

# **FLIGHT PLAN: MAINTAIN ACCURATE RECORDS**

## **CREATING III LISTS AND REVIEWING RECORDS TO AVOID PROBLEMS**

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# REASONS TO CREATE A LIST

- **Creating lists on Millennium to review records**
  - Can save time
  - Solve an existing issue
  - Avoid a problem
- **Likely some of you have experience creating lists to review records**
- **There is a “Creating a New List” page in your handout**

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# **GOAL: TO DISCUSS USEFULNESS OF PLANNING, CREATING, AND REVIEWING LISTS**

- **Identify a need**
- **Plan kind (bib, order, etc.) of list**
- **Create a list**
  - **Know the fields or information desired**
  - **Frequency can be tested**
- **Monitor value of list to modify or cease**
- **Watch for new opportunities to experiment with lists**

# WHY A LIST?

- **Our first list was created many years ago to solve a problem**
  - **Paperwork was missing between Pre-order searching and Acquisitions**
  - **Bib record was added in Pre-order**
  - **Inquiry regarding status of order was a puzzle**
  - **Searched for solution to problem**
- **Difficult to track orders without paperwork**
- **After experimenting with lists to solve the problem**
  - **Created a monthly list**

## WHY A LIST? (2)

- **Created list from information we had**
- **Bib list**
  - **Linked record**
  - **Does not exist**
  - **To order** and
  - **Bib record created**
  - **Between (example 8/1/07 and 8/31/07) – monthly list**
- **Exceptions**
  - **Records not requiring orders, such as gifts, were easily located**
  - **Orders in pipeline**
- **Ceased list**
  - **Pre-order searching is now in Acquisitions**

## **LIST 1: SERIAL ORDERS/NO RDATE**

- **Reason: To locate orders (serials) with no receipts**
- **Criteria**
  - Status “g”                              **and**
  - RDATE blank                            **or**
  - Status “f”                              **and**
  - RDATE blank
- **Investigation produces many possibilities**
  - **No claiming—checkin record parameters incorrect**
  - **No payment—vendor/publisher order error**
  - **Not yet published and check-in card has been updated**
  - **RDATE inadvertently omitted during receipt of 1<sup>st</sup> issue**

## **LIST 2: SERIAL ORDER RECORD FIELDS**

- **Reason: To confirm accuracy of data in fields to produce correct reports from order records**
- **Order list**
  - **Status has “f”** **and**
  - **Created between (ex. 1/1/07 & 4/1/07)** **or**
  - **Status has “g”** **and**
  - **Record created between (ex. 1/1/07 & 4/1/07)**
- **Print desired fields to review for errors**

## LIST 3: OPEN SERIAL ORDERS WITH LINKED RECORDS

- **Reason: To confirm received items are correctly linked**
- **Order list**
  - Status has “g” and
  - ORD TYPE has “s” and
  - Format has “u” and
  - Bib link does exist for item
- **Review records and investigate items without dates for current volume (s)**
- **Create semi-annually**



## LIST 4: STATUS OF MONOGRAPH ORDERS

- **Reason: To investigate receipt of paid orders**
- **Order list**
  - Status has “a” and
  - ODATE between (ex. 8/1/05 & 3/1/07) and
  - RDATE has “—”
- **Verify reason for no receipts**
  - Paid proforma invoice/awaiting material
  - Did not receive all parts although fully paid
  - Awaiting refund/credit for various reasons

## LIST 5: SERIALS EXPENDITURES

- **Reason: To estimate year-end serials encumbrances for new fiscal year**
- **Expenditures for current year will not accurately predict new fiscal year costs due to**
  - **Cancellations**
  - **Ceases**
  - **Paid one-time serials and closed orders**
- **Order list**
  - **Status has “g”** and
  - **Paid between (7/1/06 & 6/30/07)** or
  - **Status has “f”** and
  - **Paid between (7/1/06 & 6/30/07)**

