ED 439 720   IR 057 814

AUTHOR   Schlembach, Mary C.
TITLE   Serials Control System Procedures and Policies.
PUB DATE   2000-03-31
NOTE   21p.
PUB TYPE   Reports - Descriptive (141)
EDRS PRICE   MF01/PC01 Plus Postage.
DESCRIPTORS   Academic Libraries; Information Networks; Information
                Processing; *Information Systems; Library Technical
                Processes; *Serials
IDENTIFIERS   University of Illinois Urbana Champaign

ABSTRACT
                This document includes procedures and policies for a
networked serials control system originally developed at the Grainger
Engineering Library Information Center at the University of Illinois at
Urbana-Champaign (UIUC). The serials control systems encompass serials
processing, public service, and end-user functions. The system employs a
client-server computing architecture with a microcomputer client written in
Visual Basic accessing a networked SQL relational database. The serials
control systems are designed to expedite check-in, binding, and claiming
within a graphical user interface; provide expanded search capabilities and
access points; provide the capability for public service staff notes; provide
a user-friendly interface for patrons; and serve as a testbed for interface
design and database techniques applied to serials control systems, and by
extension to other search and retrieval systems. This manual provides an
educational tool for librarians or other information professionals who are
designing, evaluating, or implementing serials control systems by providing
some description of the functionalities available. The manual is divided into
the following main sections: Introduction; Serials Check-in Module; Check-in
Form; Binding; Administration; and Printing. (AEF)

Serials Control System Procedures and Policies

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Introduction

This document includes two different manuals for a networked serials control system originally developed at the Grainger Engineering Library Information Center at the University of Illinois at Urbana-Champaign (UIUC)[1]. The serials control systems encompass serials processing, public service, and end-user functions. The system employs a client-server computing architecture with a microcomputer client written in Visual Basic accessing a networked SQL relational database. The serials control systems are designed to expedite check-in, binding, and claiming within a graphical user interface; provide expanded search capabilities and access points; provide the capability for public service staff notes ; provide a user-friendly interface for patrons; and serve as a testbed for interface design and database techniques applied to serials control systems, and by extension to other search and retrieval systems.

The Grainger Library serials system was modified for use in the Beckman Institute Library and the Agriculture, Consumer and Environmental Sciences (ACES) Library. The ACES Library changes were quite extensive in order to accommodate staff requirements. This document contains copies of the manuals for both the Grainger Engineering Library and the ACES Library. These manuals will provide an educational tool for librarians or other information professionals who are designing, evaluating or implementing serials control systems by providing some description of the functionalities available.

In order to operate the Serials Control System successfully, it is necessary to know the functions of the command buttons and text boxes on each interface. All figures included in this manual have been numbered and the text boxes and command buttons have been alphabetically labeled and described. References in the manual to particular interfaces, text boxes, and/or command buttons are printed in **bold** face type. References to particular items on interfaces are coded with the figure number and alphabetical label. For example, references to Figure 6, Item E will appear as (**6-E**) in the text of the manual.

If the reader should have any questions or comments about the Serials Control System or the procedures and policies for the system please send them to:

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[1] Schlembach, Mary C. and Mischo, William H., "A Client-Server Serials Control System for Staff and Public Access Functions." Serials Librarian 29 (Nos. 3-4), 1996. pp. 113-140. Reprinted in *Serials Management in the Electronic Era: Papers in honor of Peter Gellanty*. New York: Haworth Press. 1996.

Serials Control System Procedures and Policies

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Table of Contents

I.   Introduction

This is a basic user manual for the Grainger Engineering Library Information Center and Beckman Institute Library Serials Control Systems at the University of Illinois at Urbana-Champaign. These systems were designed and programmed using Microsoft Visual Basic software with direct connections to Microsoft Access databases.

In order to operate the Serials Control System successfully, it is necessary to know the functions of the command buttons and text boxes on each interface. All figures included in this manual have been numbered and the text boxes and command buttons have been alphabetically labeled and described. References in the manual to particular interfaces, text boxes, and/or command buttons are printed in **bold** face type. References to particular items on interfaces are coded with the figure number and alphabetical label. For example, references to Figure 6, Item E will appear as (**6-E**) in the text of the manual.

If the reader should have any questions or comments about the Serials Control System or the procedures and policies for the system, please send them to:

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II.   Serials Check-in Module

The following diagram and descriptive text will outline each command button and text box on the Serials Check-in Module interface.

