



ANSI/NISO Z39.74-1996 (R2012)

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Guides to Accompany Microform Sets

Abstract: Establishes the requirements for guides to accompany microform sets made publicly available by commercial, public, and private microform producers; defines data elements to be included in microform guides and describes how the data elements should be organized.

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National Information Standards Organization

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Foreword

(This foreword is not part of the Guides to Accompany Microform Sets, ANSI/NISO Z39.74-1996 (R2012). It is included for information only.)

About This Standard

This standard establishes the requirements for guides designed to accompany microform sets made publicly available by commercial, public, and private microform producers. The impetus for creating the original NISO standard came out of deliberations of the American Library Association, Association of Library Collections and Technical Services, Reproduction of Library Materials Section, Bibliographic Control of Microforms Committee in the late 1980s.

The subsequent NISO committee that was formed for the purpose of drafting the standard consisted of bibliographers, microform librarians, and representatives of commercial micropublishers and nonprofit preservation organizations. The committee first reviewed the contents and structure of numerous guides and discussed basic requirements, then identified a number of issues about which it sought opinions of experts familiar with microform sets. The committee summarized those issues in a questionnaire survey and distributed 250 copies of that survey to a broad range of individuals concerned with access to microform collections, including public service librarians, preservation librarians, technical service librarians, and publishers. The current content and form of the standard owes much to the survey respondents. Its level of generality is meant to make it applicable as far as possible to the widely ranging forms of textual and non-textual microform collections.

Revision

This standard was processed and approved for submittal to ANSI by the National Information Standards Organization. It was balloted by the NISO Voting Members February 1, 1995 - May 1, 1995, and a reaffirmation of that version was approved by ANSI on August 30, 2002. This revised version was approved by NISO voting members on January 11, 2012, and by ANSI on February 22, 2012.

Suggestions for improving this standard are welcome. They should be sent to the National Information Standards Organization, 3600 Clipper Mill Road, Suite 302, Baltimore, MD 21211.

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Readmore Academic Services

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Louise Nyce

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VTLS

Vinod Chachra

West Publishing Company

Andy Desmond
Forrest Rhoads (Alt)

H.W. Wilson Company

George I. Lewicky
Ann Case (Alt)

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Access Innovations, Inc.

Robert C. Badger

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Elizabeth Bole Eddison

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The Standards Committee AC on Guides to Accompany Microform Sets had the following members in 2012:

Katha D. Massey, Chair

University of Georgia

Meg Bellinger

Preservation Resources

Suzanne Dodson

University of British Columbia

August A. Imholtz, Jr.

CIS/UPA

Dorothy Wright-Moore

University Microfilms

ANSI/NISO Z39.74-1996 (R2012) Review Group Voting Pool

At the time this standard was reaffirmed in 2011, the following were members of the ANSI/NISO Z39.74-1996 (R2012) Review Voting Pool. NISO approval of this Standard does not necessarily imply that all Voting Members voted for its approval.

American Library Association (ALA)

Nancy Kraft

Association of Research Libraries (ARL)

Julia Blixrud

Library of Congress

John Zagas

Music Library Association

Mark McKnight

National Archives and Records Administration

Marilyn Redman

Polaris Library Systems

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Judith Gibbs

National Library of Medicine (NLM)

Barbara Rapp

National Security Agency

Kate Dolan

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Guides to Accompany Microform Sets

1 Introduction

1.1 Scope

This standard establishes the requirements for a guide designed to accompany microform sets made publicly available by commercial, public, and private microform producers.

1.2 Purpose

The purpose of this standard is (a) to enumerate and define the data elements that shall be included in a guide to a microform set, and (b) to outline the way in which these data elements shall be organized.

2 Definition of Microform Set

A microform set is a group of documents, publications, or non-textual images published or republished in microformat and organized (a) by specific topics, (b) by issuing agency, (c) by repository, (d) by original format, (e) by place of origin, (f) by date, (g) in accordance with a preexisting bibliography, or (h) by some combination of these categories.

