimentary hints on searching for serial records in large bibliographic databases, recognizing problematic situations, and avoiding pitfalls.

In terms of RDA itself, this manual assumes the reader has a basic familiarity with FRBR, the conceptual model that underlies RDA, and with CONSER (Cooperative ONline SERials), the cooperative cataloging program that, since 1975, has heavily influenced the cataloging of serials and ongoing integrating resources in North America. A familiarity with FRBR will help immensely in understanding the discussion of RDA, while a familiarity with CONSER will help understand some elaborations of practice at certain points in the manual. However, both FRBR and CONSER will be discussed only as necessary to provide context for a particular point.

RDA IMPLEMENTATION SCENARIOS

RDA is designed to work competently in three environments or "implementation scenarios." These are numbered 3 to 1 in order of increasing sophistication:

Scenario 3: "Flat file" database structure (no links between bibliographic and authority records)
Scenario 2: Linked bibliographic and authority records
Scenario 1: Relational/object-oriented database structure

MARC record exchange in North America currently takes place in the flat file environment described by scenario 3, and consequently this manual is written for implementation scenario 3. Although the MARC 21 formats are capable of supporting linked bibliographic and authority records as described in implementation scenario 2, the mechanism for doing so—subfield $0—is not yet in widespread use.

When it occurs, the transition to a scenario 2 environment will occur first as a *potential* transition, made possible by the machine generation and population of subfield $0 in MARC 21 records.

Subfield $0 is already employed in MARC 21 records used by the German-language cataloging community for records created following their cataloging rules, the Regeln für die alphabetische Katalogisierung für wissenschaftlichen Bibliotheken (RAK-WB).

Example of Linked RAK-WB Record (Scenario 2) from Deutsche Nationalbibliothek

[100] 1# $a Dickens, Charles $d 1812-1870 *$0 (DE-101)118525239* ← LINK TO RELATED AUTHORITY RECORD FOR DICKENS
[245] 10 $a Great expectations $c Charles Dickens. [Vol. ed.: Rod Mengham]

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Note that while record *exchange* still takes place in a scenario 3 environment, record *storage* in individual libraries and bibliographic utilities may occur in a hybrid scenario 2/3 environment, where pattern matching has been used to generate links between bibliographic records and authority records within the local system, or such linking has been facilitated by the cataloger. OCLC Connexion's "control heading" function is an example of this.

Scenario 1—the optimal environment for RDA data—still lies some distance down the road. An introduction to linked data and the Semantic Web—prerequisites of a scenario 1 environment—is provided as the epilogue to this manual.

THE MEAT OF THE MANUAL: CHAPTER 4

(Cataloging serials and ongoing integrating resources using RDA)

Cataloging manuals are typically organized either according to the sequence of rules presented in the cataloging code or the sequence of fields presented in the MARC 21 bibliographic format. An example of the former is Maxwell's *Handbook for AACR2;* an example of the latter is the *CONSER Editing Guide*. The *CONSER Cataloging Manual* is in a class by itself, generally following the sequence of AACR2 but with special chapters devoted to features specific to serials and to special classes of serials.

Given that RDA is designed as an online tool rather than as a publication to be read sequentially, and given that the *structure* of catalog records—what RDA calls record syntaxes—are not integrated into the text of RDA, the designer of a manual for RDA is presented with challenges in terms of organization, but is also presented with a certain freedom. The challenge is to recast this online tool in a form that be consumed as sequential text; the freedom is that one can do so in whatever way seems most useful, since the source material is independent of a sequential context.

That said, this manual adopts a conservative approach (at least for this first edition). It assumes that current catalogers, having cut their teeth on AACR2, are most comfortable with the structure of that code. Because the content of RDA is for the most part continuous with that of AACR2, and because the International Standard Bibliographic Description (ISBD), which underlies part 1 of AACR2, is recognized as the standard for descriptive data in the Statement of International Cataloguing Principles (ICP) that informs RDA, it seems reasonable in the current manual to try to hew fairly closely to the structure of AACR2 and ISBD, at least in its general outlines. At the same time, where the FRBR conceptual model provides a more useful point of departure, this structure is superimposed.

Because of its central role and necessarily elaborate structure, chapter 4, "Cataloging Serials and Ongoing Integrating Resources Using RDA," requires a more detailed exposition for the reader. Given that RDA is initially being implemented in a scenario 3 environment, RDA elements relating to the four FRBR Group 1 entities (work, expression, manifestation, item) are presented here in the rough sequence that catalogers encounter them via bibliographic records rather than segregated according to the relevant FRBR entity.

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Chapter 4 takes as its point of departure the cataloging of print serials, including reproductions of print serials in other media. Exceptional practices for cataloging online serials and ongoing integrating resources are given at the end of the chapter (sections 6 and 7 respectively). These are addressed only to the extent that their cataloging varies from the cataloging of print serials.

Chapter 4 generally adheres to the following structure:

1. General instructions relating to RDA and MARC 21
2. Attributes of resources (manifestations and items and the works and expressions they embody):

    - Generally organized by ISBD area
    - ISBD-prescribed punctuation is integrated into the examples
    - MARC 21 coding is integrated into the examples
    - Notes that relate to a particular element are given with the instructions for that element, not with instructions relating to the Notes area
    - Where RDA provides more instructions covering a class of element (e.g., titles) these are addressed at the point where that element is first encountered
    - Where RDA indicates access may be appropriate for a particular element to support a particular user task, this is noted

3. Relationships between resources
4. Identifying works and expressions (authorized access point for the resource)
5. Identifying related entities (authorized access points for persons, corporate bodies, and other resources related to the resource being described)
6. Special instructions relating to online serials
7. Special instructions relating to ongoing integrating resources

The epilogue provides a short excursion into the future of RDA scenario 1. It is necessarily speculative, but it provides an introduction to the world of linked data and a very different way of viewing the products of cataloging.

REPRESENTATION OF MARC 21 CONTENT DESIGNATION IN EXAMPLES

Because the display conventions for MARC 21 content designation vary, depending on the system doing the displaying, this manual adopts a system-neutral approach, hewing as closely as possible to the actual structure of MARC records. Three-digit field tags are presented in square brackets, and all subfield codes (including subfield $a) are identified by a preceding dollar sign ($). Blank values in field indicator posi-

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tions and fixed-length field positions (in fields 006–008) are represented by hash marks (#). Elements in these positions are not explicitly identified, though they are outlined in examples whenever mentioned in related text.

A NOTE ON SOURCES

AACR2 used the phrase "sources of information," further differentiated into a "chief source of information" (the source from which the title proper was taken), and "prescribed sources of information" (a hierarchy of prescribed sources from which to record elements in a given area of the bibliographic description). If a given element was taken from a source other than a prescribed source, it was recorded within square brackets in the bibliographic description. In common parlance, catalogers spoke of the chief source and prescribed sources when discussing these matters.

RDA uses the term "preferred source of information" instead of "prescribed sources of information," and elements taken from a source other than a preferred source may be identified by a variety of means (note, special coding, or brackets). The chief source is no longer distinguished from other preferred sources. Instead, instructions refer, when necessary, to "the same source as the title proper."

In this manual, we will simply refer to the *source* (meaning the source from which the information is taken) unless it is necessary to differentiate one source from another.

ACKNOWLEDGMENTS

This manual is best seen as a work in progress. Its long-term success or failure will depend heavily on the extent and quality of reader feedback. Readers are encouraged to contact the author with any and all questions, corrections, and suggestions for improvement.

On this point, I have already benefited greatly from the advice and suggestions of colleagues, among them Everett Allgood, Carroll Davis, and Robert Maxwell, all of whom generously agreed to review drafts of the text at various stages in its evolution, a time-consuming process that tests one's professional mettle, and Diane Hillmann, who helped me negotiate the potential minefield (for me) of linked data. The final product has benefited greatly from their suggestions. I would also like to acknowledge those who provided answers to questions as I puzzled my way along, especially Judith Kuhagen at the Library of Congress, who helped ensure that the text would not deviate from the intent of RDA.

