

Projects and  
Procedures for  
**SERIALS**  
**ADMINISTRATION**

**CURRENT ISSUES IN  
SERIALS MANAGEMENT**

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Procedures for  
**SERIALS**  
**ADMINISTRATION**

Compiled and edited by  
Diane Stue

# CURRENT ISSUES IN SERIALS MANAGEMENT

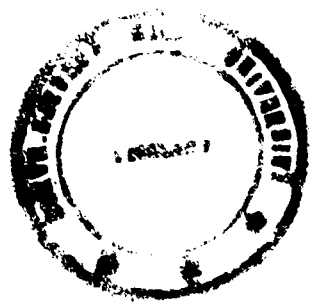
**Number one: The Serials Collection: Organization  
and Administration**

**Number two: Union Lists: Issues and Answers**

**Number three: Serials Collection Development:  
Choices and Strategies**

**Number four: Notes Worth Noting: Notes  
Used in AACR2 Serials Cataloging**

**Number five: Projects and Procedures for Serials  
Administration**



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Compiled and edited by  
**Diane Stine**

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# Introduction

Why a book on processing serials? Ask any serials librarian. We all encounter the same problems even if our environments are not identical. Bob Migneault discusses these problems in the first essay. To provide access to serials for our patrons, we are constantly searching for better procedures. We can always learn from someone else's experience and, one hopes, keep from making as many mistakes. Reading about another librarian's project can help one to plan one's own. The facts and figures may vary but the basic guidelines remain the same.

Some of the essays deal with all-encompassing projects such as the "Serials Reconciliation Project at the University of New Mexico General Library" by Marilyn Fletcher. This project encompassed the fiscal and bibliographic reconciliation of serials records as well as collection development aspects of the serial titles. After reading Marilyn's article one is more confident that such a mammoth undertaking can actually be accomplished. Other projects which may have been done for a specific reason at one institution may be applicable to another library's needs. Barbara Pinzelik's article on serials deacquisitions states that the library was forced to weed because of space constraints. Most libraries have this same problem. She provides a process for handling a large number of titles quickly by assigning categories and making broad-based assumptions. Marilyn's article, on the other hand, provides a long-term title by title analysis. Depending on the particular needs of the institution, librarians can choose one method or the other or a combination.

I have included several essays on handling monographic series and analyzed serials because this is an area which is especially problematic. Wellesley's experience, described by Betty Landsman, provides a good model for a smaller academic library which can update all titles in a series to AACR 2 form of entry as a new title arrives. Susan Matson's description of Southern Illinois University Library's procedures is applicable to any large operation. A library

in this situation cannot afford to recatalog titles in series so that the entire catalog will be in AACR 2 form. Rather, Sue describes procedures for linking older and new forms of heading. The operation at SIU is an example of intensive series authority control handled by serials experts. Not only does she describe the procedures used but also the level of staffing needed for each step in the process of establishing series. Although the series work done is quite time-consuming it saves time in the long run by allowing monographic catalogers to process more items because they are not bogged down in the difficult task of establishing series.

I have made an effort to include articles by librarians using various manual and automated systems so that librarians can use this information to help decide between systems. Libraries which have already been committed to a system can follow the applicable procedures for implementation. I hope that serials librarians will be able to use the procedures outlined here to make their jobs a little easier and their operations run more smoothly.

## Serials: An Introductory Perspective

Robert L. Migneault  
Assistant Dean for Technical Services  
University of New Mexico Library

Whenever an informed serialist presents his or her views on serials, it is bound to raise, sooner or later, at least two questions. What, after all, is a "serial?" And, do "serials" necessarily require special handling? Now, these questions may appear to be simple, leading to simple answers. Experience, however, reveals otherwise. For serialists, the process of defining the term "serial" and reaching a generally agreed upon practice on how best to handle serials invariably involves more than a simple referral to a dictionary or accepting without reservation a given serials operation (a model) as the only way to go. The process involves a number of practical as well as theoretical considerations, not the least of which is consideration of the cause and effect relationships between definition and practice. These relationships, whatever they may be, have been topics of discussion, not infrequently of debates, on whether or not practice is a function of definition, or whether or not practice has primacy over form.

