

TECHNICAL SERVICES MANUAL

LOYOLA UNIVERSITY LAW LIBRARY

1997

ACQUISITIONS

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ORDERING

I. DESCRIPTION

The Collection Development Committee gives a "yes" folder of approved orders to the Acquisitions/Serials Librarian. The folder includes Rothman green slips, Midwest white slips, publishers's advertisements, etc. The Acquisitions/Serials Librarian uses the criteria below in determining from whom to order. She notes any special ordering instructions and gives the folder to the Acquisitions Assistant.

II. GUIDELINES FOR ORDERING

A. Titles on Rothman green slips are ordered from Rothman if they are published by small or "lesser" known publishers (a list of major publishers is in the APPENDIX). Titles on Rothman green slips which are published by major publishers are ordered direct from those publishers and not from Rothman. Titles on Rothman white slips are ordered direct from their publishers.

B. Midwest and Yankee are used for titles which are published by university presses and publishers which are not considered major publishers. The Acquisitions/Serials Librarian divides the orders between these two publishers. Paperback titles ordered from Midwest and Yankee are bound by them. Because of an agreement with COSELL libraries, the Library receives a 15% discount for all Yankee orders.

E. Titles from major publishers are ordered direct.

F. Domestic standing orders are ordered direct.

G. Foreign titles on Gauntletters are ordered from Gaunt unless they are published by one of the major publishers on the Library's list.

H. Law reviews are ordered from whichever vendor is listed as having the rights to back issues.

III. STEPS IN ORDERING

The Acquisitions Assistant follows these steps:

A. Search on INNOPAC

Search the titles on INNOPAC to see if any titles are already in the collection or on order for the Library.

1. At the Main Menu, choose "O" for **ORDERING** and Receiving.
2. Choose "U" to **UPDATE** Records.
3. Enter initials and password.
4. Choose the type of record to be displayed when searching, such as "o" for order record, "c" for checkin record, "s" for summary screen.
5. Search by any of the indexed fields. The search strategies are listed on page 529 of volume four of the INNOPAC manual. The most frequently used search strategies are:

.o	order record number
t	title
a	author
i	isbn

6. If a title is part of a series, it is important to verify whether or not we are on standing order for that series so that a duplicate will not be ordered.
7. If the Library already owns a title or has it on order, the Acquisitions Assistant puts a note on the ordering information and returns the slip to the Director.

B. Separate monograph orders from standing orders

1. **Monographs**

Search on OCLC for the monograph titles and download a record for each, attaching an order record at the same time.

- a. **OCLC**

The Acquisitions Assistant searches for the title on OCLC and then transfers the record to INNOPAC. (Basic instructions for searching on OCLC are found in the Technical Services section of this manual.) Once the correct record is found on OCLC, the Acquisitions Assistant must add instructions in the 949 field so that the record will be correctly processed in INNOPAC. These instructions must be formatted in a certain way. For example, an asterisk (*) must always precede the commands. A semi-colon (;) must always end the commands. After the 949 tag is added, the

export command (xpo) is input. See volume four of the INNOPAC manual, pp. 55-82 for full instructions.

b. INNOPAC

The Acquisitions Assistant must edit the order record on INNOPAC. See the section entitled "INNOPAC ORDERING" starting on page 6 of this manual.

2. Standing orders

Key brief bib records with order records attached for all standing orders. See the instructions in KEYING A BIBLIOGRAPHIC RECORD on page 5 of this manual.

3. Card catalog

Check the card catalog to see if the Library owns earlier editions of any titles. Input the call number and locations of the earlier edition(s) as an internal note on the order record.

C. Print purchase orders.

1. At the Main Menu, choose "O" for **ORDERING** and Receiving.
2. Choose "P" for **PRINT** Purchase Orders.
3. Sort the purchase orders by vendor before printing.

D. Print, sort, and file worksheets.

Two copies of each worksheet are printed. Acquisitions saves both until the piece arrives, then sends one on with the piece to Serials and/or Cataloging and keeps the other copy of the worksheet in the Acquisitions files.

1. Print worksheets

- a. At the Main Menu, choose "O" for **ORDERING** and Receiving.
- b. Choose "W" for Print **WORKSHEETS**.
- c. Select "O" to Print **ONLY** Record Specified.

- d. Select "O" to print **ONE** Title Per Page.
 - e. Enter each order number. Print two copies of each worksheet.
2. Sort and file worksheets
- a. Keep the two copies of each worksheet together.
 - b. Highlight the title and order record number on the first copy of each worksheet and attach the ordering information to that copy.
 - c. File the worksheets in order record number in the short filing cabinet next to the Acquisitions Assistant's desk.
- E. Mail the purchase orders.

Purchase orders were sorted by vendor before being printed. The purchase orders for the same vendor can easily be combined and put in window envelopes to be mailed.

CREATING A BIBLIOGRAPHIC RECORD

The Acquisitions Assistant downloads records from OCLC for monographic records and attaches order records to them as part of the downloading process. For serials and for monographs which will receive supplementation, the Acquisitions Assistant keys brief bibliographic records directly into INNOPAC in the manner described below. The brief bib records are later overlaid by full MARC records downloaded from OCLC by the Acquisitions/Serials Librarian.

I. GETTING INTO THE SYSTEM

A. To create a brief bib record, choose "O" for **ORDERING and Receiving**.

B. **K KEY new records.**

C. Turn on the Caps Lock. Our Library uses all upper case letters to alert users that this is a temporary bibliographic record.

D. Choose (1) to create bibliographic records only or (2) to create bibliographic and order records. The system will then allow the user to choose the set of defaults for all records being keyed.

1. Answer "Y" (Yes) to have the system check for duplication.

2. Answer "N" (No) to the question "Do you want to key MARC records?" since the brief record will be overlaid by a full MARC record.

