CCLINC SERIALS AGREEMENT

SERIALS DEFINITIONS

Serial: a publication in any medium issued in successive parts bearing numeric or chronological designations and intended to be continued indefinitely. Serials include periodicals; newspapers; annuals (reports, yearbooks, etc.); the journals, memoirs, proceedings, transactions, etc., of societies; and numbered
monographic series. Audiovisual materials, computer software and electronic titles may exist as serials.

Periodical: a publication with a distinctive title, which appears in successive numbers or parts at stated or regular intervals and which is intended to continue indefinitely. Usually each issue contains articles by several contributors. Newspapers, memoirs and works issued by corporate bodies are serials NOT included in the definition of periodical.

MARC Serials "format": since format integration, there is technically no longer a distinct MARC "serials" format. However, there are MARC tagging conventions which are unique to or more typically used in creating a bibliographic record for a serial title. Therefore, any MARC record which has the fixed field values of Type = a and Bib Lvl = s and which contains volume- & periodicity-indicating fields such as 310 or 362 may be spoken of as being in serials "format." Depending on whether the serial title is currently active or "dead," the publication date areas and physical description may be left "open entry" or closed.

Open entry: a bib record with part of the descriptive cataloging not completed at the time of cataloging because the item it describes is itself not completed; typically, the publication date areas and the physical description area. "Open entry" is NOT unique to serials; it may be used with serials, monographic series, and individual monographic titles issued in parts (also known as "volume sets").

MARC Holdings: Information describing the actual issues owned or "held" by the library will be entered into the appropriate 8XX MARC fields as prescribed by the MARC 21 Format for Holdings Data. This is above and beyond the typical SIRSI "volume and copy"-type holding that is created in CCLINC to show ownership of the serial title.

SERIALS SUBCOMITTEE

The Serials Subcommittee of the CCLINC Steering Committee will set policy and make key decisions in the setup and use of the SIRSI Unicorn serials control functions for the CCLINC consortium. Their decisions will apply to all CCLINC members using the serials control functionality.

The Serials Subcommittee will consist of 7 people from CCLINC member institutions that are using or plan to use the serials control functions of the SIRSI Unicorn software. These persons should be the staff members who have primary responsibility for control of serials at their own institution.

Each member library using serials functions is responsible for participating in its decision-making processes and for implementing the agreed-upon policies and procedures at his/her LRC, which involves training of local LRC staff.

SERIALS TRAINING

Serials users must complete system-approved training and sign off on the CCLINC Serials Agreement before using the live server for serials functions. The workshop will be offered twice a year.

Revised 2/9/2016
++++++++++++++++++++++++++++

SERIALS CATALOGING

Only ONE BIB record should exist in the database for each distinct edition of a serial title.

The original DAC Serials Subcommittee made the decision to consolidate issue holdings in any or all physical formats of a serial title (print, microfilm, microfiche, etc.) onto one bib record, strongly preferring the bib for the print version. Such bib records may have multiple 006 fields corresponding to the various physical formats. However, one should be aware that it is "legal" (under AACR2) for separate MARC records to exist for each edition of a serial title in a different physical format, and therefore catalogers will need to bear the this policy in mind.

Bibs under serials control cannot be transferred or removed unless the control is removed, so creation or download of duplicate bib records is TO BE AVOIDED by all means necessary. If duplicate bibs are discovered, notify Roxanne Davenport at NCCCS Library Resources (LRS).

Local information will not be entered into note fields on the bib, but will be confined to holdings.

Due to changes in AACR2 interpretations, serial title changes may or may not require a new bib record, depending on the extent of the change. If a serial title has undergone a change, notify Roxanne Davenport at LRS so that appropriate actions may be researched and taken to document the change properly. In cases where a new record is necessary, the appropriate MARC linking tags will be added to link the old and new records.

An owning LRC must add one permanent volume/call number and copy record to the bib to reflect their ownership of the serial title.

Volume/call number and copy records should NOT be permanently added to the database for each ISSUE of a serial. Individual copy records for issues that came over from DAC should be deleted. If the library desires to barcode and circulate particular issues of the serial, TEMPORARY volume/call number and copy records may be created but they must be shadowed at the volume/call number level and their CURRENT and HOME locations should be set to DISCARD and deleted with a weekly report.

If volume/call number and copy records came over from the DAC for serials to which your LRC no longer subscribes and for which the LRC has no back issues, the volume/call number and copy records should be removed. If yours is the last copy, the system will automatically remove the bib record as well.

SERIALS HOLDINGS

The word "holdings" means different things depending on whether one is referring to "holdings" in the cataloging context or in the serials control context. "Holdings" in the cataloging context refers only to the volume/call number and copy record, which reflects ownership of the title. "Holdings" in the serials

control context refer to listings of back issues of the serials and are also referred to as "MARC holdings" (although both types are parts of the MARC coding).

All CCLINC members who wish their serial holdings to show in WebCat MUST add MARC holdings to the appropriate bib. Volume/call number and copy records will show patrons which LRCs own the title, but only MARC serial holdings will show the patron which back issues are actually retained.