A   B   C   D   L   M   E   F
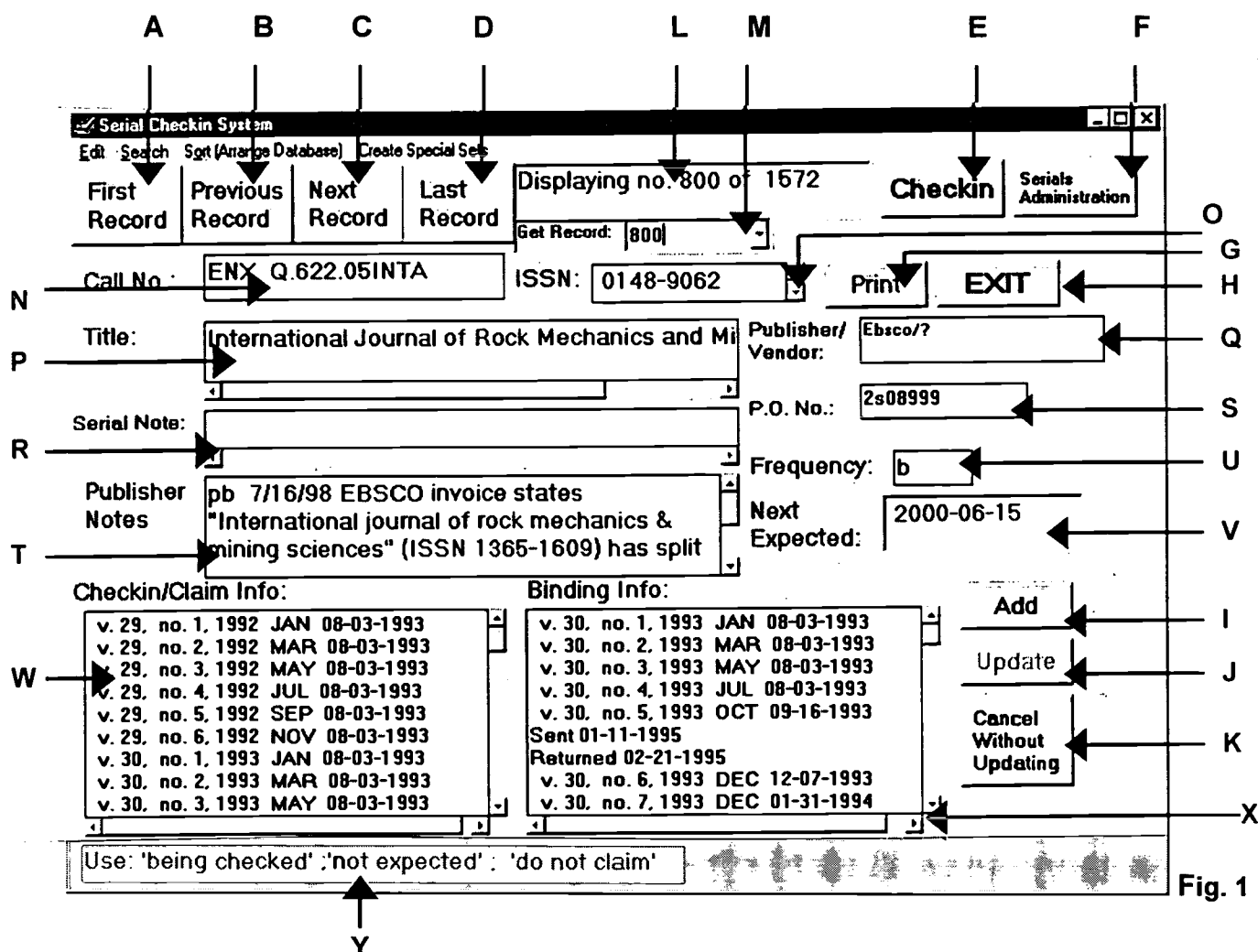
Fig. 1

Command Buttons

Most command buttons in the Serials Control System are grey in color. Once clicked, they will have a bolder black outline.

A   First Record: Displays the first record of a group of serial records.
B   Previous Record: Clicking this button will display the previous record from a set of serial records. If the first record is already displayed, the user is informed "at first record".
C   Next Record: Clicking this button will display the next successive record from a set of serial records. If the last record is already displayed, the user is informed "at last record".
D   Last Record: Displays the last record from a set of serial records.

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E Checkin:	Used to check in new issues of a serial title. Displays the **Serials Check-in Form** (Fig. 2) interface.
F Serials Admin:	Click to access the **Administration** (Fig. 8) module of the Serials Control System.
G Print:	Accesses the print function. The **Serial Print** (Fig. 12) interface will be displayed.
H Exit:	Used to exit the Serials Control System. After exiting, a password is required to gain entry into the system again.
I Add	Used to add a new serial title record to the database.
J Update	Used to finalize new serial title. Not enabled until the **Add** button has been clicked.
K Cancel without Updating	Cancels any changes to new serial title. Not enabled until **Add** button has been clicked.

Text Boxes

All text boxes on the **Serials Check-in Module** (Fig. 1) interface can be edited as needed. Text boxes have a white or light grey background color. Most text boxes have a label describing the field appearing in the text box. Abbreviations are sometimes necessary to simplify the interface. Some abbreviations appearing in the **Serials Check-in Module** (Fig. 1) are detailed below.