3 Publication Format of a Guide

This section describes the physical, publication, and bibliographic characteristics of a guide.

3.1 Physical Characteristics

3.1.1 Formats

Guides may be produced in a variety of formats: (a) printed on paper, (b) in microfilm or microfiche format, or (c) in electronic format.

3.1.2 Permanence and Legibility

Regardless of format, guides shall adhere to all current standards for permanence and legibility (see Appendix A for a list of relevant standards).

3.1.3 Citation of Standards

Standards for permanence and legibility used to produce a guide shall be cited.

3.2 Publication Characteristics

3.2.1 Distribution

Guides shall be made available with the publication of a microform set. If a microform set is released periodically, interim guides shall be made available.

3.2.2 Publication Schedule

Information regarding future releases of a microform set and accompanying guide(s) shall be given.

3.2.3 Cumulations

For microform sets that are released on a periodic basis, information regarding future cumulations of the guide shall be given. If interim guides are issued, they shall be identified as such.

3.2.4 Updates and Errors

Updates to guides and notices for correction of errors shall be issued expeditiously.

3.2.5 Availability

Information on how and in which format(s) to obtain a guide separately from the microform set shall be given.

3.3 Bibliographic Characteristics

A guide shall include bibliographic information as specified in this section.

3.3.1 Title

The full title or name of the microform set that a guide accompanies shall be stated (see 5.1). The title may be amplified by a subtitle (or other title information according to *Anglo-American Cataloguing Rules, Revised Second Edition, 1988*), which should normally be typographically differentiated from the title and should appear after the title. If a guide is preliminary or interim in nature, the title statement shall so indicate.

3.3.2 Editor/Compiler

The name(s) of a guide's editor(s) or compiler(s)—(personal, corporate, or any combination of these)—shall be stated, together with some indication of responsibility (e.g., “managing editor,” “index editor,” etc.). Any title, affiliation, or qualification that indicates an editor's or compiler's authority on a guide should be included.

3.3.3 Acknowledgment

Guides shall state the names of their significant contributors. Contributors may include illustrators, layout/design assistants, photographers, technical, and other editorial staff

3.3.4 Publisher

The name, address, and telephone number of the publisher of a guide shall be clearly stated. This is particularly important when the publisher or distributor of a microform set is different from the publisher of a guide.

3.3.5 Printer

The name(s) of the compositor, printer, binder, or any combination thereof, shall be stated.

3.3.6 Date of Publication

The date of publication of a guide shall be given in Arabic numerals.

3.3.7 Copyright

3.3.7.1 Notice

A valid copyright notice shall be given.

3.3.7.2 Conditions for Reproduction

Any authorization allowing the reproduction of all or part of a guide shall be stated, together with any conditions or fees required.

3.3.8 Cataloging in Publication (CIP) Data

If applicable, CIP data shall be given.

3.3.9 International Standard Book Number (ISBN)

If applicable, an ISBN shall be given. It is not necessary to include the ISBN if it is included in the CIP data.

3.3.10 International Standard Serial Number (ISSN)

If applicable, an ISSN shall be given. It is not necessary to include the ISSN if it is included in the CIP data.

3.3.11 Table of Contents

A table of contents shall be included.

3.3.12 Front Matter

A preface or introduction or both shall be included.

4 Information on Access to a Microform Set

This section describes how a guide provides access to the filmed material in the microform set.

4.1 Intellectual or Historical Significance

An explanation of the intellectual or historical significance, or both, of the set shall be included.

4.2 Organization of Original Material

An explanation of the organization of the original material including the identification of original classification numbers, inventory numbers, or other significant control or access points shall be given.

4.3 Control Numbers

An explanation shall be given for any classification numbers, sequencing numbers, or other control numbers added to the original materials for the purpose of controlling and enhancing access to the microform copy of the original materials.

