

4 Send Records/Data for Batchload

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4.1 Methods of sending records/data

4.1.1 Methods by data type

How you send your library's records for batchloading depends on the type of data you send for processing and, therefore, also on the type of project you order. The following table shows which methods are available for sending records/data by project and data type:

Methods	What is this?	Use to send this data type or to request this project type...
FTP	File transfer protocol using an OCLC Electronic Data Exchange (EDX) account	MARC data
PSWeb	File upload using the OCLC Product Services Web interface	MARC data
E-mail with files attached	Message to Batch Services with data files attached for batchloading	<ul style="list-style-type: none"> • Non-MARC “patterned” bibliographic data • List of numeric search keys
Files on physical media via mail service	Files on CD or DVD mailed to OCLC for batchloading	
E-mail with no data required	Simple e-mail request	<ul style="list-style-type: none"> • Scan/delete-only • Symbol flip

4.1.2 What you need to use FTP or PSWeb

Choosing between FTP or PSWeb is a matter of library experience or preference. If you have already used one or the other, you will likely continue using the method you know. If you are deciding which to use, the following table shows what you need for each:

What you need for FTP	<ul style="list-style-type: none"> • An FTP client such as WS_FTP_Professional or Blue Zone. Do not use Internet Explorer or FireFox. • OCLC EDX account. If you do not already have one, an EDX account is automatically created for you when you order.
What you need for PSWeb	<ul style="list-style-type: none"> • Web browser • OCLC authorization and password for logging on: <ul style="list-style-type: none"> ○ Use your existing cataloging, FirstSearch (with an administrative or statistics password), or resource sharing authorization and password. Or <ul style="list-style-type: none"> ○ When you place your order, you can request a PSWeb-only authorization and supply your preferred password.
What you need for either FTP and PSWeb	<ul style="list-style-type: none"> • You will use the same guidelines and procedures for creating DATA and LABEL file(s). • Plain text editor such as NotePad to create LABEL file(s). Do not use Word.

4.1.3 FTP and PSWeb recommended limits for file size and number of files to submit per day

- OCLC Batch Services recommends a file size limit of 100 megabytes (MB) and a limit of submitting no more than 19 sets of DATA and LABEL files per day. This file size accommodates:
 - Up to 90,000 MARC bibliographic records
 - Up to 300,000 MARC holdings records ([MFHD](#)) for LHRUS projects only (see the [Local Holdings Record Updating Service User Guide](#) for more information)
- **Smaller and fewer bibliographic record files for uploading to PSWeb.** For uploading bibliographic record files to PSWeb, OCLC recommends smaller files of 50 MB, or about 40,000 to 45,000 records, to avoid possible timeout issues with uploading larger files using Web-based file transfer interfaces such as PSWeb. (These problems are rarely an issue for files of holdings records.) We recommend limiting uploads to 10 sets of files per day.
 - If you want to upload larger bibliographic record files (100 MB) to PSWeb, we recommend that you transfer one DATA and one LABEL file at a time and wait for the transfer to complete successfully before uploading more files.
 - If these guidelines for PSWeb upload do not work for you, please use FTP transfer instead.
- If you are submitting a large number of files for your project via either PSWeb or FTP, OCLC highly recommends sending only one or two sets of DATA/LABEL files the first day; any problems in your LABEL file data or in file naming conventions can be corrected before you send other files.

4.2 Quick references

See printable quick references that give instructions separately for each method of preparing and sending files/data:

- [Send Records for Batch Processing Using PSWeb](#)
- [Send Records for Batchload Using FTP](#)
- [Send Records for Batchload Using Your Innovative \(III\) Local System](#)
- [Send Non-MARC Data for Batchload via E-mail or Physical Media](#)

This chapter of the Guide consolidates all of the information and instructions contained in the quick references.

4.3 Create DATA and LABEL files for FTP or PSWeb submittal

Whether you use FTP or PSWeb, you need to create DATA and LABEL files. DATA files contain your records. LABEL files contain required information about the DATA files in a required format.

4.3.1 General guidelines

- Create a LABEL file for each DATA file. Please strictly follow guidelines and instructions to prevent problems with sending your data.
- Always send the DATA file first, followed by its associated LABEL file.