Freq.	Frequency	The number of times (usually per year) a title is published.
Info.	Information	Abbreviation for type of field data.
No.	Number	Abbreviation for call number, record number, etc.
P.O.	Purchase Order	In house number used to keep track of serial payment(s).

L	Display box	Displays the number of the displayed record and the total number of records in the current record set.
M	Get Record	Used to display a record number from the current record set by typing the record number and pressing enter.
N	Call Number	Call number of the displayed serial title.
O	ISSN	The International Standard Serial Number of the displayed serial.
P	Title	Title of the displayed serial.
Q	Publisher/Vendor	Publisher or vendor name from which title is purchased. Can also be gift or exchange information.
R	Serial Note	All notes for library serials clerk. Internal only-not on public interface.
S	P.O. No.	Purchase Order number for serial title.
T	Publisher Notes	Information from publisher about claims, cancelled titles, merged issues, etc. Displayed on public interface.
U	Frequency	The publication frequency of displayed serial. Typically a code of "m", "a", "w", etc.
V	Next Expected	System generated date of the next expected issue.
W	Checkin/Claim Info	All current issues of the displayed serial title. These issues have not been sent to the bindery.
X	Binding Info.	All issues currently at the bindery and the date sent out.
Y	Language Format	Standardized language used in checkin/claim information.

Search options

All search options will return a set of record(s) that match the criteria entered by the user. Most of the search options will operate with automatic truncation, so there is no need to use special truncation symbols. All searches will display the number of retrieved records.
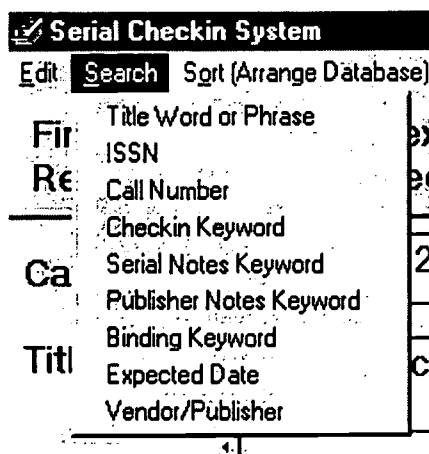

Fig. 2

The available search parameters from the pull down **Search menu** (Fig. 2) are:

A. Title word or phrase — Use this option to search the database when a word or group of words contained in the title is known.

B. ISSN — Use this option to search the database for either a complete or partial ISSN. The ISSN number is in the format "XXXX-XXXX".

C. Call number — Used to search for a complete or partial call number.

D. Checkin Keyword — Use this option to search the database for a particular word or phrase in the **Check-in Information** (1-W) field. Can be used to find missing issues, claimed issues, and titles checked in on a particular date.

E. Serials Notes Keyword — Searches for a keyword or phrase found in any of the Notes fields.

F. Publisher Notes Keyword — Searches for a keyword or phrase found in the Publisher Notes field.

G. Binding Keyword — Use this option to retrieve records that are at the bindery. A keyword or phrase may be searched in this option.

H. Expected Date — Use to search for titles expected to be received on a specific date.

I. Vendor/Publisher — Searches for a particular user entered vendor or publisher.

Sort options

All sort options in the **Serial check-in Module** (Fig. 1) will display records with an empty or blank sort field first.
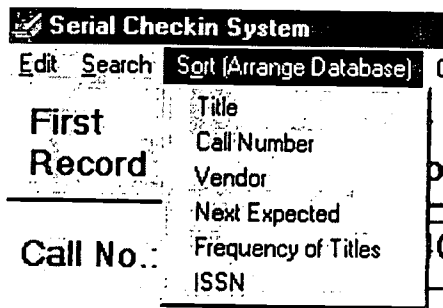
Serial Checkin System
Edit   Search   Sort [Arrange Database]   C

First
Record

Call No.:

Title
Call Number
Vendor
Next Expected
Frequency of Titles
ISSN

Fig. 3

The available sort parameters from the pull down **Sort** menu (Fig. 3) are:

A	Title	Sorts all records in the database alphabetically by title.
B	Call number	Sorts all records by the call number. Call numbers beginning with Q or other letters will be retrieved at the end.
C	Vendor	Sorts all records alphabetically by vendor or publisher.
D	Next Expected	Sorts all records chronologically by Next Expected date.
E	Frequency of Titles	Sorts all records by the information or code in the Frequency field.
F	ISSN	Sorts all records by the ISSN number.