MARC holdings should be created for back issues before checking in current/new issues.

MARC holdings exist independently of serials controls and therefore can exist on titles which are not under serials control. If a serials control is created for a title, the control and the appropriate MARC holdings must be linked for the control to automatically update serials holdings lists. Instructions for linking are included in the procedures for creating serial control.

Revised 2/9/2016
+++++++++++++++++++++++++++++++++++++

If the LRC's serial holdings exist in more than one physical format, a separate MARC serial holding should be created for each format. If the LRC currently subscribes to a title in more than one physical format, a separate serial control may be created for each format and the appropriate MARC holdings linked to each control. Only one can be set to update holdings.

SERIALS CONTROL

Serials controls are placed on a bib in order for the LRC to use the SIRSI Unicorn software to monitor current subscriptions. Serials controls allow for expected issues to be predicted, received, claimed and/or route lists generated by the computer.

Serials controls do not have to be created for every title in serials "format"!!!!!

Serials control is best used with subscriptions that have discernible publication patterns. Serials whose issues are ordered as separate items, like annuals such as the Physicians' Desk Reference or the World Almanac, should NOT be placed under serials control. Titles that are issued less frequently than semi-annually should not be placed under serials control.

Each LRC will have to create its own serial controls; however, this means independence from others' controls, and thus publication patterns are not "shared" among LRCs. That being said, there should not be wide variances among LRCs in the way pub patterns are set up on a particular given title, with the possible exception of newspaper subscriptions (example: daily vs. Sunday-only).

In creating a serials control, the following features must not be used by CCLINC members: Add Copy, Duplicate, or Recently Arrived.

Questions regarding the use of SIRSI serials wizards, serials reports or other software-related issues should be directed to the CCLINC SIRSI System Administrator, John Wood (also known as "sirsi helpdesk").

SERIALS DECISION PROCESS

For a patron to know if a certain serial title is held anywhere in CCLINC, the database must contain

something that shows the patron that the title exists in the system.

> **Is there a bib record in the database for the title? If you are not sure how to select the correct record to match your title, consult a knowledgeable cataloger or contact the Director of Library Services.**
>
> > Yes? Proceed
> > No? Send request for title to the Director of Library Services

For a patron to know if a particular LRC holds the serial title, that LRC must have a Volume/Call number and copy record attached to the bib. Note: many cataloging holdings came over from the DAC even though the serial issue holdings were not transferred. Please check before you add anything. What used to be "negative barcodes" now show up in SIRSI as barcodes starting with "XX".

> **Is there a Volume/call number and copy record for the LRC attached to the bib?**
>
> > Yes? Proceed
> > No? Create a Volume/Call number and copy record. Instructions are included in procedures for creating serial control.

For a patron to know what issues of a serial title are retained by the LRC, MARC serial holdings must be created.

Revised 2/9/2016

+++++++++++++++++++++++++++++

> **Are there MARC serial holdings for the LRC's back issues attached to the bib?**
>
> > Yes? Proceed
> > No? Follow instructions for creating MARC serial holdings
> > (if creating serial control, this can be done in conjunction with that process)

Just because a title is technically defined as a serial doesn't mean it needs to be under serials control. Serials control is useful if you have subscribed to or otherwise paid in advance for something that is going to come to you in parts, over time. If a title is very irregular, it will not lend itself well to serials control. If you need to predict/receive future issues, claim or route something, a serials control may be created.

> **Does a serials control for the LRC's subscription already exist on this bib?** *This is checked by searching title in item search & display, clicking on detailed display, and then the serials control tab.*
>
> > Yes? Unless you need to create a new control for a different format, you have completed the decision process.
> > No? If you have decided to create a serials control for this, follow the instructions for creating serials control.

The SIRSI Unicorn serials control has a feature which enables it to automatically update MARC serial

holdings (generating and consolidating holdings) if the control is linked to a MARC serials holdings field. This feature can be toggled on or off as desired for each individual serials control. If back issues for the title are only kept for a short period of time it may be desirable to prevent the system from automatically updating holdings. A serial control can still be created, and it is possible to put a public note in the 866 field (e.g. "Library keeps current month only").

Does the LRC wish the serials control to automatically update MARC serial holdings?

> Yes? Follow instructions for enabling feature
> No? Follow instructions for disabling feature

Instructions are included in procedures for creating serial control.

SERIALS CONTROL SUMMARY
(assuming neither MARC serial holdings or serials control has been created before)

What to do if the title has:

- back issues in one physical format and currently subscribed to in the same format?
    - Create serials control and MARC holdings in same process
- back issues in more than one physical format and currently subscribed to in only one format?
    - Create MARC holdings for each format
    - Create serial control for subscription format and create MARC holdings for subscription format in same process or link to MARC holdings if already present
- back issues and current subscriptions in more than one physical format?
    - Create serials control and MARC holdings for each format

Revised 6/11/03