## SERIALS EXPENDITURES (2)

- **Using Statistics on Millennium Control Bar do a Query for amounts per fund (see parameters on handout)**
  - **Use Review file that was created**
  - **Cross Tab report for fund and status**
  - **Limit by time range**
  - **Paid dates**
  - **Fiscal year**

## **SERIALS EXPENDITURES (3)**

- **Depending on funds used by library**
  - **Total for each serial fund (“g” status) + inflation% + cost of new orders pending = encumbrance for new fiscal year**
  - **Totals of funds for series (“f” status) provide estimate for appropriation (unencumbered) for new fiscal year**

## **LIST 6: CONFIRMING MONOGRAPH ENCUMBRANCES**

- **Reason: To verify encumbrances of monographs at year-end for carryover to new fiscal year**
- **Order list**
  - Order status “o”
- **Using Statistics on Millennium Control Bar do a Query by fund**
- **Print estimated price (eprice) by fund (see example in handout)**
- **Fund totals agree with III Accounting Reports if orders are correctly encumbered**
  - Discrepancies could occur if order fields have been adjusted manually during the year

# LIST POSSIBILITIES ARE ENDLESS

- **Other lists previously or occasionally created include:**
  - **Order note list to review monograph orders with status “q” or REACTION**
    - Review partially paid orders
    - Monitor action on receipt; watching notes
  - **Check-in record list for remote locations**
    - Confirm accuracy of records for items sent to remote locations
  - **Government document check-in record list for claimon date**
    - Avoid claimon dates in gov doc checkin records
    - Claimon dates prompt for claims; we claim gov docs only if orders are placed from them

## **LIST POSSIBILITIES (2)**

- Open monograph order claim list**
  - Review for claiming action**
- These are only some of the lists we create regularly**
- Ceased creating several others**
- Experimenting and testing new lists frequently**

# IMPORTANT LISTS

- **Questions about the lists?**
- **Two of our most helpful lists are**
  - **Serial claiming review**
  - **Monthly serials expenditures**
- **They will be demonstrated by Robbie and Sara now**



# CONTACT INFORMATION

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# **Serials Claiming: Daily and Quarterly**

**September 28, 2007**

# Claiming Serials Daily By Creating a List

- Create this list daily to maintain accurate records.
- I do not begin my list with the current date because you want to allow for the current day items to be checked in before claiming.
- Select “Search Records”
  - Name your Review File (e.g. rkr Law Claim on 9/28/07) include your initials & date or follow the appropriate procedure for your institution in naming Review Files

# Search Information

- **Store Record Type: “Checkin c”**
  - Use a “Range” of check-in records
  - Operator is left blank
  - Under “Type”
    - Select “c” for Checkin and enter/return
  - Select “39” for Claimon “Field” and enter/return

# Condition

- Use “h” for Has if you only want to claim a single date and enter/return
  - Type in your claimon mm,da,yr in “Value A” and enter/return
- Use “w” for Between if you want to claim several dates and enter/return
  - Type in your claimon start date in “Value A” followed by your claimon end date in “Value B” and enter/return
  - Review your search information and if everything looks correct
  - “Search” to begin.

# Millennium Serials Daily Claiming

Review File Name: rkr law claim on 8/29/07

Store Record Type: CHECKIN c

Range ▾

Start

c1000007

Stop

c1579101

Te...	Operator		Type	Field	Condition	Value A	Value B	
1			c	CLAIMON	has	08-29-20...	- -	▲

CHECKIN CLAIMON has "08-29-2007"

Group

Ungroup

Insert Line

Append Line

Delete

Clear All

Search

Use Existing Search

Retrieve Saved Query

Save

Save As

# Review File Status

- Your Review File Status will show “In Progress” while the list is running and you can minimize the file and continue to work in the system performing other tasks
- The Review File Status will change to “Complete” when the system is finished searching the entire range of check-in records

# Sort Records

- You want to start Sorting Fields in your list by Type “c Checkin”
- In the Field you are selecting a Fixed Field “40 Loc”
- My reason for the “40 Loc” criteria is to print a list with the various campus locations in alphabetic order
- “Sort/Save” to save your sort