4.3.2 Create DATA file(s)

	Action
1	Copy your MARC records to one or more files. See limits in 4.1.3 above.
2	<p>Name the DATA file using these conventions:</p> <ul style="list-style-type: none"> • Use alphanumeric characters only (no hyphens, dashes, pound signs, or other non-alphanumeric characters). • Use up to eight characters between periods (.). • Use the following required naming convention to match the corresponding LABEL file name: <ul style="list-style-type: none"> ○ Type DATA.D followed by the current date in the format <i>yymmdd</i>. Example: DATA.D090328 ○ If you submit multiple DATA files, use the same name but add the extension .FILE followed by a unique number for each file. Example: DATA.D090328.FILE1 DATA.D090328.FILE2, DATA.D090328.FILE3, and so on • If you ordered a one time batch project and send multiple files: <p>For the last file you send for your project, replace the .FILE extension with the extension .LAST.</p> <p>The .LAST extension signals Batch Services that you have sent all of your records and then OCLC can complete your project and generate summary reporting.</p> Example: DATA.D090328.LAST <p>Note: If your project consists of only one file, add only the extension .LAST to the file name.</p> <p>Examples of complete DATA file names: DATA.D090328.FILE1, DATA.D090328.FILE2 (project with multiple files) Or DATA.D090328.LAST (last or only file in a one time project)</p>
3	Repeat the steps above to create as many DATA files as needed for your records and remain within the recommended limits (see 4.1.3 above).

4.3.3 Create a LABEL file for each DATA file

Action	
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- 1 Open a new document in a text editor such as NotePad (do not use Word).
- 2 Type each of the five field labels listed in the following table on separate lines, with each label followed by two blank spaces and then the specified data.

Caution: Follow the [guidelines](#) below strictly to prevent problems with submitting your data.

Type this label...	Enter two blank spaces and then this data...
DAT	Date the DATA file was compiled, in format <i>yyyymmdd</i> , followed by 000000.0 , no spaces
RBF	Number of records in the DATA file, no comma
DSN	DATA file name
ORS	OCLC institution symbol
FDI	Batch Services-assigned project ID; that is, the “P” number that you receive in your Batch Services order confirmation email. Example: P012345 Caution: Do not use the WEB-xxxxxx number sent by the Online Services Center (OSC). That number confirms only that your order was transmitted from the OSC to Batch Services and is not used for Batchload.

Example of LABEL file content

Replace each ■ with a blank space. Note that the font in this example is **Courier New** (see guidelines immediately below).

```
DAT■■20090328000000.0
RBF■■75000
DSN■■DATA.D090328
ORS■■OCL
FDI■■P011871
```

Guidelines

- Type all content in capital letters.
- Do not add any other data or notes or extra spacing.
- Entering the two spaces between each label and the data is critical. Preferably, use a fixed length font, so that you can clearly see and fix any spacing errors.
Example: To change the font in Notepad, click **Format > Font**. In the **Font** list, click **Courier New**.
- Press <Enter> before typing the next field (moves the cursor to the next line).

Action	
3	<p>Click File > Save to name and save the file:</p> <p>a. In the File name box of the Save As window, type LABEL.D followed by the current date in the format <i>yyymmdd</i>.</p> <p style="padding-left: 40px;">Example: LABEL.D090328</p> <p>b. Add the .FILE extension if you create multiple LABEL files, followed by the same number as the DATA file it describes.</p> <p style="padding-left: 40px;">Examples: LABEL.D090328.FILE LABEL.D090328.FILE2, and so on</p> <p>c. If you ordered a one time batch project and you are sending multiple files: For the LABEL file that corresponds to the last DATA file you send for your project, replace the .FILE extension with the extension .LAST.</p> <p style="padding-left: 40px;">Note: If your project consists of only one file, add only the extension .LAST to the name.</p> <p>d. In the Encoding list, select ANSI if not already selected. Other encoding types may cause file errors.</p>

4.4 Send DATA and LABEL file(s) via FTP

Caution: If you use FTP and your local system is Innovative Interfaces, please use [special instructions](#) not given in this Guide. Innovative systems have a built-in FTP function. The instructions are a composite provided by Innovative users who have transferred records to OCLC. OCLC cannot provide definitive instructions. Please consult technical support for your Innovative system, if you need help.

