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ABSTRACT

Rules and guidelines are provided for the handling and shipping of document and journal article information intended for announcement in ERIC's abstract journals "Resources in Education" and "Current Index to Journals in Education." The handling and shipping involved takes place between the ERIC Facility and the ERIC Clearinghouses (both ways). A wide variety of topics are covered: duplicate checking, priority documents, date stamping, acknowledgments to contributors, inter-clearinghouse transfers, OERI Policy Disclaimer labels, reproduction release labels, scope overlap labels, log sheets, packing and wrapping, address labeling. Detailed instructions are given for contributing data to the systemwide duplicate checking tool, the "Acquisitions Data Report" (ADR).
 (WTB)

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Processing Manual

**Rules and Guidelines for the Acquisition, Selection,
 and Technical Processing of Documents and Journal
 Articles by the Various Components of the ERIC Network**

Section IV: Handling and Shipping

June 1992

**Educational Resources Information Center (ERIC)
 U.S. Department of Education**

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TABLE OF CONTENTS

<i>Summary of Significant Rules</i>	IV-v
IV. HANDLING AND SHIPPING	IV-1
A. Introduction	IV-1
B. Facility Handling	IV-1
1. Receiving Candidate Documents for RIE	IV-1
a. Checking of Documents in Process (DIP)	IV-1
b. Establishing Title Control of In-Process Documents	IV-1
c. Duplicate Checking	IV-3
d. Information of Use to Document Processors	IV-3
e. Assigning Documents to Clearinghouses (and Use of Scope Overlap Sticker)	IV-3
f. Special Instructions, Guidelines, etc.	IV-4
g. PRIORITIES in Document Handling	IV-5
h. Reply Cards (Acknowledgments to Contributors)	IV-8
2. Handling of Documents Shipped to the Facility by Clearinghouses for Inclusion in RIE	IV-9
a. Shipment Verification	IV-9
b. Pagination	IV-9
c. ERIC Program Office Review	IV-12
d. Duplicates	IV-12
e. ED Number Assignment	IV-12
f. Single-Frame Resumes	IV-12
g. Reply Cards	IV-15
h. Delivery of Documents to EDRS	IV-15
3. Handling Microfiche Shipped to the Facility by EDRS	IV-15
C. Clearinghouse Handling	IV-15
1. Receiving	IV-15
a. Logging, Checking, and Establishing Basic Control	IV-15
b. Inter-Clearinghouse Transfers	IV-16
c. Information of Use to Document Processors	IV-16
d. Department of Education Prepared Documents	IV-16
e. Duplicate Checking	IV-16
f. Reproduction Release Forms and Corresponding Labels	IV-18
g. OERI Policy Disclaimer Label	IV-19
h. Reply Cards (Acknowledgments to Contributors)	IV-26

HANDLING AND SHIPPING

i.	PRIORITY Document Handling (By Clearinghouses)	IV-26
(1)	Routine Documents	IV-26
(2)	Department of Education Documents	IV-27
(3)	PRIORITY Documents	IV-27
j.	Clearinghouse Accession Numbers	IV-27
k.	Scope Overlap Label (Figure IV-2)	IV-28
2.	Miscellaneous	IV-29
a.	Complimentary Microfiche (to Contributors)	IV-29
b.	Acquisitions Data Report (ADR)	IV-29
c.	Retention of Second Copies of Documents	IV-29
D.	SHIPPING	IV-30
1.	Clearinghouse Shipments to the Facility	IV-30
a.	Documents and Log Sheets	IV-30
b.	Vocabulary Development Forms (VDFs)	IV-30
c.	ERIC Clearinghouse Publications, Digests, Newsletters, Etc.	IV-30
d.	Clearinghouse Input to the <i>ERIC Administrative Bulletin</i> (EAB)	IV-30
2.	Facility Shipments to Clearinghouses	IV-30
3.	Clearinghouse Accession Log Sheet Instructions	IV-32
4.	Shipping Instructions	IV-32
a.	Packing	IV-32
b.	Wrapping	IV-33
c.	Labeling and Addressing	IV-33
d.	Shipping Method	IV-33
e.	Shipping Schedules	IV-33
f.	Miscellaneous	IV-34
(1)	EDRS Disposition of Original Documents	IV-34
E.	CIJE Input	IV-34
1.	Handling	IV-34
2.	Shipping	IV-35
3.	Facility Handling and Shipping	IV-35
4.	EJ Accession Number	IV-35
F.	ERIC Digests Online (EDO) Full-Text Input	IV-38

List of Illustrations

Figure IV- 1:	Documents in Process (DIP) System—Sample Entry	IV- 2
Figure IV- 2:	Scope Overlap Label	IV- 4
Figure IV- 3:	PRIORITY Document Handling Form	IV- 6
Figure IV- 4:	Department of Education Document Handling Form	IV- 7
Figure IV- 5:	ERIC Reply Card	IV- 8
Figure IV- 6:	Clearinghouse Accession Log Sheet—RIE Input (Completed)	
	A. Regular Document Shipment	IV-10
	B. PRIORITY Document Shipment	IV-11
Figure IV- 7:	RIE Issue—Remove List	IV-13
Figure IV- 8:	Single-Frame Resume (Computer Produced)	IV-14
Figure IV- 9:	Document Transfer Form	IV-17
Figure IV-10:	Reproduction Release Forms	
	A. Specific Document	IV-24
	B. Blanket Release	IV-22
Figure IV-11:	Reproduction Release Labels	
	A. Level 1 (Paper Copy, Microfiche, and Other Media)	IV-24
	B. Level 2 (Other than Paper Copy)	IV-24
Figure IV-12:	Sample Document Cover/Title Page (showing all Labels to be affixed and accession numbers to be added)	IV-25
Figure IV-13:	OERI Policy Disclaimer Label	IV-19
Figure IV-14:	Clearinghouse Accession Number Series Used for CJE Records	IV-36
Figure IV-15:	Clearinghouse Accession Log Sheet	
	A. CJE Input	IV-37
	B. ERIC Digests Online (EDO) Input	IV-39

Summary of Significant Rules

1. There are three classes of document handling: (1) ROUTINE; (2) Department of Education Documents; and (3) PRIORITY. Department of Education documents must be the *next* documents processed routinely. PRIORITY documents must be processed on an expedited basis, in time to be included in the next available issue of RIE. Department of Education documents and PRIORITY documents are given special identifying cover sheets. PRIORITY documents may not be rejected.
2. As soon as possible after documents are selected for the database, basic title information is to be transmitted to the ERIC Facility for updating the *Acquisitions Data Report* (ADR), the system-wide duplicate checking file. These transmissions may take place daily, or at any convenient frequency. The sooner a title is entered, however, the sooner a "claim" is staked for that document.
3. The basic responsibility for duplicate checking resides with the Clearinghouses. "Duplicates" are defined as two or more copies of *exactly* the same document. (Variations of a text, published at different times, are not considered duplicates, though their close similarity may be a factor in selection.) Prior to publication of RIE, the Facility makes a final duplicate check of all items received from Clearinghouses.
4. Official Project Officer clearance for OERI/ED-prepared or sponsored documents is *not* required. Such documents received from the ERIC Facility or other sources can be assumed to have been cleared.
5. Clearinghouses are responsible for obtaining Reproduction Releases for documents from the appropriate personal authors, corporate sources, or copyright/proprietary rights holders, and for maintaining a permanent file of all releases obtained. Documents for which releases have been obtained must reflect this permission via appropriate Reproduction Release labels affixed to their covers.¹
6. A Clearinghouse acquiring a document falling within the scope of another Clearinghouse should transfer that document to the appropriate Clearinghouse promptly and directly.
7. A Clearinghouse selecting a document that overlaps the interests of other Clearinghouses must be careful to index that document from the viewpoints of the other Clearinghouses, as well as its own. When assigning documents to Clearinghouses, the Facility is required, in scope overlap situations, to alert all parties concerned by affixing a "Scope Overlap Label" to the title page, identifying the Clearinghouses involved. Copies of the labeled title page are sent to all alternative Clearinghouses.
8. *All* documents forwarded for inclusion in RIE must bear an OERI Policy Disclaimer Label stating that the document does not necessarily reflect official OERI policy.
9. The use of Reply Cards (Acknowledgments to Contributors) is optional. Each Clearinghouse may choose to use them or not. However, care should be taken not to send automatically such routine "thank you" notes to inappropriate sources, e.g., a State Governor's office. Self-addressed reply cards affixed to documents by source institutions (or by the ERIC Facility on behalf of the source) should be detached by the Clearinghouses and mailed *only* if the document is rejected; if the document is selected, they should be left affixed throughout processing, since the Facility will later record on them the ED number before returning them to the source.

¹ NOTE: Beginning with the input for the January 1993 issue of RIE, original individual signed Reproduction Release Forms should be attached and will be filmed as the last page of the document to which they pertain. Reproduction Release Forms prior to this date must still be retained indefinitely by the Clearinghouse.

HANDLING AND SHIPPING

10. A completed "Clearinghouse Accession Log Sheet" must accompany *each* shipment of documents from Clearinghouses to the Facility.
11. All packing, wrapping, labeling, and addressing must conform to regulations and limitations of the U.S. Postal Service (or other commercial delivery service, such as UPS, that might be used in lieu of USPS).
12. ERIC database materials shipped from Clearinghouses to the Facility via the U.S. Postal Service should be sent Certified Mail, unless otherwise directed, in order to ensure traceability. Commercial delivery companies (such as UPS) may be used if an equivalent service is available.
13. Shipments of ERIC materials from Clearinghouses to the Facility should be made weekly and should conform to the "RIE Master Schedule" published at the beginning of each calendar year.
14. In general, Clearinghouses should avoid requesting the return of documents submitted for announcement in RIE and filming by EDRS. Filming requires that the document be taken apart. Original documents must be retained at EDRS for a period of at least four (4) months in order to be able to respond to possible refilming needs. The return of a document represents a significant amount of extra work.
15. PRIORITY documents must be kept separate from regular input. They should be shipped separately and should have their own individual Log Sheet.
16. Information external to the document (e.g., letters from the source, news releases, etc.), that may be of use to document processors, should be retained with the document throughout the entire processing and editing cycle.
17. Clearinghouse Accession Numbers should be assigned sequentially, without gaps, and in a way that does not "waste" numbers. Each Clearinghouse has been allocated a total of 999,999 numbers with which to work.
18. Documents must be prepared properly for filming by EDRS. All pages and sections must be present. There should be no confusion as to the proper sequence of pages or document parts. Oversize pages in the original must be converted to a series of 8½" x 11" (or 11" x 8½" "landscape") pages. Basically, the Clearinghouse should prepare a document *exactly* as they would like to see it recorded on film and delivered in reproduced paper copy to on-demand customers. The resulting package of pages should permit the EDRS camera operator to film the document routinely and without the necessity of additional remedial actions.

IV. HANDLING AND SHIPPING

A. Introduction

This section describes the procedures for handling and shipping documents for RIE and journals for CIJE. After documents are acquired, specific forms and procedures are necessary in order to prepare the materials for processing (selection, cataloging, indexing, abstracting). After processing is completed, additional guidelines must be followed in wrapping, packing, labeling, and shipping documents from one point to another.

