

SER – Serials module workflow

1 Introduction

This manual describes the recommended workflow within the V-smart serials module. Subjects covered include:

- setup and parameters
- data entry
- adding subscriptions
- receiving issues
- binding received issues
- renewing subscription orders

The Serials Module offers libraries a compact workflow functionality and tools to manage the subscription, prediction, receiving, routing and claiming of periodicals as well as binding alerts.

The system enables the library to maintain subscription, receipt, routing and claiming information on periodicals to which the library subscribes. Optionally completely received volumes can be bound. The bibliographic data for serials is entered in the main bibliographic file; thus there is no separate serials file. This means that subscriptions can be linked to bibliographic records that have already been entered in the Catalogue. All search methods for identifying records are also available in the Serials Control module.

The main components of the Serials Control module are:

- Subscription maintenance
- Prediction Setup
- Receipt/Check in

- Claiming
- Routing
- Summary Holdings Statements
- Supplier maintenance (uses the Acquisitions supplier file)
- MARC21/H support
- Binding

Before you start using the serials module, various parameters must be set. Also you need to decide how the module is to be used and which staff members will have permission to perform certain tasks.

2 Functional description

2.1 Subscription maintenance

A subscription represents one copy of a serial. The subscription has a start and end date, claiming periods, supplier information and many more fields. The subscription record is attached to Publication patterns that define when and what the system should predict. Within a subscription, it is possible to distinguish between the publication patterns for basic bibliographic units, supplementary material and indexes.

The format of the subscription record is defined by the library. The library chooses which fields are used, which are copied, which are included when a new record is added, which are included when a record is changed and which fields are included when a record is displayed. The system allows the user to copy an existing subscription on a title to create a new one. The system allows the user to add several subscriptions (with differing institutions and locations) to the same title.

Changes to suppliers are tracked throughout the life of the subscription. The effective dates of supplier changes are kept so that claiming can be done to the correct supplier.

Issues that are not received may be claimed up to three times. When more than three issues in a row are not received on a subscription, the subscription is deemed to be stagnant and may be claimed from a different supplier than that specified for the subscription.

Financial administration does not take place in the serials administration, but via the Acquisitions module. The Acquisitions module contains an extensive budget management

option and various specific options for the financial management of serials and loose-leaf works.

2.2 Prediction setup

Publication patterns are set up to define the numbering, chronology and expected dates of publications. These patterns are the heart of the serials system and are attached to subscription records. Publication patterns determine how, what and when to predict.

Publication patterns can be closed out (inactivated) during the life of the subscription and, if necessary, another pattern can be applied. A publication pattern is unique for a title but may be shared by multiple subscriptions on a title.

The system allows the creation of predictions based on daily, weekly, monthly, erratic and user-defined patterns.

Publication pattern templates for frequently used publication regularities (i.e. daily, weekly, monthly) are distributed with the system. Publication pattern templates are generic publication patterns that can be used as the starting point for creating a new publication pattern on a title. In public libraries, a lot of titles are for instance monthly or weekly with the same characteristics. Publication pattern templates may be created by users of the system for the purpose of sharing publication patterns across titles.

The system predicts both enumeration and chronology. The enumeration definition in the publication pattern can consist of up to seven levels. Captions (labelling) are defined for each of the levels used. The contents of these levels may be defined as numeric, alphabetic, roman numerals or free text. Each of the levels (except the first) is defined to either reset when a higher level increments or continuously increase (regardless of whether the higher level increments). The chronology (dating) definition in the publication pattern can consist of up to four levels. Captions (labelling) are defined for each of the levels used. The chronology can be defined to display in many ways: YYYY MMM DD, seasons (northern and southern hemisphere), language dependent months, language dependent seasons, language dependent quarters, split years, etc.

The system allows for the entry of publication patterns that are limited to enumeration only, limited to chronology only or incorporate both enumeration and chronology.

The system allows for the entry of a calendar change field in the publication pattern that forces the next higher level of enumeration to increment at specific month(s) or specific date(s). This field is useful to force the increment of a volume number when the issue numbering is continuously increasing.

The system allows for the suppression of enumeration and chronology captions in holdings displays by enclosing a caption in “(,)” or “[,]”.

