

## Local Holdings Record Updating Service User Guide

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## Table of Contents

### **1 Overview of LHRUS**

- Product overview, 5
- General requirements, 5
- Ongoing service/One-time project, 6
- Project duration, 6
- Pricing, 6
- Scan/delete processing, 6
- Preprocessing evaluation, 7
- Customized programming, 7
- Post-processing reports, 7

### **2 Summary of Project Stages**

- LHRUS project stages, 8

### **3 MARC21 Format for Holdings Data and OCLC Local Holdings Records**

- Introduction, 10
- Required Fields for LHRUS processing, 10
- Selected MFHD data elements used in LHRUS processing, 10
- Leader, 10
- Leader/05 - Record Status, 11
- Leader/06 - Type of Record, 11
- Leader/17 - Encoding Level, 11
- Directory, 11
- 001 - Local System Control Number (NR), 12
- 004 - Control Number for Related Bibliographic Record (NR), 12
- 007 - Physical Description Fixed Field (NR), 12
- 008 - Fixed Length Data Elements (NR), 12
- 008/06 - Receipt or acquisition status, 12
- 008/17-19 - Number of Copies reported, 12
- 008/20 and 008/21, 12
- 008/20 - Lending Policy, 13
- 008/21 - Reproduction Policy, 13
- 008/25 - Separate Copy Report, 13
- 014 - Linkage Number (NR), 14
- 035 - System Control Number (R), 14
- 852 - Location (NR), 14
- 853 - Captions and Pattern-Basic Bibliographic Unit (R), 14
- 863 - Enumeration and Chronology-Basic Bibliographic Unit (R), 15
- 866 - Textual Holdings-Basic Bibliographic Unit (R), 16
- LHR Summary, 17

### **4 Non-MARC Patterned Holdings Data**

- Introduction, 18
- Guidelines, 18
- General requirements, 18

### **5 Sending Data Files to OCLC**

- Overview, 19
- FTP using EDX, 19
- PSWeb upload, 19
- E-mail, 19

**6 LHR Updating Project Definitions, Holdings Translation Tables, and Post-Processing Reports**

Introduction, 20

Evaluation of records, 20

Post-processing reports, 21

**7 Appendix A: Examples of Evaluations and Reports**

Introduction, 22

Example 1: LHR Updating Batchload Project Definition with Holdings Translation Table, 23

Example 2: Batchload Processing Summary Report, 26

Example 3: Batchload Processing Detailed Exception Report, 27

# 1 Overview of LHRUS

## Product overview

OCLC local holdings records (LHRs) are separate holdings records attached to a related WorldCat bibliographic record that provide holdings details beyond the OCLC institution symbol. Individual LHRs report holdings information for a single copy of an item. An institution may have one or many LHRs for any given bibliographic record in WorldCat.

OCLC LHRs are based on the [MARC21 Format for Holdings Data](#) (MFHD). OCLC LHRs can be represented at Levels of Specificity 2 or above as defined by [Holdings Statements for Bibliographic Items \(ANSI/NISO Z39.71\)](#).

OCLC's Local Holdings Record Updating service (LHRUS) is an offline batch process that is used to add, replace or delete an institution's LHR information in WorldCat.

## General requirements

The following table lists general requirements for OCLC to be able to process records:

Requirement	Description
Library	Your library must have a valid OCLC institution symbol.
Data standards	<p>Holdings statements should meet the standards for identification, recording, and display of holdings data according to <a href="#">Holdings Statements for Bibliographic Items (ANSI/NISO Z39.71)</a>.</p> <p>Holdings statements should use Latin alphabet abbreviations as found in Appendix B of Anglo-American Cataloguing Rules, second edition, 2002 Revision and the <a href="#">CONSER Guidelines for Input of Caption/Pattern and Holdings Data</a>.</p> <p>Records should meet the standards for representation and exchange of holdings data according to <a href="#">MARC21 Format for Holdings Data</a> (MFHD).</p> <p>OCLC may be able to convert your non-MARC holdings information into usable MFHD records that can be processed through LHRUS if the data is in an electronic format and contains consistent and discernible patterns.</p>
Complete set of holdings records	<p>If only one holdings record in a set attached to a single bibliographic record has changed, you must send the whole set of holdings records (not just the changed record).</p> <p>OCLC requires all holdings records for a bibliographic record because the LHRUS software does not match individual holdings records. LHRUS replaces all LHRs for a bibliographic record with the whole set of holdings records sent.</p>

Requirement	Description
Single holdings record	Each holdings record sent in the set of records for a specific bibliographic record must represent the holdings data for only one copy.  OCLC does not accept holdings data embedded in bibliographic records or process multiple holdings in one holdings record.
OCLC Control Number in records	Each record must contain a single valid and properly formatted OCLC control number for the associated WorldCat bibliographic record.  The number must be in the same location in each record in a file.

**Ongoing service/One-time project**

OCLC LHRUS is intended to be an ongoing service. Regular updates are suggested, but the schedule varies according to individual needs. You may also update with a one-time project and then maintain local holdings records (LHRs) online through the [OCLC Connexion browser](#).

**Project duration**

Starting a project, testing, evaluation and processing the first file of records generally takes up to 90 days. The evaluation period may be longer if you are submitting non-MARC patterned holdings data. Files for ongoing projects are generally processed within seven days of receipt, once the project is set up.

**Pricing**

Initial data evaluation and setup fees apply; contact OCLC Consultative Services <[consult-svcs@oclc.org](mailto:consult-svcs@oclc.org)> for complete pricing information.