Finally, I would like to acknowledge one of the greatest and most successful creations of modern librarianship: the CONSER Program. I have had the honor of being involved with CONSER on and off over the decades and have seen it evolve from an intimate and somewhat tentative group of a dozen or so institutions to full and

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confident maturity as the premier international cooperative cataloging program. I have made extensive use of the documentation that CONSER has produced over the years, not least the *CONSER Editing Guide* and the *CONSER Cataloging Manual* (both massive and ongoing integrating resources). There are few questions in serials cataloging that these products, or the related SCCTP training materials, have not addressed in much more detail than I can here.[1] I would also like to acknowledge the four successive CONSER coordinators at the Library of Congress. Since Dorothy Glasby got CONSER up and running (1977–1981), CONSER has been served by a succession of coordinators—Linda Bartley (1981–1993), Jean Hirons (1993–2003), and Les Hawkins (2003–)—whose longevity testifies to the pleasure they took (and take) in the work. They have guided the program along a path of innovation that its originators could hardly have imagined. CONSER continues to serve as a model for all cooperative cataloging programs.

NOTE

1. *CONSER Editing Guide,* 1994 ed. (Washington, DC: Library of Congress, Acquisitions and Bibliographic Access Directorate, 1994–); *CONSER Cataloging Manual,* 2002 ed. (Washington, DC: Library of Congress, Serial Record Division, 2002–). Training materials from the Serials Cataloging Cooperative Training Program (SCCTP) can be found on the website of the CONSER program: www.loc.gov/aba/pcc/conser/scctp/scctp-materials.html.

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PART I

PREPARATION

CHAPTER 1

AN INTRODUCTION TO SERIALS AND SERIALS CATALOGING

WHAT IS A SERIAL?

his is in fact an interesting question, because serials are not born,[1] they are made. To be exact, they are the invention of serials catalogers (and who better?). The definition of a serial in the sense we will be using here—the *cataloging* sense—will be found not in the *Oxford English Dictionary* but in RDA:

> **Serial.** A resource issued in successive parts, usually bearing numbering, that has no predetermined conclusion (e.g., a periodical, a monographic series, a newspaper). Includes resources that exhibit characteristics of serials, such as successive issues, numbering, and frequency, but whose duration is limited (e.g., newsletters of events) and reproductions of serials. (RDA Glossary)

This definition is interesting in that it includes several examples, suggesting you might not get the idea from the definition by itself. In fact, the former definition, in the *Anglo-American Cataloguing Rules* (AACR2), gave even more examples (journals, magazines, electronic journals, continuing directories, annual reports, newspapers, and monographic series). The RDA definition of *monograph,* on the other hand, is given without examples (though, tellingly, examples are included with the definition of serial's sibling, *integrating resource*). So one could say that a serial is like a good work of art: you may not know what a serial is, but you know one when you see one.

Be that as it may, using the RDA definition, we can view *serials* as encompassing most of the physical universe—including all living things—and the truly committed

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serials cataloger may argue for such a broad definition, if only for reasons of professional territoriality. But in the day-to-day world of serials cataloging, the division is made along more pragmatic lines, *viz.,* to minimize the amount of time and effort expended by the library cataloging its resources, without unnecessarily compromising the user's access to those resources.

In the end, this is the whole point of the definition. It recognizes that certain objects, to which we give the label "serials," have properties that lend themselves to one or more time-saving library practices, specifically:

1. A single description representing all the individual parts (saving cataloging time, at least as long as the title remains comparatively stable)
2. The availability of an ongoing subscription or standing order (saving acquisitions staff time)
3. An efficient mechanism for recording and summarizing the individual parts held (enabling (a) the efficient claiming of any part that fails to turn up and (b) the efficient reporting of holdings to the user)

Over time, pragmatic considerations have expanded and contracted the range of materials that are subject to serials cataloging. When AACR2 was implemented in 1981, the definition of *serial* was much stricter than it is today. Numbering was absolutely required—dates of publication were no substitute. Objects that failed this test—even those published year after year with an unchanging title—were necessarily cataloged individually as monographs. As time has gone by, however, the need to control costs has encouraged a more pragmatic approach. The numbering requirement has long since been abandoned. Likewise, there has been a gradual progression toward ever more accommodating definitions of what constitutes a minor title change (in the sense of a title change that does not trigger the creation of a new catalog record).

So serials cataloging is by its nature a pragmatic activity. But what then causes certain catalogers to be drawn to this field, first tempted in from the periphery, then finally and irrevocably captured by its alluring siren song?

IT'S ALIVE!

The major attraction of serials cataloging is that serials are alive. Not only are they alive, but they share our life events, and then some. They are born; they marry; they divorce (sometimes messily); they remarry; they may have—how to put this?—"informal" relationships; they have offspring; and they die, sometimes quickly, sometimes in a slow, painful, lingering, degenerative fashion. Some are even born again, with theological implications that have yet to be adequately explored. One consequence of all this is that a serials catalog record is never finished, not even when you're absolutely sure it's dead, not even when you've ritualistically driven a stake through its heart, pounding with all your might.

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There are many examples that can demonstrate the organic nature of serials. One of my favorites is *Saturday Review,* in its heyday an influential journal of serious thought and opinion, and an anchor for serious people, comparable to journals such as *The New Yorker, The Atlantic,* or *Vanity Fair* today. For much of its existence *Saturday Review* was under the close and remarkable editorship of a man named Norman Cousins.[2]

AND THEREIN LIES A TALE

Saturday Review first emerged in 1924 as *The Saturday Review of Literature,* having technically begun life four years earlier as the Saturday book review supplement to *The New York Evening Post. The Saturday Review of Literature* was the brainchild of a group including the supplement's founder and editor, Henry Seidel Canby, who also served as its first editor (1924–1936). In 1942 Norman Cousins, already involved with the *Post* and the *Review,* became editor, and the review changed from a strictly literary journal to one that delivered informed commentary on all aspects of contemporary life. (The title was shortened to *The Saturday Review* in 1952.) In 1958, Cousins became owner as well as editor, subsequently distributing 49 percent of the shares among the staff. Circulation had grown more than tenfold since he had taken the reins, and would reach more than 260,000 in 1960.

After that, things got interesting. In 1961, the stockholders sold their share in the company to McCall's Publishing Company, which in 1972 was itself sold to an investment group headed by the owners of *Psychology Today.* By this time *Saturday Review* had achieved a circulation of 650,000, its all-time high. But Cousins could not abide the new owners, who had decided the weekly magazine would be better off as four monthlies, each devoted to a particular aspect of contemporary life: the arts, education, science, and society. Cousins left to form his own biweekly magazine, which he named *World*—Cousins was a long-time world federalist—and had soon regathered his old stable of *Saturday Review* hands under the new roof. From his perch at *World,* which had 100,000 charter subscriptions, Cousins quietly watched as the four *Saturday Review* monthlies first floundered, then sank. The owners declared bankruptcy, and Cousins came in to pick up the pieces, purchasing rights to the now-defunct title and relaunching it as *Saturday Review/World,* which he subsequently shortened to *Saturday Review.* But after all the turmoil, even Cousins was unable to restore *Saturday Review* to its former prestige, though it would hobble along in fits and starts for another decade or so under various ownerships. In 1977, illness forced Cousins to retire from active involvement in *Saturday Review,* though he remained as chairman of the editorial board for three more years. The last issue of the journal appeared in late 1986, by which time *Saturday Review,* once—as its name implies—published weekly, was struggling to come out every other month.