For example, a display of vol.93:iss.3(2006:MARCH) is accomplished by defining the year and month captions as (Year) and (Month) or [Year] and [Month].

The system automatically predicts the next expected issue after receiving or claiming a predicted issue.

When entering/editing a publication pattern, the system allows the user to display the issues (enumeration, chronology and expected date) that will be predicted based on the entered/edited pattern.

The publication pattern contains a delay counter that allows the library to determine the predicted date of arrival by adding or subtracting a number of days to the publication date. For example, most serial publications in the United States arrive several days prior to the stated publication date. The monthly issue of Good Housekeeping usually arrives on the 20th of the preceding month, while Time Magazine arrives 1 week preceding the cover date.

The system allows the setup and receipt of complex serials (i.e. serials in which different parts have different characteristics such as frequency, labelling, etc) that are represented by a single bibliographic record. The publication pattern contains a designation that tells the system whether the pattern is for basic bibliographic units, supplementary material or indexes. There is also a user-entered label that describes the type of holding (i.e. Issue, Annual Index, etc.). This label then displays as part of the summary holdings statement. For example,

Issue: Vol.42:No.1(08:JAN:1999)-Vol.43:No.34(25:AUG:2000),

Vol.43:No.36(08:SEP:2000)-Vol.47:No.1(07:JAN:2004)

Last rec'd: Vol.47:No.1(08:JAN:2004) on JAN 7, 2004

Annual Index: 1999-2004

Last rec'd: (2004) on JAN 20, 2004

The system keeps a history of publication pattern changes associated with a given title. This means that when a title changes its captions or numbering, old receipts can still be displayed with the old captions.

2.3 Receipt/Check in

The user is able to search quickly for the serial by title or ISSN or SIC1 code or other easily identified search method.

Once the serial title is identified, the system displays a list of issues with the expected issues highlighted. The issue display consists of the issue enumeration/chronology, date, current status (i.e. received, expected, claimed, missing, etc), number of copies, number of claimed copies, barcode flag and note flag.

The user may barcode issues at the time of receipt.

The system supports the check-in of electronic journal issues.

The user may enter notes associated with the issue at time of receipt.

Issues may be received earlier or later than their expected date.

The enumeration and chronology of an issue may be changed at the time of receipt.

It is possible to record the receipt of parts at a location for multiple subscriptions as a single operation.

The library is able to receive unexpected issues, supplemental issues, indexes, etc.

The library may change the date of the issue in the event the issue is a different date than the forecast date

The system allows for a selected group of holdings records to be deleted without having to edit each individual holdings record

The system allows for a serial label to be printed when an issue is received. This label may contain the name of the serial, issue date, ISSN, etc. The library may define up to 5 lines of information for this label.

The system allows an authorised user to change the publication pattern before receiving an issue.

2.4 Claiming

The library may claim serial issues that have not arrived either manually or automatically.

Claim period parameters are set up in the subscription record to determine how many claims to make to the supplier and the number of days that should pass between claims. For each subscription, the user determines the number of claims that should be sent out to the supplier. This number is between zero and three.

Claims production/printing may be restricted to specific supplier(s). Claims production/printing may be restricted to specific location(s).

It is possible to assign different 'statuses' to specific issues. For example, to be able to set "missing", "lost" statuses on specific parts, to distinguish "missing- never delivered" from "missing - this part was never published".

2.5 Routing

The routing flag in the subscription record may be turned on or off at any time. When the routing flag is set to Y, the system prompts the user when the item is received that this is a routed issue and the routing list is printed.

Routing list members are taken from the Circulation module's Borrower file, which functions as a central, personal data file (with the considerable advantage that changes only have to be entered at one place).

A routing list can be edited to reflect a change in the order of users as necessary.

2.6 Summary Holdings Statements

It is possible to have the system automatically generate a Level 4 (ANSI Z39.71) holdings statement for each subscription from the detailed serial holdings in the system.

It is possible to record serials holdings as a summary statement ONLY i.e. in many cases, libraries simply do NOT have the detailed receipt information required to automatically generate a complete summary holdings statement, especially for retrospective holdings. It is possible to enter a straightforward summary holdings statement e.g. "Library holds Vols 1928 - 1935".

The system is capable of creating a holdings statement that combines the user-entered summaries AND the statement generated from the detailed issues.