The serialist Andrew Osborn, for example, has devoted considerable attention in *Serial Publications* to the relationships between definition and practice. Incidentally, he also has been quick to point out that definitions aimed at explaining the intricacies of the "serial," including efforts to reach its precise definition, have been ongoing efforts for sometime. As Osborn explains: "A sound definition of a serial . . . has long been sought, especially in book-trade, legal, and library circles, as well as by bibliographers and literary historians."<sup>1</sup> Mind you, the professional literature is replete with attempts to settle matters with respect to defining the term "serials" and the corollary of how best to handle them. As one considers the numerous attempts by countless numbers of people to capture, once and for all, the true definition of a serial, one can easily agree with Osborn that the "futility of the quest" is historically evident.

In considering the matter of definition, no better point of departure is Osborn himself. He explains that the term "serial"

## Serials Reconciliation at the University of New Mexico General Library

Marilyn P. Fletcher  
Serials Acquisitions Librarian  
University of New Mexico Library

### *Introduction*

In late 1977, a team of consultants consisting of Susan Bryntesson and Mary E. Sauer visited the UNM General Library for the purpose of studying, reviewing, and recommending changes in the organization and procedures of the Serials Department. Their report, issued in February of 1978, was quite comprehensive, covering all aspects of the functions of the Serials Department. A specific recommendation pertained to the serials record check-in system which the consultants deemed to be "seriously deficient." The report stated:

The condition of the serial records in the University of New Mexico Library is seriously deficient; traditional bibliographic access is virtually nonexistent. The public catalog holds descriptive bibliographic records for a percentage of serial titles but none have been added for several years. There is no one central place where University of New Mexico serial holdings may be ascertained and in order to ascertain such holdings several files must be consulted.<sup>1</sup>

The consultants' conclusions were indeed correct. Current receipts and location information were available on the Kardex file; bound holdings were available only on the shelf list (on a different floor of the library building); fiscal information was in yet another file; and public access to serials was largely through a serials title list on microfiche which gave title/entry, location, call number, and summary holdings.

In order to correct these deficiencies, the consultants recommended the establishment of a central serial record which accurately reflected all aspects of any given serial and which was in bibliographic agreement with forms of entry used in the public catalog and which conformed to the latest rules of cataloging.

## Serials Workflow in a Library Without A Centralized Serials Department

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### *Introduction*

What library has not struggled with the question of how to handle serials? The myriad problems associated with this type of publication, e.g. frequency of appearance, title changes, have resulted in libraries often placing serials in a separate department which handled all processing activities from order placement and cataloging to public services. Proponents of this position contend that serials differ in so many respects from monographs that a highly specialized staff must be established in order to effectively deal with the problems.

Opposed to the organization based on form of publication is that of one based on function. The libraries which have this type of organization treat serials along with other types of library materials by function such as acquisitions. Order placement, invoice payment, cataloging are handled in the various departments specializing in specific processing functions.

Movement from one type of organization to another is not uncommon. The University of Pittsburgh has done so over the years with the objective of improving processing and service. The current organization is a functional one. A description of the evolution of the processing organization to its current status follows.

### *Background*

The organization of the University of Pittsburgh libraries has developed from the establishment of a University library of 2500 volumes in 1873 to 2.5 million volumes in 1983. The current organization is composed of twenty libraries in the University

## Automated Exchanges Control: An Interim Report

Herbert Jones  
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University Research Library  
University of California  
Los Angeles

In the past, technical processing operations and procedures in large research libraries have often appeared to be rigid and immutable, incapable of alteration by even the strongest will. Nevertheless, they have undergone transformations over time, apparently unobserved by those most closely involved. In contrast, current economic stresses acting upon research libraries call for planned, radical changes in traditional methods, procedures, and, particularly, in attitudes. What follows, then, is a description of a serial operation in planned transition in one academic library. It is an operation which surely is among those most adorned with myths and heavily weighted by traditional practices. It is a scene captured through a window in time with a known past, an observable present, and an uncertain future.