II. FIELDS INPUT

Author: LAST NAME, FIRST NAME MIDDLE INITIAL.

Title:

Edition:

Imprint: CITY, STATE : PUBLISHER, YEAR.

Govt. Doc. #:

ISSN:

INNOPAC ORDER RECORDS

I. DESCRIPTION

Order records are created for ordering, payment, and statistical purposes. Even if the Library uses the vendor's order form to actually order a title, an order record is created in INNOPAC for the Library's records.

Payment for a title is recorded on an order record. A monograph is paid on its own order record but a title received as part of a series will be paid on a series record. A title may have multiple order records because the Library may use different fund codes for the different forms of the title. For example, new serials are paid out of the monograph budget but all subsequent payments are made out of the serials budget.

The Library uses certain fields to gather statistical information. For example, the Serial Title (S/Title) and Serial Subscription (S/Sub) fields are used to gather information for the annual ABA report. Every commercial serial title which must be counted for the report has an INNOPAC order record created with the statistical fields filled in, even if payment is made on another record such as a series payment record or a package plan payment record.

Government documents received as part of the depository collection do not have order records. Statistics for such documents are kept using the BCODE2 field on the bibliographic record of the title.

Order records may be created in three ways. The bib and order records may be downloaded from OCLC. The bib and order records may be input directly into INNOPAC using **KEY** New Records. An order record may also be attached to an existing bibliographic record in **UPDATE** Records. A description of the information to be entered in the fixed fields and the variable fields is given in sections II and III which follow.

II. FIXED FIELDS

Search for the order record. When it displays, fill in the necessary data in fields 01-24. An explanation of these numbered fields is listed below. The default for each field is listed in **bold type**.

01 ACQ TYPE:

p purchase

This is the system default.

g package plan

This type is used on all order records associated with a package plan. Only one record will be used for payment; the others are used for statistics.

d prepaid

When a title must be prepaid, both this field and the Renewal field (see page 8) must be filled in. The combination of the two allows the Library to print a monthly report on what titles should be coming up for payment.

m membership

This type is used on all order records associated with a membership. Only one record is used for payment; the others are used for statistics.

c complimentary

This type is used on serial order records for titles which are received at no charge. Only titles which have been cataloged are given order and checkin records. The order record is used to gather statistics.

e exchange

This type is used for titles received on exchange.

02 LOCATION: (referred to as Branch Codes)

A list of locations is attached (see APPENDIX). These locations are used for both order records and checkin records. Location is used to indicate not only where the material is housed, but in some instances, what kind of material it is. For example, audio is used for cassettes and reel is used for microfilm. Some of the locations used for specific purposes are:

bind Bindery
This is used only on Bindery payment records.

membe Membership
This is used only on payment records for memberships. This would distinguish the payment

record from the order records for each title received.

cd	Compact discs
micin	Micro Index
micro	Microfiche
reel	Microfilm
soft	Software
video	Video (video tapes)

These location codes are used to define format and are combined with other codes to obtain a count of material in that format (see the section on **REPORTS**).

03 CDATE: (Cataloging Date - NOT USED)

04 CLAIM: (Claim Status)

Claim status is usually indicated by the default (-). The system supplies a code after a claim is sent or a decision not to claim has been made. Two codes can be entered which affect claiming: "n" indicates that an item should not be claimed, and "z" is used on a title that the Library wants to claim, even though it is not time according to the claim cycle.

-	---
n	NO CLAIMS
z	MUST CLAIM
1	CLAIM 1 SENT
2	CLAIM 2 SENT
3	RUSH CL SENT
5	CL 1 NOT SENT
6	CL 2 NOT SENT
7	R CL NOT SENT

05 COPIES:

06 RENEWAL:

This code is used for material which must be prepaid and for which the library wants to maintain a standing order. The Acquisitions Assistant regularly generates a list of expected material and contracts vendors for invoices (see the **REPORTS** section of this manual). Each time a payment is made on a record with an ACQ TYPE of "d" and a code in the Renewal field, the Acquisitions Assistant should check to see if the Renewal code should be updated.

- -
- 1 January
- 2 February
- 3 March
- 4 April
- 5 May
- 6 June
- 7 July
- 8 August
- 9 September
- o October
- n November
- d December
- a 1994
- b 1995
- c 1996
- e 1997
- f 1998
- g 1999
- h 2000

07 S/Title: (Serial Title)

This code is used to gather statistics on serial titles currently maintained by the Library (see **REPORTS**). If there is more than one order record for a title, the code is put only on the order record with the standing order number.

- **Not a serial**
- x Serial title

08 S/Sub: (Serial Subscription)

This code is used to indicate the number of subscriptions the Library has for a particular title (see **REPORTS**). If there is more than one order record for the title, the code is put only on the order record with the standing order number.

- **Not a subscription**
- 1-9 Number of subscriptions.
- a 10 subscriptions
- b 11 subscriptions
- c 12 subscriptions
- d 13 subscriptions

- 09 CODE 4: (Not defined)
- 10 E PRICE: (Estimated price)

This field is filled in for monograph orders and for new standing orders.

- 11 FORM: (Material type)

This code is currently being reevaluated.

- **Not used**
- m MONOGRAPH
- s SERIAL

- 12 FUND:

A list of fund codes used by the Library is found in the APPENDIX.

- 13 ODATE: (Order Date)

This date is system-supplied when an order record is downloaded with the bib record from OCLC. However, if an order record is added in **Update Records**, no order date is automatically supplied. The Acquisitions Assistant must enter the date if a purchase order will be printed or if a telephone order, vendor order form, or letter to the vendor is done in place of an INNOPAC purchase order. The Acquisitions Assistant must also change the order date when reusing an order record to order replacement issues (see pp. 25-26).