**Scan/delete processing**

An institution may have existing LHRs that have not been maintained in WorldCat. If so, an LHR scan/delete may be requested in conjunction with an LHRUS project to help sync the institution's WorldCat LHRs with the holdings in its local system. An LHR scan/delete removes LHRs and, if requested, the associated institution holding from WorldCat bibliographic records that have a transaction date stamp earlier than the date of the LHRUS batchload transaction (typically the date when records were extracted for submittal to OCLC). An LHR scan/delete is meant as a one-time solution and is generally done immediately *after* the initial file for an LHRUS project has been successfully processed.

Include LHR scan/delete requests as special instructions when placing your LHRUS order and specify whether OCLC should:

- (a) delete LHRs only
- (b) delete LHRs **and** remove the institution's holding symbol on the associated bibliographic record

**Note:** Scan/delete is a **permanent process that cannot be reversed** once it has been performed.

**Note:** There is no additional charge for this service.

## Local Holdings Record Updating Service User Guide

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<b>Preprocessing evaluation</b>	OCLC provides a file evaluation before any record processing occurs. The <i>LHR Updating Batchload Project Definition</i> defines the project and sets parameters on which you and OCLC agree prior to processing.
<b>Customized programming</b>	Projects may require various levels of customized programming. If your data requires extensive customized programming, you and OCLC work together to determine whether the data can be successfully processed.
<b>Post-processing reports</b>	OCLC produces an <i>LHR Batch Processing Summary</i> and a <i>Detailed Exception Report</i> as each file is processed. The information in the reports helps you with maintenance of your local holdings data.

## 2 Summary of Project Stages

**LHRUS project stages** This is a summary of the stages of an OCLC Local Holdings Record Updating service project.

Stage	Who	Does what
1	Library	Contacts OCLC Consultative Services < <a href="mailto:consult-svcs@oclc.org">consult-svcs@oclc.org</a> > to discuss starting an OCLC LHR Updating service project.
2	Library	When ready to place an order, go to the OCLC <a href="#">Online Service Center (OSC)</a> and log on, or click <b>Create a new account</b> .  Once in the OSC, navigate to the list of OCLC services and click <b>Batch Processing for Local Holdings Records</b> .  Be sure to include an LHR scan/delete processing request in the special instructions section of the order form, if needed.
3	OCLC	Sends e-mail order confirmation to the institution, along with an assigned Project ID and instructions for sending data to OCLC.
4	Library	Sends the initial file of data to OCLC for evaluation and setup.  It is important that a complete file is used for evaluation to ensure proper setup of the project's processing requirements.  The same data is generally used for initial processing.
5	OCLC	Evaluates the file.  <b>Note:</b> If there are problems with the data, you may need to resubmit the file.

Stage	Who	Does what
6	OCLC and the Library	<p>When the file evaluation is complete and any outstanding issues are resolved, OCLC produces an <i>LHR Updating Batchload Project Definition</i> and sends it to the library for approval.</p> <p><b>Note:</b> As part of the project definition, OCLC creates a <i>Holdings Translation Table</i> that lists library identification codes from field 852 subfields ‡a and ‡b of your holdings records.</p> <p>You and OCLC work together to match your local codes with the appropriate OCLC institution symbol and holding library code combinations.</p> <p>Only valid OCLC institution symbols and holding library codes are used in subfields ‡a and ‡b, respectively, of the 852 field in WorldCat LHRs.</p>
7	Library	<p>Approves the <i>LHR Updating Batchload Project Definition</i> and <i>Holdings Translation Table</i>, and informs OCLC of approval.</p>
8	OCLC	<p>Processes your file and loads the local holdings records into WorldCat.</p>
9	OCLC	<p>As each file in your project is processed, Batch Services will send you a <i>Batchload Processing Summary</i> report (which will also be available on the <a href="#">OCLC Product Services Web</a> site).</p> <p>You can also choose to receive an e-mail to notify you that a <i>Detailed Exception Report</i> is available on the PSWeb when a file contains any records that could not be processed successfully.</p> <p><b>Note:</b> On the PSWeb, the reports are found under Batch Services Records and Reports.</p>
10	Library	<p>If the parameters of your project change, you must notify <a href="#">OCLC Batch Services</a> before your next LHRUS file can be processed.</p>

### 3 MARC21 Format for Holdings Data and OCLC Local Holdings Records

#### Introduction

The OCLC Local Holdings Record Updating service (LHRUS) processes separate holdings records that are compliant with the [MARC21 Format for Holdings Data](#) (MFHD) for the purpose of updating local holdings records (LHRs) in WorldCat. An institution may have one or many LHRs for any given bibliographic record in WorldCat.

While LHRs are based on MFHD, there are a few key aspects of OCLC's implementation of the standard that should be noted:

- WorldCat LHRs are copy-specific, separate holdings records.
- OCLC does not accept holdings data embedded in bibliographic records.
- OCLC does not process holdings for multiple locations in one holdings record.

Holdings records sent by libraries may contain any element in the [MARC21 Format for Holdings Data](#). However, only those data elements defined for use in the OCLC LHR format will be used. Complete information on LHR data elements can be found in [OCLC-MARC Local Holdings Format and Standards](#).

#### Required Fields for LHRUS processing

Fields that **must** be present in a holdings record for successful LHRUS processing are:

- A field containing the **OCLC control number** of the corresponding WorldCat bibliographic record. This can be the **004**, **014** or **035** field but it must consistently be in the same location in all records.
- **Leader and Directory**
- **001** - Local System Control Number
- **007** - Physical Description Fixed Field
- **008** - Fixed-Length Data Elements
- **852** - Location
  - †a** - Location
  - †b** - Sublocation or collection

The presence of other fields will vary depending on content. OCLC can often supply default values for certain elements if they are lacking. The batchload database specialist assigned to your project will help you determine appropriate default values.