Acquisitions by means of exchange of publications has long been well regarded by research libraries and other public and private institutions as a method of acquiring monographs and serials. Library exchange programs usually involve exchange of the library's or parent institution's publications for those of other libraries or institutions. Less frequently, a library may purchase trade publications for exchange purposes. In some stances, national exchange centers may act as central depositories for publications of academic institutions which are then distributed to exchange partners in foreign countries.<sup>1</sup>

Exchanges have been favored as a means of acquisition when a library has access to publications at little or no cost which it can exchange for similar publications. Some smaller institutions may prefer to acquire library materials through exchange and will not permit direct purchase of their own publications. In addition, there may be currency or import restrictions in some countries which make direct purchase an unreliable method of acquisition. In some countries, the political situation is unsettled, bibliographic control uneven, and marketing and distributions channels not well established. In these countries, exchange may be a more certain

## Serials De-Acquisition

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Purdue University Libraries

When a library system undertakes a serials weeding program there must be very strong reasons: a need for space, the changing focus of the library, the availability of storage space, or a desire to improve access to the collection. At Purdue University's General Library, all of those reasons prompted a major weeding and storage project. Of the 18,000 serial titles in the collection, over 6000 titles were reviewed and withdrawn or relocated.

In this paper, I will discuss the serials weeding process as it evolved at Purdue. Purdue has a de-centralized system with many school/departmental libraries and without a central serials processing unit. My task was to reduce the size of the serials collection in the largest and oldest library in the system. A reduction of approximately 20% was needed so that a major rearrangement could take place. It had to be done in a limited period of time, which meant keeping the number of consultations with faculty and library subject specialists to a minimum. A new and relatively accessible storage area was available. Decisions could be made to retain, store, transfer, or withdraw for each title up for review.

The information we gained from the review of our serials collection should be of value to other libraries contemplating a similar project. When collections continue to increase in size but shelving space cannot expand to fit shelving needs, libraries must look for the best solution to the problem. Although one knows intuitively that serials de-acquisition will be costly and time-consuming, there comes a time when it is a necessity.

While library literature abounds with articles on weeding monographs, articles on weeding serials are not as numerous. Many of them deal with the process of de-selection, reflecting the serials cancellation projects many libraries experienced in the past decade.

Criteria used for cancelling serials and the effort needed to evaluate them can seem overwhelming. In the literature, Bourne and Gregor outline a methodology based on language, cost, duplication, coverage by indexing and abstracting services, frequency of

## Periodicals Inventory as a Library Event

Mitsuko Collver

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State University of New York at Stony Brook

Accurate cataloging and holdings records are the foundation of good public service in a library. It is hard enough for library users to cope with such problems as the fact that a needed publication was never acquired or that since being acquired it has been stolen<sup>1</sup> or misshelved or pages have been torn out. On top of these obstacles, the patron does not need the frustrations, aggravation, and delays that are caused by incorrect information in the holdings record.

Consider the all-too-familiar story of the hopes and disappointments of a researcher looking for a journal article in the library. He first checks the catalog and finds the title of the periodical, then checks the holdings record to ascertain that the library has the volume in which the article appears. With a sense of satisfaction and pleasant anticipation, he jots down the call number and takes the elevator to the book stacks. When he arrives at the designated shelf, however, the volume is missing. At the circulation counter, a helpful and sympathetic clerk spends some time searching among the ready-to-shelve book trucks at the depot but cannot locate it there either. Since the library does not circulate any periodicals, the volume is now considered to be missing. He is advised to go to the interlibrary loan office to request the article. There he is told that it will take at least a few weeks. If the holdings record had informed him in the first place that the volume was missing, he could have gone directly to the interlibrary loan office, and his frustration would have been much less.

No less frustration will be experienced by the library staff who assist the patron and by the interlibrary loan personnel who search among inaccurate records for the volume in response to requests by other libraries.

There can be two kinds of errors in the catalog. In one type, as in the above case, the volume is missing but the record indicates that the library has it. In the other type, the library actually has a volume, but it does not appear in the catalog. In the latter case,

## University of Washington "Online" Serials Catalog

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University of Washington Libraries

### *Introduction*

The University of Washington Libraries (WaU) system is composed of several collections housed in the Suzzallo Library, the Odegaard Undergraduate Library, the Health Sciences Library, and eighteen branch libraries. The serials collection of the Libraries are centrally cataloged and fully represented in its Main Catalog located in the Suzzallo Library. The Libraries maintains the Central Serials Record (CSR) which is a single main entry internal card catalog with check-in information of all cataloged serials in the Libraries system. The Libraries also maintains machine readable records for its serials collection stored online in the Washington Library Network (WLN). The database is used to generate a computer output microform (COM) catalog on a regular basis.

