Find detailed metadata guidelines for submitting shared print registration commitments.

Overview

LHR Shared Print processing processes separate holdings records that are compliant with the MARC 21 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 to note:

- WorldCat LHRs are copy-specific, separate holdings records.
- OCLC does not accept holdings data embedded in bibliographic records.

Holdings records sent by libraries may contain any element in the MARC 21 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.

583

Create a Local Holdings Record (LHR) for each title to define the location (Institution Symbol), print archiving program, archiving action(s), retention period, and holdings archived. The LHR will include one, two, or three 583 Action Notes in the LHR as appropriate:

- At a minimum, a single 583 $a Action="committed to retain"
- If the title was validated for completeness, include another 583 to summarize the action and report any identified gaps. Include $a Action="completeness reviewed" with appropriate $i Status terms to report evidence of missing units, binding anomalies, or reprints; use the $z Public note to specify gaps and missing materials.
- If the title was validated for condition, include another 583 to summarize the action and record the conditions found. Include $a Action="condition reviewed" with one $i Status and one $z Public note for each condition found, reporting the condition and indicating the volumes to which it applies.

Validated holdings only: Update the bibliographic holdings statement(s) once validation is complete (i.e. 85x/86x formatted holdings or 866 summary holdings statement).

Required fields for LHR Shared Print processing

Fields that must be present in a holdings record for successful LHR Shared Print processing by OCLC 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
- **008** - Fixed-Length Data Elements
- **852** - Location
  - $a Location
  - $b Sublocation or collection

The presence of other fields will vary depending on the content. OCLC can often supply default values for certain elements if they are lacking.

### 583 Action Note

- **First Indicator - Privacy:** For print archiving purposes, the default value of the first indicator should be 1 (i.e., not private).
- **$2 Source of term:** A MARC code that identifies the source list from which the term used in subfield $a to record the action information was assigned. The source of the MARC code is Resource Action Term Source Codes. At this time, the code “pda” is always used.
- **$3 Materials specified:** Detailed holdings to which action applies, should be same range of holdings described in LHR 85x/86x or 866. Indicate gaps if known.
- **$5 Institution:** Archiving institution, controlled terms using MARC organization code
- **$a Action (Required):** “committed to retain” or “completeness reviewed” or “condition reviewed” are the expected $a Action terms for print archives.
- **$c Time/Date of action (Required):** Date action taken, YYYYMMDD
- **$d Action interval (Required):** When $a=“committed to retain”, specify date in YYYYMMDD format when retention commitment expires. If the term of the commitment is not known, indicate “retention period not specified”.
- **$f Authorization (Required):** Archiving program e.g. WEST, ASERL, CIC-SPA, UC Shared Print, UKRR etc.
- **$i Method of action:** Validation level (volume-level, issue-level, page-level), used when if $a=“condition reviewed” or “completeness reviewed”
- **$j Site of action:** Holdings Location Code (HLC)
- **$l Status:** When $a=“condition reviewed” or “completeness reviewed” use preferred print archiving terms as set forth below.
  - Note: Other terminology may be adopted in the future.
- **$u Uniform Resource Identifier:** Link to program documentation for print archiving program identified in $f
- **$z Public note:** When $a=“condition reviewed” or “completeness reviewed” use the $z Public Note to specify the physical units for which condition or completeness problems have been identified. Specify the condition or completeness problem, followed by the units to which it applies. For example, $z text block is obscured in volume 2 (1982), p.38, or $z missing volume 13 (1937). Use one $z Note per completeness or condition status.

### 852

- **$a Location:** Use Institution symbol
- **$b Sublocation:** Use Holdings location code
85x/86x

Coded holdings

866-8

$sTextual holdings (Summary holdings): If no 85x/86x formatted holdings pairs

Desired fields for LHR Shared Print processing

The following fields are desired, where applicable and available, to support the LHR Shared Print processing:

- **007** - Physical Description Fixed Field
  Note: If field 007 is not present, OCLC uses ‘zu’ as the physical description.
- **022** - International Standard Serial Number (ISSN)
- **561** - Ownership and Custodial History

Where applicable and feasible, use the 561 to record the original owner of holdings for archived materials that have been consolidated under a new print archive symbol. This may occur for existing holdings moved to a print archive status, for shared storage facilities with a single copy policy or for in-place archives where gaps are filled from contributions by other libraries.