#### Selected MFHD data elements used in LHRUS processing

The following sections cover **selected** MFHD data elements and provide information about their use in OCLC LHRUS processing.

#### Leader

First field of a separate holdings record. It is fixed in length at 24 character positions (00-23).

### Leader/05 - Record Status

#### [Leader/05 - Record Status](#)

The Record Status code is used to indicate the relation of a record to the file and there are 3 valid values in MFHD:

c - Corrected or revised

d - Deleted

n - New

This data element is important in maintaining holdings for ongoing projects. A library should be able to programmatically extract only those records that are in need of updating (adding, replacing or deleting) since its last batch file was processed through LHRUS.

Libraries must always supply **all** holdings records associated with a specific bibliographic record, even if there is a change to only one. OCLC will not match individual copy records. The LHRUS software replaces all LHRs for a specific bibliographic record with the entire set of holdings records sent for updating.

### Leader/06 - Type of Record

#### [Leader/06 - Type of Record](#)

Be sure to use the correct value to indicate if the holdings record represents serial item holdings (**y**), single-part item holdings (**x**), or multipart item holdings (**v**). OCLC also accepts value 'u' (unknown).

### Leader/17 - Encoding Level

#### [Leader/17 - Encoding Level](#)

A one-character code that indicates the level of specificity of the holdings statement according to [Holdings Statements for Bibliographic Items \(ANSI/NISO Z39.71\)](#). OCLC local holdings records are recorded at Z39.71 level 2 or above.

### Directory

#### [Directory](#)

Series of fixed length entries, with one entry for each variable field (control or data) present in a separate holdings record.

Each Directory entry is 12 character positions in length and contains three portions: the field tag, the field length, and the starting character position.

The Directory immediately follows the Leader at the beginning of the record and is located at character position 24.

See the [MARC21 Format for Holdings Data](#) for complete information.

### 001 - Local System Control Number (NR)

#### [001 - Local System Control Number \(NR\)](#)

This number is used on the Detailed Exception Report to help you identify records that were not successfully processed. OCLC requires a 001 field for LHRUS processing.

### 004 - Control Number for Related Bibliographic Record (NR)

The **OCLC control number** of the corresponding WorldCat bibliographic record. The number can be in the **004**, **014** or **035** field but it must consistently be in the same location in all records.

### 007 - Physical Description Fixed Field (NR)

#### [007 - Physical Description Fixed Field \(NR\)](#)

Field 007 is not repeatable in separate holdings records. A unique holdings record is made for each physical format for which a holdings statement is needed.

Only the first two bytes are used to generate OCLC displays, but all valid MFHD codes may be used in LHRs. OCLC defaults the physical description to 'zu' if no 007 field is present.

Correct coding of this field is especially important for libraries that use the single record approach for cataloging all formats, particularly electronic resources.

### 008 - Fixed Length Data Elements (NR)

#### [008 - Fixed Length Data Elements \(NR\)](#)

32 character positions (00-31) that contain data elements which provide coded information about the record. The data elements are positionally defined.

### 008/06 - Receipt or acquisition status

#### [008/06 - Receipt or acquisition status](#)

This element is used to "open" or "close" coded holdings statements when creating the LHR Summary.

If multiple copies attached to the same bibliographic record have different values, the LHR Summary value is set in the following priority order: 4, 5, 0.

### 008/17-19 - Number of Copies reported

#### [008/17-19 - Number of copies reported](#)

Three numeric characters, 001, are always used in OCLC LHRs to indicate that a single copy of the bibliographic item is represented by each local holdings record.

### 008/20 and 008/21

It is important to consider that WorldCat Resource Sharing can use the codes in **008 bytes 20 and 21** of your LHRs to automatically deflect ILL requests.

They can **override** or **defer** to your [Policies Directory profiles](#) as outlined below:

**008/20 - Lending Policy**

[008/20 - Lending policy](#)

Settings that will **override** Policies Directory Profiles

- a - Will lend
- b - Will not lend
- c - Will lend hard copy only

Settings that will **defer** to Policies Directory Profiles

- l - limited lending policy
- u - unknown

**008/21 - Reproduction Policy**

[008/21 - Reproduction policy](#)

Settings that will **override** Policies Directory Profiles

- a - Will reproduce
- b - Will not reproduce

Settings that will **defer** to Policies Directory Profiles

- u - unknown

**008/20 and 008/21 - Default Values**

The following default values are generally used for 008 bytes 20 and 21 in OCLC-supplied 008 fields:

<b>MFHD L/06 Type of Record</b>	<b>008/20 Lending Policy</b>	<b>008/21 Reproduction Policy</b>
Unknown = u	Unknown = u	Unknown = u
Multi-part = v	Will lend = a	Will not reproduce = b
Single-part = x	Will lend = a	Will reproduce = a
Serial = y	Will not lend = b	Will reproduce = a

**008/25 - Separate Copy Report**

[008/25 - Separate copy report](#)

The only valid code in the OCLC LHR format is 0 which indicates that the holdings report is for one copy of the bibliographic item. If more copies are held by the organization, a separate local holdings record is made for each copy.

### 014 - Linkage Number (NR)

The **OCLC control number** of the corresponding WorldCat bibliographic record. The number can be in the **004**, **014** or **035** field but it must consistently be in the same location in all records.

