Maintaining Holdings in WorldCat

When the OCLC reclamation project began in 2007, OIS developed a new process for maintaining Harvard’s holdings and institution records in WorldCat. This document describes how that process works; how new and updated records are extracted from Aleph, and how those records are handled by OCLC. The last section describes cataloging practices in Aleph that affect the process and provides best practices for maintaining accurate holdings.

Selecting records

OIS uses logs of ‘save to server’ actions and batch activities to identify new and updated records in Aleph. All of the activities listed below are logged and will cause a record to be selected for export to OCLC.

- creating or updating a cataloged holding
- deleting or suppressing a cataloged holding
- moving a cataloged holding
  - ‘moved from’ and ‘moved to’ records are both sent
- creating, updating or deleting a bib that has cataloged holdings
  - a record is sent for each cataloged holding linked to the bib
- automated processes that do any of the above, such as loading MARS transactions that correct bibliographic headings, batchloading OCLC records, batch suppression of holdings

Every Friday morning, an OIS script extracts Aleph records added or updated during the previous week and prepares them for export to OCLC.

Extracting records from Aleph

As records are extracted from Aleph, fields from the linked holdings are added to the bibliographic record in order to create library-specific institution records (IRs). For example, if a holding has been updated, the record extracted from Aleph includes field 852 from that holding. Holdings fields 007, 843, 856 and others are also included if present.

For bibliographic records that have been updated, separate records are extracted from Aleph for each linked holding. Each of those records has an 852 field as well as other local fields from the individual holdings.

Extracted records are then modified by Aleph processes to meet OCLC’s requirements.

Unique Identifier

A unique identifier (unique ID) is created for each record. The identifier is a combination of HVD60 and HVD01 system numbers (without check digit) and the prefix, “(MH)”, e.g. (MH)014703980-011315080. OCLC retains this unique ID in field 035 of the IR.
OCLC number
To facilitate matching in WorldCat, an OCLC number is retained in each record (if available). For updated records that have been sent to OCLC before, the preferred OCLC number is taken from field 0790 in the holding. New records will not have field 0790, and in that case, OCLC number is taken from the first instance of field 0350 in the bibliographic record. See Cross-Reference reports below for more information on field 0790.

STA and STA1
DELETED and SUPPRESSED records are prepared for export by changing the Record status to ‘d’ in LDR/05.

Deleted or suppressed bibliographic records that have active holdings are identified and removed from the file. Cognos reports are available for libraries that want to identify deleted and suppressed bibliographic records with active holdings for their library.

Subfield $5 – Institution for which field applies
Subfield $5 is retained in fields where it is valid. The Sublibrary code in each instance of subfield $5 is compared to the sublibrary code in 852 subfield $b, and retained if the codes match. The code in subfield $5 is then replaced with the appropriate MARC21 code.

Reproductions
In order to code reproductions correctly, the value in 008/23 is set to ‘a’, ‘b’ or ‘s’ as appropriate for Record Type of a, t, p, c, d, e, f, or k that have certain values in the 007/00 and/or 007/01. The logic is as follows:

LDR/06 = ‘a’, ‘t’, ‘p’, ‘c’ or ‘d’
if the 007/00 = ‘c’, change 008/23 to ‘s’
if the 007/00 = ‘h’ and the 007/01 = ‘b’, ‘c’ or ‘d’, change the 008/23 to ‘a’
if the 007/00 = ‘h’ and the 007/01 = ‘e’ or ‘f’, change the 008/23 to ‘b’

LDR/06 = ‘e’, ‘f’, or ‘k’
if the 007/00 = ‘c’, change 008/29 to ‘s’
if the 007/00 = ‘h’ and the 007/01 = ‘b’, ‘c’ or ‘d’, change the 008/29 to ‘a’
if the 007/00 = ‘h’ and the 007/01 = ‘e’ or ‘f’, change the 008/29 to ‘b’

040 – Cataloging source
Subfield $d is added to field 040 with the appropriate MARC21 code (as determined from 852 subfield $b). For records that lack 040, the field is created with a MARC21 code in $a and $c.

880 – Alternate graphic representation
Paired fields for non-Latin scripts are converted to 880 fields for export to OCLC.
OCLC holdings batchload process

Validation

OCLC’s process begins by validating each record extracted from Aleph. Validation routines identify and reject records with invalid MARC tags, indicators or subfields; records where data required for matching, such as Date Type and Language code, are missing or invalid, records with multiple occurrences of non-repeatable fields, and other errors.