B. Facility Handling

1. Receiving Candidate Documents for RIE

Approximately 6,000 documents are received annually at the Facility, either by mail or messenger, solicited and unsolicited, as candidates for RIE. These documents are received by the Acquisitions Department where they are processed (see below) and then assigned to appropriate Clearinghouses for evaluation and possible selection. After packages are opened, the wrappings are discarded, unless they contain some useful identifying information not found elsewhere, e.g., sender's name and address. The Facility's procedures for handling documents in these early stages include the following:

a. Checking of Documents in Process (DIP)

All documents are first checked against the Facility's internal "Documents in Process" (DIP) file to see if they have previously been received or requested by the Facility. (Since documents arrive from a variety of sources, it is possible for a document to be on-order, but to arrive independent of that order.) Orders completed by receipt of a document are noted as such.

b. Establishing Title Control of In-Process Documents

Entries for the "Documents in Process" (DIP) system are prepared for all documents received at the Facility. The titles are transcribed exactly as they appear on the document. Personal and corporate authors, report numbers, publication date, sponsoring agencies, series notes, and other identifying data are recorded, if provided. Each entry also records the date the item was received, the copies received, and the final disposition (see Figure IV-1). The DIP file serves as a record of all material received by the Facility. It is used to answer the questions of contributors, Clearinghouses, and Central ERIC. It is a record of all documents that have passed through the Facility on their way to the Clearinghouses. When the processing of a document is complete and an ED accession number is assigned, it ceases to be considered "in-process." Records in this file are retained for a two-year period and are then removed.

HANDLING AND SHIPPING

Page 1	Documents in Process Master Report by Record Number	DATE: 05/14/1992
ACC#: 724	DATE RECEIVED: 05/14/92	CH ASSIGNED TO: SE
TITLE: Technological Literacy Workshop Proceedings		
ORG A: National Science Foundation		
ORG B: Delaware Univ		
ORG C:		
AUTHOR: Jones, Russel C., ed.		
SPONSOR: NSF		
PUB DATE: 1991		
ID#:		
COPIES RECEIVED: 3		
NOTES: 1 bound copy, 2 xerox; from editor		

FIGURE IV-1: Documents in Process (DIP) System—Sample Entry

c. **Duplicate Checking**

The primary responsibility for ensuring that documents already in the ERIC system are not processed again lies with the Clearinghouses. The earlier that duplicates are discovered, the greater the savings in time, money, and processing effort.

However, the Facility routinely duplicate checks all older documents it receives in the *Title Index* (a record of items in the ERIC database), *Acquisitions Data Report* (a record of documents in process at the Clearinghouses), and the Facility's Documents in Process (DIP) file. (One of the ERIC-on-CD-ROM systems also may be used in lieu of the *Title Index*.) The only Facility check of recently-published documents occurs when the DIP file is searched. If an entry is found in the DIP file, indicating previous receipt of the document, the document is either discarded or sent to the Clearinghouse as a "2d copy" or "Duplicate."

The decentralized nature of the ERIC system and of its acquisitions efforts results in the Clearinghouses receiving, from various sources other than the Facility, documents that are either already in the system or in-process at their own or other Clearinghouses. Consequently, the Clearinghouses *must* check their own internal records, the *Acquisitions Data Report*, and the *Title Index*, in an attempt to avoid duplicate processing.

Clearinghouses receiving Department of Education/OERI reports directly from sources other than the Facility are advised (see Section IV.C.1.d) to notify the Facility, because the document may already be in process elsewhere in the system. When such notification is received, an entry is made in the DIP file, thereby preventing possible later assignment of this same document to a different Clearinghouse.

d. **Information of Use to Document Processors**

Some documents acquired by the Facility are accompanied by information (such as press releases or copies of letters granting permission to reproduce or providing authorship, ordering, or price information), that is essential for a complete and accurate document description. Sometimes information such as address or author affiliation is contained on the outside wrappers and nowhere else. All such information is attached when forwarding documents to Clearinghouses. In general, the Facility sends along any information that might help the Clearinghouses identify, catalog, or otherwise process a document.

e. **Assigning Documents to Clearinghouses (and Use of Scope Overlap Sticker)**

Documents received by the Facility are assigned, on the basis of their subject matter, to the appropriate ERIC Clearinghouses for selection and processing (cataloging, indexing, abstracting). The *ERIC Clearinghouse Scope of Interest Guide* (Appendix A) is the authority for assigning documents. Various problems may arise during assignment. Documents dealing with single unified topics such as "Teaching English to Sixth Graders" can be assigned quickly, correctly, and with certainty; documents dealing with multi-disciplinary

topics (or mixes of target populations and topics), such as "Structural Variables Affecting CAI Performance on Arithmetic Word Problems of Disadvantaged and Deaf Students," can overlap the scopes of several Clearinghouses. It may be necessary to scan the Table of Contents, Introduction, Conclusion, and even the body of such documents, to determine their major thrust.

In general, the Facility is required to spend the minimum time consistent with reasonable and logical assignments on this activity. If a document overlaps the scopes of two or more Clearinghouses, a Scope Overlap Label (Figure IV-2) is affixed to the cover. A reproduced copy of the cover bearing such a sticker is then sent to each of the alternative Clearinghouses; this action serves to alert each such Clearinghouse to the fact that a document of interest to them has been assigned to another Clearinghouse. If a Clearinghouse questions an assignment, it can contact directly the "prime" Clearinghouse that received the document and negotiate which Clearinghouse should process the document. The label also serves to alert the Clearinghouse that received the document of the need to take account, during the indexing process, of the scope and viewpoints of the alternative Clearinghouses. The lists of "Most Frequently Used Index Terms" provided in the *ERIC Clearinghouse Scope of Interest Guide* (Appendix A) can be helpful in this process.

SCOPE OF INTEREST NOTICE	
The ERIC Facility has assigned this document for processing to:	
In our judgment, this document is also of interest to the Clearinghouses noted to the right. Indexing should reflect their special points of view.	

FIGURE IV-2: Scope Overlap Label

Note that Clearinghouse assignment, and the number of copies received, are recorded in the DIP file. If duplicate copies of the document are received later, they can be directed, if necessary, to the same Clearinghouse.

f. Special Instructions, Guidelines, etc.

From time to time, special instructions are forwarded from the Facility to Clearinghouses along with documents that require special handling. For example, a set of papers commissioned by NCES for a workshop on one of the National Education Goals may not display any of this information on their covers. The Facility may be aware of this information because of its direct contact with the contributor. In such a case, the Facility will devise a recommended Note to be included in the cataloging of each document by those Clearinghouses assigned the materials.

g. PRIORITIES in Document Handling

There are three classes of ERIC document handling:

- **Routine Document**—to be handled normally, regularly, on a first in/first out basis.
- **Department of Education Document**—to take precedence over other routine documents, i.e., to be put at the top of the pile, the front of the line.
- **PRIORITY Document**—to be processed in time to make the very next available issue of RIE; may require expedited processing and turnaround and special rapid handling.

PRIORITY documents are generally designated as such by Central ERIC and are then tagged by the Facility using a PRIORITY Document Handling Form (see Figure IV-3) affixed to the cover prior to sending it to a Clearinghouse. The form must remain with the document at all times and accompany it on its return to the Facility. PRIORITY documents must be processed before all other documents and must be shipped separately by the fastest means from the Facility to the Clearinghouses.

PRIORITY documents may not be rejected (unless physically incomplete). The next issue of RIE still open to accessions is marked on the PRIORITY form and can also be determined from the RIE Master Schedule. In some cases, when the RIE issue deadline is very close, it may be necessary to process PRIORITY documents in a matter of a few days. To alert Clearinghouses to such needs, the Facility generally calls ahead to notify a Clearinghouse of an upcoming PRIORITY document assignment.

Department of Education documents need not be processed on an expedited PRIORITY basis, but when received they should be the next documents processed at the regular/routine rate. That is to say, they should be pulled out and put next in line.

Department of Education documents are identified by the Facility using a special Department of Education Document Handling Form (see Figure IV-4) that is affixed to the cover prior to transmittal to the Clearinghouse. Department of Education documents will normally be selected for the ERIC database. If for some reason a Department of Education document is rejected, the reason justifying this rejection must be provided on this form and both document and form returned to the Facility, for review by Central ERIC.

HANDLING AND SHIPPING

---Do Not Detach This Form From Document During Processing---

Date Sent: _____

Date Returned: _____

****PRIORITY DOCUMENT****

TO: _____
(Assigned Clearinghouse)

ATTENTION: _____

FROM: ERIC Facility, Acquisitions Department

TITLE OF DOCUMENT
BEING SENT: _____

RIE ISSUE TO BE
PROCESSED FOR: _____

DATE DOCUMENT
NEEDED BACK AT
FACILITY: _____

The document to which this form is attached has been designated a PRIORITY document requiring expedited processing to make the next possible issue of *Resources in Education* (RIE) that has not been closed.

Please return this document and its completed resume by the date indicated above (in order for it to be announced in the issue of the RIE indicated above).

When returning this document, use a separate log sheet. This form should be left on the document in order to identify it as an item requiring special rapid handling.

PRIORITY documents may not be rejected (unless physically incomplete). If for some reason you cannot meet this deadline, please notify the ERIC Facility's Acquisitions Department as soon as possible.

---Do Not Detach This Form From Document During Processing---

FIGURE IV-3: PRIORITY Document Handling Form

—Do Not Detach This Form From Document During Processing—

****DEPARTMENT OF EDUCATION DOCUMENT****

The document to which this form is attached has been

Prepared Sponsored

by the U.S. Department of Education or one of its offices, e.g., Office of Educational Research and Improvement (OERI).

This document should be processed promptly, i.e., it should be placed first in line amongst the next documents to be processed routinely.

Note that, because it is Federally-funded, this document does *not* require an ERIC Reproduction Release form. Also, it may be considered cleared by its relevant project monitor for immediate processing.

Please do not delay this document unnecessarily as the project monitor may be waiting on its availability from ERIC.

ED/OERI Documents are normally selected for the ERIC database. If for any reason this document is not selected by the Clearinghouse to which it has been assigned, the document must be returned to the ERIC Facility with the reason for its rejection provided below:

Clearinghouse: _____

Contact Person: _____

Title: _____

Reason for Rejection: _____

- Document will not reproduce/microfiche adequately.
 Document is incomplete (pages/parts missing).
 Quality of content is not acceptable.
 Other (Specify) _____

—Do Not Detach This Form From Document During Processing—

FIGURE IV-4: Department of Education Document Handling Form

h. Reply Cards (Acknowledgments to Contributors)

As a courtesy, all contributors must be notified of the disposition of their documents, including the ED numbers assigned if the documents are selected. Providing such a service can be a powerful inducement to contributors and, as such, a valuable acquisitions tool. To provide this information to contributors, a standard "ERIC Reply Card" has been developed (see Figure IV-5). This card can be provided in quantity to regular document sources, who are requested to complete it, self-address it, stamp it, and affix it to the cover of documents being contributed. Alternatively, the Facility or the Clearinghouse may affix such a card for a contributor.

ERIC REPLY CARD	
DOCUMENT TITLE: _____ _____	
DISPOSITION OF DOCUMENT:	
Selected for the _____ issue of RIE and	
<input type="checkbox"/>	is assigned document no. _____
<input type="checkbox"/>	Not selected for RIE.

