

# Microform Serials Cataloging

Created by Margaret Christean, May 7, 2010

Approved by: Serials Cataloging Fun Group, May 21, 2010

Reviewed by: Renee Chin, May 8, 2017

## [1. Introduction](#)

## [2. Resources to consult](#)

## [3. First step: determine the type of microform](#)

## [4. Reproduction microforms](#)

### [Definition](#)

[Cataloging policy: prefer single record](#)

[Cataloging of reproduction microform serials, steps to follow](#)

[Example](#)

## [5. Originally issued microforms](#)

### [Definition](#)

[Example](#)

## [6. Preservation microforms](#)

### [Definition](#)

[Cataloging policy: use separate record](#)

[Workflow for cataloging preservation microform serials](#)

[Example](#)

## [7. Accompanying materials](#)

## **1. Introduction**

These procedures describe the cataloging of three types of microform serials: reproduction microforms, originally issued microforms, and preservation microforms. The procedures apply to the two most common microformats: microfilm and microfiche. For cataloging microform monographs, see: [Microforms: Copy Cataloging Notes](#).

The intent of this document is to emphasize local procedures, and not to repeat the comprehensive microform cataloging guidelines in the CONSER Cataloging Manual, Module 32.

## 2. Resources to consult

The best guide to consult for cataloging microforms is the CONSER Cataloging Manual, Module 32. This module provides CONSER standards as well as detailed instructions for cataloging microform serials.

Following RDA implementation, in 2013, the PCC Task Group on RDA Microform Reproductions Cataloging recommended maintaining the status quo as embodied in AACR2 LCRI 11 (with slight modifications). For the cataloging of microform reproductions of print resources in the RDA environment, consult the final reports on the [PCC website](#). The recommendations for the interim approach are also outlined in LC-PCC PS 1.11.

For inputting guidelines for original and reproduction microforms, also consult the CONSER Editing Guide, Appendix M.

For preservation microforms, also follow the standards in the [ARL Guidelines for Bibliographic Records for Preservation Microform Masters of Serials](#).

## 3. First step: determine the type of microform

The first step in cataloging microform serials is to determine the type of microform to be cataloged. Decide if it is a reproduction microform, an originally issued microform, or a preservation microform.

For help in making this decision, see the CONSER Cataloging Manual, Module 32.1, Decisions that affect the bibliographic treatment of microforms. Also, see the definitions in this document. After determining the type of microform, go to the designated section in this document for further instructions. If it is a reproduction microform, go to [section 4](#). If it's an originally issued microform, go to [section 5](#). If it's a preservation microform, go to [section 6](#).

## 4. Reproduction microforms

*Definition: A reproduction microform is a work having a bibliographic and/or physical identity which pre-exists that of the microform.* (CONSER Cataloging Manual, Module 32)

The majority of serial microforms received for cataloging are reproduction microforms.

**Cataloging policy:** The overall policy for cataloging reproduction microform serials is to prefer the single record technique, attaching checkin and item records for the microform to the bibliographic record for the original manifestation, generally the print version of the resource. However, this is not a hard and fast rule. If it makes more sense to use a matching microform record because it is more complete, use the microform record.

**Cataloging of reproduction microforms, steps to follow:**

a. Search Millennium and OCLC for copy and select the bibliographic record to use.

- If a record for the print serial is found in Millennium, use it. No editing of the bibliographic record is required. Fix the branch coding (if needed, change it to "multi"), attach a checkin and item record for the microform, and you're done.
- If no record for the print serial is found in Millennium, but there is a record for the print version on OCLC, use it. No editing of the bibliographic record is required.
- If there is no matching print record on OCLC, but there is a matching microform record, use it. No editing of the bibliographic record is required.
- If both microform and print records exist on OCLC, but the microform record is fuller and more accurate, use it.
- If no usable record is available on OCLC, create an original record, following the guidelines in the CONSER Cataloging Manual, Module 32. Also, follow LC-PCC PS 1.11 and the editing guidelines in CCM Module Appendix M, Reproduction Microforms.