4.4 Relationship of Control Numbers to Filmed Material

An explanation of how the classification numbers, sequencing numbers, or other control numbers relate to the filmed material, including added film targets, headers, etc., shall be given. Depending on the complexity both of the set and of the organizational principles, this explanatory material may vary considerably in length and content. The goal is to provide information that enables users to easily locate desired material within a microform set.

4.5 Numbering System and Data Elements

An explanation of the numbering system and data elements used in the main entries of the bibliographic descriptions included in a guide shall be given. A diagram of a sample entry with data fields clearly identified should be given.

4.6 Indexes and Supplementary Access Tools

An explanation of the organization of any indexes or supplementary access tools shall be given.

4.7 Series

If a printed guide is part of a series of printed guides, the particular part shall explain its bibliographic or designated numerical relationship to the whole set of guides.

5 Microform Set Specifications

5.1 Microform Set Title

The unique title of the microform set is the title established by the microform producer. In order to ensure accurate and consistent bibliographic citation, the unique title shall be maintained with appropriate subdivisions for sets issued in parts, or sets reissued subsequent to the original microform publication.

5.1.1 Guide Title

A guide shall bear the same title as the microform set except for the addition of such qualifying words as "Guide," "Inventory," "Index," etc., appended to the full microform set title (see 3.3.1).

5.2 Microform Set Technical Specifications

Technical specifications of microform sets shall be included in guides.

5.2.1 Reproduction Formats

The microform reproduction format(s) available for the set, (e.g., 16mm, 35mm, 105mm, cartridge film) shall be stated.

5.2.2 Microform Types

The microform type(s), (e.g., silver halide, diazo, vesicular) and base(s), (e.g., acetate, polyester) available for the microform set shall be stated.

5.2.3 Reduction Ratio

The microform reduction ratio (or range of ratios) used for the set shall be stated with as much specificity as readily available (e.g., "filmed at a reduction ratio of X with all oversize maps filmed at a reduction ratio of Y").

5.2.4 Polarity

The microform polarity used for the master and the distribution copy options shall be stated.

5.2.5 Orientation

The microform orientation (e.g., IA, IB, 2A, 2B) shall be stated.

5.2.6 Technical Standards and Quality Control

The microfilming technical standards and quality control procedures followed in the production of the master negative shall be stated, citing the specific standards that were employed. (See Appendix A for a list of relevant standards.)

5.2.7 Extent of Collection

The number of microfiche or number of reels of microfilm the set comprises shall be stated.

5.3 Statement of Responsibility

The name and location of the original microform producer and the date of the filming shall be stated. If the set or a substantial part of it was originally filmed by an institution other than the current microform producer, this shall be stated, with the date(s) of the original filming(s) insofar as is known. If the set brings together a number of different filmings by different institutions or organizations, this shall also be stated with the dates of such filmings.

6 Information on Collection Overview

The introductory section of a guide shall present a narrative overview of its filmed collection and, as appropriate, shall include a discussion of its data elements as specified in this section.

6.1 Format, Quantity, and Scope of Materials Filmed

6.1.1 Format Descriptions

The format of the materials in the collection filmed shall be described in accordance with the following definitions¹:

- (a) **Books** are nonperiodical publications equivalent to at least 49 pages.
- (b) **Pamphlets** are nonperiodical publications equivalent to at least 5 but not more than 48 printed pages.
- (c) **Periodicals** are serial publications appearing or intended to appear in a continuous series under the same title, published at regular or irregular intervals over an indefinite period, with individual issues in the series numbered consecutively or each issue dated.
- (d) **Newspapers** are serial publications issued at stated and frequent intervals (usually daily or weekly) that (a) report events and discuss topics of current interest and (b) usually serve as a primary source of information to their readers.
- (e) **Government documents** are publications bearing the official imprint of an international, national, regional, state, local, or intergovernmental body.
- (f) **Technical reports** are reports that present the details and results of specific investigation(s) of a scientific, technical, business, or educational problem.
- (g) **Academic dissertations** are theses presented by candidates in partial fulfillment of the requirements for a degree.