So what, you may ask, does this tale of obscure origins, a slow but steady rise to fame and influence, dastardly betrayal, improbable resurrection, and finally decrepitude and decline have to do with serials cataloging? It is this: The history just related

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vividly describes the organic nature of a serial. To put it in terms of the relationships that form the superstructure of serials cataloging, we have reproduced the story below, in the form of brief bibliographic records and, using OCLC's xISSN History Visualization Tool, in the form of a somewhat simplified family tree (see figure 1.1):

New York evening post (New York, N.Y. : 1920) [published 1920-1934]
Its Saturday book review supplement spun off as: Saturday review of literature

Saturday review of literature [published 1924-1951]
Spun off from: New York evening post (New York, N.Y. : 1920)
Continued by: Saturday review (New York, N.Y. : 1952)

Saturday review (New York, N.Y. : 1952) [published 1952-1973]
Continues: Saturday review of literature
Split into: Saturday review of the arts; Saturday review of education; Saturday review of the sciences; and: Saturday review of the society

Saturday review of the arts [published 1973]
Continues in part: Saturday review (New York, N.Y. : 1952)
Merged with: Saturday review of education; Saturday review of the sciences; Saturday review of the society; and: World (New York, N.Y. : 1972); to become: Saturday review/world

Saturday review of education [published 1973]
Continues in part: Saturday review (New York, N.Y. : 1952)
Merged with: Saturday review of the arts; Saturday review of the sciences; Saturday review of the society; and: World (New York, N.Y. : 1972); to become: Saturday review/world

Saturday review of the sciences [published 1973]
Continues in part: Saturday review (New York, N.Y. : 1952)
Merged with: Saturday review of the arts; Saturday review of education; Saturday review of the society; and: World (New York, N.Y. : 1972); to become: Saturday review/world

Saturday review of the society [published 1973]
Continues in part: Saturday review (New York, N.Y. : 1952)
Merged with: Saturday review of the arts; Saturday review of education; Saturday review of the sciences; and: World (New York, N.Y. : 1972); to become: Saturday review/world

World (New York, N.Y. : 1972) [published 1972-1973]
Continues in spirit: Saturday review (New York, N.Y. : 1952)
Merged with: Saturday review of the arts; Saturday review of education; Saturday review of the sciences; and: Saturday review of the society; to become: Saturday review/world

Saturday review/world [published 1973-1974]
Formed by the merger of: Saturday review of the arts; Saturday review of education; Saturday review of the sciences; Saturday review of the society; and: World (New York, N.Y. : 1972)
Continued by: Saturday review (New York, N.Y. : 1975)

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Saturday review (New York, N.Y. : 1975) [published 1975-1986]
Continues: Saturday review/world

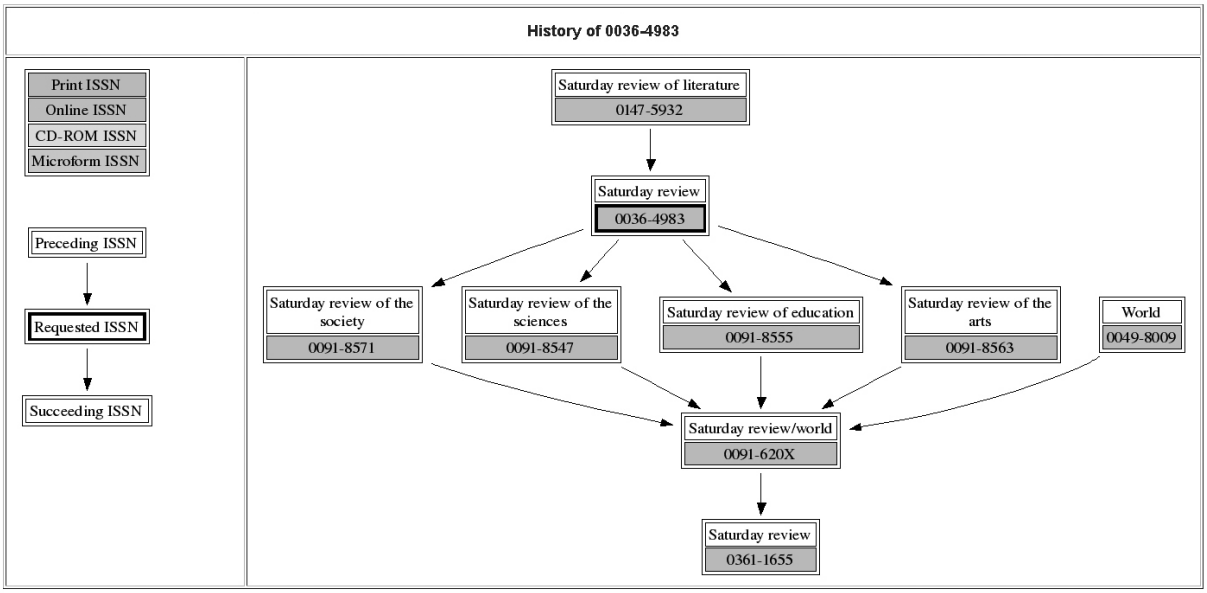

figure 1.1: Simplified family tree generated by OCLC's xISSN History Visualization Tool http://worldcat.org/xissn/titlehistory

SERIALS CHANGE TITLES

"I see you've gone and changed your name again . . ."
—Leonard Cohen, "So Long, Marianne"

On the outside, the most obvious thing that happened to *Saturday Review* was that its name changed. This happens to serials with alarming regularity—or, more accurately, irregularity. Publishers tend to do what they want, despite catalogers forever urging them to do what *we* want. This urge to be able to control our fate reached its zenith in a National Information Standards Organization (NISO) standard for the format and arrangement of periodicals (NISO/ANSI Z39.1). Quite reasonably—from our point of view—we wanted serials to appear with a predictable layout, one that would facilitate serials cataloging. Alas, publishers didn't pay attention. To put it bluntly, publishers want to sell the product. More specifically, they want to sell the current issue of the product. And they'll do whatever it takes to increase the chance of a sale. Such frenetic activity on the part of publishers seldom bodes well for serials catalogers.

Which brings us to title changes, publisher changes, etc.

The first question every cataloger must answer before cataloging a new item is "Is this or something like it already in our collection?" Or, in our world of cooperative cataloging, "Is this or something like it already in existence?" This latter question is

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much more difficult to answer. In terms of the FRBR conceptual model, the question breaks down into a hierarchy: Is this a new work, a new expression, a new manifestation, or a new item? The cataloger's task becomes more difficult the farther up the hierarchy one is driven to answer it.

For serials catalogers, the question is also complicated by what might be called the question of the *boundaries* of the serial—the things that define a serial's beginning and end, and distinguish it from other serials—which in RDA, as in AACR2 and its predecessors, are necessarily fuzzy. In such an environment the answer to the question is often not yes or no but maybe. Serials catalogers must cultivate a tolerance for ambiguity.

One reason for this is that serial titles tend to be rather common (though we're not making any judgment here). The creators of serials repeatedly come up with titles that have already been used many times before on other serials. In addition, serial titles can be subject to seemingly capricious changes, which RDA considers either "major" or "minor" depending on the nature of the change and the type of words involved.

If the cataloger is lucky, the serial to be cataloged will have a unique title, such as the *Canadian Journal of Jabberwocky Studies/Revue canadienne d'études jabberwockiennes.* In such a case the title will either be in the catalog or not, and if it is, a quick examination of its description will establish whether or not it's the same serial.

However, titles are often not distinctive. If the title in hand is the *Journal of Science,* for example, the cataloger may be tempted to slip it into another cataloger's workflow rather than confront the arduous task of distinguishing it from its numerous namesakes. Hopefully, it carries an International Standard Serial Number (ISSN). Hopefully, when the cataloger searches the ISSN in the catalog, a matching record is retrieved, and it becomes simply a case of verifying that no important bibliographic details need updating on that record. If no record is found, it is back to the arduous task. One can search for the serial using other attributes or entities associated with it, but if nothing turns up, then there is little left to do but go through the other candidates—the other *Journals of Science* in this case—and eliminate them from consideration one by one.

Or there may be one of these capricious title changes, which can occur at any time without warning, and often without acknowledgement. Since serial issues typically arrive in isolation, a title change may be suspected only because the library has no record of a subscription to the title in hand, and it is not listed among the many titles tossed in the recycling bin because they arrive uninvited. Fortunately, what drives the normal cataloger mad becomes a challenge to the serials cataloger, and there is an inexpressible satisfaction that comes from being the first to discover that Journal *Y* is actually Journal *X* in clever disguise. The more obscure the evidence that clinches this conclusion, the better.

