

CATALOGING OF MICROFORMS AND PHOTOCOPIES

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**This document is provided as a record of past practice
in the Widener Library Cataloging Department.**

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CATALOGING OF MICROFORMS AND PHOTOCOPIES

Introduction to Microform Cataloging

Catalogers deal with two types of microforms--original microform publications and microreproductions.

Before proceeding, a cataloger makes the following 3 determinations:

- 1) Is the item an ORIGINAL MICROFORM publication? (See I. below)
OR
Is the item a MICROREPRODUCTION? (See II below)
- 2) Is it a microreproduction of a published item or theses?
= Use Books Format (See II. below)

Is it a microreproduction of an unpublished item?
= Use AMC Format (See Appendix A)
- 3) Is there a FULL RECORD in HOLLIS of the original paper copy or for a microform or photocopy of the same edition? If yes, post microreproduction or photoreproduction to it and do not worry whether producing agent is commercial or non-commercial (See II.3.a below)
OR
Is there only a PROVISIONAL RECORD in HOLLIS for either the original or an order record for the microform? Then determine whether producing agent is commercial or non-commercial, so that you will know whether to make a NEW record for OCLC or edit a record (if one is found) for the original paper copy (See II.3.b and 11.4 below)

I. ORIGINAL MICROFORM PUBLICATIONS

A. General considerations

Original microform publications were intended by the publishing agency to be published on microform, that is, there has not been an original printed and published form. Frequently original microform publications consist of lists, concordances, authority files, etc.

There are grey areas where it is hard to decide whether an item is an original publication or a reproduction. When in doubt, choose to catalog as an original publication.

B. Cataloging original microforms

Catalog like a monograph (score, etc.). In addition, supply in:

245 |h [microform] (the GMD) after the title-proper

008 The Fixed Field is coded as for the original, except for
REPR: a (microfilm); b (microfiche); r (photocopy)

807 <=007> the Physical Description Field
(See App. C=Holdings Record)

II. MICROREPRODUCTIONS (Books and AMC formats)

A. General considerations

Microform reproductions are copies of previously existing material in printed or in manuscript form. Their bibliographic description should be based on the original, whereas the information pertaining to the reproduction should be placed in a secondary position, i.e. the Holdings Record (see Appendix C).

1. AMC vs. Books format

Except for theses, previously unpublished items such as individual manuscripts, typescripts, archival collections, and even card catalogs are cataloged using the AMC format. This is true whether the cataloger has microreproductions or the items themselves. (See Appendix A for guidelines to AMC cataloging).

2. Theses

Theses constitute a large percentage of currently purchased microforms at Widener. Microreproductions (and photoreproductions) of theses are always cataloged using Books Format. Specific features of these cataloging are:

260 give ONLY |c date (date of issue--on t.p. or
inferred)

300 usually counted in leaves rather than pages; also,
unless adapting record for original which
contains |c size, ignore size

502 Thesis note, e.g..
Thesis (Ph. D.)--University of Pennsylvania,
1984.

3. HOLLIS

a. Full record in HOLLIS

If there is a full or standard record in HOLLIS for the original, add another LOC for the microreproduction. Do NOT invoke tape-out request for microform LOCs added to HOLLIS records for the paper original. (When posting to a HOLLIS record, do not edit the Fixed Field of the standard record, nor supply a holdings record giving details of the reproduction. Instead, add as a last item in LOC of the copy being posted: |f Microfilm. or |f Microfiche).

b. Provisional record in HOLLIS

If there is only a provisional record in HOLLIS, the reproduction must be cataloged for OCLC.

4. OCLC

OCLC requires a separate record for commercially produced microforms. That is, commercially produced copies may not be cataloged on the record for the original paper copy. (OCLC practice is unlike HOLLIS where all formats share a single record).

a. Non-commercial

Reproductions made photo-mechanically either in-house, e.g. by Harvard University Library Photoreproduction Service, or on request by one agency for another, e.g. a microcopy was made by the NYPL on request by Harvard College Library, are considered non-commercial.