The summary holdings statement is displayed to users of the WebOpac along with the last issue and date received.

2.7 MARC21/H Support

The database for serials is structured to reflect recognised Holdings standards (i.e. MARC21 and UNIMARC). The parts of the database are: Shelfmark, shelfmark set, type of holding, parts, publication pattern and items.

- Shelfmark
 - • One for each unique location held by the library

- - A shelfmark links to multiple copies of a serial or multi-volume set

- Shelfmark set
 - - One for each unique location, physical format and copy held by the library (contains retention policy information, binding information, etc)
 - - Summarises all parts/volumes (from multiple types of holdings) held in each unique location
 - - Summary holdings statements are maintained at this level
 - - Equivalent to separate MARC holdings records
 - - Includes textual notes (866/867/868)

- Type of holding
 - - One for each physical format and type (basic, supplement, index) for the title
 - - Summarises all possible parts/volumes for the type of holding
 - - Equivalent to a unique combination of 007 and 853/854/855

- Parts
 - - One record for each unique part/volume held by the library
 - - Contains the enumeration and chronology for the part/volume and summarises the status with regard to each location-set
 - - Equivalent to an 863/864/865 in uncompressed format

- Publication pattern
 - - One record for each change of publication pattern within a type of holding

- - Contains labelling information for enumeration and chronology
- - Multiple parts/volumes point to the same publication pattern
- - Equivalent to an 853/854/855
- Items
 - - One for each separately barcoded item
 - - Links to the Parts record for standard numbering and labelling display
 - - Equivalent to each unique instance of Ꞥp found in 852/863/864/865

3 Setup

Below is a brief listing of the various AFO's in which parameters must be set before you can use the serials module. Please refer to the online help for each AFO for a detailed explanation of all options.

AFO 159, Data dictionary/Template management for holdings

With this AFO you can maintain formats, databases and templates for holdings.

A holdings format contains the definition of which fields are part of a holdings record, which subfields each of the fields can have, what the characteristics are of fields and subfields, etc. This is similar to format definitions for bibliographic records and authorities.

Note

When the V-smart system is installed the MARC21/H and UniMARC/H formats, databases and templates are already defined. You are advised not make any changes to these, nor remove them. It is allowed to make small modifications to the templates (like colour, wording).

AFO 367, Serials setup

This AFO allows you to define various settings. The subscription definition settings plus the data to be entered/corrected/displayed parameters are similar to their equivalents for borrowers (as in AFO 482) and items (as in AFO 469).

There is also a section for defining serials authority lists, again similar to their counterparts for borrowers and items.

Note

There are two types of authority list. One type has all of its entries defined by the library and is used for information purposes only (i.e. material formats – the library adds an entry for each material format it wants to track within the serials system). The other type is used to control processing within the serials system. You will notice that some lists do not allow you to add or delete entries. For these lists, you should only update the wording of the entry.

This AFO further contains the definition of the various code tables used within the serials module: ship to codes, chronology codes, issue status codes, numbering codes, enumeration codes.

Lastly, this AFO contains an option to define templates for publication patterns. You can use these to create your own templates for various common patterns such as daily, weekly, monthly, quarterly etc.

Note

When the V-smart system is installed various standard codes that are necessary are already defined.

Finally there are a few miscellaneous parameters to be set.

AFO 368, User defaults

If you have access to AFO 311 (Receive issues), you may set up a user defaults record that streamlines your workflow when registering receipts.

After choosing this AFO an overview screen will be displayed, where each line in the grid represents a different user of Serials control. Each line consists of User name, Default SHIPTO code and the setting for additional info prompt.

Note

If no user defaults have been defined for a staff member, he/she will be unable to receive issues.

AFO 363, Define serials claims layout

AFO 363 controls the lay-out and the contents for serials claims. The system distinguishes between various types of output files. Per type of output file, you can define an SSP print profile that will then be used to print the claims.

AFO 364, Claim periods

Two claim periods must be specified per subscription, one for the missing issues and one for the stagnant subscriptions. A subscription is deemed to be stagnant if at least 3 consecutive issues have not been received.

Using a code to define a claim period is the preferred method because you can then make global modifications.

You can also specify how many days after the last claim the issue should automatically have its status set to "Missing".