Example of an original record for a reproduction microfilm serial:

b27355597 Last Updated: 05-11-2016 Created: 11-12-1990 Revisions: 24				
LANG	eng English	CAT DATE	04-07-2010	R CTRL CD -
SKIP	0	MAT TYPE	s SERIALS	COUNTRY cau California
BRANCH	gslw Geisel West	SCOPE		

```

MARC Leader #####cas a22#####la 4500
o 001 10592625
y 005 20150108233905.0
y 007 hd afa015baca
y 008 840404d19131964cauwr pea 0 0eng d
q 035 (OCoLC)10592625
y 040 CUS|cCUS|dOCL|dCUS|dUtOrBLW
y 043 n-us-ca
t 245 0 0 La Jolla journal
p 260 La Jolla, San Diego County, Cal :|bBohannan & Brown
r 300 volumes :|billustrations
r 310 Weekly
r 336 text|btxt|2rdacontent
r 337 microform|bh|2rdamedia
r 338 microfilm reel|bhd|2rdacarrier
r 362 1 Began publication in 1913
r 362 0 -v. 52, no. 43 (Oct. 29, 1964)
n 500 Description based on: Vol. 7, no. 8 (Apr. 11, 1919)
n 533 Microfilm.|bWhittier, Calif. :|cData Microfilming Corp.|emicrofilm reels ; 35 mm
d 651 0 La Jolla (San Diego, Calif.)|vNewspapers
z 785 0 7 |tLa Jolla light (1922)|w(OCoLC)10592617
z 785 0 7 |tLa Jolla light and La Jolla journal|w(OCoLC)10592610
y 910 Sent for UCSD reclamation 090531
y 910 Returned from Reclamation 090518
y 910 MARS
y 910 RDA ENRICHED
y 994 C0|bcUS
  
```

b. Assign call number. Microforms use an accession type call number. See: [UC San Diego Call Number Policy and Practices](#).

c. Attach a checkin record. For location codes, see: [Microforms: Roger Branch & Item Location Codes](#). Example of a reproduction microfilm serial checkin record:

Summary	Record c1925684	Card c1925684	Holdings c1925684	Routing c1925684(0)	0 Bib-Level Holds
c1925684 Last Updated: 08-08-2011 Created: 01-23-1996 Revisions: 13					
LABEL TYPE	d sp 1, lbl 2	LOCATION	cf Microforms, Geisel Floor2 Wes	UPDCNT	
C ACTIVITY	i INACTIVE	RLOC	s CUL SER ACQ	PCOUNT	8224
CAT TRMNT	-	VENDOR	none none	ECHECKIN	
COPIES	1	ACQTYPE(C)		MEDIA TYPE	
CLAIMON	- -	FORMAT(C)	i MICROFILM		
<b>MARC Leader</b> #####ny 22#####3n 4500					
y	007	hd	--		
y	008	0906120u	0 0001uueng0000000		
c	099	XF	2398		
h	866	0	80 a10,12,18-35,37-60 (1982-JUL1986)		

d. Attach an item record. For location codes, see: [Microforms: Roger Branch & Item Location Codes](#). Example of a reproduction microfilm item record:

Summary	Record i35707896	0 Item-Level Holds	0 Bib-Level Holds
i35707896 Last Updated: 07-01-2015 Created: 01-23-1996 Revisions: 15			
C	1	LCHKIN	- - : LOC cf Microforms, Geisel Floor2 West
ICODE1	0	INVDA	- - LOANRULE 0
ICTRL CD	-	IN LOC	0 STATUS - AVAILABLE
I TYPE	12 Microfilm - Not Newspapers	# RENEWALS	0 INTL USE 0
PRICE	\$0.00	# OVERDUE	0 COPY USE 0
OUT DATE	- - :	ODUE DATE	- - IMESSAGE
OUT LOC	0	RECAL DATE	- - OPACMSG
DUE DATE	- -	TOT CHKOUT	0 YTDCIRC 0
PATRON#	0	TOT RENEW	0 LYRCIRC 0
LPATRON	0	LOUTDATE	- - : Sticky Status
c 099 XF 2398			

e. Physical processing. Give the serial microform (with the checkin record number) to Serial Acquisitions staff. They will attach a label and send it to the first floor for shelving.