# List Records

- You will select the fields that you want listed/printed from your Review File
- Line 1 Type: “b bibliographic” enter/return
- Line 1 Field: “t title” enter/return
  
- “Append” to enter a second line
- Line 2 Type: “c checkin” enter/return
- Line 2 Field: “40 loc” enter/return

# Fields to be Listed

## List CHECKIN Information

### Fields to be listed

Line	Type	Field		
1	BIBLIOGRAPHIC	TITLE	▲	Append
2	lc	LOC		Insert
				Delete

Page heading

Starting record (1-60)

Ending record (1-60)

Number of blank lines between records

- Number the records in the list
- Display meanings of fixed-length fields instead of codes
- Display each variable-length field on a new line
- Display labels for variable-length fields
- If listing bibliographic title, print it in uppercase
- List box information (if present)

OK

Cancel

# Removal of non-law Locations

- View your print-out to look at the locations in alphabetic order & cross off any that don't apply to your location (I cross off any non-law locations)
- You can delete the locations you crossed off your print-out by highlighting the titles in your Review File and “Remove”
- This will shorten your list of titles to view for possible claiming to only your location

# View Titles in Review File for Possible Non-Claiming

- Start with the 1<sup>st</sup> title in your Review File to begin viewing the check-in cards for possible claiming
- It is possible no claim is needed due to inaccurate “Expected dates”, “Days before Claim” or “Frequency change.

# No-Claim Needed: Adjust Card Parameters

- Just adjust or reset your parameters of the card and all your future boxes
- Close the check-in card and you will return to your Review File
- Once corrected you can “Remove” that title from your Review File

# Review File

File Tools

Boolean Review File:RKR Claimon 8/1/07-8/26/07



Add



Edit



Remove



Dedupe

	Record	Description
<input checked="" type="checkbox"/>	1 c149336x	CALI library of materials [computer file]
<input type="checkbox"/>	2 c1304379	The College administrator and the courts
<input type="checkbox"/>	3 c1328001	World economic outlook : a survey by the staff of the International ...
<input type="checkbox"/>	4 c1329376	Summary of action taken by the House of Delegates of the America...
<input type="checkbox"/>	5 c137364x	Adlaw bulletin
<input type="checkbox"/>	6 c1481186	Administrative law treatise / Richard J. Pierce, Jr
<input type="checkbox"/>	7 c1510848	The deskbook of art law / Leonard D. DuBoff, Sally Holt Caplan
<input type="checkbox"/>	8 c1541043	Copyright / editor, Morag Macdonald ... [et al.]
<input type="checkbox"/>	9 c1286985	Sixth circuit review
<input type="checkbox"/>	10 c1304446	Arizona attorney [microform]
<input type="checkbox"/>	11 c1304872	Hawaii bar journal [microform] : an official publication of the Hawaii...
<input type="checkbox"/>	12 c1304914	Journal of the Missouri Bar [microform]
<input type="checkbox"/>	13 c1304963	New Hampshire bar journal
<input type="checkbox"/>	14 c1305074	The Third branch [microform]
<input type="checkbox"/>	15 c1306029	Laws of the State of Maryland [microform].
<input type="checkbox"/>	16 c1327021	Laws passed at the session of the General Assembly of the State of ...
<input type="checkbox"/>	17 c1329881	Stanford lawyer [microform]
<input type="checkbox"/>	18 c1330688	Session laws of the State of Minnesota [microform].
<input type="checkbox"/>	19 c1338936	General acts, resolutions, and memorials adopted by the Legislatur...
<input type="checkbox"/>	20 c1377310	California bar journal [microform] : official publication of the State B...
<input type="checkbox"/>	21 c1436144	The Vermont bar journal [microform] / Vermont Bar Association
<input type="checkbox"/>	22 c1285257	American journal of law & medicine
<input type="checkbox"/>	23 c1287679	The Professional lawyer : PL / Special Coordinating Committee on ...
<input type="checkbox"/>	24 c1291610	Trial / the American Trial Lawyers Association
<input type="checkbox"/>	25 c1292456	Columbia law review
<input type="checkbox"/>	26 c1292602	U.C. Davis law review
<input type="checkbox"/>	27 c1293722	Journal of space law
<input type="checkbox"/>	28 c1293849	William and Mary law review
<input type="checkbox"/>	29 c1293965	Wisconsin international law journal