Records are created and updated daily online by the staff of the Libraries' Serials Division. Institutions participating in the WLN Bibliographic Subsystem have online access to the Libraries' bibliographic and holdings records. The University of Washington Libraries uses the Anglo-American Cataloguing Rules, 2nd Edition (AACR2) and follows Library of Congress (LC) practice. The Libraries is a participant in the CONversion of SERIALS (CONSER) and the Name Authority Cooperative (NACO) projects and conforms to project guidelines for creating bibliographic records and establishing headings.

The printed CSR grew out of the List of Current Serials Holdings of the University of Washington published between 1971 and 1972. There were four editions of the CSR published between April 1973 and September 1979. The September 1979 edition was produced simultaneously as the first microfiche edition of CSR.

The tenth edition of the CSR has just been produced. It is a complete cumulation of the WaU's serial holdings current as of August 1983 and supersedes all previous editions. The CSR continues to grow both in terms of unique records as more of the

“Serials as a Project” at Vanderbilt,  
an Early Library Computer Utilization

Jean Acker Wright  
Vanderbilt University Library

*Introduction*

Contributing one chapter to a volume on serials is a bit like attending a pot-luck dinner and finding that everyone has included tomatoes in their appetizers, salads, and other dishes. Since bibliographic control, inventory management, access to information for resource sharing, and financial accountability form part of the menu related to the role and treatment of serials in libraries, some redundancy is to be expected. My particular subject has applications to many of the topics mentioned, and is an example of the ways in which all aspects of serials are inter-related.

In any library, there are special problems and local situations which have required unique solutions. The number of branch locations, the age of the collection, its size, and the places and form in which information on library holdings is available all have an effect on the quality of service which we are able to provide and the manner in which we do it. Anyone who handles serials realizes that each title presents its own potential for presenting a “challenge” and adding a dimension to collections management problems. Since serials are “dynamic” both in nature and extent of holdings, distributed access to information about them is difficult to maintain in manual files which must be updated and kept consistent. Organizational structure may vary among institutions, but there is a pattern to many of our operations, based on logical approaches to meet similar needs.

Many libraries have developed machine-readable data bases covering part or all of their collections, and it is possible that more of these relate to serials than to other special categories. The history and uses of the Vanderbilt University Library serials data base may closely parallel situations with which the reader has had experience. As an example of this type of tool and its uses, the following case history is offered.

## Copy Cataloging of Serials

Nancy Romero  
Original Cataloging Librarian  
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### *Background*

In Fall, 1979 several units within Technical Services of the University of Illinois at Urbana--Champaign Library underwent a massive reorganization. A result of this reorganization was the dismantling of the Serials Department and the reassigning of all serial functions to units newly formed by the reorganization. For the serial cataloging function this meant reassigning copy cataloging of serials to the OCLC Cataloguing Unit of Automated Records, and combining the original cataloging of serials and monographs to form Original Cataloguing. Each cataloging operation works totally independent of the other. Procedures, work flow, and policies are established separately to suit the individual requirements of each unit.

### *Pre-Cataloging Routines*

The beginning of the cataloging process for both copy cataloging and original cataloging of serial publications begins in Acquisitions where pre-cataloging records are established and filed. Each title sent for cataloging is accompanied by a routing slip, noting location information and any necessary acquisitions data. The pieces are then forwarded to the Searching Unit in Automated Records for searching in the OCLC data base. All titles are searched for matching copy. If matching copy is found, a printout is produced to accompany the pieces. It is also at this point that all personal, corporate body, and geographic names are searched in the OCLC Name Authority File for verification of form, and printouts are made of each entry found. These printouts also accompany the pieces, together with a record of headings searched and not found.

