3. MARC 21 Format for Holdings Data and OCLC local holdings records

Find required data elements and selected MFHD elements used for local holdings records data sync collections processing.

Introduction

LHR data sync will process separate, copy-specific 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.

Holdings records sent by libraries may contain any element in the MARC 21 Format 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 Local Holdings Format and Standards.

You tell OCLC where to find certain data elements when you create your collection. Once data is received, an OCLC Database Specialist will be assigned to your collection and will assist in creating a Translation Table prior to the collection being accepted by OCLC.

Required data elements for LHR data sync processing

LHR data sync will process MFHD records that contain, at a minimum, a valid OCLC control number and enough information to successfully translate local location codes into valid OCLC institution symbol and holding library code combinations in 852 ‡a and ‡b, respectively, of the WorldCat LHRs.

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 process holdings for multiple locations in one holdings record.

Note: It is imperative that all holdings records associated with a specific bibliographic record are always included in the same file. 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). OCLC requires all holdings records for a bibliographic record because data sync processing does not match individual holdings records.

OCLC Control Number

Every record submitted for your LHR data sync collection must contain a single valid OCLC control number (OCN) for
the corresponding WorldCat bibliographic record. This can be the 004, 014, and 035 field but it must consistently be in the same location in all records. OCLC knows where to find the OCN based on your selection in the collection.

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

When field 004 is selected, a number will be recognized as the OCLC control number if it has no prefix or an accepted prefix. Accepted 004 prefixes are:

- (OCoLC)
- (OCoLC)ocm
- (OCoLC)ocn
- (OCoLC)on
- ocl
- ocm
- ocn
- on

Field 004 is not repeatable in MFHD; no more than one 004 field should be present in a record.

**014 - Linkage Number (R)**

When field 014 is selected, a number in subfield ‡a will be recognized as the OCLC control number only when subfield ‡b contains 'OCoLC'.

Field 014 is repeatable in MFHD; no more than one 014 field containing an OCN should be present in a record; 014 fields containing other numbers are allowed.

**035 - System Control Number (R)**

When field 035 is selected, a number in subfield ‡a will be recognized as the OCLC control number only when the number follows an accepted prefix. Accepted 035 ‡a prefixes are:

- (OCoLC)
- (OCoLC)ocm
- (OCoLC)ocn
- (OCoLC)on
- ocm
- ocn
- on

Field 035 is repeatable in MFHD; no more than one 035 field containing an OCN should be present in a record; 035 fields containing other numbers are allowed.
**Location codes for 852 ‡a and ‡b**

All OCLC LHRs must contain an 852 field with a valid OCLC institution symbol and holding library code combination in 852 ‡a and ‡b, respectively. Once your initial data is received, an OCLC Database Specialist will be assigned to your collection. They will review the source data and work with you to create a Holdings Translation Table. This table is used during processing to map your local location codes to an OCLC institution symbol in 852 subfield ‡a; a 4-character OCLC-profiled holding library code in 852 ‡b; and, in some cases, a shelving location in 852 ‡c of the WorldCat LHRs. It can also be used to set the lending and reproduction policy bytes of the 008 field (008/20 and 008/21, respectively).

Please see the Holdings Translation Table section for more information.

Caution: Field 852 is NOT repeatable in the OCLC LHR format.

The presence of other MFHD fields will vary depending on content. OCLC will supply default values for certain elements if they are lacking or invalid.

LHRs may be loaded to WorldCat with validation errors that will be subsequently reported for correction.

**Selected MFHD data elements and their use in LHR data sync collections processing**

The following sections cover selected MFHD data elements and provide information about their use in LHR data sync processing.

**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 with an ongoing LHR data sync collection. 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.

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 LHR data sync software replaces all LHRs for a specific bibliographic record with the entire set of holdings records sent for updating.

**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). OCLC software will dynamically try to verify this against the WorldCat bibliographic records to which your library's LHRs are attached.

001 - Local System Control Number (NR)

This number is used on the LHR Exception Detail File to help you identify records that were not successfully processed. Although OCLC does not require a 001 field for LHR data sync processing, it is recommended that you include this data element.

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)

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

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 (Currently received), 5 (Not currently received), 0 (Unknown).

008/20 and 008/21

It is important to consider that WorldShare Interlibrary Loan 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.

https://help.oclc.org/Metadata_Services/WorldShare_Collection_Manager/Data_sync_collections/Create_an_ongo
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

Settings that will override Policies Directory Profiles

• a - Will reproduce
• b - Will not reproduce

Settings that will defer to Policies Directory Profiles

• u - unknown

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. 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)**

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

When 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)**

‡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. It 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 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. It 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 ‡a and ‡i of 853/863 coded field pairs and subfield ‡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 ‡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.