AFO 469, Item Management Parameters

Multipart/serial defaults are set up at the system level and are used to create default type of holding information.

These parameters are used to specify default caption information when creating a new type of holding during the Holdings maintenance (AFO 111) workflow process.

Routing (AFO's 361, 362, 34X)

AFO 361 allows you to define a number of parameters that influence the operation of the routing module. This includes settings related to the printing of routing slips.

In AFO 362 the lay-out for routing slips is defined via the text manager. You can specify various elements of these slips.

AFO's 34X are used to maintain routing lists and transactions, generate overviews and print routing slips.

AFO 611, Login management

The option Add/modify logins can be used to give staff members access to AFO's related to the serials module.

The option Login restrictions – Serials can be used to disallow certain tasks to be performed by specific staff members.

4 Bibliographic data

When creating bibliographic data (in AFO 111) you must ensure to select the correct publication type for serials or multipart items.

- Type 2: Multi volume (fixed number, with item data)

Multiple volume monographs are limited multiple volume works with non-significant volume titles. Limited multiple volume works are any publication that consists of a number of individual separate parts that are published as one unit, i.e. any publication that is designed to be published in a specific number of volumes and that will eventually be complete (e.g. most encyclopaedias).

- Type 3: Multi volume (ongoing, without item data)

A series is a group of publications linked to one another by the fact that, in addition to its individual title, each publication bears the main title that applies to the entire group. A series consists of an unlimited number of separate publications depending on the design. The series may or may not be numbered.

- Type 4: Serial

Serial publications are publications published in sequential units, whether printed or not, normally arranged in a numeric or chronological sequence and intended to be published indefinitely. Serial publications include: all publications that appear periodically, such as magazines, newspapers, yearbooks, address books (etc.) and series of reports that appear less regularly, as well as institutional debates and congressional records.

- Type 5: Multi volume (fixed number, without item data)

“Main or header”-title descriptions are descriptions of the comprehensive title for a limited, multi volume work for which the titles of the separate volumes are significant.

5 Order data

If desired, you can create order records for your serials publication. In this case, you must ensure to choose the correct order type (in AFO 211). I.e. the material type designation (third element of order code) must be either a "T" for periodicals or a "V" for other types of serial (multi-part) publications.

For a regular subscription you would for instance use *SSTS – standard order periodical*.

This ensures the system will not generate claims for these orders via the Acquisitions module, because receipts are not expected. The receiving is of course done via the Serials module instead.

Later, the order details can be linked to the subscription's general data. Here you will have the option to set the link at the order header or line detail level.

5.1 Renewals

Subscription orders for serials can be renewed individually by Acquisitions staff (via AFO 211) or automatically by a processing job (via AFO 279).

The **processing jobs** involved are :

- - Subscription review report
- - Subscription renewal

The setup of the jobs determines which orders are selected for review or renewal, set bounds on the length of the renewal period, provides cost adjustment.

The system selects subscriptions to review or renew based on the following:

- The subscription has a valid link to a purchase order at detail level.
- The subscription is active.
- The subscription has the "Generate renewal" flag on.
- The subscription Review date is between the start and end dates defined under Setup.

The library might execute the subscription jobs quarterly or annually, or whenever renewals are required. It is assumed that when the subscription renewal is done that the passed subscription period is complete and no more commitment will remain for the period. If there is an outstanding commitment, it will be adjusted based on recalculation/inflation rate.

The Review/Renewal reports are sorted by budget number and with in budget number by order title.

Automatic renewal via AFO 279

This job selects order records that meet the conditions described at the beginning of this section.

The job first checks that there is sufficient money in the funds to encumber for the renewed orders. If even one fund is short, none of the renewals will take place.

For each subscription, the job will:

- reset the start date to end date +1
- reset the end date to old end date + renewal number of days
- reset the review date by adding the renewal number of days to it
- adjust the total price and commitment on the order
- adjust the commitment on the budget of the order

Manual renewal via AFO 211

There is an option **Renewal** on the order detail screen. This is only active for records with a serials subscription defined.

After choosing this option a selection form will be displayed. The first four fields come from the general details of the subscription. The fifth field (inflation rate) is derived from the Setup in AFO 279.