After the searching process, all titles are returned to Acquisitions, where the pre-cataloging records are noted as to whether a title is to be forwarded to the OCLC Cataloguing Unit or to Original

## Retrospective Conversion of Serials Using OCLC

Patrick F. Callahan  
Catalog Supervisor of the Serials  
Retrospective Conversion Project  
Center for Research Libraries

Retrospective conversion is the process of transforming manual bibliographic records into machine-readable form. By definition, it deals primarily with existing catalog records as opposed to cataloging directly from the material. Considerable attention has been paid to the retrospective conversion of monographic records, and there now exist many excellent vendor-supplied conversion packages for this purpose, such as REMARC. Unfortunately, this is not the case with serials, whose complexity discourages the creation of simplified systems for conversion. Therefore, many libraries are forced to develop in-house projects to deal with the conversion of serials.

The following is an attempt to outline possible procedures for an in-house project and to present some of the considerations and pitfalls of which one should be aware before starting a serials conversion. The procedures are primarily based on the experiences of the Center for Research Libraries' serials retrospective conversion project, begun in Oct, 1982, and many of the statistics are also culled from that source. There is no discussion of the desirability of retrospective conversion. It has become a fact of life for librarians whether it is motivated by the impending installation of an online catalog or by resource sharing efforts. The challenge is to accomplish it in a time of financial austerity combined with the upheaval caused by the adoption of AACR 2.

The procedures were designed for use with the OCLC system and while there is some degree of universality, there are also some aspects which are solely applicable to that utility. It is more likely to be of interest to academic libraries than public. Several other disclaimers are worth noting. The Center for Research Libraries is unique in many ways. Some of its practices and certainly its collection are atypical. The Center collects seldom used research materials and as a result a much higher percentage of its serials collection is in foreign languages than the average library's. This should be kept in mind when making statistical comparisons. In addition, CRL

## Series Authority Control

Susan Matson  
Head, Serials Cataloging  
Southern Illinois University at Carbondale

### *Serials and Series*

Many works which come into a library bear some kind of collective title which indicates that the work is part of a larger group of works. Phrases like "annual report," "journal of," "series on," "fourth report on," "proceedings of the ninth conference" suggest that other works bearing the same or similar titles probably exist. It is a matter of judgement to decide how such works should be cataloged for the greatest usefulness to the library process and the library users.

When there is a suspicion that the title may be that of a serial, many libraries submit such pieces to a serials cataloger, following the unwritten dictum that a serial is anything a serials cataloger says is a serial, with the corollary that anything that is not handled as a serial will be handled in the context of a monographic record. The serials department may keep a decision file on some titles, recording the decision that a particular set or proceedings run is not be treated as a serial. It may also either catalog or at least create holdings records for certain sets, monographic series, or "made-up" series which are purchased on standing order. With the exception of such record-keeping, however, the participation of the serials department in handling collective titles such as series often ceases. The majority of series occur on monographs, and the decisions regarding them are viewed as the responsibility of those who are experts in cataloging monographs.

However, even though the majority of series occur on monographs, the series themselves are more akin to serials than to monographs. The very fact that in many instances someone has to make a decision about whether a collective title is a serial or not indicates the hazy line between the two. Series are subject to the same rules for form of entry and the construction of uniform titles as serials. It is not unreasonable to think that people familiar with the peculiarities of serials should also handle the peculiarities of series even

Analytical Access:  
Old Problems, New Frontiers

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and  
John K. Duke  
OCLC Systems Specialist  
Iowa State University

Traditional library processing methods die hard. Technological changes in the publishing world, such as on-line indexing systems, are beginning to obviate the need for much of the detailed cataloging that takes place in many libraries. Few of us can envision the changes that may occur over the rest of this century, and most of us only attempt to respond piecemeal to automation rather than overhauling technical services each time technology leaps forward. One of the most convoluted library functions that will gradually disappear is local processing and cataloging of analytics.

The flexibility of a catalog derives from its ability to treat one item in many ways. For example, a catalog entry may be made for any of several authors or for a variety of subjects. The user is not restricted to one way of approaching the record. Librarians have devised a similar method to provide access to materials that have been grouped together in a single classification number as sets or serials, but for which it is also desirable to treat one or more of the units as individual bibliographical records in their own right. These individual units are called "analytics," and the process of creating them is called "analysis."

