Microform Serials Cataloging

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:

```
<marc:leader>
  o:001 10592625
  y:005 20160108233905.0
  y:007 h:afa015baca
  y:008 840404d19131964cauwr pea 0 0 eng d
  q:005 (OCoLC)10592625
  y:040 CUS|CUS|dOCL|dCUS|dUtOrBLW
  y:043 n-us-ca
  t:245 La Jolla journal
  p:260 La Jolla, San Diego County, Calif. ; Bohannon & Brown
  r:300 volumes ; illustrations
  r:310 Weekly
  r:336 text bxxt2rdcontent
  r:337 microform bxh2rdamedia
  r:338 microfilm reel bxh2rdcarrier
  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 ; b:Whittier, Calif. ; c:Data Microfilming Corp ; e:Microfilm reels ; 35 mm
  d:851 0 La Jolla (San Diego, Calif.) ; w:Newspapers
  z:785 0 7 [La Jolla light (1922)] w:OCoLC)10592617
  z:785 0 7 [La 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 CO|bCUS
```

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

<table>
<thead>
<tr>
<th>LABEL TYPE</th>
<th>C ACTIVITY</th>
<th>LOCATION</th>
<th>C AT TRMTN</th>
<th>COPIES</th>
<th>CLAIMON</th>
</tr>
</thead>
<tbody>
<tr>
<td>i sp 1, lbl 2</td>
<td>i INACTIVE</td>
<td>RLOC</td>
<td>VENDOR</td>
<td>none</td>
<td>-</td>
</tr>
</tbody>
</table>

MARC Leader info

```
y 007 
008 0506120u 0 0001u0eng0000000
```

c. Attach an item record. For location codes, see: Microforms: Roger Branch & Item Location Codes. Example of a reproduction microfilm item record:

<table>
<thead>
<tr>
<th>C I CODE</th>
<th>I CTRL CD</th>
<th>I TYPE</th>
<th>PRICE</th>
<th>OUT DATE</th>
<th>OUT LOC</th>
<th>DUE DATE</th>
<th>PATRON</th>
<th>LPATRON</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>-</td>
<td>Microfilm - Not Newspaper</td>
<td>$0.00</td>
<td>-</td>
<td>0</td>
<td>-</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

```
<table>
<thead>
<tr>
<th>LOC</th>
<th>LOC</th>
<th>LOC</th>
<th>LOC</th>
<th>LOC</th>
<th>LOC</th>
<th>LOC</th>
<th>LOC</th>
<th>LOC</th>
</tr>
</thead>
<tbody>
<tr>
<td>INVDA</td>
<td>IN LOC</td>
<td># RENEWALS</td>
<td># OVERDUE</td>
<td>ODUE DATE</td>
<td>RECAL DATE</td>
<td>TOT CHKOUT</td>
<td>TOT RENEW</td>
<td>LOUTDATE</td>
</tr>
</tbody>
</table>
```

```
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.

<table>
<thead>
<tr>
<th>TAG</th>
<th>NAME</th>
<th>INSTRUCTIONS/COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>008</td>
<td>Fixed-length data elements</td>
<td>Code all elements for the microform.</td>
</tr>
<tr>
<td></td>
<td>Form of original item (PHYS MED)</td>
<td>Code for form of microform (e.g., a (microfilm), etc.)</td>
</tr>
<tr>
<td></td>
<td>Form of item (REPR)</td>
<td>Give same code as in 008/22.</td>
</tr>
<tr>
<td>007</td>
<td>Physical description fixed field</td>
<td>Optional</td>
</tr>
<tr>
<td>245</td>
<td>Title statement</td>
<td>Add &quot;[microform]&quot; following title proper.</td>
</tr>
<tr>
<td>260</td>
<td>Publication, distribution, etc.</td>
<td>Give place and name of micropublisher and date of</td>
</tr>
<tr>
<td></td>
<td></td>
<td>micropublishing.</td>
</tr>
<tr>
<td>300</td>
<td>Physical description</td>
<td>&quot;microfiches&quot;, &quot;microfilm reels&quot;, etc.</td>
</tr>
<tr>
<td></td>
<td>Extent of item</td>
<td>Microfiche—give height and width in cm. (when other than 11 x 15 cm.)</td>
</tr>
<tr>
<td></td>
<td>Other physical details</td>
<td>Microfilm—give width in mm.</td>
</tr>
<tr>
<td></td>
<td>Dimensions</td>
<td></td>
</tr>
</tbody>
</table>
Example of an originally issued microform serial:

<table>
<thead>
<tr>
<th>LC</th>
<th>10224088</th>
<th>No holdings in CUS - no other holdings</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Type</th>
<th>a</th>
<th>Level</th>
<th>b</th>
<th>Srce</th>
<th>d</th>
<th>CRec</th>
<th>s</th>
<th>Ctrl</th>
<th>Lang</th>
<th>Eng</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bldg</td>
<td>s</td>
<td>Form</td>
<td>b</td>
<td>Conf</td>
<td>o</td>
<td>Freq</td>
<td>u</td>
<td>MRec</td>
<td>Ctry</td>
<td>Cau</td>
</tr>
<tr>
<td>S/L</td>
<td>0</td>
<td>Orig</td>
<td>b</td>
<td>EntW</td>
<td>c</td>
<td>Regl</td>
<td>u</td>
<td>Alph</td>
<td>a</td>
<td></td>
</tr>
<tr>
<td>Desc</td>
<td>a</td>
<td>SrTp</td>
<td>Cont</td>
<td>c</td>
<td>D1St</td>
<td>c</td>
<td>Dates</td>
<td>1979</td>
<td>9999</td>
<td></td>
</tr>
</tbody>
</table>

007  h b e d b e m f u--- a 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 University of California, San Diego, b University Library.
245  1 0 UCSD libraries serial record t h [microform].
260  [San Diego, Calif. : b The Library]
300  microfiche : f 11 x 15 cm
336  text b txt t2 rdacontent
337  microform b h t2 rdamedia
338  microfiche b he t2 rdacarrier
362  1 Began in 1979.
588  Description based on: Apr. 1980; title from eye-readable header.
610  2 0 University of California, San Diego, b University Library t v Catalogs.
650  t v Periodicals
650  t v Serial publications
650  t v Bibliography
650  t v Catalogs
650  t2 fast 0 (OCoLC)fst00594642
650  7 Periodicals.
650  7 Serial publications.
650  7 Bibliography
655  7 Catalogs.
780  0 0 University of California, San Diego, University Library. t UCSD Library university list serials t 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 c d # d a # c e f # f a o 1 5 # g b # h a # i c # j p
| 007 | h # b d # d b # e f # f a o 1 5 # g b # h a # a i a # j p
| 007 | h # b d # d b # e f # f a o 1 5 # 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:

```
533 Microfilm.La 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 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):

```
001 32601987
007 h d a a 0 l d b a c p
007 b f a 0 l d b a c p
008 9 5 0 6 2 2 c 1 9 m u 9 9 9 9 p p w r n a 0 0 c r p d
040 C U S | c c U S
245 0 0 Wantok [microform]
260 Mohola [Port Moresby, Papua New Guinea] :b
   Printed and published by Anna Beznadette Solomon,
   v. : [bill. ; c 4 1 cm
310 Weekly
500 Description based on: Namba 701 (3-9 Desemba 1987)
500 "The Pidgin newspaper for Pauaans and New Guineans."
500 Master microform held by: CUS
525 Supplements accompany some issues
533 Microfilm.1 [namba 58-1174 (desemba 20, 1972-desemba 38, 1996):6aps]L a Jolla, CA c
   Filmed for the University of California, San Diego by University of California
   Reprographic Service.d 1995.e microfilm reels ; 35 mm.e Supplements accompany some issues
651 Papua New Guinea.vNewspapers
793 UCSD master microfilm collection
793 Melanesian Collection
776 [c]original.w(UCLC)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
```

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

```
c1908327  Last Updated: 11-19-2009  Created: 08-22-1995  Revisions: 45
LABEL TYPE  d sp 1, lbl 2  LOCATION  if  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  22450
y 007  hd | | | | |
y 008  0906120u  0  0001uweng000000
C 099  XF 1204
```

```
MARC Leader  22450
y 007  hd bfa014baap
y 008  0906120u  0  0001uweng000000
C 099  XMM 68
h 866  0  |80|a
```

```
h 866  0  |80|a

-- Master negative
n  All holdings of pres micro will be sent from vault to SRLF in Feb. 99.mc990119
n  122-139,163,203,221-228,252,259,307,344-417,447-449 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:

```
<table>
<thead>
<tr>
<th>C</th>
<th>ICODE</th>
<th>ICTRL CD</th>
<th>I TYPE</th>
<th>PRICE</th>
<th>OUT DTE</th>
<th>ODDUE DTE</th>
<th>ODDUE</th>
<th>PRINT</th>
<th>INSESSION</th>
<th>OPMK</th>
<th>LPRINT</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>0</td>
<td>-4</td>
<td>11</td>
<td>0.00</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>k</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>
```

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

```
<table>
<thead>
<tr>
<th>C</th>
<th>ICODE</th>
<th>ICTRL CD</th>
<th>I TYPE</th>
<th>PRICE</th>
<th>OUT DTE</th>
<th>ODDUE DTE</th>
<th>ODDUE</th>
<th>PRINT</th>
<th>INSESSION</th>
<th>OPMK</th>
<th>LPRINT</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>0</td>
<td>-4</td>
<td>11</td>
<td>0.00</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>k</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>
```

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.
9. After processing the returned service copy reels, the Preservation staff gives the reels to the serials cataloger and informs the cataloger of the filming reduction ratio. The cataloger adds the reduction ratio to the subfield $f$ of the 007 field on the OCLC and Millennium records.

Example of the 007 field with the reduction ratio of “015” added to $f$:

```
007 h b d d a t e f f f a015 g b h a c t j p
007 h b d d b t e f f f a015 g b h a t a t j p
```

10. The serials cataloger deletes the “to be filmed” note from the 533$d field on the OCLC and Millennium records. If the serial will not be filmed on an ongoing basis, the cataloger fills in the number of microfilm reels in the 533$e field.

11. The serials cataloger reviews the checkin record holdings to verify they are accurate and match the returned reels. Discrepancies are reported to the Preservation staff. If there are no problems, the cataloger gives the reels to Serials Acquisitions staff to label.

Only the initial set of microfilmed reels for a newly cataloged serial are sent to the serials cataloger from the Preservation Dept. Subsequently received service copy reels (for serials that are filmed on an ongoing basis) are sent directly from Preservation to Serials Acquisitions to be checked in and labeled; they do not come to the serials cataloger.

7. Accompanying materials

Serial microforms may be accompanied by indices or guides. This material is cataloged separately from the microform but generally receives the same call number as the microform it accompanies. Accompanying materials for microforms are housed in Geisel West (BRANCH: gslw) and Microform guides, Geisel West 2 (item/checkin LOC: cchcc).

Add a 590 note in the bibliographic record for the microform:

```
590 Guide shelved as: MICRO F 1111 Guide. Also in Ref: Ref LA229.M48 1977
```

Checkin record for accompanying material:

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
```
Item record for accompanying material:

<table>
<thead>
<tr>
<th>Summary</th>
<th>Record c1218967</th>
<th>Card c1218967</th>
<th>Holdings c1218967</th>
<th>Routing c1218967(0)</th>
<th>0 Bib-L</th>
</tr>
</thead>
<tbody>
<tr>
<td>c1218967</td>
<td>Last Updated: 08-08-2011</td>
<td>Created: 12-30-1987</td>
<td>Revisions: 29</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>LABEL TYPE</th>
<th>NO LABEL</th>
<th>LOCATION</th>
<th>cchcc Microform Guides, Geisel Floor2 Wes</th>
<th>UPDCNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>C ACTIVITY</td>
<td>INACTIVE</td>
<td>RLOC</td>
<td>s CUL SER ACQ</td>
<td>PCOUNT</td>
</tr>
<tr>
<td>CAT TRMNT</td>
<td>-</td>
<td>VENDOR</td>
<td>none</td>
<td>ECHECKIN</td>
</tr>
<tr>
<td>COPIES</td>
<td>1</td>
<td>ACQTYPE(C)</td>
<td>---</td>
<td>MEDIA TYPE</td>
</tr>
<tr>
<td>CLAIMON</td>
<td>-</td>
<td>FORMAT(C)</td>
<td>p PRINTED</td>
<td></td>
</tr>
</tbody>
</table>

**MARC Leader**

```
y 007 | 22####3n 4500
y 008 | 0906120u 0 0001uueng0000000
1 098 | XF 919 Index
```

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
```