Creating special sets

Special sets retrieves a set of record(s) which fit the special set option's description. All special set results will display the number of retrieved records.
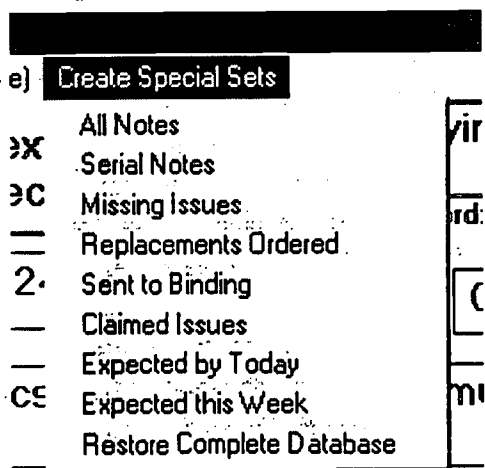

e]   **Create Special Sets**

ЭX   All Notes
      Serial Notes
ЭC   Missing Issues
═   Replacements Ordered
2·   Sent to Binding
─   Claimed Issues
─   Expected by Today
CЅ   Expected this Week
      Restore Complete Database

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rd:

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m

Fig. 4

The available **Special Set** parameters (Fig. 4) are:

A.	All Notes	Retrieves all records with notes in the notes fields (publisher, serial, etc.)
B.	Serial Notes	Retrieves all records with notes in the serial notes field.
C.	Missing Issues	This option searches for all serials that have missing issue(s). It also retrieves serial records with missing

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pages. Records retrieved will have the word "missing" in the check-in **Field (1-P)**--including notes such as "no missing issues".

D. Replacements Ordered | This option retrieves records which the library has requested a replacement copy of an issue(s).

E. Sent to Binding | Retrieves the serial records with issues currently at the bindery.

F. Claimed Issues | Retrieves all records with a Claim note in the check-in **Field (1-P)**.

G. Expected by Today | Retrieves all records with the current date as the Next Expected Date.

H. Expected this week | Retrieves all records with the Next Expected Date occurring within the next 7 days.

I. Restore Complete Database | This option restores the complete database to its original size and erases all current searches and/or special sets.

New Serial Titles

In order to add new serial titles to the database for checkin, binding, or any other function of the Serial Control System, it must be done in the **Serials check-in** module using the **Add, Update, and Cancel without Updating buttons (1-I-K)**. To add a new serial title, follow these procedures:

1. Click on the **Add** command button on the **Serials Check-in** Module interface **(1-I)**. A blank record will display.
2. Fill in each of the text boxes for the new serial title.
3. To save the information for the new title, click **Update (1-J)**. To cancel the changes made, simply click the **Cancel without Updating (1-K)** button.
4. The Serials Control System will automatically restore the complete database and the **Display Record (1-L)** will reflect an additional record when added.

III. Checkin Form

Checking in new issues of a title is simple using the check-in **Form** (Fig. 5). This form also allows adding supplements, and duplicates to a serial title record.
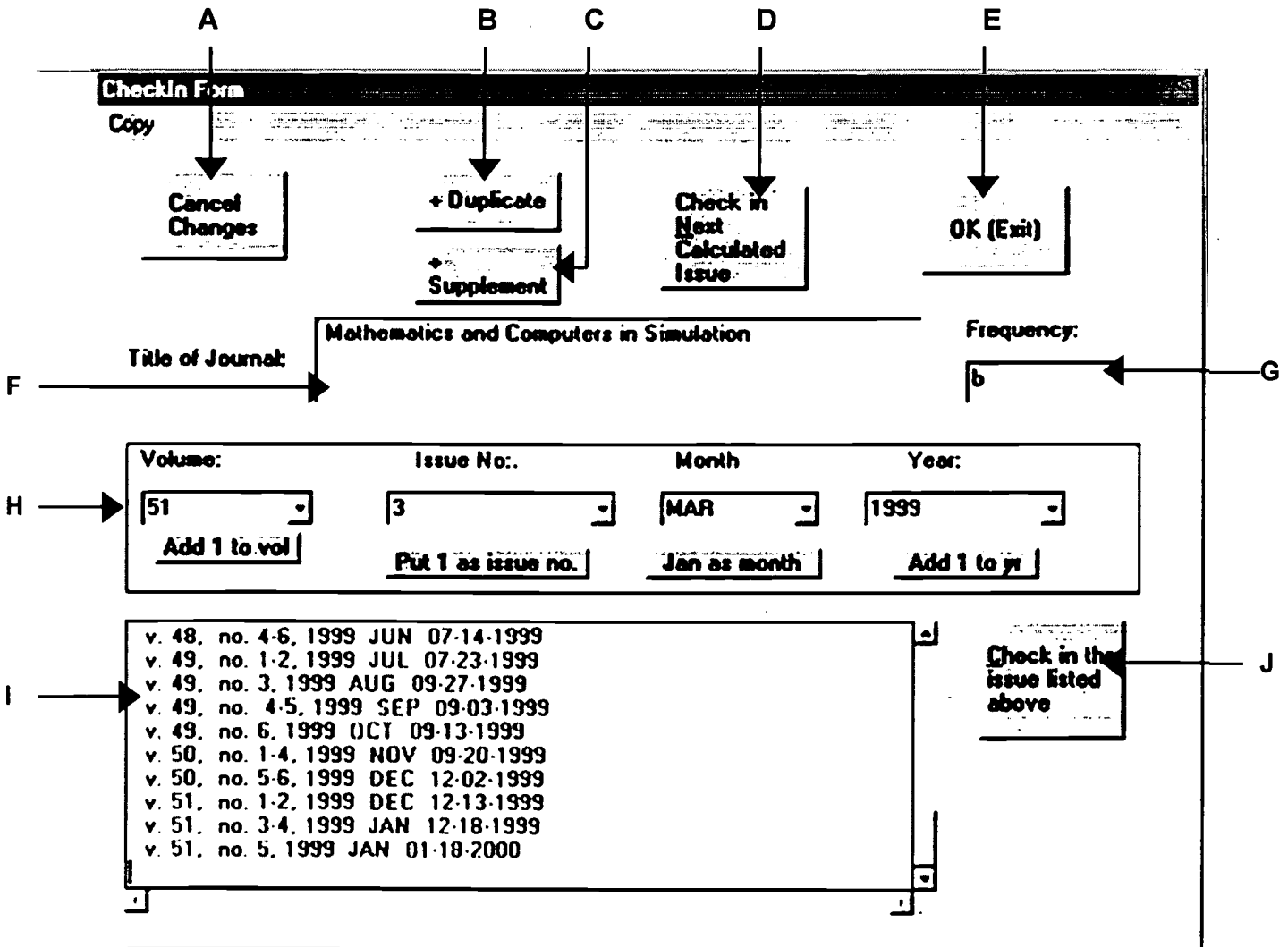