- 14 ORD NOTE: (Order Note)

This note prints on the purchase order, followed by whatever vendor note is inserted in the variable field "v."

- --
- l letter (letter order; no PO mailed)
- r RUSH
- f RUSH-CONF
- t TELEPHONE (telephone order; no PO mailed)
- 1 1 MONTH DELAY
- 2 2 MONTH DELAY
- 3 3 MONTH DELAY
- 4 6 MONTH DELAY
- 5 9 MONTH DELAY
- 6 1 YEAR DELAY

- 7 1.5 YEAR DELAY
- 8 2 YEAR DELAY
- 9 3 YEAR DELAY
- a 4 YEAR DELAY
- b 5 YEAR DELAY

15 ORD TYPE: (Order Type)

- i ITEM S.O.
- a APPROVAL
- r REPLACEMENT
- b BACKFILE
- n **NEW MONOG ORD**
- e **MONOG SERIES**

16 RACTION: (Receiving action)

This field is used in conjunction with a note in the INT. NOTE field which would describe the special action to be taken. Sample notes are in parentheses after the receiving action:

- ---
- a ATTENTION (Attention Acquisitions!)
- n NOTIFY (Notify _____)
- l LONG FUND (Notify Mary to pay from Long fund)

17 RDATE: (Receiving Date)

The Receiving Date is entered in Rapid Update for new titles. The RDate is blanked out when reusing an order record (see pp. 25-26).

18 RLOC: (Receiving Location)

- a **ACQUISITIONS** (always used on the Order record)
- s SERIALS
- d DOCUMENTS
- n NO CLAIM

"S," "d," and "n" are used in the RLOC field of the Serials checkin record (see Serials section, page 5).

19 BLOC: (Billing Location)

- a **ACQUISITIONS** (always used on the Order record)

p PERIODICALS
s SERIALS
d DOCUMENTS

20 STATUS:

o **ON ORDER** (encumbered monograph)
a **FULLY PAID** (fully disencumbered monograph)
q **PART PAID** (partially disencumbered monograph)
z **CANCELLED** (fully disencumbered)
1 **ON HOLD** (not yet encumbered)
2 **APPROVAL REJ** (not encumbered)
c **SER ON ORDER** (encumbered new serial)
d **SERIAL PAID** (fully paid and disencumbered serial)
e **SER PART PAID** (partially paid, partially disencumbered serial)
f **SERIAL NO ENC** (but can make payments-for continuation orders)
g **SERIAL LIENED** (re-encumber fund for renewal)

21 TLOC: (Temporary Location)

- **No PURCHASE ORDER PRINTED**
p **PURCHASE ORDER REQUESTED**

Although this field's name indicates that it is to be used to indicate the temporary location of the title, our Library did not need such a field. So INNOPAC has programmed the system so that the system will automatically put a "p" in this field when a user requests that a purchase order should be printed. A "p" in the TLOC field, therefore, indicates that either a purchase order has been printed or that one is in the print queue to be printed.

22 VENDOR:

The Acquisitions Assistant adds a vendor to the INNOPAC vendor file if the Library uses the vendor more than 4 times or the Library wishes to track the amount spent with a particular vendor (for example, Heckman). A manual file of the Library's vendors is kept on the rolodex between the two Acquisitions terminals.

If a vendor is not added to the vendor file, then the default is left at **none** and the vendor's address is keyed in as a variable field so that it will print on purchase orders and claims.

23 LANG:

Use the appropriate OCLC language codes. The default is "eng" for English.

24 VOLUMES:

The default is "1."

III. VARIABLE FIELDS

After filling in the necessary information in fields 1-24, the user should input the variable fields. This is done by keying in an I (**INSERT a Field**) and then keying in one of the following codes, along with a free-text message:

i Identity

The identity displays on the Summary screen and prints on both the purchase orders and claims. The identity field is used to distinguish one order or checkin record from another. Some samples are:

Paperback
Hardcover
Replacement

I Old Order #

The library's SO# was entered in this field. Numbers were assigned in sequential order. The Library is no longer assigning standing order numbers.

n Note

A free-text note that does not display in Receiving.

q Vendor Address

This field is used if the vendor is not added to vendor file. The vendor's name and address are added using the "\$" format to indicate line breaks for printing. No spaces are put before or after the "\$." An example is:

Currents\$1303 San Jacinto St.\$Houston TX 77002

v Vendor Note

Information notes for the vendor are input in this field, which prints on the PO after the Order Note. Some examples are:

Send on approval only.

CP 1194-214 (Used for Rothman orders; the CP # appears on Rothman green slips)

Do not enter standing order

Vol. 1 no. 1 + standing order

x Foreign currency

z Internal note

This field is used for internal notes and can be used in conjunction with a value in the REACTION field:

Check out to Ed (Use with "n")

First payment 1a22; subsequent payments 1a11 (Use with "a").

Library owns earlier edition-KF 305.B97 1984

After filling in all the appropriate fields, enter **Q (QUIT)** and then **M (MAKE CHANGES PERMANENT)**.

SPECIFIC TYPES OF ORDERS

I. COURSE RESERVES

The Library purchases at least one copy of each textbook used in every law school course. These are kept on Reserve at Circulation. Each semester Circulation gets a copy of the list of required textbooks from either the Law School or from the bookstore. Someone at Circulation checks the list to see if the Library already owns any of the books. If the Library already owns any of the titles, these are collected and sent to the Catalog Librarian to be processed for Reserve. Circulation then sends to Acquisitions the list of titles which need to be ordered and the Acquisitions Assistant checks the list again before ordering.

Usually the Library buys books for Reserve at the University Bookstore, and the bib and order records are created after the piece is in hand. Occasionally, the Library orders the book in advance from a publisher. Course reserve titles are ordered, cataloged, and processed as RUSH orders.