Iowa State University (ISU) librarians have developed a set of policies and procedures to accommodate analytical cataloging. The routines have been shaped by a variety of conditions peculiar to ISU, including separate Serials and Monographs departments with their own cataloging sections within the Technical Services Division an Order Department that processes only monographic orders and receipts, a separate computer-produced book catalog of serial holdings,<sup>1</sup> and dependence upon the Online Computer Library Center (OCLC) for cataloging. The procedures also have been defined by constraints that affect all libraries: the time, money, and staff available for analysis, the nature of the collection and its patrons, and the existence of other analytical tools.

*Organization and Staffing*

Standing--Order Series:  
Serials or Monographs?

Betty Landesman  
Serials Librarian  
Wellesley College Library

There has been a great deal of discussion in recent years about the value or disservice of maintaining separate serials departments, "form vs. function," and the like. One of the topics in question is the handling of monographic series on standing order, straddling as they do both the monographic and serial worlds. Individual volumes must be checked in, or claimed if not received, as for any serial; individual volumes must also be fully analyzed to make their contents accessible, as for any monograph. In January 1982, the Wellesley College Library adopted a procedure that crosses the boundary lines and allows Catalog and Serials Department staff to each do what they do best.

*Background*

The technical services function at Wellesley is divided into three departments: Acquisitions, Catalog, and Serials. Monographic cataloging is done by Catalog Department personnel; serials cataloging is done by the Serials Department. The Serials Librarian also serves as a resource person if there is a question on a form of series tracing, while the Senior Catalog Librarian is the authority on name headings. All departments are housed in one large open room, making such cross-fertilization easy. All volumes on standing order, including monographic series for main or department libraries, are routed directly to the Serials Department for checking in. All records in the Serials Department, including the check-in card, match the form of cataloging entry exactly. Series on standing order are distinguished in the card catalog by the addition of a full set of catalog cards for the series as a serial publication; the main entry card precedes the individual series added entry cards (figure 1).

Traditionally, Serials cataloged everything that came into the department, including items in monographic series. This formed an exception to the division of monographic and serials cataloging.

## Series Control and Procedures

Jean Decker  
Head, Serials Cataloging  
State University of New York at Buffalo Library

### *Background*

In the beginning, some editor/publisher/vendor said, "Eureka! I shall create a thing of beauty that will serve to identify, relate, and sell our titles." On the heels of that thought came the idea of a "supertitle" with a scholarly, subject-oriented tone and a uniform binding to lend esthetic neatness. From that day to this the monographic series has held fast in all its homogeneous and monochromatic glory. Actually series today are not quite monochromatic in color nor homogeneous in content. Their only constant aspect is a "supertitle" which may not sound scholarly at all.

The series is an element of description that librarians once upon a time could choose to take or leave. The choice is no longer available. In the automated present the series is a full-blown access point which has to be controlled with the best procedures we can devise. In order to assure a complete searchable series file, the entry for every part of a series has to be entered in exactly the same form and that form has to be tagged consistently to permit retrieval of the total file. The traditional means of controlling consistency is the authority file. That brings up the questions of how one keeps the authority file consistent. Years of experience have shown that control needs to be centralized. "Centralized" can mean one section, one group, or one person has the decision-making responsibility. To determine what will work best in your processing operation, consider your own organization and personnel.

### *Administration*

Series control and how it can best be accomplished is at least a three-faced administrative problem. 1) What degree of automation exists? None, some, or complete? (2) How's the organization arranged? What are the working relationships and responsibilities of sections and departments? 3) What are the skills, experience,

Distributed Check-in of Serials:  
A Case Study of the University of Illinois-Urbana Library

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University of Illinois-Urbana

*Introduction*

Serials have always posed problems in a number of areas: selection, binding, budgeting, storage decisions, cataloguing, and processing are some of the major administrative issues which are frequently addressed. The processing of serials - check-in, marking, claiming, and noting - has always been a factor in the debates over the proper role and function of serials administration in academic libraries. Since the beginning of this century, discussion on the place of processing and the centralized serial record generally has led to a single conclusion: that no matter where the serials function lies in an organization, centralized processing is an important factor in the successful management of serials. Attendant to this conclusion is the centralized record which allows not only the recording of precise cataloguing information, but also the complete check-in, claiming, and financial records of any serial in question. This centralized form of control over serially issued titles in a collection, it is generally believed, provides a complete set of data which can be administered and manipulated by a group of individuals who are especially trained to handle the unique problems which serials can pose.