CLEARINGHOUSE NAME: _____	
Date: _____	
<i>HAVE YOU ENTERED YOUR CORRECT RETURN ADDRESS ON THE FRONT OF THIS CARD?</i>	

FIGURE IV-5: ERIC Reply Card

If a Clearinghouse rejects a document, the decision should be indicated in the appropriate place on the card and the card mailed to the contributor. (Supplying a reason for non-selection is optional and at the discretion of the Clearinghouse.)

If a Clearinghouse selects a document for RIE announcement, the card should be left attached to the document when it is returned to the Facility. Reply Cards attached by the Department of Education or by the Facility Acquisitions Department should never be replaced by Clearinghouse reply cards, because the addressee is often very specific. The Facility will enter on the card the ED number assigned to the document and then mail the card back to the contributor as soon as possible.

Clearinghouses may use Reply Cards, form letters, or other means to notify contributors after the relevant issue of RIE has been published. Clearinghouse systems for thanking or otherwise notifying document contributors are entirely optional and should not be regarded as either replacing or being replaced by the Reply Card system described here.

2. Handling of Documents Shipped to the Facility by Clearinghouses for Inclusion in RIE

Every week, by mail or commercial carrier, the Facility's Document Control Department receives shipments from the Clearinghouses of documents for inclusion in RIE. The following procedures are used:

a. Shipment Verification

After receiving a shipment of documents from a Clearinghouse, the Facility verifies the contents against the Clearinghouse Log Sheet (Figure IV-6A). Any discrepancy is resolved by telephone with the Clearinghouse. Records are kept of documents input for each weekly shipment for RIE. A notation is made when a Clearinghouse abstains. If a Clearinghouse abstains for two weeks running, a check is made by the Document Control Supervisor to determine the reason and Central ERIC is notified. PRIORITY documents must have their own separate Log Sheet (see Figure IV-6B) to facilitate expedited processing.

Log Sheets are required for all regular database input shipments from Clearinghouses to the Facility. See Figure IV-15(A) for a sample Log Sheet for CUE input. See Figure IV-15(B) for a sample Log Sheet for input of full-text Digests for the ERIC Digests Online (EDO) file.

b. Pagination

After receipt and verification, the documents are paginated. The Paginator hand stamps every page according to the instructions given in Section V: "Cataloging." After pagination, documents are returned to the Editorial Department where the editorial function takes place.

HANDLING AND SHIPPING

ERIC		Clearinghouse Accession Log Sheet			Page <u>1</u> of <u>1</u>
CLEARINGHOUSE (CIRCLE ONE): CE CG CS EA EC FL HE IR JC PS RC SE SO SP TM UD					
DATE(S) DOCUMENTS SHIPPED <u>4-23-92</u>		BIBLIOGRAPHIC DATA TRANSMITTED <u>4-23-92</u>			
RECEIVED AT FACILITY _____			ONLINE DATASET NAME _____		
SHIPMENT APPROVED BY: <u>Adrienne Lannom</u>					
ACCESSION NUMBER	LOG/DOC CHECK	DOCUMENT IDENTIFICATION (Author-Last Name or Title-One or Two Words)	LEVEL (1, 2 or 3)	COMMENTS	
<small>PREFIX</small>	<small>NUMBER</small>				
EA	023 283	Liontos	1	Highlight: PUBTYPE 071	
EA	023 510	Charters, Jr.	1	Highlight: PUBTYPE 071	
EA	023 630	Master Plan for Tennessee	1		
EA	023 671	McLeod; And Others	1		
EA	023 672	Anderson; Stiegelbaur	1		
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					
16					
17					
18					
19					
20					
TOTAL ITEMS IN SHIPMENT: <u>5</u>					
SHIPMENT INTENDED FOR: JOURNAL (CIRCLE ONE): RIE CIJE					
ISSUE MONTH (CIRCLE ONE): J F M A M J J A S O N D					
WEEK OF INPUT (CIRCLE ONE): 1 2 3 4 5					
SOURCE JOURNAL CITATION INFORMATION (CIJE INPUT ONLY): _____					

EFF-38 (6/90)

FIGURE IV-6: Clearinghouse Accession Log Sheet (Completed)
A. Regular Document Shipment



Clearinghouse Accession Log Sheet

Page 1 of 1

CLEARINGHOUSE (CIRCLE ONE): CE CG CS EA **EC** FL HE IR JC PS RC SE SO SP TM UD

DATE(S) DOCUMENTS SHIPPED 4/23/92 BIBLIOGRAPHIC DATA TRANSMITTED

RECEIVED AT FACILITY ONLINE DATASET NAME

SHIPMENT APPROVED BY:

ACCESSION NUMBER		LOG/ DOC CHECK	DOCUMENT IDENTIFICATION (Author-Last Name or Title-One or Two Words)	LEVEL (1, 2, or 3)	COMMENTS
PREFIX	NUMBER				
1	EC		300 996	Wagner	Priority Documents
2	EC		300 997	D'Amico	
3	EC		300 998	Wagner	
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					
16					
17					
18					
19					
20					

TOTAL ITEMS IN SHIPMENT : 3

SHIPMENT INTENDED FOR: JOURNAL (CIRCLE ONE): **RIE** CIJE

ISSUE MONTH (CIRCLE ONE): J F M A M J J A S O N D

WEEK OF INPUT (CIRCLE ONE): 1 2 3 4 5

SOURCE JOURNAL CITATION INFORMATION (CIJE INPUT ONLY):

EFF-38 (6/90)

FIGURE IV-6: Clearinghouse Accession Log Sheet (Completed) B. PRIORITY Document Shipment

c. ERIC Program Office Review

Representatives from the ERIC Program Office (commonly known as Central ERIC) occasionally review documents going into RIE. From time to time, individual Clearinghouse monitors also join in the review. Documents are reviewed for reproducibility problems, quality of content, and appropriateness of subject matter. Questionable documents may be removed and discussed with Clearinghouses by the Clearinghouse monitors. As a result of this review, the monitor arrives at a decision to either reject the given document or to reinsert it into the RIE production stream. Care is taken by the Facility to record all such removals so that no document is lost or misplaced.

d. Duplicates

Despite all checks made by both the Facility and the Clearinghouses, some duplicates arrive at the Facility for inclusion in RIE. Immediately prior to preparing an issue of RIE, the Facility does a duplicate check by title using the computer to search the ERIC Master File *and* the issue in preparation. This "final filter," verified manually by the editors, detects any remaining duplicates. These documents are then removed from the issue. Duplicates are returned to the submitting Clearinghouse. A monthly report is prepared for Central ERIC (see Figure IV-7) listing these duplicates and indicating the issue of RIE in which they were first announced. It is generally considered that duplicates of items announced three or more months prior should have been caught by the Clearinghouse, whereas duplicates of items in process, or in an RIE issue that has not yet been published, are more understandable. Duplication of one's own prior input is, however, considered unacceptable.

e. ED Number Assignment

ED Accession Numbers are assigned automatically to documents by the computer system as one of the last steps in computer processing. This action is delayed so that documents that are duplicates, unfilmable, rejected, etc., can be removed before final accession number assignment takes place. The resulting unbroken sequence of ED numbers is a system feature that is very useful to readers of the RIE journal, users of the magnetic tapes, and subscribers to the ERIC microfiche collection.

When the computer assignment of the ED numbers has been completed, the Facility's Document Control Clerk records the ED number in a standard position (upper left hand corner) on the cover (or first sheet to be filmed) of each document.

f. Single-Frame Resumes

Computer-produced "Single-Frame Resumes" (printouts of the final computer record for each accession) are matched with the documents prior to their transfer to EDRS. These later become "Page 1" of each document's microfiche. Additional copies of the "Single-Frame Resumes" are sent to each Clearinghouse at the same time, as advance notice of their RIE announcements for that issue. Figure IV-8 depicts a typical Single Frame Resume.

RIE
December 1991
Remove Summary Report
(40)

1. Duplicates (5)

A. Duplicates of a Clearinghouse's Own Input (2)

Duplicates Detected	Duplicates of	Originally Announced in RIE	Detected By
EA 023 176	ED 303 914/EA 020 745	JUL89	FAC
SE 052 221	ED 306 143/SE 050 562	SEP89	FAC

B. Duplicates Appearing in RIE Three Months or More - September 1991 or Earlier (0)

C. Duplicates Appearing in October - December 1991 (3)

SE 052 202	ED 335 365/TM 016 959	DEC91	FAC
UD 028 091	ED 331 294/FL 019 132	SEP91	FAC
UD 028 096	ED 333 042/TM 016 582	DEC91	FAC

D. Total All Duplicates Appearing in 1991 = 189

2. Removes

Accession Removed	Reason for Removal
CG 023 532	SCOPE (NOT EDUC-RELATED)
CG 023 533	SCOPE (NOT EDUC-RELATED)
FL 800 205	COMBINE
HE 024 102	MISCELLANEOUS (WRONG ACC# USED)
PS 019 933	COMBINE
PS 019 936	COMBINE

Permanent Removes for This Issue = 6

C. Delays

Accession Removed	Reason for Removal
FL 019 250	INCOMPLETE
FL 019 301	INCOMPLETE
FL 019 315 - 318	PROCESSING
FL 800 204	DOC PREP
HE 023 802	PROCESSING
HE 024 154	PROCESSING
JC 910 382	ABSTRACT
PS 019 708	MOVED TO NOVEMBER 1991
RC 018 303 - 304	ABSTRACT
SO 021 332	PROCESSING
SO 030 483 - 484	RELATED
UD 228 221 - 233	TRANSFERRED TO JANUARY 1992

Resumes Temporarily Removed from Current Issue = 29

FIGURE IV-7: RIE Issue—Remove List

DOCUMENT RESUME

ED 340 753

TM 018 009

AUTHOR Banta, Trudy W.
 TITLE Toward a Plan for Using National Assessment To Ensure Continuous Improvement of Higher Education. Draft.
 SPONS AGENCY National Center for Education Statistics (ED), Washington, DC.
 PUB DATE 30 Sep 91
 NOTE 50p.; Commissioned paper prepared for a workshop on Assessing Higher Order Thinking & Communication Skills in College Graduates (Washington, DC, November 17-19, 1991), in support of National Education Goal V, Objective 5. For other workshop papers, see TM 018 010-024.
 PUB TYPE Reports - Evaluative/Feasibility (142) -- Speeches/Conference Papers (150)
 EDRS PRICE MF01/PC02 Plus Postage.
 DESCRIPTORS Academic Achievement; *College Graduates; *Communication Skills; *Critical Thinking; *Educational Assessment; Educational Improvement; Educational Objectives; Evaluation Utilization; Higher Education; Measurement Techniques; National Programs; Outcomes of Education; *Problem Solving; Student Evaluation; Testing Programs; *Thinking Skills
 IDENTIFIERS America 2000; *National Education Goals 1990

ABSTRACT

An outline is provided for a national educational assessment and improvement plan as suggested by the National Education Goals of 1990. The following implicit assumptions underlie National Education Objective 5.5: (1) abilities to think critically, communicate effectively, and solve problems can be defined and the definitions can be agreed upon as desired instructional objectives; (2) defined abilities can be taught in ways that engage students and promote learning; (3) reliable and valid measures of these abilities can be identified and created; (4) measures of student attainment can be administered to college graduates in settings that encourage their best efforts; and (5) results of such assessment will be used to improve instruction. Under prevailing conditions in American higher education, little support for these assumptions exists. Current measurement theory is inadequate to provide direction for teaching and learning, and the act of assessing student abilities will not, in and of itself, improve those abilities. If decision makers believe that the national interest will be best served by a comprehensive postsecondary assessment program, the principles of continuous improvement applied in industry should be used to link faculty goal-setting, staff development, assessment of instructional resources and student outcomes, and uses of assessment results for educational improvement. A 55-item list of references is included. Reviews by N. Frederiksen and by B. Wright and T. Marchese of this position paper are provided (SLD)

 * Reproductions supplied by EDRS are the best that can be made *
 * from the original document. *

FIGURE IV-8: Single-Frame Resume (Computer-Produced)

g. Reply Cards

All Reply Cards attached to the documents are removed at this time and the ED number assigned to the document is added to the cards. The Facility's Document Control Department then mails the cards to the contributors.

h. Delivery of Documents to EDRS

Each monthly shipment of documents from the Facility to the ERIC Document Reproduction Service (EDRS) is packaged carefully by the Document Control Department. Special care is taken to arrange the documents in numerical sequence in strong boxes, plainly marked on the outside with the corresponding ED numbers. This expedites the handling and filming of the documents by EDRS. After notification from the Facility, EDRS arranges to have the boxes picked up by a messenger service and delivered to them. Central ERIC is then advised that the shipment has gone to EDRS for microfiche production.

