

*Introduction to
Serials Management*

by **MARCIA TUTTLE**
*Head, Periodicals and
Serials Department
University of North Carolina
at Chapel Hill Library*

with chapters by **LUKE SWINDLER**
*Social Science Bibliographer
University of North Carolina
at Chapel Hill Library*

NANCY I. WHITE
*Head, Serials Cataloging
University of North Carolina
at Chapel Hill Library*



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Preface

The idea for this book on serials management originated in the mid-1970s in the Library School Education Committee of the Serials Section, Resources and Technical Services Division, American Library Association. Each committee member was to write one chapter. The purpose of the book then, as now, was to provide a textbook for library school courses on serials management as an encouragement to library science faculty and administrators to include a serials course in the curriculum. The committee, in fact, had been created in response to practicing serials librarians who felt that their professional education had not prepared them for their responsibilities in the field of serials work. The primary audience for *Introduction to Serials Management*, then, is library school students and librarians who are new to serials work. But the authors hope that other librarians concerned about or involved with serials librarianship may learn or, at least, identify with the experiences illustrated in these pages.

The chapters in this book have been arranged in an orderly progression of serial functions, beginning with collection development: the selection, evaluation and related management issues of the serial collection. The next concern is acquisition: ordering, receiving, and paying for serials and sending them for further processing. Serial cataloging follows, with its discussion of the present code, AACR 2. Chapter 5 concerns the preservation of serials with emphasis on the traditional means of binding and microforms. Then serial public service covers topics ranging from circulation and periodical indexes through online reference services and the selective dissemination of information. The final chapter concerns resource sharing among libraries and the national and international developments that facilitate the cooperative use of serials.

There is an unavoidable academic library bias in this book since the authors are academic librarians, and libraries in academic institutions

are those most likely to have serials departments and staff members working exclusively with serials and serial related service. However, each author has made an effort to remember that librarians other than those in academic libraries work with serials.

A number of recent works on serials librarianship are available for readers who want to study serial management or some aspect of it in more depth. No one has yet surpassed Andrew Osborn in presenting the full range of the topic, and his third edition of *Serial Publications* was published in 1980. Clara D. Brown, with the assistance of Lynn S. Smith, published the second edition of her work, entitled *Serials: Past, Present and Future*, in 1980. Brown's first edition was limited to acquisitions, but the second, although still heavy on acquisitions, is somewhat expanded in scope. *A Practical Approach to Serials Cataloging*, by Lynn S. Smith, gives thorough coverage to the serials cataloging function up to the eve of the implementation of AACR 2, and there is in addition significant discussion of serial management in general. Bill Katz and Peter Gellatly published *Guide to Magazine and Serial Agents* several years ago. The content of their book is much broader than the title indicates, and this work is also recommended reading for librarians interested in serial management.

Several collections of articles, some based on conferences, have appeared within the past few months. William Gray Potter and Arlene Farber Sirkin edited *Serials Automation for Acquisition and Inventory Control*, papers from an ALA/Library and Information Technology Association institute held in 1980. Nancy Jean Melin coordinated *Microform Review's* First Annual Serials Conference, entitled "Serials Management in an Automated Age," and has edited its proceedings for 1982 publication. Pierian Press is launching a new series of collected articles, *Current Issues in Serials Management*, with Nancy Melin as series editor. The first volume, edited by Melin, is *The Serials Collection: Organization and Administration*. Volume 2, edited by Dianne Ellsworth, is *Union Lists: Issues and Answers*. Additional books on serials and serials management are in the final stages of preparation. This trend is entirely appropriate, for serials librarianship is changing rapidly as a result of the developments in computer technology. This serials librarian is grateful for each publication and the information and contribution to the management of serials it brings. This is an exciting time to be a serials librarian!

The final section of *Introduction to Serials Management* is an annotated bibliography of books, journals and articles useful to the serials librarian. The bibliography is divided into sources valuable in day-to-day work—Working Tools—and those that support the serials librarian's research—Research Tools. Within each category entries are classified according to the chapters of this book. An author/title index to the Annotated Bibliography permits the location of a specific work. Most of the Working Tools

will be part of a research library reference collection, if they are not housed in the serials unit. The Research Tools are generally recent books and articles, published in English, and to be found in a library science collection. The bibliography is not evaluative, and inclusion of a work does not indicate endorsement. The authors believe that readers of this book will welcome as extensive a collection as possible of opportunities for further reading.