Before we leave this section, however, it may be helpful to visit briefly with some of the more peculiar animals that inhabit the serials menagerie. For while the term *serial* itself is an invention of librarianship, defining publications that exhibit a certain set of characteristics, the concept encompasses many recognizable publication types that have an independent existence outside the world of librarianship.

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THE UNIVERSE OF SERIALS

As mentioned above, cataloging definitions of serials invariably include a bunch of "for examples," because the definition seems somehow incomplete without something concrete to hang it on. RDA retains three of these: newspapers, periodicals, and monographic series. These are treated below, as well as some examples from earlier definitions, since each in its way represents a unique type of publication, posing its own dangers for the unwary cataloger.

Newspapers

Newspapers emerged in the early days of printing when printers realized that, rather than printing a special broadsheet every time something interesting happened, they could make more money by printing one on a regular basis, regardless of whether or not something interesting had happened. The first such, published December 2, 1620, had the fetching title *New Tydings Out of Italie Are Not Yet Com*. (For the etymologically inclined, tidings is cognate with the German Zeitung [newspaper]).

The first real newspaper in English—like many firsts, it had a disputed title—is said to have been the *London Gazette*.[3] It began publication in 1665 in Oxford, whither the court had retired to escape the Plague, but returned to London in time to cover the Great Fire three years later. It is still being published today but is much less interesting, being mainly a vehicle for official government announcements.

Newspapers have a distinctive format in that the text begins on the first page, beginning just under the title. Older newspapers often filled this valuable real estate with classified advertising, reflecting an editorial judgment on what was most likely to entice the customer, especially on slow news days (which were most days). For catalogers, one consequence of the typical newspaper layout is that titles of newspapers are invariably caption titles—titles appearing at the top of the text—with other details of publication appearing either in the masthead (a special box on an inside page reserved for such stuff) or the colophon (the bottom of one of the last pages).

Periodicals 1: Magazines

Magazines are periodicals aimed at a popular audience (as opposed to a scholarly audience), sold mainly on newsstands, in supermarkets, drug stores, book stores, etc. Originally they had a physical appearance similar to newspapers but were published less frequently and contained longer articles. Famous examples from the nineteenth century include the *Illustrated London News* and *Harper's Weekly*.

Like newspapers, magazines were originally characterized by caption titles—still the norm for newsletters and similar publications aimed at a narrow and well-defined audience—but over the years, especially as illustrations became more sophisticated (and so more seductive for enticing customers), text was pushed off the first page by

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ever-larger illustrations until finally there was no text left. The title began to merge into the illustrated first page, often now published on sturdier paper, and the cover title was born.

Periodicals 2: Scholarly Journals

Scholarly journals had their origins in the circular letters used by scholars to keep one another abreast of developments in the scientific world (much as preprint servers do today). The first purely scientific journals were the *Philosophical Transactions of the Royal Society* (or, to give its full title, *Philosophical Transactions: Giving Some Accompt of the Present Undertakings, Studies, and Labours of the Ingenious in Many Considerable Parts of the World*) and the French *Journal des sçavans*, both initially published in 1665.

Scholarly journals are distinguishable from magazines in that they aspire to be books. Indeed, one of the banes of an acquisitions librarian's existence is discovering that the book just purchased for an astronomical sum is in fact already in the library's collection, because it was simultaneously published as volume 31, issues 1–2 of the *Journal of Devious Book Publishing*.

Scholarly journals also sometimes try to facilitate their physical transformation into books by banishing advertising to the front and back of each issue and by issuing a volume title page and index once each volume is complete. The covers and advertising are removed prior to binding, the volume title page is slapped on the front, the index is slapped on the back, the pages are already numbered continuously from issue to issue, and voila! A book.

Removing advertising has become easier over the years as the amount of advertising in scholarly journals has diminished, even as librarians have become less interested in removing said advertising in the first place (both for cost reasons and because the ever-looming future historians might curse them for removing artifacts of popular culture). So the scholarly journal as book survives chiefly as a means to get libraries to purchase the same content twice and in the now quaint custom of continuously paginating multiple issues within a single volume.

Monographic Series

Cataloging a group of monographs as a series is sometimes a tricky business, since it's often not clear whether they constitute a series or not. But to paraphrase comedian Tom Lehrer, "when correctly viewed, everything's a series," and historically serials catalogers have done their best to shoe-horn as many publications as possible into this category, especially research reports and such. It's a lot cheaper to check in RR1975-035 as one of 2,500 research reports represented in the series *RR (Freedonia*

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Ministry of War) than to catalog it as a monograph (along with each of its 2,499 fellows). Twinges of conscience occur only when someone impertinently asks whether anyone would ever actually be looking for one of these reports under such a contrived title. Fortunately, in an online world where individual research reports are often freely available under their individual titles—bypassing the library catalog altogether—catalogers are confronted with this unhappy choice less and less often.

Annual Reports

Annual reports are examples of serials that don't really have titles but we pretend that they do. This is because the intended audience of annual reports—shareholders, for example—receive them whether they want them or not. Others may request the annual report and, no matter what it's called, the organization will know just what to send the requester. From the point of view of the issuing body, the purpose of the cover is to visually impress the audience, and an actual title is superfluous. In fact, it's not uncommon for annual reports to lack a title altogether (in which case the name of the organization, however it appears on the report, becomes the default title—a sort of cataloger's revenge).

Similar publications (in terms of unstable or absent titles) include newsletters sent to contributors to charities, members of clubs, etc.

Statistical Serials

Statistical publications have been around as long as writing systems, for which one of the first purposes was to make a record of what the ruler owned and what the ruled owed. When this began to be recorded on a periodical basis, the first statistical serial was born.

Statistical serials are an example of a class of publication that moves in and out of the serial model. Because they consist of data, statistical serials have been particularly susceptible to disruption by online migration. A publication that appears in print as page after page of massive tables in stately progression, brought together in successive monthly issues (perhaps with an annual cumulation) is represented online instead by a workbook made up of multiple worksheets, the whole being replaced each month in its entirety. Or perhaps by a gradually accruing database containing all the data back to the beginning, the tables to be derived according to the whim of the user. Or perhaps by some combination of these, along with PDFs of issues in the still extant print publication. Online the once proud statistical serial may have been absorbed into a single overarching data website, no longer retaining its distinctive title, its unique data now part of a great data pool. The data may now be available for use by other applications entirely outside the originating organization—something

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especially likely with government data. In these cases, the serial experiences something of an existential crisis: What have I become? Do I still exist? Statistical serials are more likely than others to exist today in the murky middle ground between serials and ongoing integrating resources, exhibiting characteristics of both and of neither, leaving it to the serials cataloger to determine which predominates.

So welcome to the world of serials cataloging! And specifically, welcome to the world of serials cataloging using RDA. The remainder of this chapter will try to reassure you that however you're feeling, you are not the first to be faced with a new cataloging code,. This has happened before. The path is well trodden, and the questions we confront today are similar to the questions serials catalogers have confronted in the past, only—these being serials—different.

A BRIEF HISTORY OF SERIALS CATALOGING

Much like serials, serials cataloging has changed over the years, often in quite remarkable ways. Given this, it is useful to know where we've come from, if only to get a better idea of how we got where we are. In the following brief survey, we will discover that our current practice does not reflect eternal verities but rather the practical adaptations we have made over time to changes in our catalogs and changes in the materials we catalog: serials.

Until 1967 (1971 in the United States), a serial was defined by the continuity of its numbering. No matter how often the title changed, a serial was treated as a unit if the numbering was continuous from one title to the next. Likewise, if a serial was entered under the name of a corporate body, no matter how often the name of the body changed—so long as it was essentially the same body—a serial was treated as a unit if the numbering was continuous from name to name (or if issues were distinguished by dates rather than by numbers).