## 5. Originally issued microforms (also called micropublications):

Definition: *A microform that is first issued in microform (usually microfiche), rather than being reproduced from an existing publication.* (CONSER Cataloging Manual, Module 32)

This type of microform format is not a common one today. The library has not received an originally issued microform serial for cataloging in many years.

Originally issued microforms are cataloged according to AACR2 chapter 11, CCM 32.2, RDA chapter 5, and need to be cataloged using a microform record.

Some originally issued microforms were also simultaneously published in print. This type of microform is treated as an originally issued microform because the print does not “pre-exist” the microform. (CCM 32.1.1.)

When cataloging original microforms, follow the guidelines in this chart below (from the CONSER Editing Guide, Appendix M):

### 1. Original Microforms

Original microforms are cataloged according to AACR2 chapters [1](#), [11](#), and [12](#).

<u>TAG</u>	NAME	INSTRUCTIONS/COMMENTS
<a href="#">008</a> <a href="#">/22</a> <a href="#">/23</a>	Fixed-length data elements Form of original item (PHYS MED) Form of item (REPR)	Code all elements for the microform. Code for form of microform (e.g., a (microfilm), etc.) Give same code as in <a href="#">008/22</a> .
<a href="#">007</a>	Physical description fixed field	Optional
<a href="#">245</a> <a href="#">\$h</a>	Title statement GMD	Add "[microform]" following title proper.
<a href="#">260</a>	Publication, distribution, etc.	Give place and name of micropublisher and date of micropublishing.
<a href="#">300</a> <a href="#">\$a</a> <a href="#">\$b</a> <a href="#">\$c</a>	Physical description Extent of item Other physical details Dimensions	"microfiches", "microfilm reels", etc. Microfiche—give height and width in cm. (when other than 11 x 15 cm.) Microfilm—give width in mms.

Example of an originally issued microform serial:

LC		10224088		No holdings in CUS – no other holdings						
Continuing Resources		Rec_stat	c	Entered	19831215	Replaced	20150405050658.1			
Type	a	ELvl	l	Srce	d	GPub	s	Ctrl	Lang	eng
BLvl	s	Form	b	Conf	0	Freq	u	MRec	Ctry	cau
S/L	0	Orig	b	EntW	c	Regl	u	Alph	a	
Desc	a	SrTp		Cont		DtSt	c	Dates	1979	, 9999
007		h #b e #d b #e m #f u--- #g b #h u #i c #j u								
040		CUT #b eng #c CUT #d CUS #d OCLCQ #d CUS #d OCLCQ #d OCLCF #d OCLCO								
043		n-us-ca								
090		Z6945 #b .U636								
049		CUSL								
110	2	<a href="#">University of California, San Diego</a> . #b <a href="#">University Library</a> .								
245	1 0	UCSD libraries serial record #h [microform].								
260		[San Diego, Calif. : #b The Library]								
300		microfiches ; #c 11 x 15 cm								
336		text #b txt #2 rdacontent								
337		microform #b h #2 rdamedia								
338		microfiche #b he #2 rdacarrier								
362	1	Began in 1979.								
588		Description based on: Apr. 1980; title from eye-readable header.								
610	2 0	<a href="#">University of California, San Diego</a> . #b <a href="#">University Library</a> #v <a href="#">Catalogs</a> .								
650	0	<a href="#">Periodicals</a> #v <a href="#">Bibliography</a> #v <a href="#">Catalogs</a> .								
650	0	<a href="#">Serial publications</a> #v <a href="#">Bibliography</a> #v <a href="#">Catalogs</a> .								
610	2 7	University of California, San Diego. #b University Library. #2 fast #0 (OCoLC)fst00594642								
650	7	Periodicals. #2 fast #0 (OCoLC)fst01058072								
650	7	Serial publications. #2 fast #0 (OCoLC)fst01113123								
655	7	Bibliography #v Catalogs. #2 fast #0 (OCoLC)fst01423688								
655	7	Catalogs. #2 fast #0 (OCoLC)fst01423692								
780	0 0	University of California, San Diego. University Library. #t UCSD Library university list serials #w (OCoLC)4823954								
936		Apr. 1980								