The same conditions and checks apply as for automatic renewal via AFO 279. However, you can manually adjust this information if required.

6 Subscription data

Important parts of the serials administration are the receipt registration (of single issues) and the claim mechanism. These parts are based on the principle that the system will predict the issues to be expected. The system predicts what issues should come to your organisation in the coming period based on the information you specify. In order for this prediction algorithm to function correctly, you must enter various details for each subscription such as the frequency code, the numbering and/or chronology, expected issues, etc.

In addition data regarding the creation of claims (such as claim periods and 'claim addresses') are created. This information is managed via AFO 321. The most important functions of this AFO are entering new subscriptions, modifying the general data and defining the publication pattern for a subscription.

Note

No other actions related to subscriptions (receiving single issues, creating claims, routing, etc.) can be performed before the general data have been defined in AFO 321.

Start adding new subscriptions from the option "Subscriptions" on the overview screen of the bibliographic record. Make sure that you use either the **Add S.** (Add shelfmark) or **Display S.** (Display shelfmarks) button to assign a shelfmark to the new subscription.

I.e. do NOT create a shelfmark from the option "Shelfmarks" on the overview screen of the bibliographic record, as this may lead to incorrect results later in the process.

When adding a publication pattern you can assign either enumeration or chronology or both.

For complicated patterns you can create your own chronology codes in AFO 368. For instance if you have a quarterly journal where the issues are labelled "Jan-Feb-Mar" for the first quarter, "Apr-May-Jun" for the second quarter and so on.

7 Registering receipts

With AFO 311 you can perform the following tasks:

- receive some or all the copies of an issue
- insert an unexpected or extra issue
- retrieve an issue to edit its issue or copy information
- move an issue to another place in the display
- delete an issue
- claim by phone
- manually claim overdue issues
- predict issues beyond the next expected
- update next expected issue information

- barcode issues
- display and update summary holdings statements
- update items (barcoded issues)
- display bibliographic information
- update publication pattern information
- track status changes of issue statuses

Before displaying the Serials **Receiving** screen, the system may display one or both of the following forms:

- **Enter SHIPTO location you are receiving for form**
- **Enter type of holding you are receiving form**

When you select the **Receive issues** option, the system needs to know which SHIPTO location you are checking in and what type of material you are checking in. From this information the system decides which subscriptions are being checked in. If the title's subscriptions are linked to more than one SHIPTO CODE, and no default SHIPTO code can be determined, the system displays the **Enter SHIPTO location you are receiving for form**. Select the **SHIPTO code** that you wish to register receipts for.

Determining a default SHIPTO code:

If you select the **Receive issues** option from the **Subscription general data** screen, the system takes the SHIPTO code out of the subscription record to use as a default. Otherwise, the system takes the Default SHIPTO defined in your User defaults record (in AFO 368).

The system then checks to make sure that your default SHIPTO is contained in the list of SHIPTO locations you are allowed to receive (AFO 368). If not, the default is reset.

Skipping the Enter SHIPTO location you are receiving for form

This form is skipped under one of two conditions:

1. You end up with a default specified and the title has subscriptions with this SHIPTO code, the screen is skipped.

2. If the subscriptions for the title all have the same SHIPTO code and you are allowed to receive at that SHIPTO location.

If the system cannot find any subscriptions on the title that you are allowed to receive for, the system displays the message, **"You are not permitted to checkin items at any of this title's locations"** and returns to the previous screen.

If the system cannot find any subscriptions on the title matching your default SHIPTO, the system displays the message, **"There are no copies of this title at your default SHIPTO location"**.

Select the issue that you wish to receive and choose the **Register receipt** icon. If the selected issue is completely received, the system displays a message, **"No copies left to receive"**.

If there is more than one copy left to receive, the system displays the **Enter copies to receive** form.

This defaults to the number of copies left to receive. Enter the number of copies of the selected issue that you are receiving. This field is used later in the receiving process as an integrity check. If you receive fewer or more copies than you specify here, the system will warn you.

Note

If your User defaults record (AFO 368) is not set up to **Prompt for additional information** and you are receiving the total number of copies left to receive, the system registers receipt of the number of copies specified and returns to the **Receiving** screen.

Otherwise, the system always displays the **Register receipt** form. This may be useful for instance, if you receive issues that you want to barcode at the same time.