After 1967 (1971 in the United States), a new serial was deemed to exist whenever the title changed or the name of the body under which it was entered changed. Although this change in cataloging practice occurred more than forty years ago, in some ways we are still living with its consequences.

How did it happen? Why was one way of cataloging serials dominant from the beginning of cataloging to the late twentieth century and another way dominant since? Were they crazy? Are we crazy? If we look back, we can see that the answer to both questions is no, but we can also gain an understanding of how and why cataloging practice changes over time.

Although modern Anglo-American cataloging practice can be said to begin with the *91 Rules for the Compilation of the Catalogue* developed for the British Museum's Department of Printed Books (1841), those rules were but the first of a cacophony of competing cataloging codes to emerge over the course of the nineteenth century. Everyone who was anyone produced a cataloging code. To spare the reader, I will here ignore all nineteenth-century codes but one, the most influential in the United States: Cutter's *Rules,* first published in 1876.

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Cutter

1876 was the year of the founding of the American Library Association and the centennial of American independence, and in that year Charles Ammi Cutter published his *Rules for a Printed Dictionary Catalogue* (part II of his magisterial *Public Libraries in the United States of America: Their History, Condition, and Management*). Built on a diversity of earlier cataloging codes, Cutter's code would provide the foundation for all that followed.

Hard as it is to imagine, serials in those days came in just one format: print. No online versions, no microforms, no CD-ROMS, no downloadable audio, etc. Just print. There was little to complicate serials cataloging other than constraints imposed by the form of the catalog.

In 1876, the predominant form of library catalog was the *book catalog*. This was not a catalog of books but rather a catalog that was itself a book (often running to several volumes), and one that needed to be continually kept up to date. A book catalog was typically maintained in manuscript—at least the working copy—though printed catalogs of the more important libraries were common. This was both for convenience, because copies could be available at several points in the library, and as a source of revenue, because other libraries would pay good money to know what you owned. When entries were made or amended, there was a strong incentive to minimize the impact on the physical catalog. Real estate in book catalogs was expensive. If a serial mischievously changed its title, it was easiest in such a catalog to continue using the existing entry under the old title and indicate the change of title in a note, with a reference or added entry made under the new title at the appropriate place in the catalog. (This reference or added entry might be made directly on the page if there was space, or via a slip of paper "tipped in" if there was not.) Cutter set out this practice of *earliest-entry cataloging* for periodicals in his rule 54, along with an alternative practice of entering "each part" under its own (successive) title.[4]

Although rule 54 continued right through the last edition of Cutter's cataloging code in 1904, the introduction of printed cards from the Library of Congress and other sources—available on subscription—signaled the twilight of the book catalog in the United States, and its rapid displacement by the card catalog. This change in the form of the catalog removed the physical constraint that had favored earliest entry for serials.

Reflecting on the expected impact of ready-made card sets from the Library of Congress, the H. W. Wilson Company, and others, Cutter famously observed, "I cannot help thinking that the golden age of cataloging is over."[5] It was at least the end of a world where a single individual could have complete control over the shape of a cataloging code. The success of the LC printed cards also meant that libraries receiving them would have a strong interest in applying rules that were compatible with those used by LC catalogers. Subsequent codes, therefore, have necessarily been the product of collective activity, with the Library of Congress playing a major role in their shaping.

But while the change from book catalog to card catalog removed the principal rationale for earliest-entry cataloging, it did not remove the incentive to describe

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serials in the most economical way possible. If the real estate in a book catalog was limited, the real estate on a catalog card was even more so.

Cutter was a great advocate of shortening titles, a practice that made sense in those days before keyword searching, when titles were used more to identify than to find a serial. He provides a number of rules for shortening titles, including the wonderful rule 113: "Omit all other unnecessary words." It is clear from his examples that he would be merciless, but this is also spelled out in his general introduction to abridgment, where he makes an argument that resonates today: "Many a title a yard long does not convey as much meaning as two well chosen words."[6] In fact, Cutter's guiding principle, given the limited space available in a book catalog, was to pack as much information as possible into that space. Anyone who has perused his five-volume catalog of the Boston Athenæm Library will marvel at his skill in doing just this.[7]

Abridging titles was aided in particular by the concept of corporate authorship, which encouraged the entry of the publications of government agencies, societies, and institutions under the heading for the issuing body. Cutter's broad definition of corporate authorship seemed to be aimed in particular at serials: "Bodies of men (societies, cities, legislative bodies, countries) are to be considered the authors of their memoirs, transactions, journals, debates, reports, &c."[8] As a consequence of entering a serial under its issuing body, any occurrence of that body's name in the title proper became, by the terms of rule 113, "unnecessary words."

The 1908 Anglo-American Code (American Text) and Its Elaborations

The introduction of LC printed cards and the increasing acknowledgment of the value of applying a common set of cataloging rules led in 1901 to the formation of a committee to revise the condensed rules of the American Library Association and align them as much as possible with those of the Library of Congress (based principally on Cutter's rules) and with Melvil Dewey's *Library School Rules*. This committee, under the direction of J. C. M. Hanson, Chief of the Catalog Division at the Library of Congress, received in 1904 a proposal from the (British) Library Association for the development of a joint code. The result was the first Anglo-American cataloging code, reflecting agreement on most issues (but not so much agreement as to obviate the need for separate British and American texts).

With the spread of card catalogs in the United States, American cataloging practice had come to favor not earliest-entry cataloging but its inverse, that is, entry under the latest title or issuing body, the presumption being that most catalog users would be looking for the latest issue or edition of a given serial. This preserved what was seen as a strong advantage of earliest-entry cataloging: its ability to provide in one place of a complete (or nearly complete) bibliographic history of a serial. This was especially true for the cards now being produced by the country's foremost research library, the Library of Congress. The bibliographic history was especially appreciated by other libraries with less complete holdings. References or added entries were made under earlier titles and issuing bodies.

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Latest-entry cataloging was incorporated into the American text of the 1908 Anglo-American code: "If a periodical has changed its name, enter it under the latest form" (rule 121), and was continued in substance in its more elaborate American successors (1941, rule 214; 1949, rule 5C), as well as in a couple of specialized Library of Congress publications devoted to the cataloging of periodicals and the serial publications of societies and institutions.[9–13] (The British text of the 1908 code continued to favor earliest-entry cataloging.)

The change from earliest-entry cataloging was not without controversy. As late as 1919 the Library of Congress tried to address these concerns, offering the following rationale in response to an argument by T. Franklin Currier (Harvard College Library) for retaining earliest-entry cataloging:

> Societies and their publications are known to the public under their current names and titles. Earlier names are, even after a short interval, not distinctly remembered, or are entirely forgotten. It is therefore the current name under which the reader will usually look for the publications in the catalogue, and if he finds only a reference there to an earlier name or title he is annoyed, even though the inconvenience and loss of time be slight. To spare many readers on many occasions this annoyance and delay, a little time and labor spent once on the part of the cataloguer to transfer the entry to the new name or title when a change has occurred seems to us profitably spent.[14]

Of course, latest-entry cataloging applied not just to changes in title, but also to changes in the name of a body under which the serial was entered—a large number of serials, thanks to the definition of corporate authorship. When a corporate body changed its name, serials entered under the earlier name were re-cataloged under the latest name. Even serials issued entirely under the earlier name would be recataloged, since the earlier heading was retired from use. A reference in the catalog led the user from the earlier name to the latest.