To use FTP to send your DATA and LABEL files:

Action	
1	<p>Using an FTP client such as WSFTP_Pro or Blue Zone, enter:</p> <p style="padding-left: 40px;">ftp edx.oclc.org</p>
2	<p>Enter your EDX account user name in the format:</p> <p style="padding-left: 40px;">t[xxx]1 (Replace [xxx] with your OCLC institution symbol and enter a 1, the number one, not the letter "ell")</p> <p style="padding-left: 40px;">Example: tOCL1</p>

	Action
3	<p>Enter your password.</p> <p>The first time you use your account, you must change the initial default password, which is the same as your user name</p> <p style="text-align: center;">Example: tOCL1</p> <p>a. In the password box, type a single string with your initial default password followed by your new password twice, separating each password with a slash:</p> <p style="text-align: center;"><i>[initial default password]/[new password]/[new password].</i></p> <p style="text-align: center;">Example: tOCL1/blue1234/blue1234</p> <p>Note: The new password must be eight characters (use A-Z, #, \$, or @) and must include at least one number (0-9).</p> <p style="text-align: center;">Example: blue1234</p> <p>b. Click OK.</p> <p>Note: The next time you log on, you may get a password error if you happened to save the initial “change password” command string. Simply enter your new password only once (example: blue1234) and save your connection session.</p>
4	<p>Change the default directory to:</p> <p style="text-align: center;">‘edx.ebsb.[xxx].ftp’ (replace [xxx] with your OCLC institution symbol)</p> <p>Caution: Always include the single quotation marks.</p>
5	<p>Verify that the transfer type is set to binary mode (bin).</p>
6	<p>Send the DATA file first. Type put [file name].</p> <p style="text-align: center;">Example: put DATA.D090328.FILE1 (first of multiple files) Or put DATA.D090328.LAST (last or only file for a one time project)</p>
7	<p>Send the corresponding LABEL file next. Type put [file name].</p> <p style="text-align: center;">Example: put LABEL.D090328.FILE1 Or put LABEL.D090328.LAST</p>
8	<p>Repeat steps 6 and 7 to transfer more files as needed, following the recommended limits described in 4.1.3 above.</p>
9	<p>Click Quit.</p>

4.5 Send DATA and LABEL file(s) via PSWeb

To use the Product Services Web (PSWeb) to send DATA and LABEL files:

	Action
1	In your Web browser, go to http://psw.oclc.org .
2	In the list of links on the left, click File uploads .
3	On the File Uploads page, click OCLC Batch Services (Batchload orders with project number Pnnnnnn) .
4	Enter your OCLC logon authorization and password and click Enter . See the " What you need " table above for details about authorizations for PSWeb.
5	Send the DATA file first: Under Data File(s) , type the full path and file name of your DATA file, or click Browse and locate the file.
6	Send the LABEL file next: Under Label File(s) , type the path or locate the corresponding LABEL file.
7	Enter more pairs of DATA and LABEL files as needed, following the recommended limits described in 4.1.3 above.
8	Click Upload Files . Your files should appear in the Current Files list below the Upload Files button.
9	Click Log Out below the list of links on the left.

4.6 OCLC file pickup

- Files successfully sent to OCLC via FTP or PSWeb are picked up by an internal process at approximately 2:00 a.m. U.S. Eastern Time each day.
- Shortly after OCLC pickup, you will get an e-mail notification that OCLC received your file. If you do not receive the e-mail, contact OCLC Batch Services at batchload@oclc.org to investigate.

4.7 What happens to your files?

If you are a U.S. library ordering for your institution only, **and** you can provide MARC 21 records, **and** you do not need to receive OCLC-MARC record output, when OCLC receives your files:

- Your records start processing automatically with no prior review by OCLC staff.
- Within minutes after OCLC pickup, you receive an e-mail to let you know that processing has begun on your project, with information about how records will be processed, based on your order selections.

OR

If your project does **not** have the characteristics listed above and instead, has one of the characteristics listed in the table below:

- You receive an e-mail notification that your files were received.
- The files go into an evaluation queue for customized setup.
- An OCLC Batch Services database specialist reviews your project setup and records and may contact you for more information. The following table gives examples.

If your project is ...	A database specialist ...
Non-U.S. order	Reviews for varying cataloging practices
Order for a group (multiple libraries)	Requests data from you to correlate local library identifiers in records with OCLC institution symbols of libraries in your group See more on providing library identifiers .
Order for OCLC-MARC record output	Contacts you about whether to retain local data from your records in the MARC records you receive. See more details .
Order based on non-MARC “patterned” data	Evaluates the data for converting to MARC records and matching against WorldCat.
Order based on a list of numeric search keys	Provides special processing—the numeric keys are matched against WorldCat.