3. Handling Microfiche Shipped to the Facility by EDRS

For each issue of RIE, the Facility receives two complete sets of microfiche. One set is housed in the Facility Reference Library for reference and archival purposes. The second set is divided by Clearinghouse, with each segment shipped to the appropriate Clearinghouse for use in distributing complimentary microfiche to contributors.

C. Clearinghouse Handling

1. Receiving

The majority of the documents received by the Clearinghouses arrive through their own efforts. The Facility acquisitions program provides supplementary input. In some cases, documents are transferred from one Clearinghouse to another.

a. Logging, Checking, and Establishing Basic Control

The exact nature of the logs and files maintained by the Clearinghouses to control incoming documents is left to the individual Clearinghouse. As indicated in Section II.E.11, certain basic statistics must be reported quarterly to Central ERIC. It is advisable, therefore, that each Clearinghouse develop a log, file, or other type of record, that gathers, at a minimum, the following types of information about incoming documents: date acquired; title; author; source (e.g., state, local, federal, facility, academic, non-profit, commercial, foreign, international, etc.); contributor (if different from source); and disposition (e.g., RIE, local files, transfer, duplicate, discard, etc.)

It is also a fairly uniform practice among Clearinghouse acquisitions operations to maintain an "On-Order" file, so that the results of specific requests or orders for documents can be determined and followed-up, if necessary.

b. Inter-Clearinghouse Transfers

Any Clearinghouse may send a document directly to another Clearinghouse. Included are those documents received from the Facility (with the exception of PRIORITY documents, which must not be transferred because of the time factor). Clearinghouses should not discard good quality education-related documents just because they are not within their own scope of interest. Such documents should be routed to the most appropriate Clearinghouse, or, if that is ambiguous or uncertain, to the Facility for assignment. Any correspondence and/or supporting documentation, as well as the Reproduction Release Form and a Document Transfer Form, must accompany the transferred document.

If a Clearinghouse learns that a document within its scope is being processed by another Clearinghouse, it is at liberty to contact the other Clearinghouse and negotiate for the document in question.

Document Transfer Forms (see Figure IV-9) are available from the Facility's Document Control Department.

c. Information of Use to Document Processors

Clearinghouses must ensure that information of use to document processors (e.g., letters from authors, related press releases, etc.) is not discarded, but is retained with the document.

All special instructions and correspondence arriving with documents from the Facility should also be kept with the documents throughout the document processing phase.


d. Department of Education Prepared Documents

OERI/ED prepared documents need not be cleared formally by OERI/ED Project Officers before being processed. Such documents, whether received from the ERIC Facility or other channels, can be assumed to have been cleared. However, if a Clearinghouse receives an OERI/ED document from a source other than the Facility or a Clearinghouse's assigned acquisitions arrangement (e.g., an OERI R&D Center), the Facility should be notified in order to help prevent duplicate processing.

Any Department of Education document that is sent by the Facility to a Clearinghouse and then *not* selected for RIE must be returned to the Facility with an indication of the reason for rejection. This reason should be recorded on the "Department of Education Document Handling Form" provided with the document (see Figure IV-4).

e. Duplicate Checking

It is the responsibility of the Clearinghouses to check all documents received to determine whether they are duplicates of those already in the system or duplicates of items in-process at one of the Clearinghouses (including their own). The further a duplicate proceeds through the system, the more time, money, and effort are wasted.


DOCUMENT TRANSFER FORM

Date Received: _____ Date Transferred: _____

TO: ERIC/ _____

FROM: ERIC/ _____

The enclosed document(s) appear to be more within your scope than ours.

The document(s) were obtained by (check one):

- solicited contribution
- unsolicited contribution
- staff contribution
- ERIC Facility

Correspondence information is as follows:
(check one):

- all relevant material is attached
- no relevant correspondence; however the name and address of the contributor or contact person is (if known):

author notified of transfer

Clearinghouse Contact Person

(EFF-70)

FIGURE IV-9: Document Transfer Form

When duplicate checking, the first step to be taken is to determine whether the document is already in RIE. In order to determine this, searches should be made of the cumulative *Title Index* (and its quarterly supplements), or, alternatively, vendor versions of the ERIC database in online or CD-ROM form. Close attention should be paid to the date of publication in making this check. For example, a document dated 1990 could not have been announced (in identical form) in 1989 or earlier, thus limiting the search that must be made.

The next step is to identify whether the document is in-process anywhere in the ERIC system. In order to determine this, searches should be made of the *Acquisitions Data Report* (ADR) and of the Clearinghouse's internal files. The ADR is the system-wide tool for determining what is in-process at the various decentralized processing centers of the ERIC network.

If the document is not found in either of the two checks described above, an entry should be made immediately for it in the ADR (see Section IV.C.1m for how to do this). This action essentially "stakes a claim" for the document. (Other Clearinghouses finding an entry for the document in the ADR will realize that it is pre-empted and treat it as a duplicate.) The document may then be passed forward for cataloging, indexing, and abstracting.

If the document is found to be a duplicate and already in RIE, it can be discarded. If it is found to be a duplicate of a document in-process, the ADR "intended use" code should be checked. If the first Clearinghouse in possession of the document has it in a hold status, the second Clearinghouse can evaluate their own document with this information in hand, contacting the first Clearinghouse if desired. If, after negotiation between the two Clearinghouses, the second Clearinghouse turns out to be in a better position to announce the document, an entry reflecting this decision should be prepared for the ADR.

Sometimes two or more Clearinghouses receive the same document simultaneously and their respective entries for the ADR appear there simultaneously. Duplicate ADR entries are identified by an asterisk (*). (NOTE: A minor character variation in entry of the title will void the asterisk. The ADR must, therefore, be used carefully, with possible title variants consulted.) When a Clearinghouse detects such entries, it should contact the other Clearinghouse(s) involved and negotiate a settlement satisfactory to all concerned. Similarly, any questions as to which Clearinghouse should most appropriately process a document should be resolved by telephone. Processing information or Reproduction Releases that may already have been generated or obtained by one of the Clearinghouses should be transferred.

f. Reproduction Release Forms and Corresponding Labels

Unless a document (1) has been produced or sponsored by the Federal Government, or (2) specifically waives copyright and reproduction rights, the Clearinghouse should seek permission to reproduce from the copyright (or proprietary rights) holder. This procedure is described in detail in Section II.E.8. In some cases ERIC has already secured Blanket Reproduction Releases. These arrangements are noted in the *ERIC Acquisitions Arrangements* list and this list should be checked to ascertain whether such permission has already been granted. If so, processing can proceed without any further

reproduction release action. Reproduction permission should always be obtained on a standard form (Figures IV-10(A-B)). Signed release forms must be kept on file indefinitely at the Clearinghouses obtaining them.²

If permission to reproduce for ERIC purposes is obtained, the Clearinghouse must affix the appropriate Level 1 or Level 2 Reproduction Release Label (Figures IV-11A-B), with the name of the authorizing person or organization filled in, to the cover (or first sheet to be filmed) of the document (Figure IV-12). This procedure ensures that the labels will appear prominently on the first frame of the microfiche.

NOTE: The labels should reflect *the permission actually given*. If subsequent decisions relative to reproducibility cause a reduction in processing Level from 1 to 2, 1 to 3, or 2 to 3, this should not affect the label. EDRS determines filming level from the computer record, not from the label.

g. OERI Policy Disclaimer Label

It is important that recipients of ERIC microfiche and reproduced paper copies of documents understand that the documents are collected from a variety of sources and that they are not necessarily reflections of OERI official positions. It is common for organizations such as ERIC, producing abstract journals and operating information systems, to "disclaim" responsibility for the documents they control and disseminate.

To this end, a standard *OERI Policy Disclaimer Label* (Figure IV-13) must be properly marked and affixed to every document processed at Level 1 or Level 2. (In the case of Level 3, there is no document in hand and none is later disseminated by ERIC, so no sticker is required.)

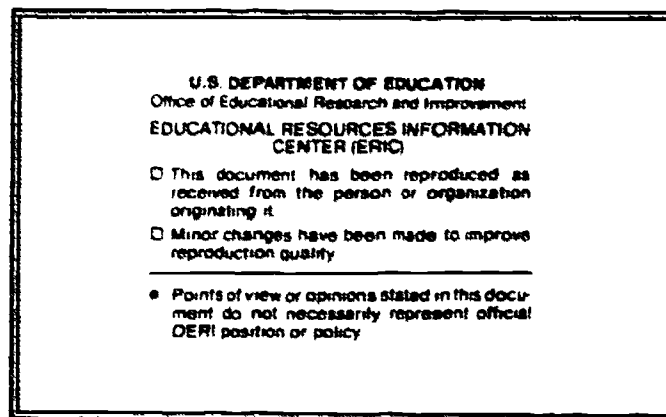


FIGURE IV-13: OERI Policy Disclaimer Label

² **NOTE:** Beginning with the input for the January 1993 issue of RIE, original individual signed Reproduction Release Forms should be attached and will be filmed as the last page of the document to which they pertain. Reproduction Release Forms prior to this date must still be retained indefinitely by the Clearinghouse.



U.S. DEPARTMENT OF EDUCATION
 Office of Educational Research and Improvement (OERI)
 Educational Resources Information Center (ERIC)



REPRODUCTION RELEASE
 (Specific Document)

I. DOCUMENT IDENTIFICATION:

Title:	
Author(s):	
Corporate Source:	Publication Date:

II. REPRODUCTION RELEASE:

In order to disseminate as widely as possible timely and significant materials of interest to the educational community, documents announced in the monthly abstract journal of the ERIC system, *Resources in Education* (RIE), are usually made available to users in microfiche, reproduced paper copy, and electronic/optical media, and sold through the ERIC Document Reproduction Service (EDRS) or other ERIC vendors. Credit is given to the source of each document, and, if reproduction release is granted, one of the following notices is affixed to the document.

If permission is granted to reproduce the identified document, please CHECK ONE of the following options and sign the release below.

← Sample sticker to be affixed to document Sample sticker to be affixed to document →

Check here

Permitting microfiche (4"x 6" film), paper copy, electronic, and optical media reproduction

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY

Sample

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

Level 1

"PERMISSION TO REPRODUCE THIS MATERIAL IN OTHER THAN PAPER COPY HAS BEEN GRANTED BY

Sample

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

Level 2

or here

Permitting reproduction in other than paper copy

Sign Here, Please

Documents will be processed as indicated provided reproduction quality permits. If permission to reproduce is granted, but neither box is checked, documents will be processed at Level 1.