Cutter's rules for abridging titles disappeared in the 1908 code, though abridged titles were permitted in a "written" card catalog (rule 136). Here the desire for a complete bibliographic history of a serial triumphed. Of course, given the predilection of serial titles to change, this could be an expensive rule to follow in practice. In an attempt to address the seemingly contradictory objectives of economy and bibliographic fidelity, the Library of Congress directed its catalogers to present a "short title" on the first card, with the full titles borne by the serial over time given as a note on a second card.[15]

By the time the American text of the 1908 code was revised in 1949, the "abridgement" pendulum had swung back in Cutter's direction. The so-called Green Book (*Rules for Descriptive Cataloging in the Library of Congress*) instructed that long titles be abridged if this could be done "without loss of essential information" (rule 3:5 A). An accompanying example showed how *The Works of William Shakespeare* could be reduced to *Works* (sensible, since the main entry would be Shakespeare, providing the necessary context). With serial publications, the Green Book went further:

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> A short title is generally used in cataloging serial publications if this makes it possible to disregard minor variations in the wording on various issues, especially if these occur in subtitles. . . . Adjectives denoting the frequency of the publication are also omitted (without mark of omission) from the titles of reports; e.g., *Report* instead of *Annual report* and *Biennial report, Financial statement* instead of *Monthly financial statement, etc.* (rule 7:4)

The net effect of abridgement was to eliminate a lot of noise from the catalog. If a title appeared first as the *Journal of the East Finchley Historical Society* and later as the *East Finchley Historical Society Journal,* rule 7:4 would reduce it in both instances simply to *Journal* (in which form it might well appear on some future issue). With the society as the main entry, there was no confusion:

> East Finchley Historical Society.
> Journal. v. 1- Jan. 1970- [East Finchley, Eng., H. Grytpype-Thynne]

The user of a card catalog in those days would have naturally looked under the name of the society for its journal and so would have found it. Giving the full name of the journal would have added no information and would have cluttered the limited real estate of the card.

Despite the evident shift toward principles of economy in this case, it was a solitary instance. American libraries were by this time dealing with a huge postwar surge in publishing—especially of serials—and research libraries, including the Library of Congress, were accumulating larger and larger processing backlogs. At the same time, the application of a cataloging code that had grown increasingly complex over time—the 89 pages of Cutter's 1876 code had by 1949 ballooned into the combined 433 pages of the Red Book (choice and form of entry) and Green Book (bibliographic description)—was creating a crisis in cataloging.[16]

To address this crisis and propose a path forward, the American Library Association (ALA) Board on Cataloging Policy called on the talents of Seymour Lubetzky.

Lubetzky, the Paris Principles, and AACR1

Lubetzky had earlier produced a thorough-going analysis of bibliographic description for the Library of Congress, and the ALA board now asked him to do the same for choice and form of entry. The result was *Cataloging Rules and Principles,* Lubetzky's classic 1953 analysis of the Red Book. Among the many recommendations he made, Lubetzky set out a succinct argument for the successive entry of serials, taking the point of view of a researcher approaching the catalog with a bibliographic citation:

> [I]n the case of a periodical or serial which appears over a long period of time and is subject to various changes of title, it is not to be expected that a writer

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> citing a given volume will inquire what the original title was, or what the relation of the given title is to any other title, and the purposes of the catalog will therefore better be served if each title is entered separately and provided with notes indicating its relation to any other titles.[17]

There was also a practical aspect to successive-entry cataloging, in that for any title change, only the cards for the immediately preceding title needed to be pulled and revised.

Lubetzky also pondered the concept of corporate authorship, one of the bedrock principles of Anglo-American cataloging, but easier to invoke in theory than to apply in practice, tending to a code based on cases rather than on underlying principles. Reviewing the history of corporate authorship up to that time, Lubetzky asked, "In the face of this long and weary experience, can we continue on the same course?"[18]

The answer was no. Revision of the catalog code began in 1956, with Lubetzky appointed editor of the revised code. Work progressed through the ensuing years, but Lubetzky left in 1960 to take up a teaching position with the UCLA library school. At the International Conference on Cataloguing Principles (ICCP) held the next year in Paris his work gained international recognition. There Lubetzky's arguments in the area of serials cataloging, as in much else, were well received, and they greatly influenced the *Statement of Principles* that form the conference's lasting monument.

Two principles deserve special mention[19]:

1. Principle 11.5 endorsed successive-entry cataloging in most cases: When a *serial publication* is issued successively under different titles, a *main entry* should be made under each title for the series of issues bearing that title, with indication of at least the immediately preceding and succeeding titles. For each such series of issues, an added entry may be made under one selected title. If, however, the variations in title are only slight, the most frequently used form may be adopted as a uniform heading for all issues.
2. Principle 9.1 restricted the application of corporate authorship to cases where "the work is by its nature necessarily the expression of the collective thought or activity of the corporate body" or "the wording of the title or title-page, taken in conjunction with the nature of the work, clearly implies that the corporate body is collectively responsible for the content of the work." A footnote used as an example of this latter condition "serials whose titles consist of a generic term (Bulletin, Transactions, etc.) preceded or followed by the name of a corporate body, and which include some account of the activities of the body."

The Paris Principles in turn reinforced Lubetzky's approach in the revision of the cataloging rules, now called the *Anglo-American Cataloging Rules,* which endorsed both principles. However, a footnote to rule 167G stated that the Library of Congress would continue to catalog serials under the latest entry. This was at the request of the

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ALA Catalog Code Revision Committee, "which cited the need for the bibliographic information provided by the LC cards when a serial is cataloged as one entry under its latest title or corporate author."[20]

Thus Lubetzky's argument for successive-entry cataloging, based on a hypothetical researcher, bibliographic citation in hand, came into conflict with the argument for latest-entry cataloging, based on a need to know and understand the bibliographic history of a given serial.

In the area of corporate authorship, the impact in the United States was even more muted. In 1967, when AACR1 came into force, the dominant catalog form in American libraries was still the card catalog, and it was expected that the changes in cataloging practice embodied in AACR1 would have crippling economic consequences in terms of maintaining the integrity of those catalogs, especially for research libraries. Wholesale recataloging under AACR1 headings was out of the question, as was a split catalog with only new materials following AACR1. For this reason, what Carolyn Frost termed "the infamous rules 98 and 99" (which continued the earlier practice of entering churches and many institutions under local place) were incorporated into the North American text of AACR1, with the result that "this long and wearying experience" would continue a while longer.[21] To further limit the effect of implementing AACR1 in the area of headings, the new rules were applied only to headings *entirely new* to the catalog. Headings already present in the catalog continued to be used, even though they did not conform to AACR1. Headings for entities that were new to the catalog, but whose headings included *components* that were already present—for example, a parent body—were added to the store. In this way, AACR1 practice was *superimposed* on the existing catalog. New editions of works already in the catalog, new works by authors already in the catalog, etc., were cataloged using the old (Red Book) headings rather than new AACR1 headings.

Gradually, the more egregious departures from the Paris Principles were eliminated. In 1971, latest-entry cataloging of serials was abandoned on practical rather than theoretical grounds: "to expedite the handling and cataloging of serials."[22] And rules 98 and 99 were deleted from the North American text of AACR1 in 1972.[23] But the policy of *superimposition* continued right up to the implementation of AACR2 in 1981.

Winds of Change: MARC, ISDS, ISBD(S), and the CONSER Project

The early 1970s introduced a sea-change for serials cataloging, a consequence of mechanization, international developments, and the interaction of the two.

With the growth in the use of computers to assist library operations, especially to assist in the compilation of abstracting and indexing services, the search was on for a standard identifier for serials to facilitate accurate citations. One such was the standard serial number (SSN), developed in 1970 and defined by the American National Standards Institute (ANSI) as a US national standard a year later (ANSI Z39.9-1971).

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Much as the International Standard Book Number (ISBN) grew out of the Standard Book Number (SBN) developed in the UK in the late 1960s, so the ISSN (ISO 3297) grew out of the SSN.[24] A plan was developed within Unesco's UNISIST program for scientific and technical information for a system—the International Serials Data System (ISDS)—that would have an international center in Paris and various national and regional centers responsible for assigning ISSNs within their territory. In the United States, responsibility for assigning ISSNs was given to the National Serials Data Program (NSDP) at the Library of Congress.

ISDS, the network for assigning ISSNs, was created to achieve the following purposes:

- To create and maintain an international registry of serials (today's ISSN Portal)
- To define and promote the ISSN, to facilitate the retrieval of scientific and technical information in serials and make it available internationally
- To encourage communication along the serials information chain
- To promote international standards for serials in the areas of bibliographic description and data exchange[25, 26]

The ISSN is a serial identifier, where each ISSN corresponds to a "key title" based on the title proper and augmented as necessary with other data to render it unique. There is no abridgement of titles as under AACR1.