If there is an OCLC record for the original paper copy, it can be used to catalog the non-commercial microreproduction. Or, a new record may be created on HOLLIS using the Derive Command and modifying a record for a variant edition. It is not necessary to tape-out records for such non-commercially produced reproductions of items for which we do not hold the original or the Film Master.

b. Commercial

Reproductions made photo-mechanically by a for-profit agent, e.g. University Microfilms, Chadwyck Healey, Research Publications Inc., IDC, etc., are considered commercial. OCLC requires a separate record for each commercially produced item, e.g. the same book microreproduced by 2 different commercial agents would need 2 different records. However, a record for a microfilm may be adapted for a microfiche, and vice versa, if produced by the same commercial agent. Records in OCLC for photocopies may not be used for commercial microreproductions even if by the same agent.

B. Cataloging microreproductions

Catalog for the original item, using Books Format, AMC, or other formats as appropriate. In addition, give

245	h [microform] <GMD> after the title-proper	
008	<Fixed field> supply: REPR: a <microfilm>; b <microfiche> & Holdings Record:	
807	<= 007 Physical description fixed field>	See Appendix C
843	<= 533 Reproduction note>	See Appendix C

III. PROCEDURES TO BE FOLLOWED FOR ALL MICROFORMS

(See Appendix B for a description of special handling of microform sets, including national archival collections).

A. Destination, call numbers, labelling

Most microforms passing through the Catalog Dept. are destined for the Microform Division, located in Lamont Library, except for some items shelved in the Widener Reading Room or in the Collection Development Dept. (Make sure that the value in the LOC is set correctly, i.e. ;i mic or ;i wid).

Consecutive call numbers for microforms destined for the Microforms Division are assigned from ledgers (presently located in Room 191, close LC to P. Lisbon's desk). Microfiches destined for the Widener Reading Room are assigned numbers from ledger "Fiche Shelflist" located in Serial Cataloging. Dot numbers may be added to subarrange complex sets (See Appendix B). The following groupings based on number of physical items and/or format apply:

		049 call no.	LOC :9c:	Printed index on separate LOC :9c:
Film A .Microfilm 6 reels or < (printed & mss)		HWTM 099	i mic	INDEX Film A ...
Film M Microfilm < 6 reels (mss only)		HWTM 099	i mic	INDEX Film M ...
Film W Microfilm < 6 reels (printed only + theses)		HWTM 099	i mic	INDEX Film W . . .
Film S Microfilm (Serials and serial analytics)		HWTM 099	i mic	INDEX Film S ...
Microfiche W Microfiche any amount (printed & mss.)		HWTM 099	i mic	INDEX Microfiche W
Microfiche S ... ser. anal)		HWTM (Serials & 099	i mic	INDEX Microfiche S ...
Microfiche RR ... Microfiche for Reading Room		HWS9 099	i wid	INDEX Microfiche RR
Microfiche Ref .. Microfiche Techn.Serv. Dept.		HWS9 099	i wid	INDEX Microfiche for Ref

B. Forwarding

Write call numbers clearly with black pen on microfilm container (on first container when more than 5) or on microfiche jacket (on first jacket when more than 1). Some microfilms are received without labels affixed to containers. Labels may have to be typed and sent together with shipment to Microforms Division. Author, short title and call number may also be handwritten (clearly) on the side of containers in case of a small shipment. (No barcodes or item records are presently required for the Microforms Div.).

Attach a Forwarding Slip to each shipment and place on Gov. Doc. shelf in Room 191 for daily pick-up, or in Room 88 alongside middle-partition.

IV. CATALOGING PHOTOCOPIES

Photocopies are almost always reproductions. Subtle clues such as marks of ownership or images indicating a different original format or binding would confirm that the photocopy is a reproduction. Sometimes, however, photocopying is the method used for producing an original publication. If you find a record in OCLC for an original publication exactly matching the physical description of the piece in hand, you may assume it is an original publication in a xerographed format. When in doubt, consider it a photoreproduction.

