

<p>3-6 <b>Series Processing</b> (<i>check one</i>)</p> <p><input type="checkbox"/> Standard</p> <p style="padding-left: 20px;"><input type="checkbox"/> Current—Do not Collapse Unmatched / Untraced 490/830 to 440 (Post-July 2008)</p> <p style="padding-left: 20px;"><input type="checkbox"/> Previous—Collapse Unmatched / Untraced 490/830 to 440 (Pre-July 2008)</p> <p><input type="checkbox"/> Trace All (<i>all series headings recorded in 8xx fields</i>)</p> <p><input type="checkbox"/> Custom (<i>please attach</i>): _____</p> <p><input type="checkbox"/> None--Do not provide authority control for any 4xx or 8xx fields</p>	<p><i>Guide Page 3:19</i></p>
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## Overview

The MARS 2.0 Authority Control software provides a variety of different processing options for series headings. Local library cataloging practices and local system indexing of series headings are central factors in determining which MARS 2.0 series processing option would be most effective for any particular catalog.

## Traced vs Untraced

A series added entry (8XX) is made on the record for each work in a series if it is judged to be a useful access point. When an added entry for a series is made, we say that the series is “traced.” The traced record can be found by performing a search for the series as a title search in the OPAC. If a series is “untraced” there is no added entry made for the title of the series on the records of works in that series. Those records cannot be found by performing a search for the series as a title search in the OPAC.

Indicate if “Standard”, “Trace All”, “Custom” or no series processing is desired. If you need custom series processing, describe the processing and outcome for each of the 4 types of series heading fields (400/410/411, 440, 490/8XX, and 490-0). You can also add brief custom specifications to custom option Step 3.6 or a more elaborate specification to Step 3.16.

Series are treated as **traced** if:

- An LC authority record contains field 645 \$a coded “t” **OR** 008[12] = ‘a’ or ‘b’

Series are treated as **untraced** if:

- The authority match does not have a 645 \$a “t” **AND** 008[12] = ‘c’

Current Library of Congress policy, which MARS 2.0 series processing follows, treats *unmatched* series headings in the same manner as *untraced* series headings. So, in the case where a series heading has no authority match, the series will be handled as if it was **untraced**.

### Example

#### Series heading in bib record:

490 1 \$aPress release

810 0 \$aPress release (United States. Mission to the United Nations) ;\$vno. 4353.

#### No Authority match is found:

490 0 \$aPress release

#### Authority match is designated as “untraced”:

490 0 \$aPress release

In both instances above, where either no authority match is found or where an authority match is untraced, the 8XX series field is *removed* from the bib record and the original 490-1 field is converted to an **untraced** 490-0 field.

MARS 2.0 programs can retain unmatched 8XX fields if you want this customization (please contact your Project Manager for details).

### No Series Processing

A special option is available for libraries that want to accomplish all series processing in-house. Choosing the fourth option in Step 3.6 “None—Do not provide authority control for any 4XX or 8XX fields,” will exclude all automated authority processing from 4XX and 8XX fields during MARS 2.0 Authority Control processing.

### Current Standard Series Processing – Post July 2008

Backstage Library Works all along has had parameters in place to accommodate libraries who did not want to collapse the 490/830 tags to 440 tags. Since the July 2008 MARBI announcement:

June 6<sup>th</sup> 2006, MARC Proposal No. 2008-07 presented by MARBI Committee will make field 440 obsolete and will redefine the first indicator value **1** of the 490 field to mean, “Series traced in 8XX field.”

Standard MARS 2.0 series processing will be to **not collapse** the 490/830 tag to a 440 tag. A duplicate 8XX tag will be temporarily generated for both the 490 second indicator **0** and the 490 second indicator **1** tags. If a match is found the 490 will remain or be changed to 490-1 and the associated 8XX tag will remain for tracing. If a match is not found or the match is untraced the 490 will be changed to a 490-0 and the 830 trace tag will be removed.

We at Backstage understand that many of you may not desire to move forward with abolishing the use of the 440 tag. To accommodate your needs we have kept as an option the ability to collapse the 490/830 tag to a 440. a description of how this option works follows.

### Previous Standard Series Processing – Pre July 2008

Previous standard MARS 2.0 series processing provides automated Authority Control supporting AACR2 and MARC21 standards and current cataloging practices, including the distinction between traced and untraced series.

The series tracing practice as recorded in the LC authority record plays a significant role in MARS 2.0 standard series processing. An authority record containing a Series Tracing Practice field (645 \$a) coded "t" indicates a series is to be traced. A series is treated as traced during MARS 2.0 processing if an authority record contains **any** 645 \$a coded as "t."