Fig. 5

Checkin Form text boxes and command buttons:

A. Cancel Changes button.   Cancels all changes made in the current display.
B. Add Duplicate button.   Adds a duplicate issue and check-in date.
C. Add Supplement button.   Adds a supplemental issue and check-in date.
D. Check-in next calculated   Automatically checks in the next expected issue
   issue
E. Exit button.   User must click this button to add the information to
                                 check-in **Information (5-C)**. Returns the user to the
                                 Serials Check-in Module (Fig. 1).
F. Serial title text box.   Always be sure correct title is showing before checking
                                 in new issue.

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G. Frequency	Code for number of times serial is issued.
H. Issue information frame.	Includes pull down text boxes for the following: volume, issue number, month, and year. Also includes command buttons to add one digit to the year displayed, add one digit to the issue number displayed, automatically change the month to January, and add one year.
I. Check-in Information.	All issues that have been checked in, but not yet sent to the bindery.
J. Check-in the issue listed above	User must click this button after choosing the appropriate information in the **Issue Information frame (5-H)** to check in the issue.

Check-in Steps

1. Find the serial record through the **Serials Check-in Module** (Fig. 1) search options. This is usually easiest by using the Title Keyword or ISSN search option (Fig. 2).
2. Check if the new issue is the **Next Expected Issue (1-V)** from the **Serials Check-in Module** (Fig. 1).
3. Press the check-in **(1-E)** button located on the top of the interface.
4. Be sure the **title text box (5-F)** has the correct title for the issue being checked in.
5. If the new issue matched the **Next Expected Issue** from step 2 above, simply click the **Check in Next Calculated Issue (5-D)**. If not matching, then using the command buttons and pull down text boxes in the **Issue Information frame (5-H)**, choose the correct volume, issue number, month, and year information. Then use the **Check in the issue listed above (5-J)** button. In either case, the check-in **Information (5-I)** will be updated in the proper format.
   Note: If an issue has been skipped, then proceed to the **Editing the Check-in Record** section below.
6. If a mistake has been found in the recently checked in issue, simply click the **Cancel Changes (5-A)** button. This will exit the check-in **Form** (Fig. 5) without saving any of the changes made in the current session.
7. To save the changes and exit the check-in **Form** (Fig. 5), simply click on the **Exit (5-E)** button.

Duplicate Issues

If the issue received is a duplicate, it is simple to add this information to the check-in **Information** in either the check-in **Form** check-in **Information (5-I)** or **Serials Check-in Module** check-in **Information (1-W)** text box.

   ➤ **To add a duplicate issue,** simply place the cursor on the end of the line of the duplicated issue and press the **+ Duplicate (5-B)** button. An asterisk (*) will be added to the issue's check-in line to note a duplicate was received.

Editing the Check-in Record

There are several occasions when the check-in Record will need to be manually edited. Some of these occasions and the easiest method of editing are explained below.