When used for shared archives, provide a separate 561 for each original owner, e.g.:

- 561 1 $a CUI $5 CU-I
- 561 1 $a CLU $5 CL-U

**022 International Standard Serial Number (ISSN)**

- **$a ISSN**: For the title record corresponding to the OCLC number provided in 004, 014, or 035 field.

In case of multiple ISSNs, use the first 022 $a.

Inclusion of the ISSN provides a standard match point to support linking of LHR information with other data sources.

**561 Ownership and Custodial History**

- **First Indicator - Privacy**: For print archiving purposes, the default value of the first indicator should be 1 (i.e., not private).
- **$3 Materials specified (Optional)**: If used, includes holdings originally owned by the institution identified in $a History
- **$5 Institution**: Original owning institution, controlled terms using MARC organization code
- **$a History**: Institution Symbol of library or institution that provided materials to the Print Archive identified in 852 $a
Location

The 561 provides a means of identifying the original owner of material that was contributed to the Print Archive (identified in 852 $a Location).

In cases where an archived serial run comprises material contributed by several libraries, a separate 561 per contributing library is recommended to note (via the $3 specific holdings contributed by each library).

## Holdings contributed to multiple archiving programs

If archived content is contributed to multiple shared print aggregations is subject to different retention and/or access policies, separate 583 statements should be supplied for each program. If content is contributed to multiple programs that share common preservation and access policies, a single 583 may be used. In such cases, multiple $f should be supplied to identify each of the relevant programs.

Note: The following fictional examples are provided for illustrative purposes only.

### Example 1: Use of the 583 to record retention for unvalidated journal holdings; minimal form of 583 for print archiving.

**Retention 583:**

583 1# $a committed to retain $c 20115103 $d 20351231 $f WEST $f WEST Bronze $u [http://www.cdlib.org/services/west/d...mStatement.pdf](http://www.cdlib.org/services/west/d...mStatement.pdf)

### Example 2: Use of the 583 to record retention commitments and outcomes of validation for journal holdings, when holdings are only reviewed for completeness. Two 583 Action Notes are created.

**Retention 583:**

583 1# $3 v.1-v.45 (1960-2002) $a committed to retain $c 20110101 $d 20351231 $f OCA DPR $f WEST $f WEST Silver $j ORUS $2 pda $5 OrU

**Completeness 583:**

583 1# $3 v.1-v.3 (1960-1962), v.5-v.37(1964-1997), v.39-v.45 (1999-2002) $a completeness reviewed $c 20110101 $f OCA DPR $f WEST $f WEST Silver

$i volume-level $l missing volumes $z missing v. 4, v.38 $2 pda $5 OrU

### Example 3: Use of the 583 to record retention commitments and outcomes of validation for journal holdings, when holdings are reviewed for completeness and condition. Three 583 Action Notes are created to record the retention commitment, completeness review, and condition assessment.

**Retention 583:**

583 1# $3 v.1-v.50 (1951-2005) $a committed to retain $c 20110101 $d 20351231 $f WEST $f WEST Gold $j AZFSP $2 [https://help.oclc.org/Metadata_Services/Shared_Print/Get_started/Detailed_metadata_guidelines](https://help.oclc.org/Metadata_Services/Shared_Print/Get_started/Detailed_metadata_guidelines)
Completeness 583:

| 583 1# $3 v.1-v.50 (1951-2005) $a completeness reviewed $c 20110101 $f WEST $f WEST Gold $i issue-level $l missing volumes $l reprints $z missing v.6-v.7 (1959-1960), v.17 (1970) $z reprints v.3-v.5 (1951-1958) $2 pda $5 AzTeS |

Condition 583:

| 583 1# $3 v.1-v.50 (1951-2005) $a condition reviewed $c 20110101 $f WEST $f WEST Gold $i issue-level $l tight bindings $z tight bindings v.30-v.35 (1973-1978) $2 pda $5 AzTeS |

Preferred $I Status terms when $a = “condition reviewed”