¹ Definitions based on information from the following sources:

1. ANSI Z39.40-1979 (R-1987), *Compiling U.S. Microform Publishing Statistics*.
2. *ALA Glossary of Library and Information Science*. 1983. Heartsill Young, ed. Chicago: American Library Association.
3. *Harrod's Librarians' Glossary*. 1989. 5th ed. London: Gower.

(h) **Manuscripts** are unpublished or typed works that serve as the handwritten originals for micropublication. They are also unpublished government, business, or organizational records.

(i) **Maps** are plane representations of the earth's surface, or part of the earth's surface, and may indicate physical characteristics, political boundaries, or other categorizations. The term may also be applied to plane representations of celestial bodies.

(j) **Drawings** are original representations using lines and may include sketches or designs made in pencil, pen, ink, crayon, or machines.

(k) **Photographs** are pictures produced by action of light on a photosensitive material and formed by an optical system using a lens and other optical devices.

(l) **Musical works** are written or printed musical notation(s).

(m) **Heterogeneous sets** are miscellaneous aggregations of varied types of materials such as books, manuscripts, clippings or other materials assembled and filmed as a single collection.

6.1.1.1 Other Formats

Any materials filmed that cannot be categorized according to the above definitions shall be described with sufficient clarity to differentiate the materials from the above categorizations (e.g., broadsides, realia, charts).

6.1.2 Quantity

The quantity of the materials in the filmed collection shall be described. Quantity refers to the magnitude of the filmed collection expressed in units appropriate to the original materials, e.g., number of volumes of monographs, linear feet of archival records, number of cartographic images captured, etc.

6.1.3 Scope

The scope of the material filmed in the collection shall be described. Scope refers to one or more of the following: chronological period; geographic area; genre; subject(s); language; etc. Authoritative sources shall be cited.

6.2 Location of Original Materials Filmed

Location of the original materials at the time of filming shall be indicated, i.e., name and location of the library, archives, or other repository or institution holding the materials.

6.2.1 Location Other Than Holding Institution

When possible, materials that were not retained by the holding institution upon the completion of filming shall be noted with their locations indicated.

6.3 Existence of Finding Aids Other Than the Guide

Any finding aids, including inventories compiled in-house, descriptive guides, published bibliographies, catalog card entries, on-line catalog records, reel lists, or box or folder lists shall be cited and described.

Any finding aids filmed together with the collection of materials shall be cited.

6.4 Editing Policy

6.4.1 Selecting or Excluding Materials

Principles applied in selecting or excluding materials for filming shall be explained as follows:

- (a) State the reasons for exclusion of material from the filming of the original collection.
- (b) State the policy on attempts to locate and film material missing from the original collection.
- (c) If a filmed collection contains material from more than one source and therefore constitutes a unique assemblage, state that fact.

6.4.2 Organizing Materials

The organizational principles of a filmed collection shall be explained as follows:

- (a) Indicate whether the filmed collection replicates the intellectual organization of the original collection.
- (b) Indicate how access to the material in the film collection is changed if the organization varies from that of the original collection.
- (c) State the organizing principles if a collection has been organized for the purpose of filming.

6.5 Provenance of a Collection

An explanation of provenance shall be given. Provenance refers to the history of creation, compilation, or ownership.

6.5.1 Unique Collections

If the collection is unique, see 6.4.1 (c) above.

6.6 Restrictions on Use of a Collection

Any copyright, reproduction, or other restrictions placed on the material shall be stated.

6.6.1 Permissions

The institution or institutions from which any required permissions may be sought shall be identified.

7 Collection Descriptions

The following descriptions and access tools shall be included in a microform set guide as appropriate.