As anyone who has dealt with serials can attest, however, not all serials are created equal, and not all elements which occur in the central serial record can claim equal importance. In fact, many of the items maintained in serials records may not be central to the successful management of serials and the recording of many items in a central location may only serve to impede the rapid processing of serials. In a large academic library, particularly one in which a substantial number of departmental libraries exist, any impediment to the quick delivery of serials and information about the status of serials can seriously hinder the library's ability to aid its clientele.

*The Centralized Serial Record as an Information Source*

## Kardex to Keyboard: Creating a Serials Check-in File in Faxon's LINX System

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One of the major problems that a library faces in the automating of any aspect of library services is the conversion of the data into machine-readable form. The expense and time involved cannot be overlooked as a library prepares any automation process, and the automating of serials processing functions is no exception. Even the conversion of basic check-in records into machine-readable form without the information stored in auxiliary serials files, e.g. invoicing, binding, requires a great deal of time and evaluation on the part of the serials staff. In 1980, Faxon created SCIS (Serials Check-in System -- also referred to as SC-10), a component of LINX, Faxon's serials management system. This service was designed to streamline and simplify serials processing from the creation of the online file to the full utilization of the system.

The conversion process for a Faxon customer's data base creation begins with the 'downloading' of all titles which Faxon supplies to a library. This is the process whereby the system retrieves all of the titles for which Faxon has invoiced a customer and automatically creates a basic, or skeletal, serials check-in record for each copy of those titles. Depending on a library's previous use of other Faxon serials management services a large volume of local information may be downloaded with the skeletal records.

### *Faxon's Contribution to the Conversion*

The basic check-in record provided by the Faxon system consists of the title, the copy number, the total number of copies the library receives, the frequency, the number of issues per year, the check-in matrix and claiming interval (arrival number) based on the frequency, ISSN, the Library of Congress code, the indexing and abstracting codes and the title page indicator. Figure 1 depicts a sample skeletal record created by Faxon. The various pieces of information are taken from Faxon's computer files, which contain the invoicing information for that customer's titles. The LINX

## The Effects of Automation on Serial Record Staffing

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### *Introduction*

The operation and organization of serial records activities are more and more being affected by automation. Subscription agencies and various national bibliographic networks are offering an increasingly attractive array of on-line services to order, claim, and process periodicals. While the use of these new services is not as prevalent as it is in such areas as cataloging and acquisitions, the pressure is mounting on library administrators to begin making use of the new technology. As these on-line services become more reliable and cost-efficient, and as library expenditures and labor costs increase, the new technology will be hard to resist.

In the ensuing effort to incorporate the latest technology in serial operations, library managers will need to become more cognizant of how automation affects the management and supervision of clerical employees. To appreciate the impact automation has had on personnel, let us look at a library activity that has actively made use of the new technology for more than a decade: Cataloging.

### *Effect of Automation on Cataloging Staff*

During the 1970's many academic libraries re-organized their cataloging operations. The new procedures evolved as a result of library affiliations with various national bibliographic networks. The procedures called for increased dependence upon computers and clerical staff to locate and accept the most appropriate cataloging available for materials being processed.

The University of Southwestern Louisiana (USL) Libraries adopted a similar concept in 1979. The automated cataloging unit, or Receipt Team, as it is called at USL, is staffed and supervised by non-professional or clerical workers. The team operates as a semi-independent unit and reports to the Head of Acquisitions.

## Checking It in the OCLC Way

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This paper discusses the OCLC Serials Control Subsystem's Check-in component. It will cover the basics of the system as well as the implementation of the subsystem and current practice at the Illinois Institute of Technology Libraries. Some knowledge of basic serial terminology and prior OCLC experience are assumed. Those desiring a more detailed discussion of the OCLC Serials Control Subsystem itself should consult OCLC's *Serials Control: User Manual*.

