

Policy for Use and Transfer of WorldCat® Records

Frequently Asked Questions

The Review Board on Principles of Shared Data Creation and Stewardship has issued its final report recommending that the proposed *Policy on Use and Transfer of WorldCat Records* be withdrawn and a new policy drafted. OCLC has officially withdrawn this proposed policy.

These “Frequently Asked Questions” are provided as a guide as you review the *Policy for Use and Transfer of WorldCat® Records*. The permanent link to this FAQ is: <http://purl.org/oclc/wcrup-faq>. All instances of “Policy” in this document refer to the *Policy for Use and Transfer of WorldCat® Records* <http://purl.org/oclc/wcrup>. FAQ updated Nov. 21, 2008.

Overview

1. Why is OCLC implementing these changes?

The information landscape has undergone vast changes since 1987 when the *Guidelines for the Use and Transfer of OCLC-Derived Records* were last updated. In response to changing needs and opportunities for sharing WorldCat records, OCLC has updated the *Policy* to:

- Respond to the changing information landscape
- Modernize the language of the *Guidelines*
- Clarify how WorldCat records can be used and shared
- Expand the opportunities for record sharing among member and non-member libraries, archives and museums
- Reinforce OCLC’s support for WorldCat data sharing that encourages innovation and benefits libraries, museums and archives while protecting OCLC’s members’ investment in WorldCat.

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2. What are the differences between the *Guidelines for the Use and Transfer of OCLC-Derived Records* and the *Policy for Use and Transfer of WorldCat Records*?

In brief, besides modernizing the language of the *Guidelines*, the updated *Policy*:

- Provides access for museums and archives to WorldCat records
- Clarifies the rights and conditions for non-commercial use and transfer
- Clarifies the rights and conditions for commercial use and transfer
- Suggests optional methods for attribution of WorldCat as the source of derived records
- Provides a convenient method for proposals not covered by *the Policy* ([WorldCat Record Use Form](#)).

3. Where should I send questions and comments about the updated *Policy*?

Your questions and comments are welcome at recorduse@oclc.org.

4. The *Policy*, unlike the *Guidelines*, appears to be a legal document. Why is that?

One of OCLC's public purposes is to "promote the evolution of library use." In the Web environment, this means doing all we can to drive traffic to members' local sites by making their collections visible in as many places as possible on the Web. We call this "building Web scale for libraries"; to learn more about what is meant by that, take a look at "[Without a strategy, the Web's too big](#)".

To gain more visibility for members' collections on popular Web sites, OCLC has pursued partnerships with Web organizations, some of them quite large, like Google and Yahoo!. The agreements involve having the partner put "Find in a Library" or other links on its site to WorldCat.org, which then functions as a "switch" to send these users through WorldCat.org to participating member Web sites (there are about 10,000 participating members so far).

The centerpieces of our program for making libraries more visible on popular Web sites are WorldCat.org and the partnerships we have so far. The partners' program is currently driving more than 2 million users a month to WorldCat.org and from there, connecting these users an average of 700,000 times to materials in local libraries. This is a good start, but not nearly enough to reach Web scale. To continue helping OCLC members reach Web scale, OCLC acts on behalf of its members to expand WorldCat partnerships; in this way we are seeking to promote the evolution of library use.

To be successful negotiating and working with prospective partners, many of which are in the private sector, OCLC needs to move beyond the *Guidelines* to a policy that will be recognized by these organizations and others outside the library-archives-museum space as a legal document. Achieving clarity about the rights and conditions for using and transferring WorldCat data is a precondition to OCLC's sitting down to talk, on its members' behalf, with organizations that otherwise

might have little or no interest in promoting the use and visibility of library, archival, and museum collections and services.

5. Why are there use and transfer conditions on WorldCat records?

WorldCat's value depends on its comprehensiveness and the quality of its data and its ability to link that data to particular library collections. It is the basis of the OCLC cooperative model. The existing *Guidelines*, and now the revised *Policy* seek to support WorldCat's continued value by ensuring that the use and transfer of WorldCat data outside the OCLC cooperative provides a fair return to OCLC members and benefits libraries, archives, and museums in general.

6. Are all WorldCat records available freely to anyone wanting to use them?

OCLC member libraries have spent nearly 40 years supporting and contributing to WorldCat and the OCLC cooperative. With over 100 million records and over one billion holdings, WorldCat is the backbone of the cooperative and the services used by the membership. It is not economically feasible to maintain and expand WorldCat, its surrounding services and the cooperative on a completely open model. The *Policy* was updated to bridge the gap between open and closed models by permitting Use and Transfer of WorldCat records by OCLC Members and Non-Members for Non-Commercial, Reasonable Use. See the *Policy* for definitions of these terms (Section B).