Marcia Tuttle
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Introduction

Increasing interest in serials activities in libraries provides a ready audience for a text on serials management, and Marcia Tuttle assembled a wide range of material to provide such a book. In the dynamic field of serials, it is not easy to grasp the major movements and trends, but they are presented here in seven chapters. This introduction provides a brief overview of the chapters in this book with some comments on how this text provides essential background for the management of serials.

This is followed by discussion of some of the current developments in serials management. Most of these are fully covered by the text of this book, and all are part of the challenge which the management of serials provides.

Many of these developments are not really new, but these activities need reexamination and redefinition for those new to the profession and to rekindle interest and understanding in those already working with serials. Perhaps the most easily recognized trend is really the organization of serials work. New departments are being created and older ones are disappearing in an effort to integrate activities. Both are happening at about the same rate, but little has been done to measure effects or to determine which direction is administratively superior. Perhaps no general answer can be given because, despite some overarching similarities in serials work among libraries, local conditions are still local, and general rules are difficult to define.

Other management considerations for serials include: public service, the appearance of new titles, costs, the literature of serials librarianship, new guidelines, and cooperative activities. Each of these is discussed as a major management consideration and with the idea that reference should be made to the chapters in Tuttle for fuller discussion and analysis. First, an overview of Tuttle's book.

Tuttle offers seven chapters on serials work and a general statement about these chapters and their arrangement will place them into focus. The book first presents some history and some definitions to establish a framework for what follows.

An immediate way this book differs from others is the recognition of collection development as a necessary activity, and Chapter 2 is devoted to this topic. Very little is available in the literature on collection development for serials, but this is now changing. Aside from accurate identification, Swindler points to the need for on-going selection and evaluation in an organized program. A value of this chapter is the point that collection development is both done first and is an active program both before a library acquires and processes serials and after they become a part of the collections. Managers above the serials departmental level should take note of this and build development activities into library budgets and staffs.

Many activities in the acquisition of serials differ greatly from what happens with monographs. Tuttle points out some of these differences in her third chapter and offers numerous suggestions about their treatment. The actual activities are discussed without attempting to provide universal truths or an approach found in operational manuals. The discussion can easily be related to the chapter's bibliography and parallel sections found in the book's bibliography. In this way, Tuttle offers a basic text and an excellent guide to further details without repeating them.

The cataloging of serials frequently presents problems to both new and experienced librarians. The rules in the past were confusing if only because an attempt was made, often artificially, to differentiate serials. Within the rules in AACR 2 a new attempt is made to treat serials the same way as other materials are handled. Still, there are differences many of which relate to the nature of serials to change. These aspects of serials treatment are succinctly covered in White's fourth chapter.

Preservation is as important for serials as for other materials. Here, the obvious topics of binding and microforms are examined. But so also is the endemic problem of security. Restricted access and exit controls are explored as is the availability of photocopy. For this chapter an important supplement is the material in the general bibliography.

And this preservation activity is directly related to public service, the topic of Chapter 6. Suggestions on public records, availability, reference service, indexes, and bibliographic verification—all from the user viewpoint—are touched on. Librarians frequently forget that all librarians have one common goal, service to library patrons. No dichotomy should exist between public and technical service staffs, and this sixth chapter suggests ways to ease these differences.

Perhaps no technique will be more useful in providing uniform control of and access to serials than automation. Union lists, the activities of CONSER, international standards, the services of bibliographic utilities, and other types of resource sharing are all discussed. Some of these ways to service serials are only starting and will change dramatically in the 1980s. The information in this chapter is necessary background for a comprehension of the current state of the art and for managers to understand what will be taking place rapidly as the 1980s continue.

The last section of Tuttle's work is a bibliography which is about one-third of the whole work. Tuttle annotates 649 working and research tools which relate to current activities as well as interpretation and history. Both parts have a similar subject-oriented sub-arrangement reflecting standard activities such as collection development, cataloging, and public service. The strength of this listing makes it the basic bibliography for serials works through 1982. The volume of material on serials activities is clear evidence of the current awareness of serials and is a vivid statement of the quality of scholarship available from serials librarians.

An important trend is the development of public service for serials. Barbara Pinzelik is one who clearly identifies some of the problems[8]. From the viewpoint of serials management, one of her conclusions holds that "At each attempt at control, another possibility of error is introduced" (p.94). This perceptive comment, and article, suggests both some things which are desirable and some barriers which arise in convenient, rational serials control. Public service for serials is more fully discussed in Tuttle's Chapter 6.