When present in the 014 field, the OCLC number should be formatted as follows:

1st Indicator: 1  
2nd Indicator: Blank  
‡a OCLC Control Number ‡b OCoLC

**Example:** 1 ‡a 2260489 ‡b OCoLC

### 035 - System Control Number (R)

The **OCLC control number** of the corresponding WorldCat bibliographic record. The number can be in the **004**, **014** or **035** field but it must consistently be in the same location in all records.

When present in the 035 field, the OCLC number should be formatted as follows:

1st Indicator: Blank  
2nd Indicator: Blank  
‡a (OCoLC) OCLC Control Number

**Example:** ‡a (OCoLC) 2260489

Please note that, although the 035 field is repeatable, records must contain a single valid and properly formatted OCLC control number.

### 852 - Location (NR)

#### [852 - Location \(NR\)](#)

Field 852 is **NOT** repeatable in the OCLC LHR format.

#### **‡a - Location (NR)**

OCLC translates local codes in 852 ‡a to OCLC institution symbols during LHRUS processing.

#### **‡b - Sublocation or collection (NR)**

852 ‡b is **NOT** repeatable in the OCLC LHR format.

OCLC translates local codes in 852 ‡b to valid OCLC-profiled 4-character holding library codes during LHRUS processing.

### 853 - Captions and Pattern-Basic Bibliographic Unit (R)

#### [853 - Captions and Pattern-Basic Bibliographic Unit \(R\)](#)

#### **‡8 - Field linking number (NR)**

Subfield ‡8 contains data that identifies linked holdings data fields and may also propose a sequence for the linked fields.

**Subfield ‡8 is required in 853 fields in OCLC local holdings records.**

The structure and syntax for subfield ‡8 in the 853 field is: ‡8 [*linking number*]

The **linking number** is the only data element used in subfield ‡8 in the 853 field. It is a variable-length whole number that occurs in subfield ‡8 in all 863 fields that are to be linked to the 853 field. Fields with the same linking number are considered linked. A linking number of "0" (zero) is **NOT** used in this field.

**Subfield ‡8 is always the first subfield in the 853 field.**

**‡a - First level of enumeration (NR)**

Subfield ‡a must always be present when an 853 field is used in the OCLC LHR format.

When only chronology captions are used on an item (that is, the item carries no enumeration), the chronology captions are contained in the relevant enumeration caption subfields (‡a-‡h).

**863 - Enumeration and Chronology-Basic Bibliographic Unit (R)**

[863 - Enumeration and Chronology-Basic Bibliographic Unit \(R\)](#)

**‡8 - Field link and sequence number (NR)**

Subfield ‡8 contains data that identifies linked holdings data fields and may also propose a sequence for the linked fields.

**Subfield ‡8 is required in 863 fields in OCLC local holdings records.**

The structure and syntax for subfield ‡8 in the 863 field is: ‡8 [*linking number*].[*sequence number*]

The **linking number** is the first data element used in subfield ‡8 in the 863 field. It is a variable-length whole number that occurs in subfield ‡8 in all 863 fields that are to be linked to an 853 field. Fields with the same linking number are considered linked. A linking number of "0" (zero) is **NOT** used in this field.

The **sequence number** is separated from the linking number by a period "." and is required in 863 fields in OCLC local holdings records. It is a variable-length whole number that may be used to indicate the relative order for display of the linked fields (lower sequence numbers displaying before higher ones).

**Subfield ‡8 is always the first subfield in the 863 field.**

**‡a - First level of enumeration**

Subfield ‡a contains the highest level of enumeration.

**Subfield ‡a must always be present when an 863 field is used in the OCLC LHR format.**

When only chronology captions are used on an item (that is, the item carries no enumeration), the chronology captions are contained in the relevant enumeration caption subfields (‡a-‡h).

**866 - Textual Holdings-  
Basic Bibliographic  
Unit (R)**

[866 - Textual Holdings-Basic Bibliographic Unit \(R\)](#)

**‡8 -Field linking number (R)**

Subfield ‡8 contains data that identifies linked holdings data fields and may also propose a sequence for the linked fields.

**Subfield ‡8 is required in 866 fields in OCLC local holdings records.**

The structure and syntax for subfield ‡8 in the 866 field is: ‡8 [*linking number*]

Subfield ‡8 in 866 Textual Holdings fields have only the linking number portion of the link and sequence number. Depending on the linking number used, they indicate the following:

- Linking number 0:** Holdings are recorded **only** in 866 Textual Holdings field(s). No 853 Captions and Pattern and 863 Enumeration and Chronology fields occur in the holdings record.
- Linking number 0:** Holdings data are recorded in the linked 853 Captions and Pattern/863 Enumeration and Chronology fields but the **display form** of the holdings is recorded in a **single Textual Holdings field**. The 866 Textual Holdings field replaces all of the 853/863 fields for display purposes.
- Linking number is the same as the linking number in the linked 853 and 863 fields:** Textual Holdings **replace** the display of coded holdings with the same linking number. The content of a single Textual Holdings field will display in place of the Enumeration and Chronology fields linked to a Captions and Pattern field.
- Unique linking number:** Sequences the display of textual holdings data with the enumeration and chronology of the 863 fields.

**When multiple 866 Textual Holdings fields are used in a record that has no 853/863 holdings fields, all linking numbers in subfield ‡8 must be "0".**

**Subfield ‡8 is always the first subfield in the 866 field.**

**‡a - Textual holdings (NR)**

Subfield ‡a contains the textual form of the holdings. This form may be used either instead of or in addition to the 853-855 Captions and Pattern and 863-865 Enumeration and Chronology fields.