A. Fixed fields:

Download a bib record from OCLC, along with an order record. Be sure to indicate that a P.O. should **not** be printed for titles purchased from the bookstore. All appropriate fields are filled in, with specific ones noted below.

- 02 LOCATION: res (Reserve)
- 12 FUND: 2h
- 14 ORD NOTE: r (RUSH)
- 16 RACTION: a (Attention) - This is only used if a purchase order is being sent to a vendor.
- 22 VENDOR: loybk (Loyola Bookstore)

B. Variable fields:

Insert notes and information as needed:

- z Int. Note Spring '94 Reserve. Library owns earlier edition - KF 305.B97 1984

II. MEMBERSHIPS

A. Membership Record

The Library has joined certain organizations in order to receive their publications or discounts on publications. A current list of the Library's memberships is listed below.

American Arbitration Association

American Society for Legal History

American Society of International Law

(This society does not accept institutional members. The Library pays the membership fee in Ed Edmonds' name.)

Association of Trial Lawyers of America

Canon Law Society

International Law Association. American Branch

Louisiana Association of Defense Counsel

(This society does not accept institutional memberships. The Library pays the membership fee for David Normann, and he sends the Library the newsletter after reading it.)

National District Attorneys Association

National Legal Aid and Defender Association (NLADA)

National Organization on Legal Problems of Education (NOLPE)

National Tax Association - Tax Institute of American

Selden Society

Stair Society

A bib record for the membership is created in **K KEY New Records**. The author is the name of the society and the title is "Membership." An order record is created for membership payments. All appropriate fields are filled in, with specific fields noted below:

01 ACQ TYPE: m (membership)

02 LOCATION: membe (membership)

15 ORD TYPE: i

The S/TITLE and S/SUB fields would not be filled in. An internal note should be inserted, listing all the titles received as part of the membership.

B. Records for Individual Titles

Bib records must be downloaded from OCLC for each title received as

part of a membership.

1. Monographs

Monographs for which the Library receives a discount would have a bib and order record created. Payment for the monograph would be made on the individual order record, rather than on the membership record. An internal note would be used to indicate that the title was purchased as part of the Library's membership in the particular society.

2. Serials

Serials which are cataloged would have bib, order and check-in records created. Serials which are not cataloged but which are sent to the First Floor Lounge would be added to one of the INNOPAC Rolodex records (see the section on "Newsletters" in the **Technical Services** section of this manual).

The order record would not be used for payment unless the title is billed separately. Usually, serials are included in the membership fee and the order record is used for statistics and informational purposes.

The appropriate fields are filled in, with specific ones noted below.

01 ACQ TYPE: m (membership)

07 S/TITLE:

08 S/SUB:

15 ORD TYPE: i

An internal note should be inserted, indicating that the title is paid for on the membership record. Usually, the order number of that record is given.

III. MONOGRAPHS

For acquisitions purposes, monographic orders are single or multiple-copy one-time orders. Some of these titles have supplementation published, but the Library has chosen not to receive supplementation.

A. Fixed fields:

After downloading the bib record from OCLC and creating an order record, update the fixed fields as necessary. Some are noted below:

- 01 ACQ TYPE: Change the default (p) as necessary.
- 10 E PRICE:
- 15 ORD TYPE:
- 16 RACTION: Change the default (-) if any internal notes will be inserted.

B. Variable fields:

Insert notes and information as needed. Some examples are listed below:

- v Vendor note: CP 1190-4 (Use for Rothman orders)
- v Vendor note: NO STANDING ORDER (Use if supplementation is indicated but the Committee has decided not to purchase it.)
- z Int. note Library owns earlier edition-KF 305.B97 1984
- z Int. note: Give to Nancy for Prof. Quigley (also put RACTION as "n.")
- i Identity: Paperback (Use if the publisher offers both paper and hardcover versions and the Library wishes to specify paper).

IV. PACKAGE PLANS

A. Description

The Library has entered into arrangements with some publishers to receive all of their publications or titles from designated subject areas. Some of the publishers with whom the Library has package plan arrangements are listed here.

1. American Bar Association Guaranteed Standing Order

A box of materials arrives on a regular basis. The box contains mostly monographs, but also some serials. The Acquisitions Assistant pulls out the serials for which the Library already has checkin records and puts the box with the remaining volumes on the "Committee Decision" shelf for review. The Library cannot return any volumes. Each title is paid on its own order record.

2. American Bar Association Package Plan

The Library pays an annual fee which covers all material received on the plan.

3. American Law Institute-American Bar Association. Committee on Continuing Legal Education (ALI-ABA)

The Library receives all new publications. Books are invoiced separately at a 33 1/3% discount. The plan does not include supplements; the Library must watch for publisher's announcements about supplementation.

4. Association of American Law Schools Package Plan

The Library pays an annual fee which covers all material received on the plan.

5. National Center for State Courts Package Plan

The Library pays an annual fee which covers all material received on the plan.

6. Oceana SOLT Program

The SOLT (Standing Order Legal Treatises) program is one which gives the Library a 10% discount on all Oceana publications. Oceana sends out announcements about forthcoming publications and the Library is given a certain amount of time to respond. If the publication is **not** wanted, the Library must send the return slip. Titles are billed separately.

7. United Nations

The Library has a standing order for all monographic and serial

titles published by the United Nations in their list of "Category V: International Law" materials. Each shipment is billed separately.

B. Payment Record

If the Library pays for all titles received with one payment, then a bib record for the package plan is created in **K KEY New Records**. The author is the name of the association and the title is "Package Plan." An order record is created for payments. All appropriate fields are filled in, with specific fields noted below:

01 ACQ TYPE: g (package plan)

02 LOCATION: pkg (package plan)

15 ORD TYPE: i

The S/TITLE and S/SUB fields would not be filled in. An internal note should be inserted, listing all the titles received as part of the package plan.