## 6. Preservation microforms (also called preservation masters or microform masters):

Definition: *A first-generation or camera microfilm produced according to archival standards and stored under archival conditions. It is generally used only to produce printing masters.* (CONSER Cataloging Manual, Module 32)

Generally, the titles selected for preservation microfilming come from the Libraries' unique collections. For instance, these titles reflecting Melanesia, Latin America, and local San Diego publications were sent for preservation microfilming: Zeta (Tijuana, Baja California, Mexico), Vanua-aku viewpoints, and Gay & lesbian times.

The description and examples below cover only serials in microfilm, not in any other microformat, because that is the only serial format that has been sent for preservation in recent years.

**Cataloging policy:** Original separate records are created for preservation microform serials. The single record approach is not used because so many details unique to the preservation microform need to be recorded.

This one separate original record, however, can represent the preservation master, the service copy, and if generated, the printing master. In the past, UCSD has not created printing masters for serials. Printing masters were created for 9 other titles in our collection (8 monographs and 1 collection of photographs). The printing masters can be identified by call number prefix: XPM.

When a record represents more than one generation, separate 007 fields are added for each generation. The preservation master, print master, and the service copy generations are identified in subfield \$i of the 007 field.

Example of 007's showing \$i c = service copy, \$i a = preservation master, and \$i b=printing master:

007		h #b d #d a #e f #f a015 #g b #h a #i c #j p
007		h #b d #d b #e f #f a015 #g b #h a #i a #j p
007		h #b d #d b #e f #f a015 #g b #h a #i b #j p

### Workflow for cataloging preservation microform serials:

1. A bibliographer selects a serial title for preservation microfilming and notifies the Preservation Dept.
2. The Preservation staff begins preparation for microfilming. This includes a page by page review of each issue.
3. The Preservation staff notifies the serials cataloger that the resource needs cataloging.

4. The serials cataloger examines the print issues of the serial and creates an original OCLC microform record, following the instructions in the CONSER Cataloging Manual Module 32.3, Cataloging Reproduction Microforms. Also consult RDA App. J for equivalent relationships specific to preservation facsimiles. The cataloger adds the record to Millennium. The record is created before the issues are sent for filming. This is called prospective cataloging. Add a “to be filmed” note to the 533 subfield \$d field to alert other institutions that the serial will be sent for preservation microfilming. Example:

```
n 533 Microfilm. |bLa Jolla, CA :|c
      Filmed for the University of California, San Diego by UCLA Micrographics, |d
      to be filmed 1992. |e microfilm reels ; 35 mm
```

Preservation microfilming is a labor intensive and expensive process. This 533 \$d note is added to prevent duplication of effort by other institutions.

Beyond these instructions, the cataloger adds the following fields:

500 \_\_ Master microform held by: CUS. *[This field is added to both OCLC and Millennium records]*

793 0\_ UCSD master microfilm collection. *[This field is added only to the Millennium record]*

Example of an original record for a preservation microfilm serial (no print master):

b34431305 Last Updated: 04-07-2010 Created: 06-22-1995 Revisions: 52					
LANG	crp Creoles & Pidgins (Other	CAT DATE	06-22-1995	R CTRL CD	-
SKIP	0	MAT TYPE	s SERIALS	COUNTRY	pp Papua New Guinea
BRANCH	multi	SCOPE			

MARC Leader #####nas 22#####1a 4500

LIBRARY cul ,srlf

```
o 001 32691987
y 007 hd afa014bacp
y 007 hd bfa014baap
y 008 950622c19uu9999pp wr n a 0 0crp d
y 040 CUS|cCUS
t 245 0 0 Wantok|h[microform]
p 260 Hohola [Port Moresby, Papua New Guinea] :|b
      Printed and published by Anna Bernadette Solomon,
r 300 v. :|bill. ;|c41 cm
r 310 Weekly
n 500 Description based on: Namba 701 (3-9 Desemba 1987)
n 500 "The Pidgin newspaper for Papuans and New Guineans."
n 500 Master microform held by: CUS
n 525 Supplements accompany some issues
n 533 Microfilm. |mnamba 58-1174 (Desemba 20,1972-Desemba 30,1996):[Gaps]|bLa Jolla, CA :|c
      Filmed for the University of California, San Diego by University of California
      Reprographic Service, |d1995. |emicrofilm reels ; 35 mm. |nSupplements accompany some issues
d 651 0 Papua New Guinea|vNewspapers
u 793 0 UCSD master microfilm collection
u 793 0 Melanesian Collection
w 776 1 |c0original|w(0CoLC)5902295
```