- ➢ **Entering a missed issue**. It is recommended to check-in the missing issue as normal and then simply type the word "Missing" at the end of the line to mark the issue missing. It is also possible to add a note regarding missing pages (ex. "Missing pages 43-47" or "Missing cover").
- ➢ **Entering a previously missed issue**. When an missing issue has not been added to the check-in Record at all, it is recommended to edit the check-in **Information** field on the **Serials Check-in Module (1-W)** interface. To add the issue, go to the **end** of the line just previous to where the issue should be. Press the Enter key. A blank line will appear in the check-in **Information (1-W)** box. The user can then manually enter the volume, issue number, month, and year as needed. The current date should be used as the checked in date.
- ➢ **Noting a misplaced issue**. When an issue which was checked in cannot be found, it is easy to note this on the **Serials Check-in Module** check-in **Information (1-W)** interface. Add a note by going to the end of the line of the misplaced issue and type in a corresponding note. It is not recommended to use the word "missing" since the issue has been already been received from the vendor or publisher.
- ➢ **Mistakes in check-in Record**. When a previously checked in issue has had an error in the record it is easiest to edit the **Serials Check-in Module** check-in **Information (1-W)** field. Highlighting the error and typing the correct information will change the record as needed.

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IV. Binding

The binding function of the Serials Control System is to record what issues have been sent out to the bindery, the date sent, and date returned from the bindery. Using the binding function of the Serials Control System is beneficial to library patrons and staff in order to easily locate issues that cannot be found on the shelf.
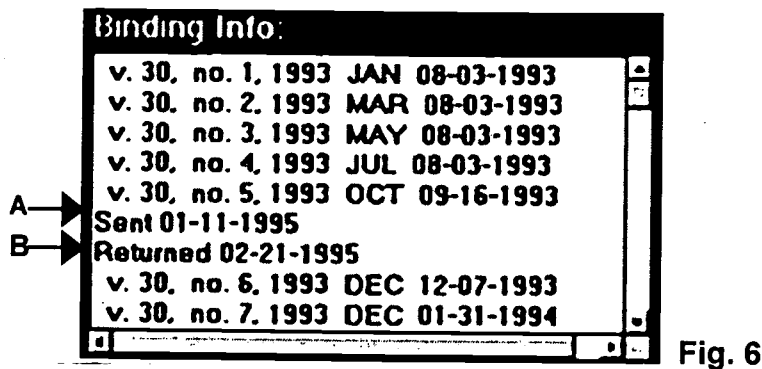
```
Binding Info:

v. 30, no. 1, 1993  JAN  08-03-1993
v. 30, no. 2, 1993  MAR  08-03-1993
v. 30, no. 3, 1993  MAY  08-03-1993
v. 30, no. 4, 1993  JUL  08-03-1993
v. 30, no. 5, 1993  OCT  09-16-1993
A→ Sent 01-11-1995
B→ Returned 02-21-1995
v. 30, no. 6, 1993  DEC  12-07-1993
v. 30, no. 7, 1993  DEC  01-31-1994
```
Fig. 6

Sending to Binding

It is important to mark items sent to the bindery so that issues are not assumed to have been misplaced. It will also help to locate issues when patrons are unable to find them. When serial issues are ready to be sent to the bindery, follow these procedures:

1. Using the **Search** (Fig. 2) functions in the **Serials Check-in Module** (Fig. 1), pull up the correct serial record for the issues that are going to be bound.
2. Highlight *only* the issues being sent to the bindery in the **Current Check-in (1-W)** box by clicking the right mouse button and dragging it along the issues to be sent.
3. Copy and paste this information to the **Binding Information (1-X)** text box. This procedure can be done in one of two ways. After highlighting the information in the first step, do a right mouse click and choose the copy option, then go to the **Binding Information (1-X)** text box and another right click to select paste. The second option is to highlight the information as in step 2, press "Control-C" to copy and after putting the cursor in the **Binding Information (1-X)** box, type "Control-P" to paste.
4. Once the periodicals being bound are in the **Binding Information (1-X)** box, go to the next line and type **F1**. This will make the words "Sent Out" and current date appear on the line **(6-A)**.

Return from Binding

When bound volumes are returned from the bindery, follow these procedures to update the necessary fields:

1. Using the **Search** (Fig. 2) functions in the **Serials Check-in Module** (Fig. 1), pull up the correct serial record for the newly bound issues that have been returned.

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2. Place the cursor on the line following the "Sent Out" in the **Binding Information** textbox (1-X).

3. Type **F2**. This changes the "Sent Out" to "Sent" and enters "Returned" and current date (**6-B**).

V.   Administration

The Administration function of the Serials Control System allows library staff to maintain records of subscription cost and payments, use and indexing information, memberships, and table of contents information.

Fig. 8

Command buttons and text boxes:

Many of the command buttons work exactly the same way as they do in the **Serials Check-in Module** (Fig. 1). They are as follows:

A. First Record: Displays the first record of a group of serial records.
B. Previous Record: By clicking this button, the previous record will be displayed. If the first record is already displayed, user is informed "at first record".