"I hereby grant to the Educational Resources Information Center (ERIC) nonexclusive permission to reproduce this document as indicated above. Reproduction from the ERIC microfiche or electronic/optical media by persons other than ERIC employees and its system contractors requires permission from the copyright holder. Exception is made for non-profit reproduction by libraries and other service agencies to satisfy information needs of educators in response to discrete inquiries."

Signature:	Position:
Printed Name:	Organization:
Address:	Telephone Number: ()
	Date:

OVER

FIGURE 10: Reproduction Release Form
A. Specific Document (Page 1 of 2)

III. DOCUMENT AVAILABILITY INFORMATION (FROM NON-ERIC SOURCE):

If permission to reproduce is not granted to ERIC, or, if you wish ERIC to cite the availability of this document from another source, please provide the following information regarding the availability of the document. (ERIC will not announce a document unless it is publicly available, and a dependable source can be specified. Contributors should also be aware that ERIC selection criteria are significantly more stringent for documents which cannot be made available through EDRS).

Publisher/Distributor:	
Address:	
Price Per Copy:	Quantity Price:

IV. REFERRAL OF ERIC TO COPYRIGHT/REPRODUCTION RIGHTS HOLDER:

If the right to grant reproduction release is held by someone other than the addressee, please provide the appropriate name and address:

Name and address of current copyright/reproduction rights holder:
Name:
Address:

V. WHERE TO SEND THIS FORM:

Send this form to the following ERIC Clearinghouse:

If you are making an unsolicited contribution to ERIC, you may return this form (and the document being contributed) to:

ERIC Facility
 1301 Piccard Drive, Suite 300
 Rockville, Maryland 20850-4305
 Telephone: (301) 250-5500

(Rev 9/91)

**FIGURE 10: Reproduction Release Form
 A. Specific Document (Page 2 of 2)**



U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement (OERI)
Educational Resources Information Center (ERIC)



REPRODUCTION RELEASE
(Blanket)

I. DOCUMENT IDENTIFICATION (Class of Documents):

All Publications:
Series (Identify Series):
Division/Department Publications (Specify)

II. REPRODUCTION RELEASE:

In order to disseminate as widely as possible timely and significant materials of interest to the educational community, documents announced in the monthly abstract journal of the ERIC system, *Resources in Education* (RIE), are usually made available to users in microfiche, reproduced paper copy, and electronic/optical media, and sold through the ERIC Document Reproduction Service (EDRS) or other ERIC vendors. Credit is given to the source of each document, and, if reproduction release is granted, one of the following notices is affixed to the document.

If permission is granted to reproduce the identified document, please CHECK ONE of the following options and sign the release below.

← Sample sticker to be affixed to document Sample sticker to be affixed to document →

Check here

Permitting microfiche (4"x 6" film), paper copy, electronic, and optical media reproduction

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY

Sample

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

Level 1

"PERMISSION TO REPRODUCE THIS MATERIAL IN OTHER THAN PAPER COPY HAS BEEN GRANTED BY

Sample

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

Level 2

or here

Permitting reproduction in other than paper copy.

Sign Here, Please

Documents will be processed as indicated provided reproduction quality permits. If permission to reproduce is granted, but neither box is checked, documents will be processed at Level 1.

"I hereby grant to the Educational Resources Information Center (ERIC) nonexclusive permission to reproduce these documents as indicated above. Reproduction from the ERIC microfiche or electronic/optical media by persons other than ERIC employees and its system contractors requires permission from the copyright holder. Exception is made for non-profit reproduction by libraries and other service agencies to satisfy information needs of educators in response to discrete inquiries."

Signature:	Position:
Printed Name:	Organization:
Address:	Telephone Number: ()
	Date:

FIGURE 10: Reproduction Release Form B. Blanket Release (Page 1 of 2)

III. DOCUMENT AVAILABILITY INFORMATION (FROM NON-ERIC SOURCE):

If permission to reproduce is not granted to ERIC, or, if you wish ERIC to cite the availability of these documents from another source, please provide the following information regarding the availability of the document. (ERIC will not announce a document unless it is publicly available, and a dependable source can be specified. Contributors should also be aware that ERIC selection criteria are significantly more stringent for documents which cannot be made available through EDRS).

Publisher/Distributor:	
Address:	
Price Per Copy:	Quantity Price:

IV. REFERRAL OF ERIC TO COPYRIGHT/REPRODUCTION RIGHTS HOLDER:

If the right to grant reproduction release is held by someone other than the addressee, please provide the appropriate name and address:

Name and address of current copyright/reproduction rights holder:	
Name:	
Address:	

V. WHERE TO SEND THIS FORM:

Send this form to the following ERIC Clearinghouse:

If you are making an unsolicited contribution to ERIC, you may return this form (and the document(s) being contributed) to:

ERIC Facility
 1301 Piccard Drive, Suite 300
 Rockville, Maryland 20850-4305
 Telephone: (301) 258-5500

(Rev. 11/91)

**FIGURE 10: Reproduction Release Form
 B. Blanket Release (Page 2 of 2)**

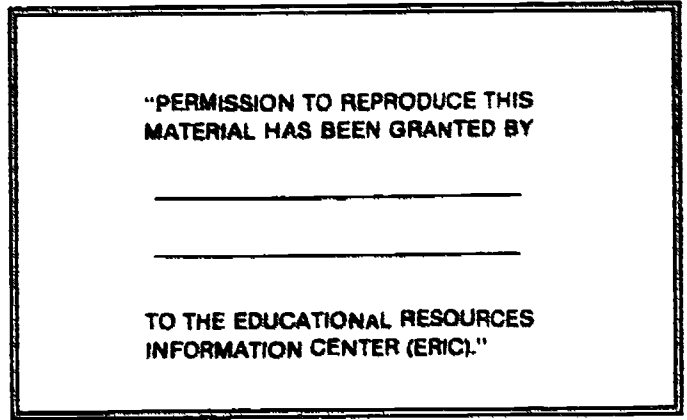


FIGURE 11: Reproduction Release Labels
A. Level 1 (Paper Copy, Microfiche, and Other Media)

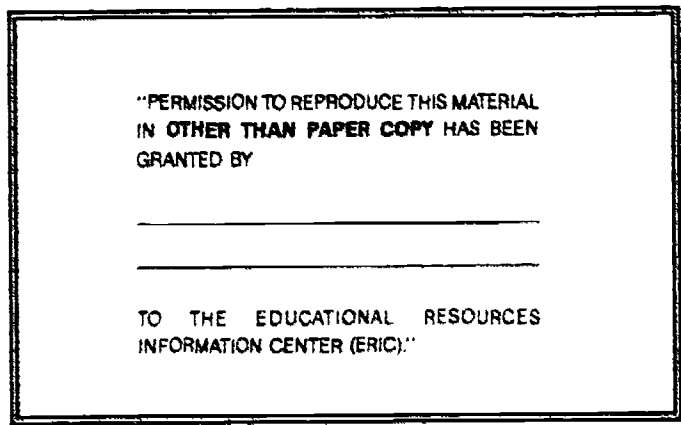


FIGURE 11: Reproduction Release Labels
B. Level 2 (Other than Paper Copy)

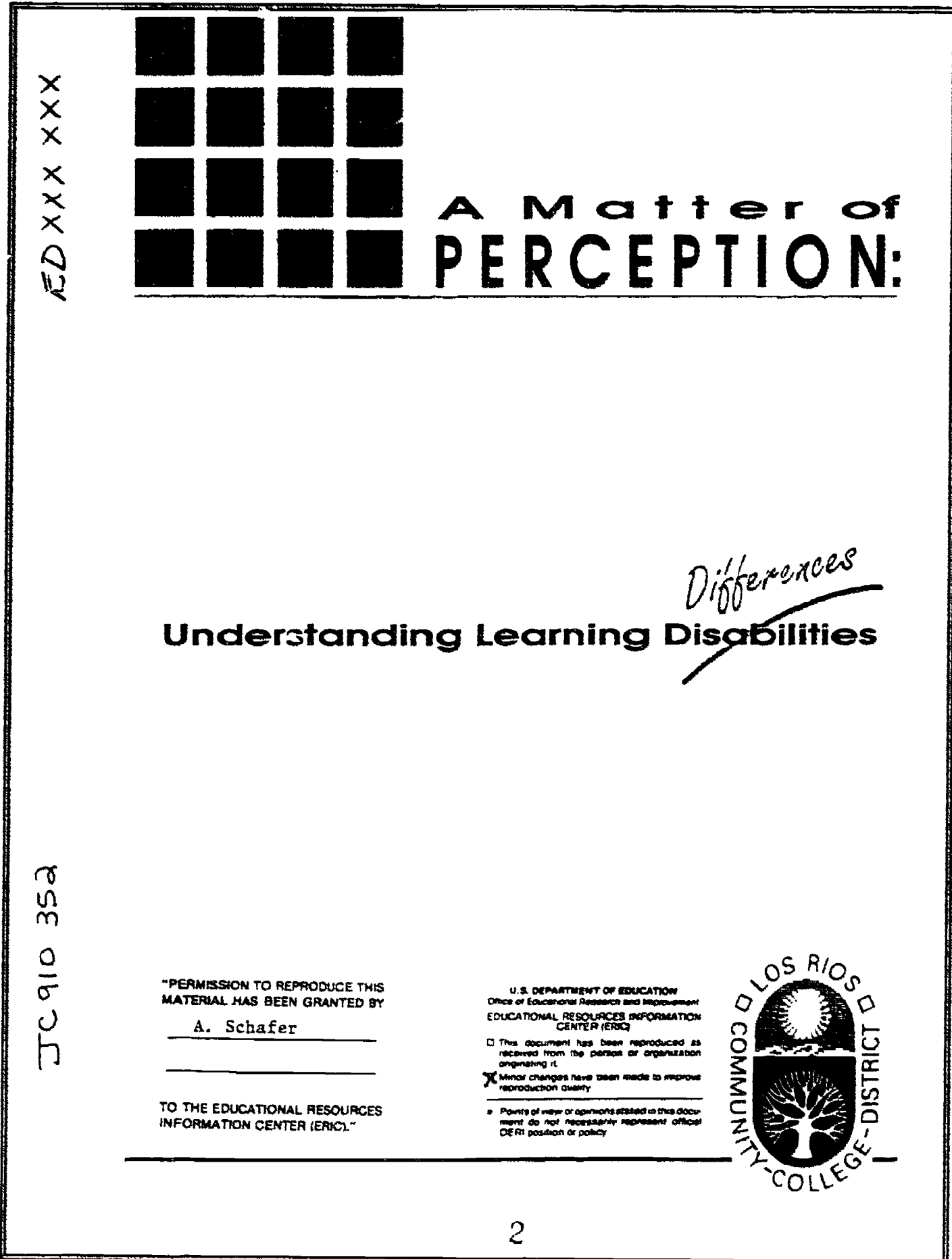


FIGURE 12: Sample Document Cover/Title Page (showing all Labels to be affixed and accession numbers to be added)

All labels (disclaimer and/or reproduction) must be affixed to the cover (or first sheet to be filmed) of the document (see Figure IV-12). This ensures that the labels will appear prominently on the first frame of the microfiche. The labels may be affixed in any blank space of the document except the upper left corner (reserved for ED number) or the lower left corner (reserved for the CH number). The labels should never cover text and should not be placed perpendicular to the text. If no space is available for the stickers, a new first page should be prepared that includes the title of the document, the CH number, and the labels.