5. The serials cataloger adds two checkin records to the bibliographic record for the preservation microfilm, one for the service copy, and one for the preservation microfilm. The holdings for the service copy and the SRLF preservation microfilm copy are identical. The cataloger assigns call numbers to the checkin records. The call number prefix “XF” is assigned to SSH microfilm, and prefix “XMM” is assigned to SRLF preservation microfilm titles.

Example of a checkin record for the service copy generated from the preservation microfilming process:

c1153560 Last Updated: 11-19-2009 Created: 05-19-1987 Revisions: 70					
LABEL TYPE	e sp 2, lbl 2	LOCATION	cf SSH Micro	UPDCNT	
C ACTIVITY	i INACTIVE	RLOC	p CUL SER REC	PCOUNT	0
CAT TRMNT	-	VENDOR	none	ECHECKIN	
COPIES	1	ACQTYPE (C)	p PURCHASE	MEDIA TYPE	
CLAIMON	- -	FORMAT (C)	i MICROFILM		

  

MARC Leader #####ny 22#####3n 4500

y 007 hd |---|

y 008 0906120u 0 0001uueng0000000

c 099 XF 1204

h 866 0 |80|a  
58-220,229-343,418-452,500-589,591-778,823,873-907,909-922,924,931-1006,1008-1434,1486-1742 (1972-19DEC2007)

Example of the checkin record for the SRLF preservation microfilm for the same title:

c1908327 Last Updated: 11-19-2009 Created: 06-22-1995 Revisions: 45					
LABEL TYPE	d sp 1, lbl 2	LOCATION	lf SRLF Gen. Coll.	UPDCNT	- UNDEFINED
C ACTIVITY	i INACTIVE	RLOC	p CUL SER REC	PCOUNT	0
CAT TRMNT	-	VENDOR	none none	ECHECKIN	- NONE
COPIES	11	ACQTYPE (C)		MEDIA TYPE	- NONE
CLAIMON	- -	FORMAT (C)			

  

MARC Leader #####ny 22#####3n 4500

y 007 hd bfa014baap

y 008 0906120u 0 0001uueng0000000

c 099 XMM 68

h 866 0 |80|a  
58-220,229-343,418-452,500-589,591-778,823,873-907,909-922,924,931-1006,1008-1434,1486-1742 (1972-19DEC2007)

h 866 0 |80|zMaster negative

n All holdings of pres micro will be sent from vault to SRLF in Feb. 99.mc990119

n 122-130,163,203,221-228,252,259,307,344-417,447-449 missing.mc

n Do not merge this bib record with the separate bib for paper.Need to keep separate bib. records if have preserv. micro) mc95114

6. The serials cataloger adds two item records to the bibliographic record for the preservation microfilm, one for the service copy, and one for the preservation microfilm.

Example of the item record for the service copy generated from the preservation microfilming process:

i23459943 Last Updated: 04-28-2010 Created: 11-09-1990 Revisions: 19					
C	1	LCHKIN	- - :	LOC	cf SSH Micro
ICODE1	0	INVDA	- -	LOANRULE	0
ICTRL CD	-	IN LOC	0	STATUS	- AVAILABLE
I TYPE	11 Microfilm - Newspapers	# RENEWALS	0	INTL USE	0
PRICE	\$0.00	# OVERDUE	0	COPY USE	0
OUT DATE	- - :	ODUE DATE	- -	IMESSAGE	k
OUT LOC	0	RECAL DATE	- -	OPACMSG	-
DUE DATE	- -	TOT CHKOUT	0	YTDCIRC	0
PATRON#	0	TOT RENEW	0	LYRCIRC	0
LPATRON	0	LOUTDATE	- - :		

c 099 XF 1204  
 x After microfilming send unbound issues to Kathy Creely, 0175R/RES/bc09/27/00  
 x Melanesian Collection. Do not withdraw. Do not relocate to Annex or SRLF