C. Records for Individual Titles

Bib records must be downloaded from OCLC for each title received as part of a package plan.

1. Monographs

Monographs for which the Library receives a discount have a bib and order record created. Payment for the monograph would be made on the individual order record. An internal note would be used to indicate that the title was purchased as part of the Library's package plan.

2. Serials

Serials which are cataloged would have bib, order and checkin records created. Serials which are not cataloged but just sent to the First Floor Lounge would be added to an INNOPAC Rolodex record (see "Newsletters" in the **Technical Services** section of this manual).

The order record would not be used for payment unless the title is billed separately. Usually, serials are included in the package plan fee and the order record is used for statistical and informational purposes.

The appropriate fields are filled in, with specific ones noted below.

01 ACQ TYPE: g (package plan)

07 S/TITLE:

08 S/SUB:

15 ORD TYPE: i

An internal note should be inserted, indicating that the title is received and/or paid for as part of the particular package plan. Usually, the order number of the package plan payment record is given.

V. PERSONAL ORDERS

The Law Library will place personal orders for books for Law faculty, Library personnel, and Law School personnel. The Acquisitions Assistant downloads a bib record from OCLC. She attaches an order record which includes the following fields:

12 Fund: 3

v Vendor note: Please invoice separately

z Int. note:

A note is inserted with the name of the person for whom the order is being placed.

The Acquisitions Assistant notifies the person when the order is received and sends them a copy of the invoice along with their order. She asks the person to send payment to the Administrative Assistant. In the meantime, the Acquisitions Assistant processes the invoice on INNOPAC and sends it along with all other invoices for payment.

VI. PRE-PAYMENT ORDERS

A. Invoice

The Acquisitions Assistant uses the publisher's order form, if available, to request a check for pre-payment. If there is no order form, she types up a "mock" invoice for the amount due.

B. Order record

The INNOPAC order record is created, with some of the fields listed below:

01 ACQ TYPE: d (prepaid)

06 RENEWAL:

A code is entered on the order record of serial titles for which the Library wants to maintain a standing order. The code used should indicate the next time a pre-payment should be made (see pp. 8-9).

07 S/TITLE:

08 S/SUB:

The "S/TITLE" AND "S/SUB" fields are used on order records for standing orders.

Payment is made on INNOPAC and the invoice is given to the Administrative Assistant with a note asking for the check to be returned to the Library. The Administrative Assistant gives the check to the Acquisitions Assistant who mails it to the publisher along with any necessary paper work.

VII. REPLACEMENT ORDERS

Replacements may be ordered for missing or damaged treatises or serial volumes, or for missing or damaged journal issues needed for binding. The Acquisitions Assistant orders replacements for missing issues upon receipt of the "Missing Issues" form. This form is initiated by the Bindery Assistant, who follows the procedures outlined in the Bindery section of this manual. The Bindery Assistant gives the "Missing Issue" forms to the Acquisitions/Serials Librarian, who checks to see if she has duplicate copies of any missing issues on the shelves in her office. She then gives the "Missing Issue" forms to the Acquisitions Assistant.

Damaged journal issues should be sent to the Acquisitions/Serials Librarian, who checks the duplicate issues shelves in her office. If no duplicates are available, she asks the Acquisitions Assistant to order replacements.

A. Treatises

1. Ordering

- a. Create a new order record. Usually order from the same vendor as the original order.
- b. Use order type "r."
- c. Add an identity of "REPLACEMENT."
- d. Insert an internal note indicating the reason for the replacement.

2. Receiving

- a. Receive the volume on INNOPAC.
- b. Give the book with a workslip to Cataloging.
- c. Place the invoice in the fund folder and pay the invoice once the fund is approved.

B. Serial Volumes

1. Ordering

- a. Create a new order record. Usually order from the same vendor as the original order.
- b. Use order type "r."
- c. Add an identity of "REPLACEMENT."
- d. Insert an internal note indicating the reason for the replacement.

2. Receiving

- a. Receive the volume on INNOPAC.
- b. Give the book with a workslip to the Serials Assistant to check in.

- c. Place the invoice in the fund folder and pay the invoice once the fund is approved.

C. Journals needed for binding

When the Bindery Assistant pulls issues for binding and finds that a volume is incomplete, he initiates a "Missing Issue" form for each issue. He leaves the remaining issues of the volume on the shelf for patrons to use.

Acquisitions orders replacement issues twice a month, on the fifteenth and thirtieth of the month. By ordering twice a month, the Library hopes to obtain replacement issues quickly. Our aim is to receive the issues and bind the volume before any more issues disappear.

1. Locate a vendor.

The Acquisitions Assistant usually orders replacement issues from a vendor, although occasionally she must order "direct" from a publisher. Vendor catalogs are shelved on the top shelf in Acquisitions. In descending order of preference, the vendors are Hein, Rothman, and Gaunt.

- a. **Hein's Checklist of Legal Periodicals.**

Hein's catalog has an extensive listing of titles. Hein either owns the rights to sell the back issues of these titles or has issues available for purchase. The prices are listed by volume or by sets of volumes, although Hein will sell individual issues. Replacement orders are sent to the attention of Jim Egan.

- b. Rothman's catalog.

Rothman's selection of titles is not as extensive as Hein's. Rothman is also not as accommodating as Hein to accepting the return of issues when the Library finds that the original issue has reappeared on the shelf by the time the replacement issue arrives.

- c. **Gaunt's Catalog of Legal Periodicals.**

Gaunt is a good source for foreign titles and they also sell back issues of some American titles.

- d. Direct orders from publishers.

Some publishers require that we purchase issues directly from them. Usually pre-payment is required (see page 21).

- e. Government documents

Missing issues are ordered from the Atlanta office, but we have rarely been successful in being able to purchase missing documents. As a last resort, the Acquisitions Assistant will ask the Documents Assistant to put the issue(s) on the "Needs and Offers" list.