Gummed labels are available upon request from the ERIC Facility Document Control Department.

h. Reply Cards (Acknowledgments to Contributors)

The Facility uses Reply Cards (see Figure IV-5) to advise document contributors who wish to be informed of the disposition (and ED number) of their documents. When the Clearinghouses receive documents from the Facility with Reply Cards attached to them, they should only detach and mail the self-addressed card if the document is rejected (citing the reason for rejection is optional). If the document is selected for RIE, the card should simply be left on the document. The Facility will mail the card to the contributor, after the ED number has been assigned and recorded on the card.

Clearinghouses may make use of similar cards, if they wish, by affixing them to the inside covers of the documents. The cards should be fully addressed (for universities and colleges this should include the academic department), postage supplied, and the title supplied on the back with room for the insertion of the ED Number. Staple the card to the *inside* lower right corner of the document cover (i.e., the card will be just behind the first page to be filmed). Cards stapled on the outside are too easily torn off during shipment or later handling. The Facility will handle such Clearinghouse-affixed cards in the same way that it handles its own.

NOTE: Clearinghouses should refer to the *ERIC Acquisitions Arrangements List (EAA)* list for information as to whom Reply Cards should be addressed for specific organizations. Care should be taken *not* to send automatically such routine "thank you" notes to inappropriate sources, e.g., a state Governor's office, Secretary of the Department of Education, etc.

i. PRIORITY Document Handling (By Clearinghouses)

(1) Routine Documents

Most documents received at the Clearinghouses from the ERIC Facility are not accompanied by any special forms and are ROUTINE, meaning that they can be treated like any other documents that arrive as candidates for RIE.

(2) **Department of Education Documents**

Documents prepared by the U.S. Department of Education are identified by a special form attached to their covers (see Figure IV-4). These documents should be "put at the head of the line" and should take precedence over other routine documents awaiting processing. Department of Education documents are *usually* selected for the database; if one is rejected, the same form should be used to justify the rejection and to return the document to the ERIC Facility for review by Central ERIC.

(3) **PRIORITY Documents**

A few documents are classified (usually by Central ERIC) as PRIORITY. The PRIORITY Form (see Figure IV-3) should be left attached to the document throughout processing, to ensure its continued quick handling at all stages. All regular processing steps are observed, but are expedited. The form indicates the issue of RIE in which the document should be included and the date by which the document/data must be returned to the Facility. Usually this is the very next issue still open for accessions. The speed that is necessary in processing is determined by the Facility from the RIE Master Schedule, copies of which are sent to each Clearinghouse at the beginning of the year. Normally this will involve returning the document to the Facility in the next working week following receipt; however, in some cases, even faster turnaround may be necessary to make the deadline. If for any reason, this specified schedule cannot be met, the Clearinghouse should notify the Facility immediately.

When the PRIORITY document is shipped to the Facility, *it must be mailed separately with a separate Log Sheet*, and not intermixed with routine documents. (See Figure IV-6B.)

From time to time, Clearinghouses may have their own PRIORITY documents that they wish to expedite by moving the document up to the next issue of RIE still open to accessions. Clearinghouse requests for PRIORITY processing should be very selective. If in doubt, about issue deadline dates, the Clearinghouse should contact the Facility Editorial Department. When such a document is processed, it should also be shipped separately on a separate Log Sheet with a notice plainly identifying the document as requiring PRIORITY handling by the Facility.

j. **Clearinghouse Accession Numbers**

Since the final and permanent ED accession number is assigned late in the processing cycle (in order to avoid gaps in the sequence), it becomes necessary to generate a preliminary accession number in order to identify each document while it is in-process and still only a candidate for the database.

The time at which a Clearinghouse assigns a Clearinghouse Accession Number varies somewhat from Clearinghouse to Clearinghouse, but all must have a number assigned when the document is entered into the ADR.

Each Clearinghouse in the ERIC system is identified by a two-letter alpha prefix, e.g., CE, FL, UD, etc. (see Figure I-4 or Figure IV-14 for a complete list). This prefix, together with a six-digit number, forms a preliminary Clearinghouse Accession Number. Up to the time they are announced in RIE, all documents (and associated paperwork) are identified and referred to by this number. Since RIE announcements are grouped by Clearinghouse, this number becomes, in effect, the "sort key" for each RIE issue.

Each Clearinghouse must maintain a log to keep track of the numbers it has assigned and to avoid assigning the same number twice. Clearinghouses do not have to use every number in sequence. Numbers may be skipped or used out of sequence if necessary. However, numbers must not be "wasted" because there are only a finite number per Clearinghouse (999,999) in the present scheme. When assigned to a document, the Clearinghouse Accession Number should be stamped or written neatly and clearly in the lower left hand corner of the document cover (or first sheet to be filmed). Use black or dark blue ink; do not use pencil.

Documents consisting of several separate parts or volumes which can be processed at the same time should be arranged in proper sequence and then assigned consecutive Clearinghouse numbers (e.g. Vol. 1 (IR 101209); Vol. 2 (IR 101210), Vol. 3 (IR 101211), etc.) in order to keep them together throughout processing and subsequent announcement.

Each issue of RIE contains a "Clearinghouse Number to ED Number Cross-Reference List" for that issue. In addition, the Facility sends all ERIC components a monthly cumulated update of this listing for the current year. Annual cumulations are also prepared.

ERIC Clearinghouse Accession Numbers can be used for ordering documents from EDRS because they easily convert to ED numbers.

k. Scope Overlap Label (Figure IV-2)

When the Facility obtains a document whose subject matter overlaps the scope of two or more Clearinghouses, it must decide which Clearinghouse best seems to match the major thrust and emphasis of the document. The document is assigned for processing to this "prime" Clearinghouse. However, affixed to the cover is a label that informs the prime Clearinghouse of the other Clearinghouses that may feel they have a claim on the document. Reproduced copies of the title page bearing the label are sent by the Facility to these "alternative" Clearinghouses. In this way, the alternative Clearinghouses are informed of a document that deals with their subject area and that they may even be in the midst of requesting or processing. If they question the assignment decision, they can call the "prime" Clearinghouse and negotiate the matter. The Clearinghouse actually receiving the document is likewise alerted that it should take into account the retrieval viewpoints of the other Clearinghouses during the indexing process. The *ERIC Clearinghouse Scope of Interest Guide* (Appendix A) is the principal tool used in determining these viewpoints.

2. Miscellaneous**a. Complimentary Microfiche (to Contributors)**

Each month the Facility sends to each Clearinghouse the segment of that month's ERIC microfiche collection that was input by that Clearinghouse. These microfiche must be sent to authors or contributors as a complimentary "thank you" for submitting their documents to ERIC. Clearinghouses should refer to the *ERIC Acquisitions Arrangements List (EAA)* list to determine to whom or to what organizational unit the microfiche should be sent. The text of the letter or note accompanying the microfiche to the contributors is at the discretion of the Clearinghouses, but can often serve to promote further acquisitions. This practice is *mandatory*.

b. Acquisitions Data Report (ADR)

Because of the decentralized nature of the ERIC system, it is necessary to devise some way for each of the Clearinghouses to be able to check on which documents are being processed at any given time by the other Clearinghouses. The differing subject specializations of each Clearinghouse are not sufficient to avoid potential duplicate effort. Document topics may overlap Clearinghouses, and it is not unusual for two or more Clearinghouses to feel equally justified in processing a given document.

The *Acquisitions Data Report (ADR)* is a composite file of titles for all documents currently in process at the Clearinghouses. It provides a means for identifying duplicates amongst current materials. It is accessible in two forms: (1) an online file located on a microcomputer at the ERIC Facility (this file contains a year's worth of data); (2) a printed version produced every month (this product contains a six-month running cumulation of the in-process titles.)

The procedures for inputting data to the ADR and for using it to detect duplicates are covered in EPM Section III: "Acquisitions."

c. Retention of Second Copies of Documents

If second copies of documents exist, they should generally be retained by the Clearinghouse until the first copy has been filmed, because sometimes the second copy may be used for page replacement, etc.

Documents which are at Level 3 (and not shipped for filming) should also generally be retained at the Clearinghouse at least until the issue in which they are to appear has been produced, in case questions arise about the document during editing at the Facility.

D. SHIPPING

The following procedures cover the logging, packing, wrapping, labeling, and shipping of materials from the ERIC Clearinghouses to the ERIC Facility and from the Facility to the Clearinghouses and other components of the system.

1. Clearinghouse Shipments to the Facility

a. Documents and Log Sheets

The principal materials sent from the Clearinghouses to the Facility are the documents intended for RIE announcement and Log Sheets for each shipment.

Clearinghouses should group in one package the documents and Log Sheets. Because Level 3 documents are not filmed by EDRS and are not sent to the Facility, the reproduced copies of the Title Page, Contents Page (if one exists), and any other relevant front matter containing information used in the resume for such accessions, must be sent to provide the Facility editors with documentation to check against. Level 3 backup material should be included in proper sequence in the regular shipments of Level 1 and Level 2 material.

b. Vocabulary Development Forms (VDFs)

Vocabulary Development Forms (VDFs) for any new Descriptor or proposed modification to the *Thesaurus* should be sent to the Facility marked "Attention: Lexicographer."

c. ERIC Clearinghouse Publications, Digests, Newsletters, Etc.

In addition to RIE-related material, the Clearinghouses must send the Facility (Attn: Reference Librarian) one copy of every ERIC Clearinghouse Publication, Digest, newsletter, or other publication, for inclusion in the archival collection of ERIC Clearinghouse products maintained by the Facility. (This copy should not be confused with copies required for RIE and/or EDO entries.)

d. Clearinghouse Input to the *ERIC Administrative Bulletin* (EAB)

Each month, Clearinghouses are asked to send any news item or announcements for the *ERIC Administrative Bulletin* to their contract Monitors. This information is reviewed by Central ERIC and forwarded to the ERIC Facility for inclusion in the EAB.

2. Facility Shipments to Clearinghouses

The Facility distributes a wide variety of materials to the Clearinghouses:

a. Documents acquired through the Facility's Acquisitions Program and assigned to the Clearinghouses as candidates for the database.

b. Reproduced title pages of documents overlapping the scope of two or more Clearinghouses and bearing a Scope Overlap label.

- c. Duplicates, rejects, and other types of documents removed from a Clearinghouse's RIE shipment for one reason or another.
- d. Vocabulary Status Reports, showing lexicographic action on VDF's.
- e. Labels necessary for the processing of documents, including:
 - Reproduction Release Labels (Level 1 and Level 2) (EFF-62 and 63)
 - OERI Policy Disclaimer Labels (EFF-61)
- f. Forms
 - Vocabulary Development Form (EFF-73)
 - Clearinghouse Accession Log Sheets (EFF-38)
 - Acquisitions Data Report-Input Form (EFF-15)
 - Reproduction Release Forms (Individual, Blanket) (EFF-53 and 57)
 - Document Transfer Form (EFF-70)
- g. Support Publications
 - *Title Index*
 - *Acquisitions Data Report (ADR)*
 - *Thesaurus (Working Copy)*
 - *Source Directory*
 - *Clearinghouse Number to ED Number Cross-Reference List*
 - *ERIC Acquisitions Arrangements List*
 - *Identifier Authority List (IAL)*
- h. Brochures
 - *Submitting Documents to ERIC*
 - RIE and CJE Subscription Blanks
- i. Single-Frame Resumes to Clearinghouses
- j. Miscellaneous Distributions
 - RIE (Complimentary)
 - CJE (Complimentary)
 - *ERIC Clearinghouse Publications* (annual bibliography)
 - *ERIC Processing Manual (EPM)* (Revisions)
 - *ERIC Administrative Bulletin (EAB)*
 - Complimentary ERIC microfiche (for authors/contributors)

Supplies of forms, labels, and brochures should be requested in specific quantities from the Facility's Document Control Department.