This was the situation when in February 1973 the Library of Congress began to produce printed cards for its roman alphabet serials using a new MARC format for serials (preliminary edition, 1970).[27, 28] Hardly had serials catalogers at the Library of Congress begun typing their cataloging data onto the new MARC worksheets—other staff actually entered the data into the system—when the International Federation of Library Associations issued recommendations for an ISBD for serial publications, the International Standard Bibliographic Description for Serials (ISBD(S)).[29] Mimicking the key title of ISDS, the ISBD(S) called for augmenting generic titles by adding a space-hyphen-space followed by the transcribed name of the issuing body. It also gave preference to the key title and ISSN when referring to another serial in a note. In anticipation of adopting the ISBD(S), the Library of Congress began applying this new treatment of generic titles in May 1974 (deleting at the same time the AACR1 rules that called for omitting the name of a body when it formed an integral part of the title).[30] Two years later it adopted the practice of referring to related serials by key title.[31, 32] Because under AACR1 many serials continued to be entered under corporate body, the latter practice often entailed following the key title of the related serial with the catalog entry for its issuing body, in order to make it findable in the catalog, e.g.,

> Continued by: Hawaii's in-migrants, ISSN 0361-2252, issued by: Hawaii. Dept. of Planning and Economic Development. Research and Economics Analysis Division.

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This remained the extent of the impact of ISBD on serials cataloging until ISBD usage was made general for all types of material with the implementation of AACR2 in 1981.

The high-water mark for the key title as the defining characteristic of a serial catalog record was also achieved at this point, at least in practice. There would be a brief theoretical triumph at the 1975 conference of the American Library Association in San Francisco, where ALA's Catalog Code Revision Committee voted—much to Lubetzky's horror—to recommend that all serials be entered under title in the new code, but the committee later rescinded its recommendation.[33, 34]

This is the world into which the CONSER Project—today's CONSER Program—was born. Like the ISSN, CONSER arose in response to the potential application of the computer to mechanizing labor-intensive manual activities, especially in the compilation of union lists of serials. Many such projects were under way in the late 1970s.

Arising from a desire to create quality serial catalog records and avoid unnecessary duplication of effort, the CONSER Project was the first cooperative cataloging program of the MARC era. To create its database, the project chose to use the new online cataloging system of the Ohio College Library Center (OCLC), using as its seed files the small but growing file of LC MARC serial records and larger files of brief records from a number of machine-readable union lists of serials. Initially, project participants comprised the national libraries of the United States and Canada, along with their respective national ISSN centers, and a number of other key American libraries. The project adopted AACR1 as the basis for entries rather than the corresponding entries superimposed from the earlier rules, an arrangement that required CONSER records to contain duplicate heading fields that could be "flipped" as necessary when generating output, depending on whether the product would be pure AACR1 or not. It also, out of necessity, accepted latest-entry cataloging in the interest of building a viable database as rapidly as possible. Successive-entry cataloging had only been in force for a couple of years, and the initial purpose of the project was to convert existing card files. The Library of Congress and National Library of Canada (NLC) "authenticated" records as they were completed by the various CONSER participants. Once authenticated, a record could only be changed by requesting modification from the Library of Congress or NLC.

Although latest-entry cataloging was allowed within CONSER, successive-entry cataloging was preferred, and a desire to prepare for future online check-in of issues encouraged the transcription of titles proper as they appeared on the piece, unabridged.

So the triumph of Cutter's abridged titles proper in AACR1 was brief indeed. AACR2 would consign such titles to history and encourage the opposite of abridgement—augmentation—by severely restricting the circumstances under which a serial could be entered under a corporate name. Common titles, formerly safely tucked away under a variety of corporate headings, would now be exposed for what they were. This presented a huge potential for bibliographic chaos, especially for monographic series, one that the rules themselves did not entirely anticipate.[35]

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AACR2

The introduction of AACR2, like that of AACR1, was accompanied by a certain unease. In fact, implementation, originally planned for 1980, was postponed a year to 1981 to allow libraries to better prepare. Several large research libraries, including the Library of Congress, decided to close their existing card catalogs and either open a new temporary card catalog for their AACR2 records or begin producing their AACR2 catalog on a different medium such as microfilm or microfiche.

In some ways, the publication of AACR2 can be seen as "having a second go" at AACR1. For the first time, there were no separate British and North American texts, though national differences persisted in options and alternative rules. The most noticeable difference from AACR1 came from the fact that the new code evolved symbiotically with a General ISBD, something that strongly influenced the rules for bibliographic description (chapters 1–13). Additionally, in rule 21.1B2, AACR2 severely restricted the circumstances under which a serial—or any publication, for that matter—might be entered under the heading for a corporate body, abandoning the very notion of corporate authorship, a change that met some resistance at the time, including from Lubetzky.[36]

This resulted in many more serials being entered under title proper, presenting a problem not anticipated in the code: multiple serials—sometimes hundreds—with the same catalog entry. Because AACR2 contained no special rule for distinguishing among entries in such cases, the Library of Congress and NLC proposed the temporary remedy of "unique serial identifiers," analogous to key titles but coded as uniform titles, with qualifying data based on name headings rather than transcribed data.[37] In 1982 this interim policy was incorporated into AACR2 by adding to the two existing glossary definitions of "uniform title" a third: "The particular title used to distinguish the heading for a work from the heading for a different work."[38]

While all these changes had a significant impact on serials cataloging, the main difficulty accompanying the introduction of AACR2 related to the state of library systems software. While the practice of superimposition would be ended when the new code was implemented, the large number of headings involved—and the fact that instances of these headings would have to be updated one-by-one in the LC MARC database—produced a compromise in the form of so-called *AACR2-compatible* headings: existing headings that, while not in strict compliance with the rules of AACR2, were nonetheless deemed "close enough."

It is sometimes forgotten that, while AACR2 was developed with an eye to the online catalog, it was introduced in a working environment that was still overwhelmingly oriented toward the card catalog. In fact, Margaret Maxwell's classic *Handbook for AACR2* (1980) operates entirely in a card catalog environment.[39] The user will look in vain in its index for a reference to the MARC format, which was introduced some thirteen years earlier but was still used, like the even younger OCLC cataloging system, mainly for producing catalog cards. Nonetheless, librarians were anticipating a migration to online catalogs, and limitations in the MARC format and in

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the systems then in existence to process and manipulate its products—the primitive online catalogs of the day—led necessarily to a "dumbing down" of the filing rules. In 1980, a year before the delayed introduction of AACR2, both the American Library Association and the Library of Congress published new filing rules, revised to take into account the comparative lack of sophistication of machine catalogs. No longer would there be a human being explicitly interfiling "3rd" and "third." Henceforth, character strings would file "as is" rather than "as should be." Abbreviations and numerals that had once interfiled with their spelled out forms would now form separate sequences. To compensate, whenever a form occurred—a number or abbreviation, for example—that would formerly have been filed in its spelled out form, an added entry would be made explicitly using that spelled out form. For serials, however, there was no corresponding mechanism for the problem of those "unique serial identifiers" interfiling among longer titles:

History (Albany, N.Y.)
History and memory
History and science
History as a discipline
History (Aspen, Colo.)
. . .
History (Washington, D.C.)

Eventually, filing sequence became less problematic as more and more online catalogs—and more and more of their users—began favoring keyword searching over index browsing.