2. Order the issues.

- a. Letter or phone orders.

Replacement issues are usually ordered by letter, although sometimes they are ordered by phone. Since multiple titles are usually ordered at the same time, it is easier to type a list of the issues needed in a letter than to print out separate purchase orders for each title.

- b. INNOPAC order records.

Regardless of how an issue is ordered, an order record must be created in INNOPAC also. The order record is used to track the issues ordered as replacements by the Library, to claim any which are not received, and to record payment of those issues separate from the payments made for subscriptions.

1. Creating a new order record

- a. Identity

Before creating the new record, the Acquisitions Assistant would add an identity of "SUBSCRIPTION" to the subscription order record. A new order record is then created with an identity of "REPLACEMENTS." The identities will distinguish the two records on the summary screen.

b. S/Title and S/Sub fields

The "S/TITLE" and "S/SUB" fields would **not** be filled in.

c. Notes

A vendor note indicating exactly what is being ordered would be inserted if a purchase order is to be printed and mailed. Usually the issue has been ordered by letter or by phone, so an internal note is added indicating which issues have been ordered, how they were ordered, and if they need to be checked in when they arrive.

d. Fund

The same fund is used for replacements as for the subscription. If the title is received on exchange and there is no fund on the subscription record, the Acquisitions Assistant would put a note in the fund folder asking for a fund assignment.

2. Re-using an order record

Once a replacements order record has been created for a title, this record can be used over and over. However, certain fields on the order record must be altered or added each time the record is used.

a. Order date

The order date field **must** be changed each time a record is used to reflect the date of the new order.

b. Receive date

The receive date **must** be blanked out by changing it to a dash (-). The order date must be current and the receive date blank so that the replacement order can come up for claiming.

c. Notes

Every time a replacement issue is ordered, a new internal note would be added, listing the issues ordered with the date of the order.

c. File the missing issue forms.

The missing issue forms are filed in folders arranged by the month the order was placed.

3. Receive the issues.

The Acquisitions Assistant pulls each missing issue form from the files and inserts it in the appropriate issue. She fills in the "received date" field in the order record if all issues ordered have been received. Otherwise, she adds an internal note indicating which issues have arrived. The "received date" can be updated each time a complete order for this title is received.

The Acquisitions Assistant gives the issue with the form to the Bindery Assistant, unless there is a note indicating that it needs to be checked in by the Serials Assistant.

4. Record payment.

The Acquisitions Assistant holds the invoice for payment for three (3) days to allow time for the Bindery Assistant to check the shelves to see if the missing issue is on the shelf. If so, he returns the replacement issue to the Acquisitions Assistant to return to the vendor.

VIII. RUSH ORDERS

RUSH orders may be telephoned, although sometimes a purchase order is mailed. The code in field 14 (ORD NOTE) would be either "r" (RUSH), "f" (RUSH-CONF), or "t" (TELEPHONE).

IX. STANDING ORDERS

Standing orders are ongoing continuation orders. A standing order may be entered for either a monograph or serial title. For monographs, the Library may specify that it wants to receive only new editions and not supplementation or may specify that it wants supplementation. Some vendors will allow the Library the option

of receiving only the first supplement each year and not any others. In any case, the Library defines a standing order as a title which it wishes to receive on an ongoing basis in a specified way.

A. Vendor Accepts Standing Order

1. Fixed Fields

After downloading the bib record from OCLC and creating an order record, update the fixed fields as necessary.

01 ACQ TYPE: Change the default (p) as necessary.

10 E PRICE:

11 FORM:

12 FUND: Fill in the fund as noted by the Collection Development Committee. Separate order records for the base volume and for supplementation must be created when the fund codes are different.

15 ORD TYPE:

20 STATUS(O):

2. Variable fields:

Insert notes and information as needed. Some examples are listed below:

n	Note	Library owns earlier edition-KF 305.B97 1984
v	Vendor note:	5th edition + Standing Order (Use if supplementation is indicated and the Library wishes to purchase.
i	Identity:	The Library would enter different identities on the order record for the base volume and the order record for supplementation. Separate order records for each must be created when the fund codes are different.

B. Vendor Does Not Accept Standing Orders

Some vendors will not accept standing orders. These titles must be ordered from the vendor each time they are published. Usually the vendor requires that they be prepaid. The Acquisitions/Serials Librarian must alter the bib record to remove the edition statement. The Acquisitions Assistant can reuse the order record but must alter certain fields each time the order record is used to reflect the current edition.

1. Fixed Fields

The first time the title is ordered, the Acquisitions/Serials Librarian downloads a bib record from OCLC and deletes the edition statement. The Acquisitions Assistant creates an order record. The Acquisitions Assistant updates fields on the order record as necessary when reusing the order record for subsequent editions.

- 01 ACQ TYPE: d (Use "d" if prepayment required.)
- 06 RENEWAL: see pages 8-9
- 10 E PRICE:
- 13 O DATE: The order date must be changed to reflect the date of the new order
- 15 ORD TYPE:
- 17 R DATE: The receive date must be blanked out by changing it to a dash (-) so that the order can come up for claiming.
- 20 STATUS(O):

2. Variable fields:

Insert notes and information as needed. Some notes, such as the vendor note, would have to be changed for each order. Some examples are listed below:

- n Note Vendor does not accept standing orders.
This must be ordered and prepaid every year.
- v Vendor note: 5th edition

X. SUBSCRIPTION RENEWALS

Invoices for subscription renewals are placed in a folder and given to the Associate Law Librarian for Public Services to review. She removes any invoices which she wishes the Collection Development Committee to review and returns the rest to the Acquisitions Assistant for payment.

The order record is created and the fields filled in as noted above under "Standing Orders."