4.8 Send non-MARC data via e-mail or physical media

After you order a non-MARC data project for either “patterned” bibliographic data or numeric search keys, **and** you receive an order confirmation e-mail from Batch Services that contains your project ID (a “P” number; example, “P012345”), you can prepare and send your data.

4.8.1 Create file(s) of patterned bibliographic data

Export data from your local system using a desktop application such as FILEMAKER; Microsoft Access, Excel, or Word; ClarisWorks; or Lotus into the type of file you selected when you ordered (that is, a spreadsheet, a delimited or labeled text file, or another file type that you specified).

Examples

The following two examples, one exported from an Excel spreadsheet and the other from FILEMAKER, show only a small part of the data exported.

Excel spreadsheet

BIB-LEVEL#	ISBN#	DDC#	TITLE#	AUTHORS#	PUBLISHER NAME#
M#	031210281X#	#	The World turned upside down: Indian voices from early America#	Calloway, Colin G.#	Bedford Book of St Martin's Press#
M#	750704322#	371.122#	Passionate enquiry and school development: a story about teacher action research#	Dadds, Marion#	The Falmer Press#
M#	#	792.0954#	A future plan for the development of the modern theater in Qatar#	Burshaid, Saad#	#

You can create a file like the one illustrated above by using comma-delimited settings in the export tools of the spreadsheet software.

FILEMAKER

```
Type:-Article #
Author:-Key, Joseph Patrick #
Title:-INDIANS AND ECOLOGICAL CONFLICT IN TERRITORIAL ARKANSAS. Citation:-Arkansas Historical Quarterly 2000-59(2):127-146 #
Abstract:-The removal of Delaware's and Shawnee from the White River in Arkansas during the early 19th-century was part of a larger ecological conflict over land and natural resources that pitted Native Americans against whites and also against each other. The emergence of a fur trade with white merchants intensified competition and resource depletion among several tribes. Ironically, peace treaties tended to intensify commercial hunting. Cherokee settlers and the white settlers that followed added competition over land use to this volatile situation. Ultimately, white farmers tied to the emerging cotton market won this contest by harnessing political power and removing their Native American competition. #
Documentation:-Based mainly on manuscript collections at the National Archives and University of Arkansas-Fayetteville and secondary sources; 46 notes. #
Abstracter:-R. E. McFarland #
Language:-English #
Period:-1780-1821 #
Subject:-Fur Trade #
Arkansas, Indian-White Relations, Farming, Land, #
ISSN:-0004-1823 #

Entry:-38:7667 #
```

You can create a file like the one illustrated above using FileMaker's export utilities.

4.8.2 Create list(s) of numeric search keys

Create list(s) of numeric search keys using the type of file you specified when you ordered (that is, a spreadsheet, a delimited or labeled text file, or another file type that you specified).

Guidelines

- Enter only one type of numeric search key in a single file. If you want to send more than one type of number, create a separate file for each.

You can send a list of LCCNs, ISBNs, ISSNs, or OCLC control numbers using the formats shown in the table:

Numeric data	Formatting	Example
LCCN—Library of Congress	Include hyphens	84-23765
ISBN—International Standard Book Number	Omit hyphens	0818903457
ISSN—International Standard Serial Number	Include hyphens	1060-0396
OCLC control number	Include one of these prefixes: • # (pound sign) • * (asterisk) • ocm/ocn	• #1299 • *13713166 • ocm32551273/ • ocn141381273

Caution: The match rate for lists of LCCNs, ISBNs, and ISSNs tends to be very low. If possible, please provide OCLC numbers for your numeric search key project.

- Enter numeric search keys in a single column, one search key per line.
- Combine smaller files for the same index into one.
 - Limit:** 80,000 search keys per file.
- Be sure to remove any duplicate entries, blank lines, invalid numbers, and/or spurious data from the files.

4.8.3 E-mail non-MARC data files

	Action
1	Create an e-mail message. In the Subject line of the e-mail include your: <ul style="list-style-type: none"> • OCLC institution symbol • Batchload project ID ("P" number) <p>Example: Subject: OCL, Batchload Project ID P099999</p>
3	Attach your non-MARC patterned bibliographic data file(s) or your numeric search key file(s) to the e-mail. <ul style="list-style-type: none"> • Do not include data or search keys in the body of the e-mail. • Do not send multiple e-mail messages; attach all files to one message.)
4	Send the e-mail with attachments to OCLC Batch Services at batchload@oclc.org .