The frequency and number of copies of support publications is determined by Central ERIC. For information on the number of copies distributed to Clearinghouses and/or frequency of distribution, contact the Document Control Department.

3. Clearinghouse Accession Log Sheet Instructions

Every shipment of documents/resumes for RIE from the Clearinghouses to the Facility must be accompanied by a completed "Clearinghouse Accession Log Sheet" (Figure IV-6). Entries must be made in accession number sequence and the documents must be packed in the same sequence as logged. Clearinghouses must complete all parts of the form:

- Clearinghouse Name;
- Date Documents Shipped;

- Date Bibliographic Data Transmitted;
- Online Dataset Name;

- Approval Signature;
- Total Items in this entire shipment, and for each accession
 - Clearinghouse Accession Number;
 - Brief Identification (Usually author surname, sometimes title);
 - Level (i.e., 1, 2, or 3)
 - Any Special Comments (Justification for brief document, IAP, etc.)

If only one Log Sheet is required for the shipment, indicate Page 1 of 1. If more than one is required, indicate the sheet number and the total sheets, e.g., Page 1 of 3, Page 2 of 3, Page 3 of 3. If more than one box is required for the shipment, the Log Sheets should be included in the first box and the boxes marked (e.g., 1 of 3, 2 of 3, etc.).

Upon receipt at the Facility, the shipment and Log Sheet are checked against one another. If both are correct, the documents go forward for pagination. Copies of the Log Sheets are retained at the Facility for about three months for use in resolving discrepancies.

The Log Sheet may be computer-generated by the Clearinghouse provided that the form truly emulates the printed Log Sheet and has type dark enough to be reproduced clearly on an office photocopier.

4. Shipping Instructions

a. Packing

Containers or boxes used for shipping should conform to USPS regulations. The following limitations on the dimensions and weight of packages are advisable:

Dimensions:	Not over 100 inches (length plus girth)
Weight:	Seventy (70) pounds maximum

Containers should be strong enough to withstand normal handling. They should be water resistant to the extent that rain, spillage, and other such frequent occurrences will not damage the contents or undo the package. Tightly packed documents are their own best protection, so each container should be tightly packed, without using individual wrappings or envelopes on the documents. Empty space which cannot be avoided can be most economically

filled with tightly packed crumpled newspaper. The box used should not be overly large, but appropriately sized for the shipment. It is best if documents are packed to prevent shifting while in transit.

As much as possible, retain the device used by the author to secure the document—spiral, flat binder, etc. Always use staples in lieu of paper clips. Large three-ring vinyl binders may be removed and the document rubberbanded provided that any data on the binder's cover is photocopied and included with the document.

b. Wrapping

Wrapping should be accomplished in accordance with U.S. Postal Service requirements. Paper packing tape should be used to seal the package adequately and avoid openings and interstices where other pieces of mail might lodge. Cellulose tape, wax, or other sealers should be avoided wherever postmark impressions are made (e.g., stamp area, flap intersections in the case of registered mail, etc.). If string or twine are used, they should be strong enough to do the job.

c. Labeling and Addressing

All packages must bear the complete names and addresses, including Zip Codes, of both sender and addressees. For the latest addresses of all network components, see the *ERIC Network Directory*. Labels should be securely affixed. Pre-printed labels may be used for consistency and convenience.

In the case of RIE material being shipped from a Clearinghouse to the Facility, the designation "ERIC MATERIAL" should appear on the label and on the left-hand corner of the labeled side of the package. If the shipment is composed of more than one box, each box should be marked to designate the proper sequence (e.g., 1 of 3, 2 of 3, 3 of 3). Because boxes can on occasion come apart in the mail, the sender's address should be included somewhere within the box, as well as on the outside.

d. Shipping Method

RIE materials shipped from the Clearinghouses to the Facility via the U.S. Postal Service should be sent CERTIFIED mail unless otherwise directed, to facilitate any necessary tracing later. Commercial delivery services (such as United Parcel Service) may be used as long as the route involved is regularly served by the company. If a commercial service is used, the mode of transportation and handling most equivalent to CERTIFIED mail should be used.

e. Shipping Schedules

Schedules for shipping documents acquired for RIE are established by the Facility and approved by Central ERIC. The RIE Master Schedule is distributed annually by the ERIC Facility. The current Clearinghouse practice is to ship to the Facility every Friday, the documents corresponding to whatever resumes have been completed and transmitted online during the week. The Clearinghouses should make every effort to ship weekly in order to shorten the elapsed time between acquisition and announcement and to keep the workflow

even throughout the system. There are occasionally extenuating circumstances which will prevent weekly shipment; however, under normal circumstances, weekly shipment is strongly encouraged. If the Facility fails to receive a shipment from a Clearinghouse for two weeks in succession, however, it contacts the Clearinghouse to determine the cause of the abstentions.

f. **Miscellaneous**

(1) **EDRS Disposition of Original Documents**

EDRS converts the paper copy document originals into microfiche. From November 1966 through the April 1972 issue of RIE the microfiche were prepared according to the then 60-frame standard. After that date, ERIC microfiche were prepared according to the COSATI 98-frame standard. On-demand paper copy reproduction is done from the microfiche. The original paper copy documents (with their bindings removed) are retained for four-months in case a defect in filming is discovered requiring that the document be refilmed. After the four-month period, all Department of Education prepared or sponsored documents are removed from the set and sent to the U.S. Government Printing Office for inclusion in GPO's *Monthly Catalog of U.S. Government Publications*. The remaining documents are discarded.

NOTE: Because of increased vendor interest in products involving the full-text of ERIC documents, the original ERIC documents, beginning with the January 1990 issue of RIE, have temporarily been retained in storage at EDRS, in the event that they should be needed for scanning.

E. **CJE Input**

1. **Handling**

The success of CJE depends largely on quick announcement. To achieve this objective, the processing of the articles in a particular journal and the transmission of the completed resumes to the Facility should take place as rapidly as possible. Three weeks is considered the *maximum acceptable elapsed time* under normal circumstances.

Consistent with this schedule is rapid follow-up on late-arriving issues. However, since publication schedules are often erratic, e.g., many educational journals cease publication during the summer months, such follow-up should be done with advance knowledge of the particular journal's publishing pattern.

Each Clearinghouse is responsible for keeping the necessary serial records in order to ensure that all issues of a given journal for which they have responsibility are received and processed. If the records are adequate they will also prevent double processing. Responsibility for the duplicate checking of "one-shot" articles rests with the CJE Publisher.

Articles selected for announcement in CJE are accessioned using a unique identifying number, with alphabetic prefixes already established for each Clearinghouse (see Figure IV-14).

Each Clearinghouse is responsible for keeping appropriate log records to prevent the use of any given Clearinghouse Accession Number more than once.

2. Shipping

CIE resumes are transmitted electronically to the ERIC Facility (and from there to the CIE Publisher after some computerized checking).

Clearinghouse Accession Log Sheets (EFF-38) should be shipped from the Clearinghouse to the Facility on a "journal-by-journal" basis. Each journal issue processed should begin a new Log Sheet. This form is identical to that used for RIE input (see Figure IV-15A). Care should be taken to fill in the "Journal Citation (CIE Only)" block, identifying the material as pertaining to CIE. The sum of all the Log Sheets sent in a physical shipment should correspond to a matching electronic transmission of bibliographic data.

All shipments of CIE Log Sheets are to be labeled "ERIC Materials" and are to be transmitted via Certified Mail, or equivalent commercial carrier service. The CIE shipment may be included with the weekly RIE shipment, as long as it is segregated and properly marked.

NOTE: Many Clearinghouses have internal automated document handling systems that can prepare a Clearinghouse Log Sheet as a computer-printed by-product of the system. This is acceptable as long as the computer-printed form contains the same information as the printed Log Sheet.

The actual journal articles that have been cataloged, indexed, and annotated for a given transmission/shipment are *not* sent by the Clearinghouses, insofar as they are copyrighted and usually part of an entire journal issue that serves other functions at the Clearinghouse host institution.

3. Facility Handling and Shipping

The Facility's Document Control Clerk records the date of receipt and the number of items received in each shipment. The Facility matches Log Sheets with electronic transmissions and then sends the resultant magnetic tape, together with the matching Log Sheets, to the CIE Publisher.

4. EJ Accession Number

The final EJ accession number is assigned to articles by the CIE Publisher just prior to publication. It consists of the two-letter alpha prefix EJ, followed by six numerics, e.g., EJ 123 456.

HANDLING AND SHIPPING

ALPHA PREFIX	NUMERIC SERIES	CLEARINGHOUSE/PROCESSOR	NOTE
AA	500 000	Centralized Processing	1969-1971 ERIC Facility 1972-1982 CLJE Publisher
AC	500 000	Adult Education	Merged into CE in 1973
AL	500 000	Linguistics	Merged into FL in 1971
CE	500 000	Adult, Career, and Vocational Education <i>(including input of Adjunct ERIC Clearinghouse for Consumer Education, since June 1991)</i>	Current
CG	500 000	Counseling and Personal Services	Current
CS	700 000	Reading and Communication Skills	Current
EA	500 000	Educational Management	Current
EC	500 000	Handicapped and Gifted Children	Current
EF	500 000	Educational Facilities	Merged into EA in 1970
EM	500 000	Educational Media and Technology	Merged into IR in 1974
FL	500 000	Languages and Linguistics <i>(including input of Adjunct ERIC Clearinghouse on Literacy Education for Limited-English-Proficient Adults, since September 1989)</i>	Current
HE	500 000	Higher Education	Current
IR	500 000	Information Resources	Current
JC	500 000	Junior Colleges	Current
LI	500 000	Library and Information Sciences	Merged into IR in 1974
PS	500 000	Elementary and Early Childhood Education	Current
RC	500 000	Rural Education and Small Schools	Current
RE	500 000	Reading	Merged into CS in 1972
SE	500 000	Science, Mathematics, and Environmental Education	Current
SO	500 000	Social Science/Social Studies Education <i>(including input of Adjunct ERIC Clearinghouse for Art Education and Adjunct ERIC Clearinghouse on United States-Japan Studies, since March 1980)</i>	Current
SP	500 000	Teacher Education	Current
TE	200 000 700 000	Teaching of English	Merged into CS in 1972
TM	500 000	Tests, Measurement, and Evaluation	Current
UD	500 000	Urban Education	Current
VT	500 000	Vocational and Technical Education	Merged into CE in 1973
*AA = formerly encompassed all journals that could not be assigned to particular Clearinghouses.			