RECEIVING

The mail is sorted and the Acquisitions Assistant is given all book boxes to open, which includes pieces with packing slips and with invoices.

I. GUIDELINES FOR RECEIVING

- A. Add all AALL publications.
- B. Add all Rothman reprints except duplicates. Duplicates in microfiche may be added; duplicates in hard copy should be put on the "Committee Decision" shelf.
- C. Add all American Law Institute "Tentative Drafts."
- D. If the cost of a book is 30% or more than anticipated when ordered, note this on the invoice with the book and put both on the "Committee Decision" shelf.
- E. If a standing order renewal increases by more than 30% from the previous year, print out a copy of the payment record and attach it to the invoice and put it in the fund folder for Committee cancellation consideration.

II. RECEIVING AND DISTRIBUTION OF PIECES

The Acquisitions Assistant must receive all new titles and distribute all material received with an invoice. After putting each piece with its invoice or packing slip on a booktruck, she must:

- A. Search for the order record.
 - 1. Order record found on INNOPAC.
 - a. Input the RDATE (Received date) for monographs and for the first receipt of a serial.
 - b. Stamp the current date on the invoice/packing slip with the "Received" stamp.
 - c. Write the INNOPAC order number and fund on each invoice/packing slip if these are not included by the vendor.

2. Order record not found on INNOPAC.

a. Books received as part of a standing order for monographic series, such as the Legal Classics Library, and standing orders for books such as nutshells, hornbooks, and Rothman reprints will not have individual order records. Some books received as part of the ABA Package Plan are received regularly and so are checked in as serials on INNOPAC. See the Technical Services section of this manual for the handling of specialized standing orders such as these.

b. If the book appears to be a complimentary copy, keep the mailing envelope and put the book on the "Committee Decision" shelf with an Acquisitions Decision form.

c. Check the Kardex to see if the title is a standing order which hasn't been received in years. Check the card catalog for earlier editions of the title. If the book appears to be part of an old standing order, put it on the "Committee Decision" shelf along with the invoice and an Acquisitions Decision form. "New Edition" should be checked on the form and the call number of the previous edition noted.

B. Separate the material into new orders, replacements, and continuations.

1. New Orders

a. Pull the workslips.

Pull the workslips, which are filed in order number order. Put one copy with the book. File the other copy and the order information in the completed orders file.

b. Put books for review.

new serials are placed on the shelf for the Acq/Serials det to make it clear

All new monographs and serials are placed on the "New Books to be Reviewed" shelf unless there is some question about the title (price change, on approval, location decision, etc.). The invoice for each book is put in the fund folder for payment.

Books with questions are placed on the "Committee Decision" shelf with an Acquisitions Decision form. The invoices are kept with the books.

2. Replacements

a. Treatises

1. Receive the volume on INNOPAC.
2. Give the book with a workslip to Cataloging.
3. Place the invoice in the fund folder and pay the invoice once the fund is approved.

b. Serial Volumes

1. Receive the volume on INNOPAC.
2. Give the book with the workslip to the Serials Assistant to check in.
3. Place the invoice in the fund folder and pay the invoice once the fund is approved.

c. Journals needed for binding

1. Pull the missing issue form for each issue and insert it in the issue.
2. Fills in the "Rdate" field in INNOPAC if all issues of the title have been received. If not, she adds an internal note indicating which issues have arrived.
3. Gives the issues with the "Missing Issue" forms to the Bindery Assistant.
4. Holds the invoices for three days while the Bindery Assistant pulls issues for binding and verifies that the replacement issues are still needed. After three days, the Acquisitions Assistant pays the invoices.

3. Continuations

a. Put on "Nancy's shelf."

All continuations received with invoices or packing slips are put with the invoices on "Nancy's shelf" for review, except for

those listed in (b).

b. Send some titles for check-in.

Some titles are not reviewed for cancellation. These can be sent to the Serials Assistant for check-in and the packing slips are put in the fund folder for payment:

West Reporters
West Digests
Nutshells
ALR volumes

III. COLLECTION DEVELOPMENT REVIEW

The Collection Development Committee members look at all new material except for that received as part of a subscription. Such material goes directly to the Serials Assistant to check in.

A. "Nancy's Shelf"

The Associate Law Librarian for Public Services reviews continuations received with invoices. She pulls those which she thinks that the full Committee should consider for cancellation and gives the rest to the Acquisitions Assistant. The Acquisitions Assistant puts the invoices in the fund folder for payment and gives the pieces to the Serials Assistant to check in.

B. "New Books to be Reviewed" shelf

The Collection Development Committee members look at all books on this shelf. They pull any that are not appropriate for the Library's collection and give them to the Acquisitions Assistant to return. The Committee Members fill out a Technical Services Routing slip for any books being kept for which they have instructions. For example, the Committee might note location, binding preference, circulating or not, etc.

The Acquisitions Assistant puts the approved monographs with their workslips on the designated shelf in Cataloging. She puts the approved serials with their workslips on "Trina's shelf" to have a checkin record created.

C. "Committee Decision" shelf

All new material with questions are put on the "Committee Decision" shelf. These might be new editions of existing titles, books received on approval, supplementation with invoices for titles for which there is no standing order, location questions, significant price changes, fund code questions, etc. The invoice and the two workslips are kept with each piece. An Acquisitions Decision form is also put with each piece and the appropriate areas checked and filled in. If the Committee decides to keep the piece, the Committee would indicate this on the Acquisitions Decision form and then fill out the Technical Services form with instructions about the title.

The Acquisitions Assistant puts the invoices for all pieces being kept in the fund folder for payment. She puts the monographs with their workslips and the Technical Services Routing Slips on the shelf in Cataloging. She puts the serials with their workslips and the Technical Services Routing Slips on "Trina's shelf" to have a checkin record created.