Validation currently rejects records with Devanagari, Tamil, Bengali or Thai scripts. Records with characters that do not have a MARC8 equivalent are often rejected – even though they may originate from WorldCat. OCLC’s validation routines do not accept all of the characters that are valid for use in WorldCat due to limitations in their current system.

OCLC reports of rejected records are posted at http://lms01.harvard.edu/oclc-project/udev/.

Matching

Validated records are then matched to master records in WorldCat. If OCLC number is present, a match is made to the corresponding master record, and the library’s holding symbol is added (or deleted if LDR/05=‘d’). When OCLC number is not present, a number of data elements are used for matching. The document Matching Records when Batchloading to WorldCat, available on OCLC’s Web site, describes the matching process in detail.

Master records in WorldCat may be enhanced by an Aleph record during the match step. If the master record lacks a local LC-type call number (090), or LC Subject headings (650_0), those fields are copied from the Aleph record, and the Harvard library symbol is added to field 040.

Aleph records that do not match a master record are added to WorldCat as new masters.

After matching to master records, Aleph records are matched to institution records in WorldCat. The Unique ID (described above) is the only element used by this match process. Aleph records that do not match on unique ID add to WorldCat as new IRs. When an Aleph finds a match, it replaces the existing IR, or if Record status is ‘d’, it deletes the existing IR.

Reports

OCLC generates two reports for each file processed.

Report of Unresolved records – Records rejected by the validation processes. The report includes a description of the error, and its position in the record. Reports of unresolved records output from reclamation files have been directed to individual libraries for review and resolution. Reports from the weekly export are posted at http://lms01.harvard.edu/oclc-project/udev/.

Cross-reference reports – Every Aleph record loaded in WorldCat has a designated OCLC IR record number and an OCLC master record number. The Cross-reference report pairs those OCLC numbers with the record’s unique ID. A script developed by OIS uses the report to upload OCLC IR and master record numbers to fields 0792 and 0790 in holdings and to upload the master record number to field 0350 in the bibliographic record.
Aleph cataloging practices and OCLC holdings

This section describes cataloging practices in Aleph that affect OCLC holdings and describes best practices for maintaining accurate holdings.

I. Moving holdings

Moved holdings are tracked in Aleph so that a ‘moved from’ record can be extracted and flagged with LDR/05=d. When loaded as a deleted record by OCLC, holdings and IR will be removed in WorldCat. The ‘moved to’ record is also sent to OCLC.

The process that creates a ‘moved from’ record for export also deletes the 079 fields in the moved holding. Removing the OCLC numbers in the holding allows the ‘moved to’ record to match correctly in WorldCat.

II. Changing sublibrary code (852 $b)

This might occur when transferring materials from one library to another. In order to maintain correct holdings in WorldCat, the holding record for the former owning library should be deleted, and a new holding should be created for the new holding library.

The deleted holding will be exported as a deleted record. During OCLC processing the record will be used to delete the holdings symbol and IR for the former owning library. Holdings and a new IR will be created for the new owning library.

III. Correcting WorldCat holdings

In the case of duplicate WorldCat records where holdings are on the non-preferred record, fill out and submit the electronic form WorldCat Duplicate Record Merge Request at https://www3.oclc.org/app/bibdup/. Requests take four to six weeks. When the duplicate records are resolved, holdings and IR(s) will be moved to the preferred record.

Holdings and IRs that have been matched incorrectly should be reported to Database Management using the Aleph Support Center.

IV. Upgrading an Aleph record with a better record from WorldCat

Since the better WorldCat record is for the same work, there is no need for further action in Aleph or WorldCat. If the bibliographic record has cataloged holdings, updated IRs will be created for each cataloged holding, and will update existing IRs on the same master record in WorldCat. If the better record is a duplicate in WorldCat, the dupes should be reported to OCLC using the WorldCat Duplicate Record Merge Request form at https://www3.oclc.org/app/bibdup/.

V. Replacing a bibliographic record in Aleph with a bibliographic record for a different work

This might occur if an item has been mistakenly cataloged on the wrong record. Instead of overlaying or editing the existing record to describe the new item, a new record should be created in Aleph. Move or delete the holding on the incorrect record as appropriate. This process will allow the holdings and IRs to be handled correctly in WorldCat.

Other problems, questions or concerns regarding OCLC holdings maintenance or Aleph cataloging practices that affect OCLC holdings can be reported to the Aleph Support Center.