**Subfield ‡a must always be present when an 866 field is used in the OCLC LHR format.**

### LHR Summary

An element that is unique to the OCLC LHR format is the LHR Summary.

This is presented as a single field that is intended to reflect an institution's overall holdings for the item. There can be only one LHR Summary per bibliographic record for an institution, regardless of the number of LHRs they have attached. The LHR Summary is associated with each of the institution's LHRs that are linked to a single bibliographic record.

OCLC software will attempt to create the LHR Summary from available elements in subfields  $\ddot{a}$  and  $\ddot{i}$  of 853/863 coded field pairs and subfield  $\ddot{a}$  of 866 textual holdings fields.

When a record has no coded holdings fields and contains a single 866 textual holdings field, the data from 866 subfield  $\ddot{a}$  will appear as the LHR Summary when there is a single LHR attached to a WorldCat bibliographic record.

When only partial summarization is achieved, the phrase ";Summary incomplete" will be appended to the LHR Summary that has been created.

The default statement "Local holdings available" will appear in the LHR Summary field when the software is unable to generate a summary statement.

Best results will always be achieved when the coded 853/863 holdings fields are used. If your library uses only textual holdings in 866 fields, be sure to adhere to the rules set forth in [Holdings Statements for Bibliographic Items \(ANSI/NISO Z39.71\)](#) to ensure successful summarization.

## 4 Non-MARC Patterned Holdings Data

**Introduction** The OCLC Local Holdings Record Updating service (LHRUS) processes separate holdings records that are compliant with the MARC21 Format for Holdings Data (MFHD). Since not all libraries maintain MARC holdings data or are capable of producing MARC holdings record output, OCLC has developed tools to make non-MARC data usable for processing. This chapter describes non-MARC patterned holdings data that can be submitted for LHRUS processing.

**Guidelines** OCLC may be able to create usable MARC holdings records from patterned holdings data received in non-MARC formats. This MARC data can then be processed through LHRUS. In order to achieve this, field descriptions and their content must be associated in a simple, consistent, discernible and predictable way across the entire file. Non-MARC data is unusable if the description/content relationship varies or has to be derived on a record-by-record basis.

The basic patterned data types that can meet the above guidelines are:

- **Delimited Data**--Fields are separated by a unique character or series of characters. Examples of this include delimited text files or columns of data in a spreadsheet.
- **Labeled Data**--Field descriptions immediately precede their content. For example, LOCATION: Main

Non-MARC patterned data is commonly received in Microsoft Excel spreadsheets, Notepad files, Microsoft Word documents, or Microsoft Access databases.

**General requirements** Since the goal is to build MARC holdings records for use in LHRUS, the specific data elements needed are the same as they are for MFHD data; however, they will simply be in a different format.

It is unlikely that your non-MARC patterned data will contain every element that can be included in a local holdings record and OCLC may be able to supply default values for certain fields. As a general rule, OCLC can usually supply default values for any data element that will be the same for every record in a file. To illustrate, if you are submitting non-MARC patterned data in a spreadsheet and every subsequently created LHR will have the same OCLC institution symbol and holding library code in 852 subfields ‡a and ‡b, respectively, then you do not need to include separate columns in the spreadsheet for those data elements. The OCLC batchload database specialist assigned to your project will help you determine appropriate default values. Do not include unnecessary bibliographic information in non-MARC patterned data files.

Each holdings record, regardless of format, **must include the OCLC control number** of its corresponding bibliographic record.

## 5 Sending Data Files to OCLC

### Overview

You will receive a unique batchload Project ID number in an e-mail message after you place your Local Holdings Record Updating service order. This Project ID number **MUST** be used each time a file is sent to OCLC, regardless of the method of file transfer used. Do **NOT** send data to OCLC until you receive your unique OCLC-assigned Project ID number.

**Note:** It is imperative that all holdings records associated with a specific bibliographic record are always included in the same file.

The method used to send data depends on the format of the file. If you are unsure what types of files your local system produces, contact your local system vendor.

Exchange Media and File Transfer Methods for LHRUS

Data Format	Can be submitted via		
	FTP via OCLC EDX account	OCLC Product Services Web	E-mail attachment
Electronic files of MARC 21 Format for Holdings Data	Yes	Yes	No
Non-MARC patterned data files	No	No	Yes

### FTP using EDX

Files of records in the MARC 21 Format for Holdings Data can be sent to OCLC via Internet FTP. Those planning to submit data this way must have an Electronic Data Exchange (EDX) account. If you do not have an established EDX account, one will be created for you automatically when you place your LHRUS order.

Detailed instructions for sending records to OCLC for batch processing using your EDX account can be found here:

<http://www.oclc.org/us/en/support/documentation/batchprocessing/using/FTPinstructions.pdf>

### PSWeb upload

Files of records in the MARC 21 Format for Holdings Data can be uploaded to the OCLC Product Services Web. Detailed instructions for sending records to OCLC for batch processing via the PS Web can be found here: <http://www.oclc.org/us/en/support/documentation/batchprocessing/using/PSWebinstructions.pdf>

### E-mail

Once you have received your unique batchload Project ID, you may send non-MARC patterned data file(s) as attachment(s) to an e-mail message to: [Batchload@oclc.org](mailto:Batchload@oclc.org).

Do **not** send your data in the body of the e-mail. Include your OCLC institution symbol in the subject line of the message, indicate that the data is for an LHRUS project, and include your OCLC-assigned batchload Project ID number.