#### **400/410/411 Series Statements**

The pre-AACR2 400/410/411 fields serve as both descriptive notes (Series Statements) and access points (Series Added Entries). Each 400/410/411 heading is converted to the MARC21/AACR2 form of a separate Series Statement (490-1; Series traced differently) and Series Added Entry (8XX). The MARS 2.0 programs generate a parallel 800/810/811 for each 400/410/411 heading. The tag of the 4XX series statement is changed to 490 with first indicator value 1 (Series traced differently). Data from the original series note is retained in field 490, while the heading in the 8XX series added entry is changed to the established form of the heading.

#### **Examples**

##### **Original headings:**

100 1 \$aStrong, Anna Louise,\$d1885-1970.

400 11 \$aHer.\$tLetters from China,\$vv. 2

##### **Updated headings:**

100 1 \$aStrong, Anna Louise,\$d1885-1970.

490 1 \$aLetters from China,\$vv. 2

800 1 \$aStrong, Anna Louise,\$d1885-1970\$tLetters from China ;\$vv. 2.

##### **Original heading:**

490 1 \$aEmma Lord mystery

800 1 \$aDaheim, Mary.\$tEmma Lord mystery.

##### **Updated heading:**

490 0 \$aEmma Lord mystery

Since the authority record for the above example is untraced (lacks 645 \$a "t"), the 800 field is removed and the 490-1 is changed to 490-0. MARS 2.0 Series processing can retain untraced 8XX fields if the library requests it.

#### **Main Entry Represented by Pronoun**

Special pronoun processing routines are used whenever field 8XX is generated. There are 2 phases of the MARS 2.0 4XX series note processing.

#### **4XX Series Note Processing**

If a 400/410/411 field contains a second indicator with a value of 1 (main entry represented by pronoun), the 4XX \$a subfield data is replaced by the 1XX main entry in fields 800/810/811. The pronoun remains in resulting field 490.

## Examples

### Original headings:

110 11 \$aWisconsin.\$bLegislature.\$bLegislative Reference Bureau.

410 11 \$alts.\$tResearch bulletin,\$v78-RB-3

### Updated headings:

110 11 \$aWisconsin.\$bLegislature.\$bLegislative Reference Bureau.

490 1 \$aResearch bulletin,\$v78-RB-3

810 1 \$aWisconsin.\$bLegislature.\$bLegislative Reference Bureau.  
\$tResearch bulletin ;\$v78-RB-3.

## Pronoun Series Processing

In fields 400/410/411 with a second indicator of **0** (main entry not represented by a pronoun), MARS 2.0 processing checks the first 6 characters for any of the following words: "Its", "His," "Her," or "Their." If one of those words is found, it is replaced by the 1XX main entry in the 800/810/811 field. The pronoun remains in the resulting 490 field.

### Original heading:

410 10 \$aWisconsin.\$bLegislature.\$bLegislative Reference Bureau.  
\$tResearch bulletin,\$v78-RB-3

### Update headings:

490 1 \$aResearch bulletin ;\$v78-RB-3

810 1 \$aWisconsin.\$bLegislature.\$bLegislative Reference Bureau.  
\$tResearch bulletin ;\$v78-RB-3.

Note that pronoun processing is not appropriate for 440 fields, as some established series titles begin with a pronoun (for example, **His master's voice**).

## Collapsed 490/830 to 440 Series Statements – Pre July 2008

The 440 field served the dual purposes of a Series Statement and a Series Added Entry. MARS 2.0 processing did not change field 440 (Series Statement/Added Entry) if a related series authority record was not found (i.e., the heading was *unmatched*). Field 440 was also not changed if the series heading was not changed during the Authority Control process, i.e., the heading matched the established heading form as recorded in field 1XX of an authority record and the punctuation in the heading remained unchanged.

If the LC authority record indicated the established form of a series heading was different than the form recorded in field 440:

- The field was retagged as field 490 (Series Statement) with first indicator value 1 (series traced differently)
- Field 8XX (Series Added Entry) was added containing the established form of the heading

### Example

#### Original heading:

440 0 \$aDepartment of the Army pamphlet ;\$v27-50

#### Updated headings:

490 1 \$aDepartment of the Army pamphlet ;\$v27-50

830 0 \$aDA pam ;\$v27-50.

### Initial Article Series Note Processing for Collapsed 490/830 to 440 – Pre July 2008

The established form of series headings in LC authority records does not contain initial articles. To accommodate this practice, the MARS 2.0 software ignores initial articles **A** and **An** when matching a 440 series heading, regardless of the value in the filing indicator. If the 440 field, for example, contains the heading **A Barna report**, the matching software automatically checked for an authority record matching the form **Barna report**. Additional initial articles are ignored if the filing indicator is set. In the following example, the software ignores **The** during matching based on the filing indicator. The MARS 2.0 software checks the following languages during this step: English, French, German, Italian, Spanish.

### Example

#### Original heading:

440 4 \$aThe Rare book tapes.\$nSeries 1 ;\$v5

#### Updated headings:

490 1 \$aThe Rare book tapes. Series 1 ;\$v5

830 0 \$aRare book tapes. Pt 1, Series 1 ;\$v5.