### *Background*

The Institute is a medium-sized university with slightly over 3,000 serials titles in two libraries. The Serials Department handles ordering, payment, check-in, binding, and cataloging of all serials received by both libraries. Serial publications are defined in the broadest sense, including newspapers, conference proceedings, continuations, periodicals, and monographic series. Staff consists of two check-in clerks, one bindery clerk, and one professional librarian.

The Institute decided to implement the Serials Control Subsystem in the fall of 1980. The Serials Department began the necessary preparation and training in early 1981. This led to the start of the actual online check-in in April.

In the discussion which follows, a general overview of the OCLC Serials Control Subsystem will be presented, followed by a discussion of IIT's local system application.

### *What is the OCLC Serials Control Subsystem?*

The OCLC Serials Control Subsystem is an online inventory of serial publications for an institution or a library. It allows the maintenance of holdings, both current and retrospective, and the prediction of the arrival of future issues. The serials control process

## Check-in for Indexing: NLM Serial Control System

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### *Background*

Automation of the serial record of the National Library of Medicine (NLM) has been on-going since the mid-1970's. A modular set of files, called the NLM Master Serials System, has been developed using the commercial database management system INQUIRE. Initially the system was used for bibliographic and holdings control. Later, binding and preservation modules, as well as ordering and fiscal control were added.<sup>1</sup> Production of four publications<sup>2</sup> issued by the Serial Records Section is controlled through this same system, as is serial title authority validation for citations indexed in MEDLINE, other NLM on-line files, and in the printed products derived from these files such as INDEX MEDICUS. By 1980, NLM's Serial Records Section was using this system to build the National Biomedical Serials Holdings database, a file of some half-million records representing holdings for approximately 1,000 biomedical libraries throughout the United States.<sup>3</sup>

Also, in 1980, the Serial Records Section began developing an internal current receipt file for check-in data. Because approximately 60% of NLM's total serial receipts are processed at remote locations by subscription agents,<sup>4</sup> the first priority in building the check-in file was loading the tapes from the agents detailing the material they had processed for NLM. By spring 1981, in-house staff augmented the tape loaded data by adding on-line data for material sent directly to NLM. The Serial Records Section was able to build a file of records sufficient to permit retrieval of current receipt data and a crude claiming capability. Although pleased with this initial success, the staff was disappointed by the overall slow processing rate and the uneven quality of data, resulting from the delay caused by the overnight batch loading of data.

In the fall of 1982, planning began for a new check-in system which would be interactive, with multiple users adding records to the file immediately, using formatted screens. This check-in

## Union Listing On the OCLC Serials Control Subsystem

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Based upon the vast bibliographic resources of the Online Computer Library Center (OCLC) network, the OCLC Serials Control Subsystem offers libraries an integrated package of serial control capabilities, including serials check-in, union listing, claiming, and binding control. At the time of this writing (Fall 1983), the check-in, claiming, and union listing functions have been activated; however, binding control, the final system enhancement, is expected to be operational at a later date. Taken together, these four components of the Serials Control Subsystem will allow libraries to perform all major serials related record functions online. They also will provide for the elimination of numerous cumbersome in-house files and will allow library staff and the patron easy access to serials inventory information. For more detailed information on the OCLC Serials Control Subsystem check-in capability, readers are strongly urged to consult the accompanying article by Susan Davis.

The OCLC Serials Control Subsystem provides for the creation of local data records (LDRs) which exist in conjunction with the main OCLC bibliographic records in OCLC system memory.<sup>1</sup> Each local data record contains certain identifying bibliographic fields derived from the main record, as well as fixed and variable field elements describing the holding library, copy number, loan policies, call number, location, publication sequence, held issues, and other similar information. These fields also include a useful, repeatable free text field for whatever local information the entering library might deem necessary. The serials check in capability utilizes different fields from those utilized by the union listing component, and it is not required that any library make use of both capabilities. In fact, a library wishing to make use of only the union listing component of the OCLC Serials Control Subsystem would need to enter a maximum of five data elements: holding library, copy identifier, call number, summary copy holdings, and summary institution holdings.

Given the brief data to be input, entering staff may quickly

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