7.1 Archival and Manuscript Collections

7.1.1 Series

Series refers to a body of file units or documents arranged in accordance with a unified filing system or maintained by the records creator or collector as a unit because of some relationship arising out of their creation, receipt, or use. The series description shall include the following data elements:

- (a) Title: the holding institution's title for the series.
- (b) Size: the linear feet or cubic feet size of the series.

- (c) Item count: the number of items in the series.
- (d) Dates: the chronological span of the creation of the original materials within the series.
- (e) Arrangement: the specific organizing principles within the series.
- (f) Numbering system: the original numbering systems used on the documents, records, or other materials and, if different, the system used to sequence the materials in the microform publication.

7.1.2 Subdivisions

Folder or unit refers to the discrete groups into which the items are subdivided such as container or volume. The folder or unit description shall contain the following data elements:

- (a) Numbering system within the folder, if present.
- (b) Microform access control: by reel target; reel or eye-legible microfiche number; typed header; etc.
- (c) Identification of classes of material not filmed, e.g., blank pages, the back of forms, etc.
- (d) Internal content descriptions, folder inventories, or contents statements, if present.

7.1.3 Indexes

Depending on the nature and size of the collection, indexes of names and subjects shall be included as appropriate. Indexes shall be linked to the pertinent sequencing level in which the material is organized.

7.2 Collections of Books, Periodicals, Government Documents, and Newspapers

7.2.1 Descriptions

Descriptions of book, periodical, government document, and newspaper collections shall include the following data elements:

- (a) Organization statement: the sequence or arrangement of the materials on the microform.
- (b) Bibliographic data for each title in the main entry section of the guide: the data shall be created according to Anglo-American Cataloguing Rules, Revised Second Edition (1988), or other consistent standard. The authority used shall be cited.
- (c) Microform access control: by reel target, reel or eye-legible microfiche number, typed header, etc.

7.2.2 Indexes

Indexes for the following classes of materials shall be included:

- (a) Book collections: title indexes, author indexes, and, if appropriate, subject indexes.
- (b) Periodical collections: title indexes and, if appropriate, editor indexes or place of publication indexes, or both.
- (c) Newspaper collections: title indexes and, if appropriate, place of publication indexes.
- (d) Government documents collections: author, title, and subject indexes; series number or report number indexes or both; others as appropriate.

7.3 Nontextual and Other Collections

7.3.1 Descriptions

Descriptions of nontextual collections (photographs, maps, drawings, etc.) shall include the following data elements:

- (a) Organization statement: the sequence or arrangement of the materials on the microform.
- (b) Microform access control: by target, eye-legible microfiche or microfilm frame number, typed header, etc.
- (c) Description at the item or collective group level as appropriate. The authority used shall be cited.

7.3.2 Indexes

Indexes of names and subjects shall be included as appropriate.

**Appendix A:
Informative
Related Standards**

(This appendix is not part of the ANSI/NISO Z39.74-1996, *Guides to Accompany Microform Sets*. It is included for information only.)

Always consult the most current version of these standards:

ANSI/AIIM MS5-1992, Microfiche.

ANSI/AIIM MS6-1993, Microfilm Package Labeling.

ANSI/AIIM MS14-1998, Specifications for 16mm and 35mm Roll Microfilm.

ANSI/AIIM MS19-1993, Recommended Practice for Identification of Microforms.

ANSI/AIIMMS23-1990, Microfilm of Documents, Operational Procedures/Inspection and Quality Control of First Generation Silver-Gelatin.

ANSI/AIIM MS34-1990, Dimensions for Reels Used for 16mm and 35mm Microfilm.

ANSI/AIIM MS35-1990, Requirements and Characteristics of Original Black-and-White Documents That May Be Microfilmed.

ANSI/AIIM MS37-1988, Recommended Practice for Microphotography of Cartographic Materials.

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**Appendix B:
Informative
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