## 6 LHR Updating Project Definitions, Holdings Translation Tables, and Post-Processing Reports

**Introduction** This section is an overview of the evaluations and reports you will receive from OCLC for your LHRUS project.

**Evaluation of records** After you order your LHRUS project and submit a file, OCLC evaluates the data to determine processing specifications for the records. OCLC provides you with an *LHR Updating Batchload Project Definition* when the evaluation phase is complete. You and OCLC **must** agree to the parameters in the *LHR Updating Batchload Project Definition* prior to processing.

The *LHR Updating Batchload Project Definition* has three parts:

- **Project Information** – Brief project identification and contact information.
- **Processing Information** – OCLC development staff use this information to create the customized setup through which your records will be processed.
- **Notes/Comments** – This section contains more specific information about the data.

Included with the definition will be a **Holdings Translation Table**. This is a spreadsheet where each column represents the following information:

- **Column A:** Location code present in the 852 ‡a of the input file(s)
- **Column B:** Sublocation or Collection code present in the 852 ‡b of the input file(s)
- **Column C:** Valid 4-character OCLC-profiled holding library code that will appear in 852 ‡b of the WorldCat LHR
- **Column D:** OCLC institution symbol that will appear in 852 ‡a of the WorldCat LHR

**Note:** OCLC may be able to supply default values for 852 ‡a and/or 852 ‡b if they are lacking in your submitted data.

If ordering a single institution project, the order confirmation e-mail message from OCLC will contain a list of all currently profiled holding library codes and corresponding location names associated with your OCLC institution symbol. If you need to request new holding library codes or make changes to existing codes, send a request via e-mail to < [profiling@oclc.org](mailto:profiling@oclc.org) >. Holding library codes must be 4 characters in length and only alpha-numeric characters in the ranges A-Z and 2-9 are used in new codes.

The OCLC batchload database specialist assigned to your project will work with you to match local codes with the appropriate OCLC-profiled codes for your institution. The choice of which holding library codes should appear in the WorldCat LHRs is strictly a local decision and it's perfectly acceptable to use the default holding library code in all cases if that meets your needs.

You **must** notify OCLC before submitting records with new location or sublocation codes so that the *Holdings Translation Table* can be updated prior to processing. Records will fail to load if the codes in them are not on the translation table.

**Note:** A change in local systems requires a new evaluation and customized setup for processing. Contact OCLC Consultative Services < [consult-svcs@oclc.org](mailto:consult-svcs@oclc.org) > for pricing information.

**Post-processing reports**

After each file is processed and LHRs are loaded into WorldCat, OCLC produces the *Batch Processing Summary Report* and *Detailed Exception Report* to aid in record maintenance:

Post-processing Report	Description
Batch Processing Summary Report	Provides summary statistics about actions performed on a file of records, including LHRs added, replaced or deleted.
Detailed Exception Report	Reports errors that prevented records from being successfully processed. Records may be on the list for many reasons, including: <ul style="list-style-type: none"> <li>• No OCLC Control Number</li> <li>• Multiple 852 fields</li> <li>• Invalid subfield ‡8</li> </ul>

The Batch Processing Summary Report is sent as an e-mail attachment and is also available on the [OCLC Product Services Web](#) site when file processing is complete.

An e-mail notification is sent when a Detailed Exception Report is available on the [OCLC Product Services Web](#) site.

On the PSWeb site, all LHR post-processing reports can be found under **Batch Services Records and Reports**.

Please see **Appendix A** for examples of the *LHR Updating Batchload Project Definition*, the *Holdings Translation Table*, the *Batch Processing Summary Report*, and the *Detailed Exception Report*.

## 7 Appendix A: Examples of Evaluations and Reports

### Introduction

This appendix gives examples of the following evaluations and reports used in LHRUS:

- *LHR Updating Batchload Project Definition*
- *Holdings Translation Table*
- *LHR Batch Processing Summary Report*
- *Detailed Exception Report*

**Example 1: LHR Updating Batchload Project Definition with Holdings Translation Table**

**LHR Updating Project Definition**

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**PROJECT INFORMATION**

**Institution Name:** OCLC LHRUS User **OCLC Symbol:** OCL

**Expected Frequency:** Monthly **Project ID:** P012345

**MARC Organization Code:** OCoLC

**OCLC Batch Services Contact:** Judy Murrán  
**Phone:** (800) 848-5878, ext. 5226 **FAX:** (614) 718-7510 **E-mail:** [murranj@oclc.org](mailto:murranj@oclc.org)

**Library Contact:** Jane Librarian  
**Phone:** (800) 848-5800 **E-mail:** [jlibrarian@alibrary.org](mailto:jlibrarian@alibrary.org)

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**PROCESSING INFORMATION**

**Source of Files:** Local System  
**Character set encoding:** UTF-8  
**PDS member:** MFHD  
**Location of OCLC number:** 035 ‡a

**Bill Symbol:** OCL  
**Evaluation and Setup Fee:** TAP3742  
**Processing Product Code (zero bill):** TAP4048

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**NOTES / COMMENTS**

One file containing 200,000 MARC holdings records was received for evaluation and subsequent production.

The majority of records are coded to represent Serial item holdings (Leader/06=y). Also present are records coded as Single-part item holdings (Leader/06=x) and Multipart item holdings (Leader/06=v). When the OCLC control numbers for record types 'v' and 'x' were checked in WorldCat, it was found that the bibliographic records they matched to were primarily serials. All leader/06 values 'v' and 'x' will therefore be changed to 'y'. A random sample of the type 'y' records were searched and matched to serial records in WorldCat, as expected.