C.	Next Record:	By clicking this button, the next successive record will be displayed. If the last record is already displayed, user is informed "at last record".
D.	Last Record:	Displays the last record from a group of serial records.
E.	Member Note:	Organization if title is included as part of membership.
F.	Display Record:	Displays the total number records and the current record.
G.	P.O. Number:	Internal purchase order number to track payment(s).
H.	ISSN:	The International Standard Serial Number of the displayed serial.
I.	Get Record	Allows user to jump to a specific record number from the current record set.
J.	Vendor	Accesses the **Vendor and Publisher Information** module.
K.	Serials Checkin:	Used to return to the **Serials Check-in Module**.
L.	Exit:	Used to exit the Serials Control System altogether. The user should use the **Serials check-in** button (**8-K**) when staying in the system, but leaving the **Administration** module.
M.	Call Number:	Call number of the displayed serial title.
N.	Table of Contents	TOC and New TOC contains the number of faculty requests to receive serial's Table of Contents.
O.	Title:	Title of the displayed serial.
P.	Price/Percent Change	Inflation rate of serial price change and current price and previous price information.
Q.	Publisher Notes	Staff notes area to add publisher information about prices, publication notices, etc.
R.	Reference/Circ Notes	Reference and circulation notes for library staff.
S.	Payment	Notes for payment history and payment changes.
T.	Public Notes	Notes area for public information.
U.	Next Expected	Date of the next expected issue of the serial.
V.	Indexing	Indexing and number of Engineering faculty publications in Current Contents, Inspec, and Compendex.
W.	Use figures	1996-1997 usage and InterLibrary Loan figures, number of ISI citations and faculty articles.
X.	Checkin/Claim:	Current issues checked in and claimed issues.

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Search Options

Search options work in the same manner as the **Serials Check-in Module** (Fig. 2). However, different search parameters may be done in the Administration module. The following search options are available:
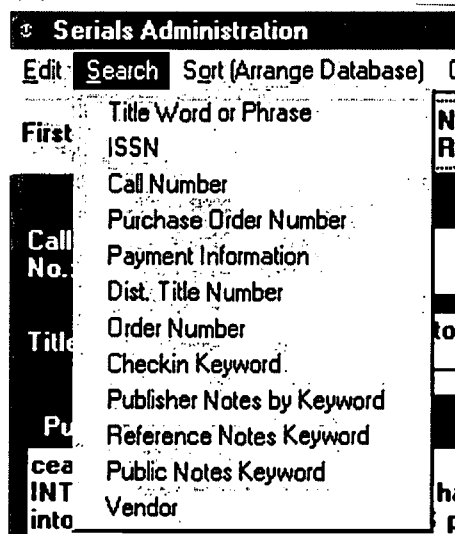

Serials Administration

Edit Search Sort (Arrange Database) C

- Title Word or Phrase
- ISSN
- Call Number
- Purchase Order Number
- Payment Information
- Dist. Title Number
- Order Number
- Checkin Keyword
- Publisher Notes by Keyword
- Reference Notes Keyword
- Public Notes Keyword
- Vendor

Fig. 9

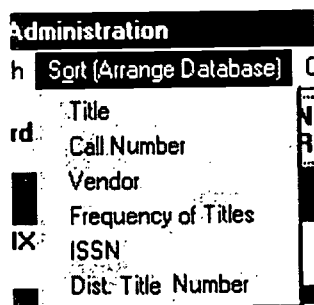|	
A. Title word or phrase	Use this option to search the database when a word or group of words contained in the title is known. For example, type "consumer" when searching for *Consumer Reports* or *FDA Consumer*.
B. ISSN	Use this option to search the database for either a complete or partial ISSN or ISBN number. The ISSN number is in the format "XXXX-XXXX".
C. Call number	Used to search for a complete or partial call number.
D. Purchase Order	Used to search for a complete or partial PO number.
E. Payment Information	Used to search for recent payments, payments not made. Keyword searching is recommended.
F. Checkin Keyword	Used to search the check-in field for user entered keywords.
G. Publisher Notes	Searches for user entered keyword(s) in the Publisher Notes field.
H. Reference Notes	Searches for user entered keyword(s) in the Reference/Circ Notes field.
I. Public Notes Keyword	Allows searches for keyword(s) in the Public Notes field.
J. Vendor	Used to search for all titles received from a particular vendor.

Sort Options

Fig. 10

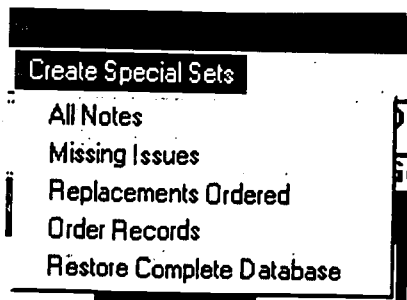|	
A. Title	Sorts all records in the database alphabetically by title.
B. Call number	Sorts all records by the call number. Call numbers beginning with Q or other letters will be retrieved at the end.
C. Vendor	Sorts all records by the Vendor name.
D. Frequency of Titles	Sorts all records by the information or code in the Frequency field.
E. ISSN	Sorts all records by the ISSN or ISBN number.
F. Dist. Title No.	Sorts by a distributor (Faxon, EBSCO) title number.