4.8.4 Mail non-MARC data files on CD or DVD

	Action
1	Copy your non-MARC bibliographic data file(s) or your numeric search key file(s) to a CD or DVD.
2	Label both the CD or DVD and its case with: <ul style="list-style-type: none"> ○ Name of your library ○ OCLC institution symbol ○ Batchload project ID ("P" number) <p>Example: Project ID P012345</p> <ul style="list-style-type: none"> ○ Record count or number of search keys ○ Contact person's name, phone number, and e-mail address
3	Mail the CD or DVD to OCLC Batch Services: <p style="margin-left: 40px;">OCLC 6565 Kilgour Place Dublin, OH 43017-3395 USA Attention: Batch Services MC 139</p>

4.9 More about record and data formats for batchload

Although Batchload at OCLC requires MARC 21-formatted bibliographic records that have either MARC-8 or UTF-8 Unicode character encoding, OCLC can convert or use other types of data. This section has more information about MARC and non-MARC data types that OCLC uses for batchloading.

4.9.1 MARC-formatted records

Formatted records are formal, pre-defined, structured sets of codes and content designators that allow computers to read files and exchange records and data across platforms. MARC (**M**achine **R**eadable **C**ataloging) formats are examples.

Types of MARC data you can send include:

- **MARC 21.** The version of Machine Readable Cataloging that superseded USMARC in 1999 with the harmonization of U.S. and Canadian MARC formats. It is the current official MARC standard in the United States, Canada, Australia, and other countries. It is the format OCLC supports in WorldCat.
- **Other non-U.S.-based MARC formats.** OCLC can reformat the following types of MARC records to MARC 21:
 - **UNIMARC:** A version of Machine Readable Cataloging that is supported by IFLA (International Federation of Library Associations) and used by China, Japan, Europe, and other countries.

- **INTERMARC:** A MARC format based on Library of Congress MARC (LCMARC) developed by the Bibliotheque Nationale in the 1970's. INTERMARC is superseded by UNIMARC; however, many catalogs, especially in Europe, have INTERMARC records.
- **IBERMARC:** A MARC format based on USMARC developed in Spain. Although IBERMARC may be unified with UNIMARC, catalogs may contain IBERMARC records.
- **Other non-MARC21:** INDOMARC and CATMARC are examples of other non-MARC21 formats. Most are being unified with UNIMARC, but catalogs may contain such records.

4.9.2 Character encoding in MARC-formatted records

Character encoding schemes are numeric computer codes (binary or hexadecimal) that represent multiscript characters across languages to facilitate consistent electronic data transmission and display.

All MARC records that you send to OCLC for batchloading must consistently use:

- **Only MARC-8** encoding in all records
- Or
- **Only UTF-8 Unicode** encoding in all records

Leader position 9 (008/09, Character coding scheme) in records must correctly indicate whether the character encoding is MARC-8 or UTF-8 Unicode:

- Blank = MARC-8
- Value **a** = UTF-8 Unicode)

A mix of MARC-8 and UTF-8 Unicode or inclusion of other encoding schemes causes processing errors for your entire file and/or for individual records.

See more about [MARC-8](#) or [UTF-8 Unicode](#) encoding.

4.9.3 Non-MARC data

You can send other data types for batchload, including:

- **Consistently patterned bibliographic data.** OCLC can reformat non-MARC data that is that is in a consistent pattern in a spreadsheet or a word-processing document. The data can be converted to MARC 21 if it has one or more of the following characteristics:
 - Labeled columns of data in a spreadsheet
 - Consistently labeled fields followed by data in a word processing file (for example, AUTHOR: Smith, John TITLE: My Life Story)
 - Data fields and records delimited by one or more unique identifiable keyboard keys in a word processing file (for example, data fields separated by commas; records separated by <Tab>).
 - Positional data field descriptions and their content related by record position (for example, fixed length formatted records).
- **Simple list of numeric search keys.** OCLC can use simple lists of numbers from the numeric data in your records. You can use one of the following types of numeric data per

file: LCCNs, ISBNs, ISSNs, or OCLC control numbers, with OCLC numbers the preferred choice (see [details](#) above).

When you order a project based on numeric search keys, you request that holdings be either set or canceled in WorldCat records that have matching numeric data. If you have some records that need to have holdings set and some that need to be canceled, you need to order two separate numeric search key projects and send separate lists for each.