

February 5, 2019: Per Les Hawkins, if you are reasonably sure that the online surrogate is the same as the print (pdf or jpeg) then you can use the online surrogate as the "piece in hand," as instructed in CEG B4.3.4 and CCM 3.1.4. This applies to establishing records based on the earliest issue as well as upgrading records to RDA. But a) be conservative and b) do not change a title based on an online surrogate if you do not have the same source of title as the description that you're using. HathiTrust and other clearly digitized versions are acceptable as the "piece in hand."

3.1.4 Surrogates

In some cases, the earliest issue of a print serial is not available, but the cataloger has a surrogate with adequate information to complete the description. In other cases, a more recent issue of the print serial is not available, but a surrogate is. The surrogate may be a scanned or faxed image of the preferred source or it may be a facsimile online version. Cite surrogates according to one of the patterns below:

Situation #1. Photocopies and scanned images of print (either earlier or more recent issues)

```
588 ## $a Description based on: ... (surrogate); title from [title page,
      cover, etc.].
588 ## $a Latest issue consulted: ... (surrogate).
```

Example: Cataloger has a photocopy of the cover of the volume 1, number 1; and has print issues for volume 2, number 1 through volume 13, number 10.

```
588 ## $a Description based on: Volume 1, number 1 (January
      2001)(surrogate); title from cover.
588 ## $a Latest issue consulted: Volume 13, number 10 (October 2013).
```

Situation #2. Facsimile online versions (either earlier or more recent issues)

```
588 ## $a Description based on: ... (online surrogate); title from
      [title page, cover, etc.] ([source], viewed ...).
588 ## $a Latest issue consulted: ... (online surrogate) ([source],
      viewed ...).
```

Example: Cataloger has print issues for volume 1, number 1 through volume 4, number 12; but has access to PDF surrogates for all issues through volume 13, number 10. In addition, the cataloger has evidence that the publication is still available in print.

```
588 ## $a Description based on: Volume 1, number 1 (January 2001);
      title from cover.
588 ## $a Latest issue consulted: Volume 13, number 10 (October 2013)
      (online surrogate) (publisher's website, viewed December 10,
      2013).
```

Note that in both cases, the cataloger is describing the *print* manifestation. The surrogates allow the cataloger to:

- establish a record based on the earliest issue; or
- enhance a record based on more recent information from a trusted surrogate.