Despite difficult financial situations in most of society, publishers continue to produce new serials. Many of these new titles are of some importance, and many will be wanted in libraries of all types. How will decision makers manage? The issues in this area involve: identifying serial publishers and why they issue so many new titles, the ways in which books and serials differ, guidelines on what to collect, and determinations of which titles are most used. These and other management challenges are examined by David Taylor in his new book [12]. These management problems are also covered by Swindler and Tuttle in Chapters 2 and 3.

Costs of serials are a major management consideration, and among the factors are: postal rates are now about twelve times what they were in the early 1960s; the cost of advertising and seeking renewals has risen at least equally; the cost of advertising per reader is far higher than the cost per viewer of television; dealers and jobbers now make service charges rather than giving discounts; and importantly, if not decisively, prices are rising. Each year *Library Journal* publishes a survey of these prices, an article which is required reading for managers. The 1982 survey by

Norman Brown [4] reports the "average 1982 subscription price of an American journal is \$44.80. This is a 14.5 percent increase from the 1981 average price . . ." As additional cost factors, Brown points out that most scholarly journals, issued by commercial publishers, increase in price each year; most of these titles are available to libraries only at institutional rates; and many more publishers are establishing institutional prices. The important factor here is that these rates range up to 100 percent above the subscription rate for individuals.

Another cost factor of considerable management importance is that online systems generally cost more to maintain than manual systems do; they take more time; and they are otherwise less efficient than manual systems, especially in providing positive public services.

The literature of serials work is rapidly growing and improving. Two books, both published in 1982, are examples. The book edited by Melin [7] discusses the organization of a collection of serials. The fourteen essays discuss many aspects of serials management and often look at both the present and what the future holds. The book edited by Gellatly [5] is specifically aimed at the management of serials automation problems. Here, two dozen articles and bibliographies provide a summary of and direction for these problems. Both books are essential for managers and set the tone of future developments for serials management activities.

An important trend in any management area is the existence and strength of this serial literature. Many professional serials contain some information on serials, but these appearances are sporadic in most journals. Since the disappearance of *Serial Slants* [9] two journals started in the mid-1970s fill a need for professional serials devoted to serials. *The Serials Librarian* [10] calls itself "The International Quarterly of Serials Management," and that ambitious phrase describes the journal well. This journal publishes articles in a wide range of management problems and also issues monographs which deal with the management of serials, such as the Gellatly book. These offer additional opportunities for serials experts to share their abilities in the control of serial publications. The success of *The Serials Librarian* clearly demonstrates the trends of development in serials management and also that experts in serials are essential to large libraries.

Another example of the special serial in this field is *Serials Review* [11]. This journal has greatly increased in value as a management tool. Not only are reviews and recommendations carried, but each issue tends to carry at least one long review article, for example, on little magazines or the titles from a single state. In 1982, this journal also carries a section called "Collection Management Resources." Many management problems are covered here, for example, serials administration, union lists, automation, cataloging, and issues on the control of serials at the international level.

From the trend of both these journals to publish articles of multi- and international interest as well as from the growth of international standards, a management trend becomes quite clear: the interest in serials is growing internationally, and the tendency to develop methods and systems which will work on the international level is obvious.

The development of new guidelines for various aspects of serials work is an answer to a need and a recognition that serial publications have special characteristics which require special controls. Perhaps the basic international document is *Guidelines for ISDS* [6]. While internal changes have been made, and other understandings have been accepted, a new edition of this document is slow to appear. This critical need may be met by the mid-1980s.

Meanwhile, other guidelines for various aspects of bibliographic control are becoming available. The *American National Standard for Serial Holdings Statements at the Summary Level* [1] was a long time in development, but is now a welcome document which can be used to forge national understandings and agreements used in shared programs. Another ANSI standard for holdings statements at the detailed level is being prepared.

An international effort in guideline development is one which had its start in IFLA: Jean Whiffin's *Guidelines for Union Catalogues of Serials* [14]. The first draft of this was issued in June 1981 and was distributed for comment in mid-1982. At this writing, two possibilities exist for publication: the full document will be issued outside the IFLA publishing program, and an abbreviated version, similar to the *Guidelines for ISDS* in detail, will be issued by IFLA. Both documents are needed to establish consistency in the bibliographic descriptions of serials in catalogs, both manual and online.