Photocopies are governed by the same criteria as microforms:

- 1) Photocopies may be targeted or posted to the HOLLIS record for the original
- 2) OCLC record for the original may be used and adapted for HOLLIS
- 3) If photocopy is produced by a commercial agent, OCLC must have a record with that agent in the 533 (or 260 according to earlier rules). Common commercial agents are: UMI, NTIS, ERIC.

The only editing needed to distinguish a photocopy from an original is in the

Fixed Field:	REPR: r	(not DAT TP: r)
Holdings record:	<no 807>	
	843 <= 533>	Reproduction note
		(see Appendix C).

When posting to a HOLLIS record, do not edit the FIXED FIELD of the standard record, nor supply a holdings record giving details of the reproduction. Instead, add as last item in LOC of the copy being posted:

|f Photocopy

ARCHIVAL AND MANUSCRIPT CATALOGING

The Archival and Manuscript Cataloging (AMC) format is used for cataloging items which were never published or for reproductions (microform, photocopy) of such items. EXCEPTION: Theses and reproductions of theses are not cataloged using AMC; the Books Format is used for these in all cases.

The AMC format carries many more fields than the Books Format. For cataloging in Widener Library, however, only the "mandatory" and "required" fields are used on the record (See also: Concise Input Standards / PRISM Service, OCLC)

AMC and OCLC

Many libraries, including LC, do not use the AMC format. It is, however, HCL policy to

- 1) use AMC for provisional and standard records
- 2) prefer and use a matching AMC record found in OCLC
- 3) post HCL to a matching non-AMC record in OCLC and then enter the AMC record directly into HOLLIS

AMC and CRL (Center for Research Libraries) records in HOLLIS

- 1) Post to a matching AMC record in HOLLIS
- 2) Reformat a matching non-AMC record to AMC, adapt and post

AMC and the provisional order record

When cataloging with AMC the fixed field on the provisional record must show:

FMT: U (the archival & mss. code)

MICROFORM SETS

When cataloging an item which appears to be a part of a larger collection, check HOLLIS under the main title to ascertain whether there exists a kepttogether set under a general call number with parts arranged under it by dot numbers. E.g.

Confidential U.S. State Department central files. |p Iran

Confidential U.S. State Department central files. |p Iraq

Confidential U.S. State Department central files. |p Israel

with such call numbers as: Film A 575.1; Film A 575.2; etc. Then check HOLLIS shelf list (lthu find co Film A 575) for next dot number to be assigned, or for an arrangement under an already assigned dot-number. After assigning call number to the new record, enter it in the LOC promptly so that the number is reserved.

NATIONAL ARCHIVAL COLLECTIONS

The Library receives on demand microform reproductions of archival material from many national archives. The two largest and most added-to collections come from the United States National Archives and the Public Record Office of Great Britain (microreproduction has been done BY these agencies).

Film S 1040 United States. National Archives (not commercially sold)
The arrangement of this set is in 2 series: the M series and the T series, although both series are also subsumed under Record Groups, RG (ignored for shelf arrangement, unless "M" or "T" cannot be ascertained). If M or T do not display readily on the item in hand, a guide might have to be consulted to establish the letter.

Examples: Film S 1040 (M627)

Film S 1040 (T293)

National Archives items arrive in distinctive blue microfilm boxes with the national seal imprinted on the sides. Blank form labels are supplied and should be used.

To assist with the description of this archival collection (to find letters "M" or "T") use: List of National Archives microfilm publications (latest ed.) or consult Documents Librarians.

Film S 830 Great Britain. Public Record Office (not commercially sold)
The arrangement is by British government office, e.g. Cabinet Office, Foreign Office, etc., the short symbol of which forms part of the call number.

Examples: Film S 830 (CAB 63)

Film S 830 (FO 371)

To assist with the description of this archival material (short symbols, excellent contents notes) use: Guide to the contents of the Public Record Office. London, 1963 (3 v.) and its supplements in Documents Div.

USE Film S 1040 AND Film S 830 ONLY FOR REPRODUCTIONS MADE BY N.A. OR P.R.O.

Creating HOLDINGS RECORD

See: HOLLIS Tag Tables. Holdings. (3.3)

From bib screen, type: chld _ <LOC number> , then ENTER.