# Review File Claiming

- By reviewing the title you have determined you need to really claim this item instead of adjusting the parameters of the card.
- You should follow your institutions policy on how you handle a claim

# INVESTIGATING CHECK-IN CARD PROBLEMS

- Answer the following questions for each check-in card problem.
  - What is the frequency of this title?
  - Is the expected date of issue correct?
  - Are the volumes/numbers/years correct?
  - Check shelf to see if item was shelved and not checked in.



# INVESTIGATING ADDITIONAL CHECK-IN CARD PROBLEMS

- Have other OhioLINK libraries received this issue? Check publisher website.
  - Is the Acq. Status 4 or 5?
  - Was the issue/subscription paid for?
- Answering the above questions along with the previous slide should help you resolve various check-in card problems.

# Suggested Methods for Serials Claiming

- Print system claim slips & mail to publishers
- Call, e-mail or fax information to publishers
- Contact your subscription agent to claim for you
- Electronic claims
- Claim on SwetsWise (vendor system)

# Serials Quarterly Claiming By Creating a List

- Quarterly claiming should reduce your daily claiming totals
- Since you have edited and adjusted the “Days before claim” and “Expected dates” of many titles which no claims were needed only maintenance of the check-in card was necessary

# Quarterly Claiming Search Information

- Repeat the instructions for the Daily Claiming up to the “Search Condition”
- This condition will differ from the Daily Claiming

# Quarterly Claiming Search Condition

- Use “w” for Between because you want to claim from a specific date through an ending date.
  - We use the beginning date as “Value A” when we started with Innovative (e.g. 07/01/1993)
  - We use the ending date as “Value B” for the 1<sup>st</sup> day of each quarter (e.g. 03/01/2007)

# Review File Empty

- When you have viewed each title for possible claiming or editing in your entire Daily Claiming or entire Quarterly Claiming Review File; then proceed to empty file
- “Empty” and you will be prompted
  - “Are you sure you want to empty your Review File?”
    - “Yes” to empty it or “No” to leave everything there

# Questions & Contact Information

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# Monthly Serials Expenditure List

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# Serials Expenditure List

- This list pulls together all serials orders that I paid on a year ago to the month.
- You can use this list to be sure you have been invoiced and have paid everything that is typically due that month. You can also catch duplicate payments and suspicious price variations.



# Serials Expenditure List

- You will be searching for order records in this list, so your range should cover all order records.
- The search criteria is as follows:
  - Order | Status | = | G
    - AND
  - Order | Paid Date | Between | x/1/06-x/31/06

**Boolean Search** X

Review File Name:

Store Record Type:

Range

Start

Stop

Term	Operator	Type	Field	Condition	Value A	Value B
1		ORDER	STATUS	equal to	g	
2	AND	ORDER	PAID DATE	between	08-01-2006	08-31-2006

ORDER STATUS equal to "g" AND ORDER PAID DATE between "08-01-2006"and "08-31-2006"

- 
- 
- 
- 
- 
-



# Serials Expenditure List

- After the list is finished running, I sort the list by vendor to make it more organized
- To do this, click on Sort Records and insert the following criteria:
  - Order | Vendor



Sorting Fields

Line	Type	Field
1	o	VENDOR

Append

Insert

Delete

Sort/Save

Cancel





# Serials Expenditure List

- Finally, it is time to list (or print) the records you have found
- This is the information I ask the system to print for each record:
  - Order Record Number
  - Title
  - E-Price
  - Payment Information
  - Notes
  - Vendor