### Untraced Series Note Processing

If a series heading matches the established heading (1XX) form in an LC authority record which indicates the series heading should be untraced, the 440 Series Statement/Added Entry field is retagged as a 490-0 Series Statement (series not traced).

### Example

#### Original heading:

440 0 \$aAmerican Paper Institute instrumentation program report

#### Authority record:

130 0 \$aAmerican Paper Institute instrumentation program report

645 \$an

#### Updated heading:

490 0 \$aAmerican Paper Institute instrumentation program report

### 490 / 8XX Series Statements

When a record contains both a 490-1 Series Statement (series traced differently) and an 8XX Series Added Entry field, the 8XX is provided normal MARS 2.0 Authority Control processing while the 490-1 heading is left as is.

## Example

### Original headings:

490 1 \$aBulletin / Maine Agricultural Experiment Station : 1975-1977

810 2 \$aLife Sciences and Agricultural Experiment Station.\$tBulletin.

### Authority record:

130 0 \$aBulletin (Life Sciences and Agriculture Experiment)

410 2 \$aLife Sciences and Agricultural Experiment Station.\$tBulletin

### Updated headings:

490 1 \$aBulletin / Maine Agricultural Experiment Station : 1975-1977

830 0 \$aBulletin (Life Sciences and Agriculture Experiment)

## Summary of 490/830 fields Not Collapsed – Post July 2008

1. Expand 440 fields to 490-1/830 pairs
2. Match the 830's during authority control
3. If the 830 does not find a match or if it matches an untraced authority record (645 \$a "n"), the 490-1/830 pair collapses into a 490-0
4. If a match is found, the 490-1/830 pair remains in the record

## Summary of 490/830 fields Collapsed to 440 – Pre July 2008

5. Expand 440 fields to 490-1/830 pairs
6. Match the 830's during authority control
7. If the 830 does not match or if it matches an untraced authority record (645 \$a "n"), the 490-1/830 pair collapses into a 490-0
8. If, after matching, the 490-1 and 830 are identical, they are collapsed back to a 440
9. If they differ, the 490-1/830 pair remains

## 490-0 Series Statements (Series Not Traced)

Series statements for untraced series (490 fields with first indicator zero) function as descriptive statements only and are not normally subject to Authority Control. Series tracing practice, however, has changed significantly over the years. LC had previously traced few series, so many series titles were recorded in a 490 Series Statement and coded as Series Not Traced (first indicator zero). Current practice is to trace most series. Standard MARS 2.0 series processing brings many bibliographic series statements in line with current practice.

In standard MARS 2.0 series processing, a 490-0 Series Not Traced field is not changed if a related series authority record could not be found (i.e., the heading is *unmatched*). Field 490-0 also remains unchanged if the heading matches the established heading in field 1XX of an authority record, and the authority record indicates the series should not be traced (645 \$a "n").

### Example

#### Original heading:

490 0 \$aAmerican Paper Institute instrumentation program report

#### Authority record:

130 0 \$aAmerican Paper Institute instrumentation program report

645 \$an

#### Updated heading (no change):

490 0 \$aAmerican Paper Institute instrumentation program report

Field 490-0 is changed to field 490/8XX if the heading matches a heading in an authority record that indicates the series should be traced (645 \$a "t").

### Example

#### Original heading:

490 0 \$aCampbell County history and genealogy

#### Authority record:

100 1 \$aHartman, Margaret Stregel.\$tCampbell County history & genealogy.

430 0 \$aCampbell County history and genealogy

645 \$at

#### Updated headings:

490 1 \$aCampbell County history and genealogy

800 1 \$aHartman, Margaret Stregel.\$tCampbell County history & genealogy.

### Trace All Series Processing

A special MARS 2.0 series processing option is provided for libraries that need to have all series headings recorded in 8XX fields, often due to local system indexing requirements. In the MARS 2.0 **Trace All** series processing option:

- Field 800/810/811 Series Added Entry is created for each pre-AACR2 field 400/410/411 (Series Statement/Added Entry)
- Field 830 (Series Added Entry) is created for each field 440 (Series Statement/Added Entry)
- Field 830 (Series Added Entry) is created for each field 490-0 (Series Statement, Series Not Traced)
- Field 830 (Series Added Entry) is created for each field 490-1 (Series Statement, Series Traced Differently) when the bibliographic record does not contain field 8XX (Series Added Entry)

After field 8XX (Series Added Entry) has been created for each series heading, the 8XX fields are subjected to normal MARS 2.0 Authority Control. Since the goal of MARS 2.0 **Trace All** series processing is to provide an indexable 8XX field for every series heading, an 8XX Series Added Entry is created for every series heading regardless of the tracing practice or match status of the headings.

**Note:** Please check with your local system vendor before selecting the **Trace All** option.

**Custom Series Processing**

MARS 2.0 Authority Control supports additional options for processing series headings. If the series processing options described do not meet your requirements, please discuss your requirements with your MARS 2.0 Authority Control team.