Creating Special Sets

Fig. 11

Special sets retrieves a set of record(s) which fit the special set option's description. All special set results will display the number of retrieved records.

All Notes	Retrieves all records with information in any of the Notes fields.
Missing Issues	Retrieves all records which have at least one missing issue
Replacements Ordered	Retrieves all records which have had a replacement ordered and not yet received.
Order Records	Retrieves all records of titles that have been ordered by the first issue has not yet been received.
Restore Complete Database	Restores the complete database to its original size and erases all current searches or special sets.

VI. Printing

The Print function allows the user to print a record, range of records, or all records from a set of 150 or fewer. The Print function is accessed from either the **Serials Check-in Module (1-G)**.
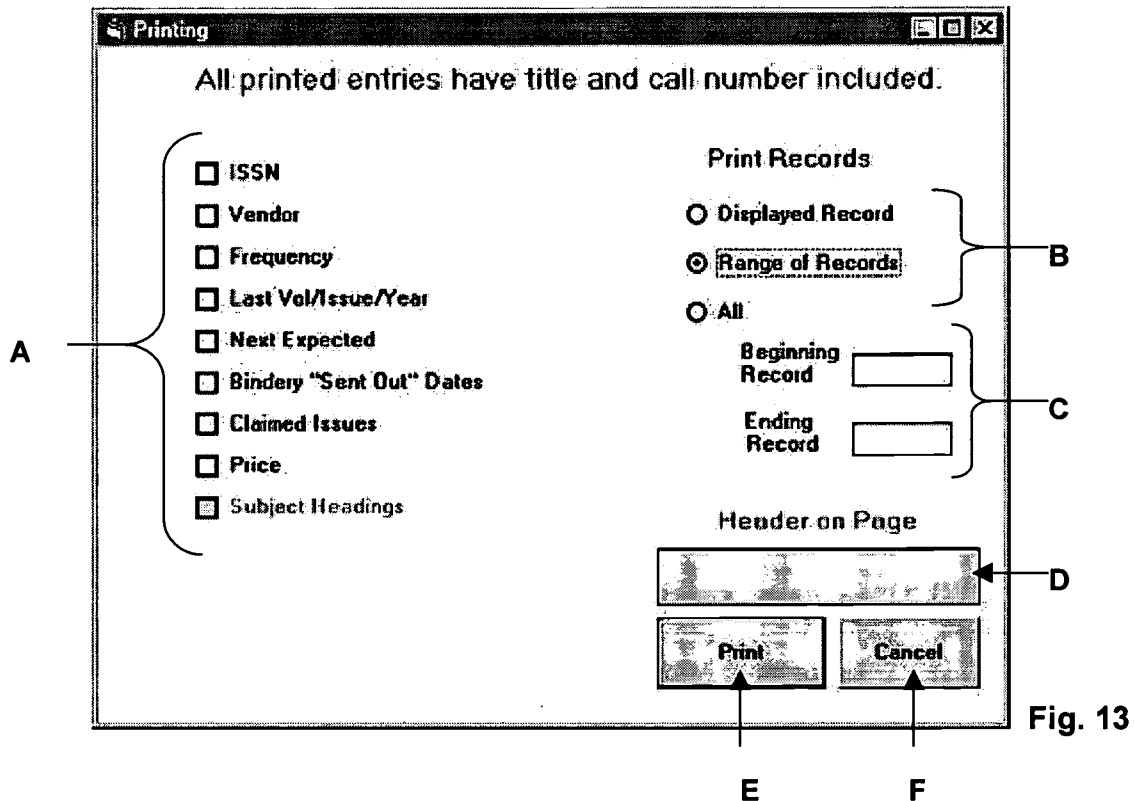
Fig. 13

Command Buttons and Text Boxes

The various items on the **Serials Printing** (Fig. 13) interface include:
A. Print Options check boxes
B. Print Records option buttons
C. Range of records text boxes
D. Page Header text box
E. Print command button
F. Cancel command button

Print Options

All records are printed with the title and call number by default. Additional information can be printed by selecting the appropriate check boxes. There are no limitations on the number of selected check boxes.

Print Records

The currently **Displayed Record** is the default value for the number of records to print. This will print only one currently displayed record. The **ALL records** option is enabled only when the latest search set has 150 or fewer records. This is to prevent accidental printing of the entire database.

When a range of records is to be printed, the user should select the **Range of Records** option button. The **Beginning Record** and **Ending Record (13-C)** text boxes will appear. Be sure to use the record numbers from the **Serials Check-in Module Record Display (1-R)** or **Administration Record Display (8-M)** when printing a middle set from a range of records.

Header on Page

Each page printed from the **Serials Print** interface can have a user-entered header. Simply type the header in the Header on Page **(13-D)** text box.

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Author(s): Mary C. Schlembach	
Corporate Source: University of Illinois at Urbana-Champaign	Publication Date: March 31, 2000

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