## List ORDER Information

## Fields to be listed

Line	Type	Field	
1	0	RECORD #	▲
2	BIBLIOGRAPHIC	TITLE	
3	ORDER	E PRICE	
4	ORDER	PAID	
5	ORDER	NOTE	
6	ORDER	VENDOR	

Append

Insert

Delete

Page heading August Payments

Starting record (1-106)

1

Ending record (1-106)

106

Number of blank lines between records

1

- Number the records in the list
- Display meanings of fixed-length fields instead of codes
- Display each variable-length field on a new line
- Display labels for variable-length fields
- If listing bibliographic title, print it in uppercase

OK

Cancel

# Serials Expenditure List

- A sample of the result:

## August Payments

1. RECORD # = 01181610.

THE COMMONWEALTH YEARBOOK / FOREIGN AND COMMONWEALTH OFFICE.

E PRICE = \$120.00.

FDATE	INV DATE	& NO.	AMOUNT	VOUCHER	NOTE	
03-01-02	02-25-02	I10063550	\$116.60	35521	001 copies	2002
01-24-03	01-17-03	I10149506	\$121.90	37971	001 copies	2003
01-20-04	01-13-04	I10229749	\$132.50	40100	001 copies	2004
11-02-05	10-19-05	I10360794	\$116.60	44049	001 copies	2005
08-01-06	07-19-06	10413958	\$121.90	45469	001 copies	2006
08-01-07	07-19-07	10471022	\$132.50	47521	001 copies	2007

vendor formerly Unigub.

VENDOR = berna.





# Problems You May Encounter

- Missing Payments

DATE	INVD	INV#	AMT	VOUCHER	COPIES	NOTE
08-22-2006	08-15-2006	10672619	\$24.76	45625	001	37th ed. 2007
08-12-2005	08-09-2005	10323547	\$24.66	43532	001	36th ed. 2006
09-02-2004	08-17-2004	79907Q	\$22.79	41346	001	35th ed. 2005
09-02-2003	08-19-2003	74949Y	\$24.61	39176	001	34th ed. 2004
09-05-2001	08-21-2001	87654N	\$24.62	34001	001	32nd ed. 2002



# Problems You May Encounter

- Duplicate Payments

- Duplicate? Price increase? Mislabeled?

DATE	INVD	INV#	AMT	VOUCHER	COPIES	NOTE
08-22-2007	08-08-2007	0037980	\$174.93	47678	001	2007 V 26 !86
10-23-2006	10-09-2006	0003074	\$116.86	45954	001	2007 V 26 !86
10-10-2005	09-07-2005	6004630	\$112.83	43917	001	2006 !86142003
11-29-2004	10-27-2004	5200925	\$105.44	41834	001	2005 V 24 !86142003



# Problems You May Encounter

- Large Price Jumps

- Standard increase? Invoiced incorrectly? Lose DDP?

DATE	INVD	INV#	AMT	VOUCHER	COPIES	NOTE
12-12-2006	12-03-2006	0013843	\$191.90	46247	001	2007
11-17-2005	11-09-2005	6089401	\$90.90	44129	001	2006
03-29-2005	03-23-2005	5216124	\$80.80	42565	001	2005

# Problems You May Encounter

○ Payment → Partial Credit → Payment

DATE	INVD	INV#	AMT	VOUCHER	COPIES	NOTE
08-22-2007	08-08-2007	0038000	\$164.04	47690	001	2007 V 21 !87
02-09-2007	02-05-2007	5200020369	-\$163.62	46573	001	2007, wrong amt. charged
10-23-2006	10-09-2006	0003162	\$181.80	46001	001	2007 V 21 !87
11-18-2005	11-09-2005	6089449	\$171.70	44187	001	2006 V 20 !87851423
01-11-2005	12-21-2004	5207428	\$162.61	42134	001	2005 V 19 !87851423



## **Flight Plan: Maintain Accurate Records**

- Does anyone have any questions?
- Any comments?
- Do any of you have other examples of lists you run that you find helpful?