IV. INVOICES

A. Type of order

1. New Orders

Most new orders are put on the "New Books to be Reviewed" shelf. Since most of these books are kept, the invoices are put in the fund folder for payment rather than being kept with the piece. New orders with questions about the order are put on the "Committee Decision" shelf. The invoices for these titles are usually kept with the piece until the piece has been approved and then the invoice is put in the fund folder.

2. Continuations

Continuations, with the exceptions noted on the previous page, are put on "Nancy's shelf" for cancellation review along with their invoices. Once the titles are approved, the invoices are put in the fund folder for payment.

3. Subscription renewals

Subscription renewals are put in a fund folder for review before being paid. This folder is kept on "Nancy's shelf." Nancy pulls out any that she wants the Committee to consider for cancellation and gives the

rest to the Acquisitions Assistant for payment.

B. Invoices received separately

When a separate invoice is received for material other than a subscription, the Acquisitions Assistant must:

1. Verify that the piece has been received.

Usually, the Acquisitions Assistant holds material received without invoices until the invoice arrives. If the piece has not been held, the Acquisitions Assistant should search INNOPAC to see if the piece has been received. The order record should have a received date if it is a new title. If it is a serial, there should be a check-in record showing the date received. If there is no indication on the system that the piece has been received, the Acquisitions Assistant should search the card catalog and then check the shelves.

2. Record information on the invoice.

The Acquisitions Assistant stamps the invoice with the "Received" stamp and notes the INNOPAC order number and fund number on the invoice if these are not included by the vendor. If prepayment is required, the Acquisitions Assistant writes "PREPAY" on the invoice. She writes "Long fund" if the piece is to be paid out of Long money.

C. Paying invoices

The Acquisitions Assistant uses the "Process **INVOICES**" function in Ordering and Receiving:

1. Use pay file 1.

The Acquisitions Assistant always uses pay file 1 to pay invoices. Only if two or more people are paying invoices at the same time is more than one pay file used.

2. Enter payment note.

A payment note of up to 35 characters may be entered for each line on the invoice. Be as descriptive as possible, using the information on the invoice. For example, enter "1994 PP" or "1994 Cum Supp". Enter the title of a book which is received as part of a monographic series.

3. Converting currency.

The Acquisitions Assistant uses the currency conversion table from the newspaper to calculate the price of the book in U.S. dollars.

4. Keeping a cancelled order.

If an item is received after the order has been cancelled, the Collection Development Committee may decide to add it. The system will inform the user that the order has been cancelled but allow the user to add a payment.

D. Looking up an invoice

There are two ways to look for an invoice on INNOPAC.

1. Search in **UPDATE** for the order record.

This method enables the user to look at all invoices which have been paid for a particular title. The user may have to look at more than one order record since there may be multiple order records for a title. For example, volumes and supplements usually have different fund codes and so have different order records. Invoice information on each order record displays under all the inserted fields (internal notes, vendor notes, etc.). The system displays the invoice date, invoice number, invoice amount, voucher number, and receiving note. The payment fields are listed with the oldest information shown first.

2. Search in **VENDOR** file maintenance.

This method enables the user to look at all invoices received from a single vendor.

a. Get into the function in the following way:

- O** ORDERING and receiving subsystem
- A** ADDITIONAL ordering and receiving functions
- V** VENDOR file maintenance
- D** DISPLAY vendor records
- F** Display FULL vendor records

b. Enter the appropriate vendor code.

c. Enter **S (STATISTICS)**

The system will indicate the number of invoices in the invoice file.

d. Enter **I (Display INVOICES)**

If there is more than one invoice, the system will offer several options. Choose from the following options:

C (Show invoices in CHRONOLOGICAL order)

L (Show LATEST invoices first)

F (FIND a specific invoice)

R (RETURN to previous screen)

The system displays the invoice number, the amount, the invoice date, the payment date, the voucher number, and the number of items on the invoice. Unfortunately, the system does not display title information. Also, the user can only search for invoices from vendors who are in the vendor file. If the vendor is listed as "none" with the vendor information in the vendor address field, there is no way to search for invoices in vendor file maintenance.

RETURNS

Sometimes the Acquisitions Assistant must return material. The reasons vary and some vendors are more amenable than others. In general, material should be returned as soon as possible after it is received. Some of the reasons for return are listed below:

I. Title cancelled

The Collection Development Committee may decide to cancel a title and return the current piece. The Acquisitions Assistant must follow the procedures listed under "Title Cancelled" in the Technical Services section of this manual, make a copy of the invoice for the Library's records, and then return the material. The Acquisitions Assistant:

- A. Writes a letter to the vendor, cancelling the Library's standing order.
- B. She boxes the piece along with the invoice and puts it with the outgoing mail.

II. Material not ordered

Some vendors send supplementation or new editions of titles for which the Library has not established a standing order. In this case, the Acquisitions Assistant

- A. Writes a letter to the vendor, stating that the Library did not order the title, and will return it only if the vendor sends a postage-paid label.
- B. Holds the material until such time as the label is sent. She then returns the piece with the invoice.
- C. If the label is not sent or no response is received within a reasonable amount of time, the Acquisitions Assistant should ask the Collection Development Committee what to do with the material.

III. Material damaged

If the material was received in damaged condition, the Library will return it. The Acquisitions Assistant:

- A. Writes and asks for a postage-paid label to return the material.
- B. Returns the piece with the invoice once the label is received. Includes a letter requesting another copy of the piece unless the Collection Development

Committee has decided not to add the title because of flimsy binding.

IV. Replacement issues not needed

If journal issues ordered for binding are found not to be needed because the original pieces have been returned to the shelf, the Acquisitions Assistant will return them to the vendor. The Acquisitions Assistant:

- A. Writes a letter explaining that the issues are not needed.
- B. Packages and mails the issues along with the invoice, showing which issues are being returned.