7. When will the updated *Policy for Use and Transfer of WorldCat Records* go into effect?

The *Policy for Use and Transfer of WorldCat Records* is scheduled to become effective mid-February 2009. During the implementation period between November 2, 2008 and the date the *Policy* goes into effect, the *Guidelines for the Use and Transfer of OCLC-Derived Records* will remain in force.

8. My library purchases records from other sources and the records include the OCLC number. Are these records governed by the *Policy*?

Records purchased from other sources that are not WorldCat Records are not governed by the *Policy*.

9. Is my library's original cataloging governed by the *Policy*?

Your Use or Transfer of records designated in WorldCat as your original cataloging, are not governed by the *Policy*. See Section B of the *Policy*.

Library online catalogs

1. Does display of records in an end-user system constitute “Transfer” under the *Policy*?

No, it does not. “Transfer” means conveyance to another by exchange, merger, sharing, gift, providing the capability to download or otherwise electronically copy or any other means.

2. My library system has the functionality to enable the public to export WorldCat-derived bibliographic records (meaning downloading of selected displayed data). Is this OK under the *Policy*?

Yes, export as defined above is OK. Most members of the public are exporting records for reasonable, non-commercial purposes that support learning, teaching, research and private study. OCLC has offered a couple of optional methods to make those who use their online catalogs aware of the terms associated with the WorldCat-derived records in their catalogs. Libraries may use these methods as they see fit.

3. My library has a catalog created with WorldCat records of our own holdings and we offer Z39.50 to others. Is this OK under the *Policy*?

Yes, in accordance with the terms of the *Policy* under “D. Transfer of WorldCat Records.” It is optional for libraries offering Z39.50 to their catalogs to attribute WorldCat as the source of records transferred to other parties. However, we encourage you to attribute WorldCat in records transferred to others, because WorldCat attribution will allow downstream users to easily identify the provenance, rights and conditions associated with the data. It is in the long-term interests of the OCLC cooperative, and consistent with standard practices for Web data sharing, to attribute the source of transferred data.

4. My library collects records, some of them derived from WorldCat, from a variety of Z39.50 catalogs. Does the updated *Policy* change my rights and conditions for using and transferring these records?

No, it does not, even if the records attribute WorldCat as the source of the data. You may continue using WorldCat-derived data as before, provided your use is non-commercial. If you wish to transfer the WorldCat-derived records you have gathered, the transfers to other parties need to comply with Section D of the

Policy. Please see the *Policy* for definitions of Use and Transfer.

5. I've learned that a person or organization is using the records they are obtaining from my library (via Z39.50 or other method) for commercial purposes, or are otherwise violating the terms of the *Policy*. What should I do about it?

Please send an e-mail message to recorduse@oclc.org describing the situation.

6. I want to download WorldCat records into my personal bibliographic software or citation software such as EndNote and RefWorks. Is this OK under the *Policy*?
Non-commercial personal use of WorldCat records to create and maintain personal bibliographies or for use with citation software is fine.

7. My library has been contacted by a commercial search engine company about contributing our catalog for use in the search engine's system. Does the *Policy* permit the transfer of WorldCat-derived records from our catalog to the search engine company?

Since the search engine company is a commercial organization, there must be an agreement in place between OCLC and the search engine company prior to the transfer of WorldCat-derived records. OCLC can let you know if it has an agreement with the search engine company in question. Please submit a [WorldCat Record Use Form](#) to OCLC or ask the search engine company to submit a [WorldCat Record Use Form](#) to OCLC and we will reply within five business days.

8. I would like to build a cataloging service based upon a freely-available database of bibliographic records that my organization has gathered from libraries. I am not an OCLC member. The records will be made available to subscribers and nonsubscribers via Z39.50, OAI and direct download. Is this permissible under the *Policy*?

For those records in the database you are compiling that are derived from WorldCat, this is not permissible without a separate agreement with OCLC. The *Policy* does not permit uses that discourage contribution to WorldCat. To start the process of establishing an agreement, please fill out the [WorldCat Record Use Form](#).

9. My library wants to contract with a vendor to provide a next-generation discovery service (e.g. AquaBrowser, Primo, Encore, etc.), which may be hosted on their servers. Is this OK under the *Policy*?