The records are coded with a variety of valid encoding levels (leader/17) that largely do not match the content of the records. Most appear to be level of specificity 3. OCLC software will attempt to set the correct encoding level during processing.

All records contain a properly formatted 007 field but a significant number have invalid values in one or more positions. Since only the first two bytes are used to generate OCLC displays, the 007 fields will be truncated at that point to prevent validation errors.

All records contain a valid and properly formatted 008 field. The date of actual file processing will appear as the date of report in bytes 008/26-31 in the WorldCat LHRs.

The library has coded the lending policy (008/20) and the reproduction policy (008/21) with a variety of valid values. WorldCat Resource Sharing can use these codes to automatically deflect ILL requests. Information on which settings will override Policies Directory profiles can be found here: <http://www.oclc.org/us/en/support/tips/resourcesharing/tip6.htm>.

All but a few records contain a valid and properly formatted OCLC control number in field 035 ‡a with the appropriate '(OCoLC)' prefix. The library is aware that LHRUS matches solely on the OCLC control number and incorrect numbers in that position could result in LHRs being added to the wrong bibliographic record in WorldCat. Records lacking an OCLC control number or with incorrectly formatted OCLC numbers will be deferred.

All records contain a single valid and properly formatted 852 field with the required subfields ‡a and ‡b present. The Holdings Translation Table below will be applied.

The majority of the records contain textual holdings in subfield ‡a of one or more 866 fields. A few of the 866 fields present lack the subfield ‡8 required in the OCLC LHR format. OCLC will supply a subfield ‡8 with a linking number of '0' in order to load the records.

In order to make them more usable in various interfaces, records that contain a single 866 field will have the data from subfield ‡a replicated as the LHR Summary when there is a single LHR attached to a WorldCat bibliographic record. The default statement "Local holdings available" will appear in the LHR Summary field when there is more than one 866 field in a record and also when there is more than one LHR attached to a bibliographic record that only contains textual holdings.

A small number of records contain 853/863 coded holdings fields. The LHR Summary field in WorldCat will be automatically generated by the software from subfields ‡a and ‡i of the 853/863 field pairs for records that make use of these coded fields.

Some records that include 853/863 fields also contain 866 fields yet they are not correctly coded to coexist in the same record. Since the 866 fields contain different or conflicting holdings information, no attempt will be made to correct the coding and the existing errors will prevent these records from loading.

It is expected that only a very small number of records contain errors that OCLC will not be able to correct programmatically. All records that cannot be successfully loaded will be deselected and reported for review.

A few records will be loaded with minor validation errors that will not be corrected. Any such errors will be reported for the initial load only. Validation errors present in subsequent files will not be reported and should be avoided.

Please see the following Holdings Translation Table where each column represents the following information:

- Column A: Location code present in 852 ‡a of the input files
- Column B: Sublocation or Collection code present in 852 ‡b of the input files
- Column C: OCLC-profiled Holding Library Code that will appear in 852 ‡b of the WorldCat LHR
- Column D: OCLC Institution Symbol that will appear in 852 ‡a of the WorldCat LHR

**OCL must notify OCLC Batch Services before submitting any records with new location codes so that the Holdings Translation Table can be updated prior to processing**

A	B	C	D
OCL	OCLA	OCLA	OCL
OCL	OCLB	OCLB	OCL
OCL	OCLC	OCLC	OCL
OCL	OCLD	OCLD	OCL
OCL	OCLE	OCLE	OCL
OCL	OCLF	OCLF	OCL
OCL	OCLG	OCLG	OCL
OCL	OCLH	OCLH	OCL
OCL	OCLI	OCLI	OCL
OCL	OCLJ	OCLJ	OCL
OCL	OCLK	OCLK	OCL
OCL	OCLL	OCLL	OCL
OCL	OCLM	OCLM	OCL
OCL	OCLN	OCLN	OCL
OCL	OCLO	OCLO	OCL
OCL	OCLP	OCLP	OCL
OCL	OCLQ	OCLQ	OCL
OCL	OCLR	OCLR	OCL
OCL	OCLS	OCLS	OCL
OCL	OCLT	OCLT	OCL
OCL	OCLU	OCLU	OCL
OCL	OCLV	OCLV	OCL
OCL	OCLW	OCLW	OCL
OCL	OCLX	OCLX	OCL
OCL	OCLY	OCLY	OCL
OCL	OCLZ	OCLZ	OCL
OCL	OCL1	OCL1	OCL
OCL	OCL2	OCL2	OCL
OCL	OCL3	OCL3	OCL
OCL	OCL4	OCL4	OCL

## Local Holdings Record Updating Service User Guide

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### Example 2: Batchload Processing Summary Report

BATCHLOAD PROCESSING SUMMARY

Current Project Contact: murranj@oclc.org

Report Date: 01-Jan-2010

Run Date: 01-Jan-2010

Institution Name: OCLC LHRUS User

Order IDs: 288001

Institution Symbol: OCL

Project ID: 012345

File: DBS.@OCL.MARCIN.D100131, 200,000 records

#### LHR PROCESSING

Records input:	200,000
of which were deselected:	74
of which were added:	199,918
of which were deleted:	0