Fixed field (minimum values):

```

LOC/1: p: mic
HU CREATED XX/XX/XX UPDATED NONE      FORMAT: H RECSTAT N RECTYP: x
LVL: 1 STAT: 2 METH: u RET: 8          COM: 0 COP: 01 CAN:      LANG: and
                                     use forward Tab to: RECTYP: x
                                     LVL: 1
                                     STAT: 2

```

807 <= 007 Physical description field>

Type (omitting subfield codes): 807::hd`afu---buca <pos. film>

807::he`bmu---buca <neg. fiche>

Subfield codes are system supplied

```

=====
                                     Silver      Film
                                     halide      Master
                                     a          a
Positive                             a          a
      a
Microfilm: h |b d |c ` |d      |e f |f u--- |g b |h |i |j a
807          b
                                     Diazo
                                     u      Service
Negative 35mm                       Unknown copy
=====

```

```

=====
                                     Mono-      Silver
                                     Chrome     halide
                                     b          a
Positive                             b          a
      a
Microfiche: h |b e |c ` |d      |e m |f u--- |g |h |i c |j a
807          b          11 x      c      b
                                     Diazo
Negative 15 cm    Colored         u
                                     unknown
=====

```

843:: < = 533> Reproduction note

|a Micro<film>. |b place of reprod. agency : |c agency responsible for reproduction, |d date of reproduction. |e physical description. |f (series statement of reproduction). |n note pertaining to repr.

EXAMPLES:

843::Microfilm. |b New York : |c New York Public Library, Photographic Dept., |d 1984. |e 1 microfilm reel ; |e 35 mm.

843::Microfiche. |b Bethesda, MD : |c Research Publications, |d 1985-1989. |e 7 pts. on 853 microfiches. |f (Papers of the presidents ; 4). |n "CID 49/78 reproduction."

(Don't give size in ;e for microfiches, unless it is other than 11x15 cm.)

MICROFORMS & MICRO-REPRODUCTIONS
Formats: BKS, SER, MED, AMC, MAP, SCO

RESOURCES: AACR II, Chap. 11 and LC RIs
 "Reproductions and original microform publications" (in
 Bibliographic formats and standards / OCLC (1993) p.26-30.
 Cataloging of microforms and photocopies / L. O'Dwyer,
 E. Bishai (updated July 1994)
 HOLLIS shelflist: search Film A, Film M, Microfiche W

CHIEF SOURCE OF INFORMATION (in order of preference):

Microfilm: title frame, accompanying material, container, any other
 source

Microfiche: title frame, accompanying material, microfiche header, any
 other source

FIXED FIELD: Special field for microforms
 REPROD: a = microfilm
 b = microfiche
 (r = photocopy)

REQUIRED FIELDS: M = mandatory Level I/Level K
 R = required
 0 = optional

<007> M/O See Holdings Screen (below) for 807
 245 M/M |h [microform]
 246 R/O
 260 M/M imprint of original microfilm publication
 M/M imprint of micro-reproduced original |a |b |c
 only |c date --for thesis
 only |c date --for repr. of manuscript
 No 260 for archival collection (use |f in 245 for
 incl.dates)
 <260> For reproduction agency, supply its imprint in 843 on
 Holdings rec.
 300 M/M For original MICROFORM PUBLICATION:
 microfilm(s) : |b ill., negative [never positive] ; |c
 35 mm. [or other] + |e guide (p. [v.] ; cm.)
 microfiche(s) : |b ill., negative [never positive] ;
 |c [size in cm. only when other than standard 11 x
 15 cm.] + |e guide (p. [v.] : ... ; ...)
 For microform REPRODUCTIONS:
 |a : |b ; |c as for original
 (no + |e acc.material -- which give as 555:0 :)
 4XX R/O For series of microform publication.
 For series of original of microform reproduction.
 <4XX> R/R Series of reproduction: <533> = 843 |f on holdings scr.and
 8XX on main screen if traced
 5XX R/O
 <533> R/R Reproduction field
 for microform PUBLICATION = not required
 for microform REPRODUCTION = make Holdings screen, 843
 6XX R/O