FIGURE IV-14: Clearinghouse Accession Number Series Used for CLJE Records

ERIC		Clearinghouse Accession Log Sheet		Page <u>1</u> of <u>1</u>	
CLEARINGHOUSE (CIRCLE ONE): CE CG CS EA EC FL HE IR JC PS RC SE SO SP TM UD					
DATE(S): DOCUMENTS SHIPPED <u>5/5/92</u>		BIBLIOGRAPHIC DATA TRANSMITTED <u>5/7/92</u>			
RECEIVED AT FACILITY _____		ONLINE DATASET NAME <u>CLJ5792</u>			
SHIPMENT APPROVED BY: <u>Anita Colby</u>					
PREFIX	NUMBER	LOG/DOC CHECK	DOCUMENT IDENTIFICATION (Author-Last Name or Title-One or Two Words)	LEVEL (1, 2 or 3)	COMMENTS
1	JC		Gilliland		
2	JC		O'Banion		
3	JC		Deegan		
4	JC		Hernandez		
5	JC		Shapiro		
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					
16					
17					
18					
19					
20					
TOTAL ITEMS IN SHIPMENT: <u>5</u>					
SHIPMENT INTENDED FOR: JOURNAL (CIRCLE ONE): RIE CIJE					
ISSUE MONTH (CIRCLE ONE): J F M A M J J A S O N D					
WEEK OF INPUT (CIRCLE ONE): 1 2 3 4 5					
SOURCE JOURNAL CITATION INFORMATION (CIJE INPUT ONLY): <u>Community, Technical, and Junior College Journal; v62, n5, Apr-Jun 1992</u>					

EFF-38 (6/90)

FIGURE IV-15: Clearinghouse Accession Log Sheet

A. CIJE Input

F. ERIC Digests Online (EDO) Full-Text Input

ERIC Digests must be routinely input to the ERIC database and announced in RIE under an ED#. In addition to this regular shipment of printed Digests and resumes describing them for the database, it is required that the full-text of all current Digests be provided to the Facility by Clearinghouses for the ERIC Digests Online (EDO) file. The transmission of the full text of ERIC Digests should take place at the same time as input of the Digest resume for RIE.

When the Clearinghouse transmits the Digest full-text records, the corresponding printed Digest copies should be shipped the same week. The printed version is used by the Facility editors to proof the full-text to ensure that no data has been lost in transmission. Do *not* ship merely a computer printout of the raw data after conversion.

The printed version of the Digest should be prepared and shipped for the EDO file in the following manner:

- Record the CH Accession Number in the lower left corner of the Digest (in pencil), just as on regular document input.
- Attach a paper copy of the corresponding RIE bibliographic citation for the Digest; this is simply a copy of the resume as transmitted for announcement in RIE. (This helps to ensure accuracy and avoid errors.)
- Prepare a separate standard ERIC Clearinghouse Log Sheet as a "shipping list" for this Digest or group of Digests. (See Figure-15B for an example.)
- Enter the date of transmission of the full-text record on the Log Sheet line "Bibliographic Data Transmitted."
- In the "Comments" section of the Log Sheet, enter "Full-Text Digests"; if a diskette accompanies the shipment, add a helpful notation in the same section, e.g., "Diskette Enclosed."
- Ship the Log Sheet, Published Digest(s), and paper copy of the resume(s) to the Facility in the same week as the corresponding RIE document is shipped and/or the Digest full-text is transmitted.

ERIC		Clearinghouse Accession Log Sheet		Page <u>1</u> of <u>1</u>		
CLEARINGHOUSE (CIRCLE ONE): CE CG CS EA EC FL HE IR JC PS RC SE SO SP TM UD						
DATE(S): DOCUMENTS SHIPPED <u>2-14-92</u> BIBLIOGRAPHIC DATA TRANSMITTED <u>2-12-92</u>						
RECEIVED AT FACILITY _____ ONLINE DATASET NAME _____						
SHIPMENT APPROVED BY: <u>Carla Kreppin</u>						
1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20	ACCESSION NUMBER		LOG/ DOC CHECK	DOCUMENT IDENTIFICATION (Author-Last Name or Title-One or Two Words)	LEVEL (1, 2 or 3)	COMMENTS
	PREFIX	NUMBER				
	HE	025 120		Bonwell		EDO FULL-TEXT DIGEST
	HE	025 121		Hensel		EDO FULL-TEXT DIGEST
	HE	025 122		Frost		EDO FULL-TEXT DIGEST
						DISKETTE ENCLOSED
TOTAL ITEMS IN SHIPMENT: <u>3</u>						
SHIPMENT INTENDED FOR: JOURNAL (CIRCLE ONE): RIE CIJE						
ISSUE MONTH (CIRCLE ONE): J F M A M J J A S O N D						
WEEK OF INPUT (CIRCLE ONE): 1 2 3 4 5						
SOURCE JOURNAL CITATION INFORMATION (CIJE INPUT ONLY): _____						

EFF-38 (6/90)

**FIGURE IV-15: Clearinghouse Accession Log Sheet
B. ERIC Digests Online (EDO) Input**



INDEX

- Accession Numbers (see Clearinghouse Accession Numbers)
- Acknowledgments to Contributors, IV-8, IV-26
- Acquisitions Arrangements List (EAA), IV-26
- Acquisitions Data Report (ADR), IV-3, IV-18, IV-29
- ADR (See Acquisitions Data Report)
- Assigning Documents to Clearinghouses, IV-3, IV-4
- CD-ROM (ERIC on), IV-3
- CUE Input, IV-34
- Clearinghouse Accession Log Sheet (Completed),
 --PRIORITY Document Shipment, IV-11
 --Regular Document Shipment, IV-10
- Clearinghouse Accession Log Sheet, IV-32
 --CUE Input, IV-37
 --ERIC Digests Online (EDO) Input, IV-39
- Clearinghouse Accession Log Sheets (CUE), IV-35
- Clearinghouse Accession Number Series Used for CUE Records,
 IV-36
- Clearinghouse Accession Numbers, IV-27
- Clearinghouse Document Handling, IV-15
- Clearinghouse Number to ED Number Cross-Reference List,
 IV-28
- Clearinghouse PRIORITY Documents, IV-27
- Clearinghouse Publications (for Facility Archive), IV-30
- Clearinghouse(s),
 --Accession Log Sheet (Completed), IV-10
 --Accession Numbers, IV-28
 --Facility Shipments to, IV-30
 --Log of Accession Numbers, IV-28
 --Prefix, IV-28
 --Publications for Facility Archives, IV-30
 --Shipments to Facility, IV-30
 Accession Log Sheet, IV-32
- Complimentary Microfiche (to Contributors),
 Contributors IV-29
- Complimentary Microfiche, IV-15
- Department of Education Document Handling Form, IV-5, IV-7
- Department of Education Documents, IV-5, IV-16
 --Notifying Facility, IV-3
 Documents IV-27
- Document Handling,
 --ERIC Facility, IV-1
- Document Transfer Form, IV-17
- Document Transfer Forms, IV-16
- Document(s),
 --Accompanying Information, IV-3, IV-16
 --Assignment to Clearinghouses, IV-3, IV-4
 --Candidates for RIE, IV-1
 --Cover/Title Page (Sample), IV-25
 --Delivery to EDRS, IV-15
 --Department of Education, IV-5, IV-16, IV-27
 --Disposition of Original Documents, IV-34
 --Document Handling, IV-15
 --Duplicate Checking, IV-3, IV-16
 --Duplicates, IV-12
 --ED Number Assignment, IV-12
 --ERIC Program Office Review of, IV-12
 --In-Process, IV-1
 --Log Sheets, IV-9
 --Priority, IV-5, IV-27
 --Processing Instructions, IV-4
 --Routine, IV-5, IV-26
 --Second Copies, IV-29
 --Shipment Verification, IV-9
 --Shipping Instructions, IV-32
 --Shipping, IV-30
 --Single-Frame Resumes, IV-12
 --Title Control, IV-1
 --Transfer of, IV-16
- Documents in Process (DIP) System, IV-1
- Duplicate Checking, IV-3, IV-16
- Duplicate Documents, IV-12
- EAB (See ERIC Administrative Bulletin)
- ED Number Assignment, IV-12
- EDO (See ERIC Digests Online)
- EDRS,
 --Facility Shipments to, IV-15
 --Microfiche Shipment, IV-15
- EJ Accession Number, IV-35
- ERIC Administrative Bulletin (EAB),
 --Clearinghouse Input, IV-30
- ERIC Clearinghouse Scope of Interest Guide, IV-3, IV-28
- ERIC Digest Online (EDO), IV-38
- ERIC Facility Document Handling, IV-1
- ERIC Program Office Review,
 --Review of Documents, IV-12
- ERIC-on-CD-ROM, IV-3
- Facility Shipments (to Clearinghouses), IV-30
- Form(s),
 --Clearinghouse Accession Log Sheet (CUE Input), IV-37
 --Clearinghouse Accession Log Sheet (EDO Input), IV-39
 --Department of Education Document Handling Form, IV-7
 --Document Transfer, IV-17
 --ERIC Reply Card, IV-8
 --OERI Policy Disclaimer Label, IV-19
 --PRIORITY Document Handling Form, IV-6
 --Reproduction Release Form (Blanket Release), IV-22
 --Reproduction Release Form (Specific Document), IV-20
 --Reproduction Release Label (Level 1), IV-24
 --Reproduction Release Label (Level 2), IV-24
 --Scope Overlap Label, IV-4
- In-Process Documents, IV-1
- Information Accompanying Document, IV-16
- Inter-Clearinghouse Transfers, IV-16
- Label(s),
 --Scope Overlap, IV-4
- Log (of Clearinghouse Accession Numbers), IV-28
- Log Sheets, IV-9
 --CUE Input, IV-9
 --Clearinghouse Accession Log Sheet (Completed), IV-10
 --EDO Input, IV-9

HANDLING AND SHIPPING

- RIE Input, IV-9
- Microfiche,
 - Complimentary Distribution, IV-15
 - Complimentary Microfiche, IV-29
 - Facility Archival Set, IV-15
- OERI Policy Disclaimer Label, IV-19
- Original Documents (Disposition), IV-34
- Pagination, IV-9
- Press Releases, IV-3
- PRIORITY Document Handling Form, IV-5, IV-6
- PRIORITY Documents, IV-5, IV-27
 - Log Sheets, IV-9
- Remove List, IV-13
- Reply Cards, IV-8, IV-15, IV-26
- Reproduction Release Form,
 - Blanket Release, IV-22
 - Specific Document, IV-20
- Reproduction Release Forms, IV-18
- Reproduction Release Labels, IV-19
 - Level 1, IV-24
 - Level 2, IV-24
- RIE Issue-Remove List, IV-13
- Routine Documents, IV-5, IV-26
- Scope Overlap Label, IV-4, IV-28
- Second Copies of Documents, IV-29
- Shipment Verification, IV-9
- Shipping Instructions,
 - Labeling and Addressing, IV-33
 - Packing, IV-32
 - Shipping Method, IV-33
 - Shipping Schedules, IV-33
 - Wrapping, IV-33
- Shipping, IV-30
- Single-Frame Resume (Computer-Produced), IV-14
- Single-Frame Resumes, IV-12
- Special Instructions (For Processing), IV-4
- Summary of Significant Rules--Handling and Shipping, IV-v
- Title Control (of Documents), IV-1
- Title Index, IV-3
- Transfer (of Documents), IV-16
- Vocabulary Development Forms (VDFs), IV-30