Example of the item record for the SRLF preservation microfilm for the same title. Status is coded as “p”:

i34795066 Last Updated: 04-28-2010 Created: 06-22-1995 Revisions: 20					
C	1	LCHKIN	- - :	LOC	1f SRLF Gen. Coll.
ICODE1	0	INVDA	- -	LOANRULE	0
ICTRL CD	1 CIRCUIT NODIS	IN LOC	0	STATUS	p STAFF ONLY
I TYPE	11 Microfilm - Newspapers	# RENEWALS	0	INTL USE	0
PRICE	\$0.00	# OVERDUE	0	COPY USE	0
OUT DATE	- - :	ODUE DATE	- -	IMESSAGE	-
OUT LOC	0	RECAL DATE	- -	OPACMSG	-
DUE DATE	- -	TOT CHKOUT	0	YTDCIRC	0
PATRON#	0	TOT RENEW	0	LYRCIRC	0
LPATRON	0	LOUTDATE	- - :		

c 099 XMM 68

7. After cataloging, the serials cataloger sends a copy of the OCLC record to the Preservation staff to include in the “target” screen. The target screen generally appears on the film preceding the document.

8. The Preservation staff sends the issues to UCLA for filming. The microfilming process produces two "generations" of microform, the preservation master and the service copy. The resulting preservation microfilm reels are sent directly to SRLF, where they are housed under archival conditions; these preservation reels do not come back to UCSD. Only the corresponding service copy reels are sent back to the Preservation Dept.



Summary	Record c1218967	Card c1218967	Holdings c1218967	Routing c1218967(0)	0 Bib-L
---------	-----------------	---------------	-------------------	---------------------	---------

c1218967 Last Updated: 08-08-2011 Created: 12-30-1987 Revisions: 29

LABEL TYPE	h NO LABEL	LOCATION	cchcc Microform Guides, Geisel Floor2 West	UPDCNT
C ACTIVITY	i INACTIVE	RLOC	s CUL SER ACQ	PCOUNT
CAT TRMNT	-	VENDOR	none	ECHECKIN
COPIES	1	ACQTYPE(C)	- ---	MEDIA TYPE
CLAIMON	- -	FORMAT(C)	p PRINTED	

MARC Leader #####ny 22#####3n 4500  
y 007 hd |||---|||  
y 008 0906120u 0 0001uueng0000000  
c 099 XF 919 Index  
h 866 0 |80|a1983-1988 (1983-1988)

Item record for accompanying material:

Summary	Record i61563766	0 Item-Level Holds	0 Bib-Level Holds
---------	------------------	--------------------	-------------------

i61563766 Last Updated: 07-01-2015 Created: 05-01-2007 Revisions: 15

C	1	LCHKIN	- - :	LOC	cchcc Microform Guides, Geisel Floor2 West
ICODE1	0	INVDA	- -	LOANRULE	0
ICTRL CD	-	IN LOC	0	STATUS	o LIBRARY USE ONLY
I TYPE	4 Annuals	# RENEWALS	0	INTL USE	0
PRICE	\$0.00	# OVERDUE	0	COPY USE	0
OUT DATE	- - :	ODUE DATE	- -	IMESSAGE	-
OUT LOC	0	RECAL DATE	- -	OPACMSG	-
DUE DATE	- -	TOT CHKOUT	0	YTDCIRC	0
PATRON#	0	TOT RENEW	0	LYRCIRC	0
L Patron	0	LOUTDATE	- - :	Sticky Status	

c 099 XF 919 Index  
v 1988  
b 31822033776964

Call number: Use the call number assigned to the microform set. Insert call number in a 099 field and record the identifying term(s) following the call number:

EXAMPLE --> 099 \_\_ XF 1234 Guide