With the 2002 revision of AACR2, the scope of chapter 12 was expanded to include:

1. Integrating resources (updating loose-leaf publications and online resources that undergo internal change rather than change by the addition of discrete units)
2. Reprints of serials
3. Serial-like publications of limited duration, such as those connected with a conference or expedition

This revision of chapter 12 grew out of changes in the serials world since the original publication of AACR2 in 1978, especially the rapid evolution and expansion of the World Wide Web during the 1990s.[40]

As happened with AACR1 and latest-entry cataloging, the coping mechanisms that accompanied the introduction of AACR2, such as AACR2-compatible headings, were eventually abandoned. The differing national options and alternative rules were gradually removed from the text, clearing the way for the adoption of a common "Anglo-American" name authority file in 1994. Finally, in 2007 the Library of Con-

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gress announced the goal of eventually eliminating AACR2-compatible headings entirely from its files.[41]

The 1990s also saw the development of the FRBR conceptual model, from its inception in a resolution of the 1990 Stockholm Seminar on Bibliographic Records to the publication of the final report that embodies the model—Functional Requirements for Bibliographic Records—in 1998.[42] The development of the FRBR model, which underlies RDA, and its application to the cataloging of serials, is covered in the next chapter.

NOTES

1. In a later paragraph I will assert that serials are in fact born.
2. In addition to editing *Saturday Review,* Cousins was a crusader for nuclear disarmament and world government, and helped bring about the 1963 Nuclear Test Ban Treaty which prohibited the atmospheric testing of nuclear weapons.
3. *The Oxford Companion to English Literature,* 7th ed., ed. Dinah Birch (Oxford: Oxford University Press, 2009), s.v., "newspapers, origins of," www.oxfordreference.com/views/ENTRY.html?subview=Main&entry=t113.e5414.
4. Charles A. Cutter, *Rules for a Printed Dictionary Catalogue* (Washington, DC: Government Printing Office, 1876), http://hdl.handle.net/2027/wu.89101448959.
5. Charles A. Cutter, *Rules for a Dictionary Catalog,* 4th ed., rev. (Washington, DC: Government Printing Office, 1904), http://hdl.handle.net/2027/mdp.39015030341468.
6. Cutter, *Rules for a Printed Dictionary Catalogue*, 1st ed., 55.
7. *Catalogue of the Library of the Boston Athenæum,* 1807–1871 (Boston: Boston Athenæum, 1874–1882), http://nrs.harvard.edu/urn-3:HUL.FIG:004106506.
8. Cutter, *Rules for a Printed Dictionary Catalogue*, 1st ed., 10.
9. *Catalog Rules, Author and Title Entries,* US edition, comp. by committees of the American Library Association and the (British) Library Association (Chicago: American Library Association Publishing Board, 1908), http://hdl.handle.net/2027/mdp.39015033881775.
10. *A.L.A. Catalog Rules, Author and Title Entries,* prepared by the Catalog Code Revision Committee of the American Library Association with the collaboration of a committee of the (British) Library Association. Preliminary American, 2nd ed. (Chicago: American Library Association, 1941), http://hdl.handle.net/2027/mdp.39015033890123. "The preliminary American second edition of A.L.A. catalog rules, on Part I of which the present volume is based, was prepared by: American Library Association, Catalog Code Revision Committee." The 1st ed., published in 1908, has title: *Catalog rules, author and title entries*.
11. *A.L.A. Cataloging Rules for Author and Title Entries,* prepared by the Division of Cataloging and Classification of the American Library Association, 2nd ed. Clara Beetle (Chicago: American Library Association, 1949), http://hdl.handle.net/2027/mdp.39015074108591.

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12. Mary Wilson MacNair, *Guide to the Cataloguing of Periodicals* (Washington, DC: Government Printing Office, Library Branch, 1918), http://hdl.handle.net/2027/mdp.39015027883514.

13. Harriet Wheeler Pierson, *Guide to the Cataloguing of the Serial Publications of Societies and Institutions* (Washington, DC: Government Printing Office, Library Branch, 1919), http://hdl.handle.net/2027/mdp.39015033895858; 2nd ed., 1931.

14. Ibid., 9.

15. *Catalog Rules, Author and Title Entries,* 37.

16. Andrew D. Osborn, "The Crisis in Cataloging," *Library Quarterly* 11 (October 1941): 393–411, www.jstor.org/stable/4302882.

17. Seymour Lubetzky, *Cataloging Rules and Principles: A Critique of the A.L.A. Rules for Entry and a Proposed Design for Their Revision* (Washington, DC: Processing Department, Library of Congress, 1953), 47, http://hdl.handle.net/2027/uc1.b3400542.

18. Ibid., 36.

19. "Statement of Principles Adopted by the International Conference on Cataloguing Principles, Paris, October 1961," http://www.nl.go.kr/icc/paper/20.pdf.

20. Judith Proctor Cannan, "Serials Cataloging: Successive Entry," *Library Resources & Technical Services* 17 (Winter 1973): 74, http://downloads.alcts.ala.org/lrts/lrtsv17no1.

21. Carolyn O. Frost, "A Comparison of Cataloging Codes for Serials: AACR2 and Its Predecessors," in *AACR2 and Serials: The American View,* ed. Neal Edgar (New York: Haworth Press, 1983), 27–40. Also published as *Cataloging & Classification Quarterly* 3, 2/3 (Winter 1982/Spring 2983), doi:10.1300/J104v03n02_04.

22. "Cataloging of Serials," *Cataloging Service* 99 (April 1971): 1, http://hdl.handle.net/2027/mdp.39015036863457.

23. "Deletion of AA98 and 99," *Cataloging Service* 104 (May 1972), 4, http://hdl.handle.net/2027/mdp.39015036863457.

24. *National Serials Data Program; Phase I Final Report* (Washington: Information Systems Office, Library of Congress, 1969), www.eric.ed.gov/ERICWebPortal/detail?accno=ED076220.

25. *Report on the Feasibility of an International Serials Data System, and Preliminary Systems Design,* prepared by M. D. Martin and C. I. Barnes for UNISIST/ICSU-AB Working Group on Bibliographic Descriptions, DM/CB/284, London: INSPEC, April 1970, http://unesdoc.unesco.org/images/0009/000985/098515eb.pdf.

26. United Nations Educational, Scientific, and Cultural Organization, UNISIST Steering Committee (First Session), International Serials Data System (ISDS) (Item 6 of the Provisional Agenda), SC-73, CONF.201/8, Paris, 6 September 1973, http://unesdoc.unesco.org/images/0000/000057/005789EB.pdf.

27. *Serials: A MARC Format,* preliminary ed. (Washington, DC: Library of Congress, 1970).

28. "Serial Entries in Machine-Readable Form," *Cataloging Service* 106 (May 1973): 5, http://hdl.handle.net/2027/mdp.39015036863457.

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29. *ISBD(S)—International Standard Bibliographic Description for Serials,* Joint Working Group on the International Standard Bibliographic Description for Serials (London: IFLA Committee on Cataloguing, 1974).

30. "Cataloging Rules—Additions and Changes," *Cataloging Service* 108 (April 1974): 2, http://hdl.handle.net/2027/mdp.39015036863457.

31. "Serials with Generic Titles," *Cataloging Service* 109 (May 1974): 9, http://hdl.handle.net/2027/mdp.39015036863457.

32. "Notes on Serial Entries which Refer to Other Publications," *Cataloging Service* 117 (Spring 1976): 9, http://hdl.handle.net/2027/mdp.39015036863440.

33. Josephine S. Pulsifer, "The Special Problems of Serials," *Library Trends* (January 1977): 691, http://hdl.handle.net/2142/8766.

34. Seymour Lubetzky, "Ideology of Bibliographic Cataloging: Progress and Retrogression," in *The Nature and Future of the Catalog: Proceedings of the ALA's Information Science and Automation Division's 1975 and 1977 Institutes on Cataloging*, eds. Maurice J. Freedman and S. Michael Malinconico (Phoenix: Oryx Press, 1979), 5–19.

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36. Seymour Lubetzky, "The Fundamentals of Bibliographic Cataloging and AACR2," In *The Making of a Code: The Issues Underlying AACR2,* ed. Doris Hargrett Clack (Chicago: American Library Association, 1980), 16–25.

37. "Unique Serial Identifiers," *Cataloging Service Bulletin* 5 (Summer 1979): 4, http://hdl.handle.net/2027/mdp.39015005102895.

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