<table>
<thead>
<tr>
<th>TERM</th>
<th>USAGE GUIDELINES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acidic paper</td>
<td>Method used to identify acidic paper should be reported in $z Public note, e.g. pH pen test, etc.</td>
</tr>
<tr>
<td>Alkaline paper</td>
<td>Method used to identify alkaline paper should be reported in $z Public note, e.g. publisher note on title page, pH pen test, etc.</td>
</tr>
<tr>
<td>Brittle paper</td>
<td>Assessment method and outcome should be reported in $z Public note, e.g. Double Fold test – breakage on second fold.</td>
</tr>
<tr>
<td>Faded</td>
<td>Specify faded text, faded cover, etc. Use $z Public note to specify which pages, issues, or volumes are faded.</td>
</tr>
<tr>
<td>Foxed</td>
<td>Specify foxed pages, foxed cover, etc. Use $z Public note to specify which pages, issues, or volumes are foxed.</td>
</tr>
<tr>
<td>Highlighting/Underlining</td>
<td>Use $z Public note to specify location of highlighted or underlined text.</td>
</tr>
<tr>
<td>Insect damaged</td>
<td>Use $z Public note to specify which pages, issues, or volumes are insect damaged.</td>
</tr>
<tr>
<td>Loose</td>
<td>Specify loose pages, loose binding, loose covers, etc. Use $z Public note to specify the issue or volume with loose binding, covers, pages, etc.</td>
</tr>
<tr>
<td>Marginalia</td>
<td>Use $z Public note to specify the issue or volume where marginalia is found.</td>
</tr>
<tr>
<td>TERM</td>
<td>USAGE GUIDELINES</td>
</tr>
<tr>
<td>-------------------------</td>
<td>----------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Mold damaged</td>
<td>Use $z Public note to specify which issues or volumes are damaged.</td>
</tr>
<tr>
<td>Obscured text block</td>
<td>Use $z Public note to specify location of obscured text.</td>
</tr>
<tr>
<td>Rebacked</td>
<td>Use $z Public note to specify which issues or volumes have been rebacked.</td>
</tr>
<tr>
<td>Rehoused poorly</td>
<td>Use $z Public note to specify which issues or volumes were inappropriately rehoused, so that they may be identified for future preservation actions.</td>
</tr>
<tr>
<td>Repaired poorly</td>
<td>Use $z Public note to specify which issues or volumes were inadequately or inappropriately repaired, so that they may be identified for future preservation action.</td>
</tr>
<tr>
<td>Repaired soundly</td>
<td>Use $z Public note to specify which issues or volumes show evidence of prior repair.</td>
</tr>
<tr>
<td>Stained</td>
<td>Specify covers, pages, etc. Use $z Public note to specify which pages, issues, or volumes are stained.</td>
</tr>
<tr>
<td>Tight binding</td>
<td>Use $z Public note to specify tightly bound issues or volumes.</td>
</tr>
<tr>
<td>Torn</td>
<td>Specify covers, pages, etc. Use $z Public note to specify which pages, issues, or volumes are torn.</td>
</tr>
<tr>
<td>Warped/cockled</td>
<td>Use $z Public note to specify which pages, issues, or volumes are water damaged.</td>
</tr>
<tr>
<td>Yellowed/browning pages</td>
<td>Use $z Public note to specify location of yellowed or browning pages.</td>
</tr>
</tbody>
</table>

**Preferred $l Status terms when $a = “completeness reviewed”**

<table>
<thead>
<tr>
<th>TERM</th>
<th>USAGE GUIDELINES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Binding patterns vary</td>
<td>Use $z Public note to specify volumes where binding patterns differ. E.g., “Vols 32-35 bound as single unit.”</td>
</tr>
<tr>
<td>Missing</td>
<td>Specify what physical material is missing, e.g. missing foldouts, pages, issues, volumes etc. Use $z Public note to specify which issues or volumes are missing or where</td>
</tr>
<tr>
<td>TERM</td>
<td>USAGE GUIDELINES</td>
</tr>
<tr>
<td>-----------</td>
<td>-------------------------------------------------------</td>
</tr>
<tr>
<td>Reprints</td>
<td>Use $z Public note to specify which issues or volumes are reprints.</td>
</tr>
</tbody>
</table>