Yes.

Sharing WorldCat records and the WorldCat Record Use Form

1. Why is OCLC introducing the [WorldCat Record Use Form](#)?

We want to make it easier for organizations and individuals to work with OCLC and to encourage innovative uses of WorldCat records. OCLC has heard from members and other organizations that it is hard to know who to contact with an idea for using WorldCat data. The form provides a convenient mechanism for communicating ideas and proposals to us. If you have an idea for using WorldCat records, whether non-commercially or commercially, we encourage you to submit a form. Our intent is to swiftly approve proposals to innovate the ways in which WorldCat records are used to benefit libraries, museums and archives, and broadly expose library collections on the Web.

2. What if I'm not sure if my proposed use or transfer of WorldCat records is within the scope of the [Policy](#)?

If you are uncertain, please submit a [WorldCat Record Use Form](#) to OCLC and we will reply within five business days.

3. May our library, an OCLC member, share our WorldCat records with other libraries, museums and archives?

Yes, your library may share records of your own holdings with other libraries, museums and archives. For more information see "D. Transfer of WorldCat Records" of the [Policy](#).

4. My library has contracted with a commercial company to process our WorldCat records for enrichment, authority control, or similar purposes. Does the [Policy](#) allow for this?

Yes, provided there is an agreement in place between OCLC and the commercial company. Please check with OCLC or the company to see if such an agreement exists before you share WorldCat records with them. OCLC already has many agreements with commercial firms that libraries frequently employ to process their records (e.g., for automated authority control).

5. My library would like to use WorldCat records in connection with software and systems (e.g., Ill ArticleReach, RapidILL, etc.) that support peer or consortial resource sharing. Is this OK under the *Policy*?

Yes.

6. I've received WorldCat-derived records, transferred to me from another source. Is there anything I need to know about using these records or transferring them to others?

Yes, recipients of transferred records need to abide by the terms of the *Policy* for subsequent use and transfer of the records.

7. Does the *Policy* apply to **Institution Records (IRs)** as well as Master Records?

Yes. See more information about **Institution Records**.

8. Does the *Policy* cover article-level metadata available through WorldCat.org?

These records are not available for use outside of WorldCat.org.

9. Does OCLC provide institutions with other means—besides the use of the OCLC products and services like cataloging—to obtain WorldCat data to use in their own Web applications?

Yes. The **WorldCat Search API** provides access to WorldCat bibliographic records and holdings organized around a FRBR work level. The API is available to OCLC members. If you are not an OCLC member and have an interest in using the API, please submit a **WorldCat Record Use Form** and we will contact you regarding a special use license for the API.

10. Besides the WorldCat API, are there other ways for my institution to obtain WorldCat records for its own Web applications?

Yes. OCLC has a partner program under which it makes a harvest set of about four million WorldCat records available. Please visit the OCLC page titled, "**Directly Harvest WorldCat Records**" for details. OCLC asks sites that download this subset to complete an **application**. In brief, the terms grant organizations with Web sites and Web-enabled applications a free-of-charge, non-transferable license to use WorldCat data on their site in return for linking back to WorldCat.org and agreeing not to provide a separate search interface to WorldCat or to supply WorldCat records to others. All of our partners that are using WorldCat metadata have agreed to terms like these.

Attribution of WorldCat

1. Why is OCLC requesting that I maintain a link to the *Policy* and the OCLC number in my WorldCat-derived records?

It is in the long-term interests of the OCLC cooperative, and consistent with standard practices for Web data sharing, to attribute WorldCat as the source of WorldCat records. Attribution (provided by a link to the *Policy*) will allow downstream users to easily identify WorldCat records. The linking provisions in the updated policy reflect a modernization of practice which is needed in a Web 2.0 world, where metadata is reused, exchanged and mashed up. WorldCat records now flow through many paths, and the identifier (OCLC number) and link to the *Policy* will provide downstream parties (who may be many steps away from the original receipt of the record) a convenient way to identify provenance, assure unambiguous linking (through the OCLC number), and understand their metadata rights and conditions.

On the Web, consistent, predictable forms of attribution and the presence of identifiers (e.g., the OCLC number) actually facilitate and lower the costs of data use and transfer. For its own transfers to WorldCat records to members, nonmembers and third parties, OCLC will follow widely adopted practices for attributing the source of transferred data by prospectively adding 996 fields to records transferred from WorldCat.