Clicking on an issue means receiving it. If you accidentally receive the wrong issue, there is no option to undo the receipt. In that case you must manually assign another status. For this purpose you can create a special status code in AFO 367.

Depending on the parameter setting in AFO 361 – Routing parameters – General defaults – Warning when routing slip not printed from receiving, you may or may not get a message each time you receive issues for a routed serial. If you do print from within receiving, the manner of printing is dependant on the settings in your user defaults (AFO 368).

If you do not print form within receiving (and have set the warning OFF) you must remember to print the routing slips later via AFO 344.

7.1 Label printing

It is possible to print individual labels for received issues. When you want to do this, the following is required:

- AFO 621 – Print processor maintenance: define at least one print processor.
- AFO 621 – Maintain system printer: define at least one system printer and link this to the print processor as defined above.
- AFO 367 – Miscellaneous: specify the main document to be used for merging
- AFO 612 – for a specific port:
 - Serial label printer: specify which printer must be used for label printing
 - Serial label counter: optionally specify the buffer amount for labels (i.e. after how many labels must they be sent to the printer)
- AFO 321 – Subscription general details: ensure that the option Print label is ON for those subscriptions for which you want to print labels

8 Binding

While some libraries will bind issues into logical volumes, other libraries will choose to discard issues after several years, due to lack of space for storage. Sometimes the discarded issues are replaced with a microform or online version. Libraries must be able to indicate when they want to bind or discard issues and how many issues will be treated in this manner.

The system offers functionality to automatically alert the staff when it is time to send received issues out to the bindery. Since the binding frequency of titles can be different, each subscription can have a 'number of issues to bind' and a 'delay factor' defined. A delay factor accommodates libraries that do not want to be prompted for binding until the first issue of the next binding unit is received. i.e. you receive 5 issues and then the system tells you to bind the previous 4 issues together.

Issues that are bound are kept together in a binding unit. The system keeps a history of all of the binding units created for each subscription. The library is not required to send issues to the bindery as soon as the binding alert is produced. It is possible to delay sending binding units to the bindery until specific times of the year or until budget requirements are met.

During the serials receiving process, you can be alerted to the need to bind by both a message and a printed binding alert. The binding alert contains the issues that should be bound together. After physically locating the issues that are to be bound together, they can be sent out to the bindery, optionally accompanied by a printed binding slip.

8.1 Setup

In order to be able to use the full binding functionality including printing of alerts and slips, the following must be defined:

- AFO 621 – Print processor maintenance: define at least one print processor.

- AFO 621 – Maintain system printer: define at least one system printer and link this to the print processor as defined above.

- AFO 367 – Miscellaneous: specify the main documents to be used for merging (there are separate ones for binding alert and binding slip)

- AFO 612 – for a specific port:
 - Serials binding alert printer: specify which printer must be used for binding alert printing

 - Serials binding slip printer: specify which printer must be used for binding slip printing

- AFO 321 – Subscription general details: use option **Binding** to go the **Binding units summary screen** – from there use the option **General info** to set the *Binding alert flag*

8.2 Functionality in AFO 321

If Binding information has been defined for this subscription, the Subscription status field in the screen header will display either 'Active binding alert' or 'Inactive binding alert' depending on whether the system should automatically produce binding alerts or not.

From the Binding units summary screen one can gather a set of received issues to be bound, monitor status (e.g. In bindery), receive and barcode bound sets.

The receipt information screen that can be accessed from the Subscription general data screen or from the Holdings statement for shelfmark sets screen displays all of the receipt information for the selected shelfmark set/subscription. In the column Binding unit you can see the issues that belong to a certain binding unit.

8.3 Functionality in AFO 311

If the subscription being received has the Binding alert flag set (i.e. is an Active binding alert), the system will attempt to alert staff when it is time to bind issues together (i.e. when the binding unit is 'complete"). The alert comes in the form of a message, and, if setup for binding alerts/slips has been completed, a binding alert will be printed.

- **Document control - Change History**

Version	Date	Change description	Author
1.0	June 2008	creation	
2.0	November 2009	added info on label printing and part of 2.0 updates	
3.0	May 2010	New option for subscription renewal part of 2.0.06 updates	