A fourth example of the guidelines trend is Marjorie Bloss' *Guidelines for Union Lists of Serials* [3]. The union list is not a new concept, but in the 1980s it has suddenly experienced new importance and growth, especially in the light of cooperation and machine-assisted systems.

Another standard which has received mixed reviews to date is the new edition of the *Anglo-American Cataloguing Rules* (AACR 2) [2]. These rules attempt to provide uniform rules for description which can be applied in a multi-national setting, and they provide rules for choice and form of headings and added entries which can be uniformly applied to all formats of material, serials being considered as a publishing condition and not as an expression of format. It is ironic but necessary that while emphasis on serials is growing, these rules tend to suppress the differences.

At the same time the fact that serials really do present special problems can be seen in the "rule interpretations" now being offered by the Library of Congress for certain cases in AACR 2. Only three of these will

make the point that the control of serials does present bibliographic situations which differ for serials. One of these is the addition of a new category to Rule 21.1B2, namely category "f" for cartographic items, some of which are serials. Another interpretation is to create situations in which uniform titles are to be used to differentiate non-distinctive titles which are the same.

The third interpretation is for the cataloging of microforms. AACR 2 holds that one catalogs what one has in hand and not what a title may have been. For microformats this means that catalog records describe the microform and reflect the original in a note, unless the production is an original microform. The Library of Congress' rule interpretation changes this to cataloging the original, a return to a practice of the past. This interpretation is bound to have many effects on the control of serial publications. It remains to be seen if these will result in better service for library users or not. The controversy on these aspects of the application of standards expressed in AACR 2 will be slow to change to consensus.

Cooperation as a management concern includes the four active bibliographic utilities in North America which are: Online Computer Library Center (OCLC), Research Libraries Information Network (RLIN), University of Toronto Library Automation Systems (UTLAS), and Washington Library Network (WLN).

OCLC, Inc. has both strengths and weaknesses which need to be carefully investigated before participation. While it is the largest library data base and also has the only online serial check-in system currently available from a utility, neither the utility nor the serials subsystem is operationally perfect. RLIN, UTLAS, and WLN do not have systems for serials check-in, although they are under discussion. From news reports alone, all the networks are undergoing change, have apparent functional and financial problems, and differ from one another in their qualities of bibliographic standards. None of these utilities is *the* national network. The United States has a long way to travel before that goal can be achieved.

The ideas and desire for national, if not international, cooperation in a single network, or a network of nodes, is surely present. This seems to be a trend, and at least the altruistic talk at conferences and in the literature indicates a desire for this trend to take shape.

While networks develop and grow, other changes are also taking place. As this is being written in September 1982, news that MIDLNET is folding its operations is reported. This can be taken as some evidence that network development is not always forward, but rather is still experimental and not always successful. Managers, take note.

Still another automation and cooperation area for managers to study is the growth of computer-based systems to control the ordering of

serial back issues. The Universal Serials and Book Exchange (USBE) provides some back issues through the Bibliographic Retrieval Services (BRS). F.W. Faxon has another system, LINX, which offers online check-in capability and access to other Faxon files, as well as automatic claiming. The LINX system is especially valuable for the many management reports which it provides. The California Library Authority for Systems and Services (CLASS) offers Checkmate, a microcomputer system for serials control including check-in, claiming, financial control, and other functions. This form of serials work is rapidly developing and will see many changes during the 1980s.

Among new developments in the 1980s for serials is the growth of techniques for document delivery by electronic means. The major work in this area is currently European, with some in Great Britain. A summary of some of these programs, ADONIS, ARTEMIS, AND DIANE, for example, is included in Benita Weber's "The Year's Work in Serials: 1981"[13]. An alert manager of serials work will study these developments and the possible appearance of these projects, or similar ones, in the United States. Will they be incorporated in operational facilities? Will new networks arise which will provide these systems? Are these projects capable of answering the needs of American libraries? These and many other questions are among the serials automation challenges of the 1980s.

These are a few of the major aspects of serials management needing consideration in libraries of all sizes and types. It is hard to say which is paramount; each has importance; and all are, to some degree, interdependent. Each of these management factors, as well as many others, is discussed in the chapters of Marcia Tuttle's book. The manager who studies them will have a solid foundation for understanding how serials are a part of library activity and why their management is an important library administration challenge for the 1980s.

Neal L. Edgar
Associate Curator
Special Collections
Kent State University Library

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