Other examples of widely used licenses that require copies of documents to carry or link to licenses include the *GNU Free Documentation License* <http://www.gnu.org/copyleft/fdl.html> (Section 2) and the *Creative Commons Attribution-NonCommercial 3.0 Unported* <http://creativecommons.org/licenses/by-nc/3.0/legalcode> (Section 4a).

2. What is the format of the 996 field and how does it identify WorldCat as the source of transferred records?

It is optional for OCLC members and nonmember libraries, archives and museums to implement or retain the 996 field for attributing WorldCat as the source of WorldCat-derived records. If your library, museum or archive chooses to adopt them, there are two methods for identifying WorldCat as the source of records:

A. Prospectively. As of the effective date of the *Policy*, every record downloaded from WorldCat will automatically contain 996 field populated with the following:

MARC:

996 \$aOCLCWCRUP \$iUse and transfer of this record is governed by the OCLC[®] Policy for Use and Transfer of WorldCat[®] Records.
\$uhttp://purl.org/oclc/wcrup/1.0

There is no need to add the 996 field to records by hand; OCLC systems will do this for you. While we urge you to retain the 996 field for the reasons stated in this document, there is no requirement for you to do so.

B. Retrospectively. For records that already exist in your local system, we encourage you to add the 996 field to WorldCat records transferred to others. Should you choose to use it, the field should have an explicit note like the examples below:

MARC:

996 \$aOCLCWCRUP \$iUse and transfer of this record is governed by the OCLC[®] Policy for Use and Transfer of WorldCat[®] Records.
\$uhttp://purl.org/oclc/wcrup/1.0

MARCXML:

```
<datafield tag="996" ind1="" ind2=""> <subfield code="a">OCLCWCRUP</subfield> <subfield code="i">Use and transfer of this record is governed by the OCLC® Policy for Use and Transfer of WorldCat® Records</subfield> <subfield code="u">http://purl.org/oclc/wcrup/1.0</subfield> </datafield>
```

OCLC Dublin Core Qualified & Simple:

```
<oclcterms:recordUsePolicy>OCLCWCRUP Use and transfer of this record is governed by the OCLC® Policy for Use and Transfer of WorldCat® Records.http://purl.org/oclc/wcrup/1.0</oclcterms:recordUsePolicy>
```

Dublin Core Qualified & Simple:

```
<dc:description>OCLCWCRUP Use and transfer of this record is governed by the OCLC® Policy for Use and Transfer of WorldCat® Records.http://purl.org/oclc/wcrup/1.0</dc:description>
```

3. If OCLC makes changes to the *Policy* over time, how can I determine which version of the *Policy* was in effect when I downloaded my WorldCat-derived records?

Based on your feedback, OCLC has updated the contents of the 996 field so that when the *Policy* goes into effect, the URL included in records, will include the version number of the *Policy*.

4. Where can my library find more information about the structure and content of the 996 field?

The 996 field will be incorporated into OCLC documentation as part of a MARC Update project planned for installation in mid-February 2009. An advance look at how the field is structured and what it contains is available [here](#).

5. My institution wants to use or transfer records in compliance with the *Policy*. Must we add the link to the *Policy* into our existing records before we transfer or share them?

It is optional for OCLC members and nonmember libraries, archives and museums to add a link to the *Policy* in existing records or (after the effective date of the *Policy*) to retain the 996 field added by OCLC to records downloaded from WorldCat. However, for the reasons stated in this document, OCLC encourages you to add or retain the 996 field, attributing WorldCat as the source of WorldCat-derived records transferred to others.

6. How can I determine if a record was derived from WorldCat?

Since WorldCat-derived records have been loaded into library catalogs over many years and not all data from WorldCat is always retained in the local copy, it can be difficult to determine if a record is derived from WorldCat. A combination of the following data elements in a bibliographic record will help you determine if the record was derived from WorldCat:

- An OCLC Number along with
- the 001 field that includes value characters "ocm" or "ocn" and/or
- the 035 field that includes the value "(OCoLC)" and/or
- the 994 field (see [more information](#) on how we use this field).

7. My organization only plans to use a few data elements from WorldCat records (for example, by means of the WorldCat API). Do we need to include attribution and a link to the *Policy* in our work?

No.

8. Will CONSER records include the 996 field and the link to the *Policy*?

When OCLC provides the CONSER records to Library of Congress and Library and Archives Canada, the 996 field and the link to the *Policy* will be removed.