#### Bib records affected

LHR summaries added:	5,001
LHR summaries replaced:	182,161

## Local Holdings Record Updating Service User Guide

### Example 3: Batchload Processing Detailed Exception Report

#### BATCHLOAD PROCESSING EXCEPTION REPORT

Current Project Contact: murranj@oclc.org

Run Date: 01-Jan-2010

Institution Name: OCLC LHRUS User

Institution Symbol: OCL

Order IDs: 288001

File: DBS.@OCL.MARCIN.D100131

Project ID: 012345

Inst	Contl Num	OCLC Num*	Exception Description
	000600125	1537594	Deselected-The first \$8 is not the first subfield fld:866
	000500432	3465953	Deselected-\$8 required but lacking fld:866
	000600245	2199822	Deselected-\$a does not exist, or lacks content fld:852
	000500170	6003435	Deselected-\$8 required but lacking fld:866
	000500322		Rejected - LDNRML-No Oclc number in record
	000501044	1553152	Deselected-\$a does not exist, or lacks content fld:866
	000500943		Rejected - LDNRML-No Oclc number in record
	000502905	27253660	Deselected-\$8 required but lacking fld:866
	000503106	1767114	Deselected-\$8 required but lacking fld:866
	000504525	1782466	Deselected-\$8 required but lacking fld:866
	000504698	7995360	Deselected-\$a does not exist, or lacks content fld:852
	000504852	1768010	Deselected-\$8 found in does not link back correctly fld:863
	000504677	12325168	Deselected-\$8 found in does not link back correctly fld:863
	000504818	3105174	Deselected-\$8 found in does not link back correctly fld:863
	000505266	5879875	Deselected-Sequence number is missing and required fld:863
	000505056	5064796	Deselected-\$8 required but lacking fld:866
	000505886	1681141	Deselected-\$8 required but lacking fld:866
	000506701	1681165	Deselected-\$8 required but lacking fld:866
	000506880	1782811	Deselected-Sequence number is missing and required fld:863
	000507319	5185697	Deselected-\$8 required but lacking fld:866
	000517531	2468342	Deselected-\$8 required but lacking fld:866
	000518150	48805782	Deselected-\$8 required but lacking fld:866
	000518593	1478767	Deselected-Sequence number is missing and required fld:863
	000519241	1641524	Deselected-\$8 required but lacking fld:866
	000519255	50206387	Deselected-\$a does not exist, or lacks content fld:863
	000520333	9257716	Deselected-\$8 required but lacking fld:866
	000520665		Rejected - LDNRML-No Oclc number in record
	000522309		Rejected - LDNRML-No Oclc number in record
	000520431		Rejected - LDNRML-No Oclc number in record
	000519879	5040952	Deselected-\$8 required but lacking fld:855
	000521478	43373659	Deselected-\$a does not exist, or lacks content fld:866
	000522125	1355996	Deselected-\$a does not exist, or lacks content fld:863
	000520597	1641604	Deselected-\$a does not exist, or lacks content fld:866
	000520927	46719431	Deselected-\$a does not exist, or lacks content fld:866
	000520703	7777840	Deselected-\$8 required but lacking fld:855
	000522864		Rejected - LDNRML-No Oclc number in record
	000524001	2714309	Deselected-\$a does not exist, or lacks content fld:852
	000525369	1754538	Deselected-\$8 required but lacking fld:866
	000524763	7425054	Deselected-\$8 required but lacking fld:866
	000526286	1741281	Deselected-The first \$8 is not the first subfield fld:867
	000526278	8340313	Deselected-\$a does not exist, or lacks content fld:852
	000525452	1757191	Deselected-\$a does not exist, or lacks content fld:852
	000525527	3491198	Deselected-\$a does not exist, or lacks content fld:866
	000526340	1518534	Deselected-\$a does not exist, or lacks content fld:866
	000526114	40211209	Deselected-\$a does not exist, or lacks content fld:852
	000525983	1641118	Deselected-\$a does not exist, or lacks content fld:852
	000525995	2015693	Deselected-\$a does not exist, or lacks content fld:852
	000526856	1763251	Deselected-The first \$8 is not the first subfield fld:867
	000527685	27671496	Deselected-\$8 required but lacking fld:866
	000527101	2259275	Deselected-\$8 required but lacking fld:866

## Local Holdings Record Updating Service User Guide

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000528369	2059182	Deselected-\$8 required but lacking fld:866
000528428	6012926	Deselected-\$8 required but lacking fld:866
000528145	1588991	Deselected-\$8 required but lacking fld:866
000529338		Rejected - LDNRML-No Oclc number in record
000528707		Rejected - LDNRML-No Oclc number in record
000529824		Rejected - LDNRML-No Oclc number in record
000529089	40212384	Deselected-\$8 required but lacking fld:866
000529517	5971097	Deselected-\$8 required but lacking fld:866
000529567	29714288	Deselected-\$a does not exist, or lacks content fld:866
000529585	3230546	Deselected-Sequence number is not permitted fld:853
000529098	13408561	Deselected-\$a does not exist, or lacks content fld:866
000529136	1909467	Deselected-\$a does not exist, or lacks content fld:866
000531629	1772462	Deselected-\$a does not exist, or lacks content fld:866
000531669	2609349	Deselected-\$a does not exist, or lacks content fld:866
000529626	1565934	Deselected-\$a does not exist, or lacks content fld:866
000636626		Rejected - LDNRML-No Oclc number in record
000635409	1562324	Deselected-\$a does not exist, or lacks content fld:852
000531294		Rejected - LDNRML-No Oclc number in record
000530444		Rejected - LDNRML-No Oclc number in record
000530493	5424931	Deselected-\$a does not exist, or lacks content fld:866
000530910	4596954	Deselected-\$a does not exist, or lacks content fld:866
000530692	8898840	Deselected-Sequence number is missing and required fld:863
000530819		Rejected - LDNRML-No Oclc number in record
000530732	1564124	Deselected-An 866 with a linking number of zero exists, but none of the 863s indicate that an alternative display is allowable

