

# Receiving Government Documents (LTS Procedure #71)

**Scope:** *This document outlines the procedures that the staff of Library Technical Services follow when receiving government documents from various sources, for Olin Library.*

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**Unit:** Receiving and Documents

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## A. U.S. DEPOSITORY

1. Our U.S. Depository Library number (LIB#) is 0388.

2. U.S. depository shipments arrive in boxes, envelopes, tubes, and microfiche bags via UPS GROUND. Identify a U.S. depository shipment by the white label on the container. The label says: "U.S. Govt. Printing Office, Superintendent of Documents, Washington, D.C.--Cornell Univ Library, Documents Section, 110-B Olin Library-- LIB ID: 0388."

3. In order to check in a U.S. depository shipment you must have a depository shipping list which lists all of the material to be found in the container. Depository shipping lists are inside the shipping container, with one exception.

3a. Separate Shipments: Separate shipments are books or maps which are mailed to us individually. Identify them by container labels which also say: "ITEM: <year><no.>" and "SHIPMENT: "2023-<no.>-S". (S) Shipping lists for separate shipments arrive in regular depository shipment boxes. Collect packages which will be listed on a separate shipping list on a shelf behind the receiving table until the separate shipping list for these packages is received.

4. Depository Shipping Lists. Shipping lists are numbered consecutively throughout the federal fiscal year (Oct.-Sept.). There are four types: paper (P), microfiche (M), electronic (E) and separate (S). Shipping list numbers (SL#) include year-consecutive number-type (example: 2023-042-P is the 42nd shipment of paper documents in FY 23). Information on the shipping list is in three columns: Item no., Classification no., and Title.

4a. Item No. A shipping list lists all materials mailed to depository libraries in a shipment. Our library is a selective depository and chooses to receive some item nos. and not others; therefore, in many shipping containers you will not find all materials which are listed on the shipping list. An item number may be assigned to a single publication, such as a yearbook, or to a group of similar publications, such as all of the hearings of a congressional committee. Documents are listed on the shipping list in numerical order by their item number.

4b. Classification No. A Superintendent of Documents classification number is assigned by GPO to each document on a shipping list. In many libraries this number will be the document's call number, but not at Cornell. The SuDocs classification system groups publications by their issuing agencies, then by type of publication.

4c. Title. This should correspond to the title on the publication and will be the way in which you will locate documents on the shipping list.

5. Opening depository shipments. Boxes and microfiche bags often contain several shipping lists. Paper documents listed on a -P shipping list are generally packed in the box on top of their shipping list, so remove all items from the box until you reach the first shipping list. The documents will not be in item number order, but they should be listed on the shipping list. Stamp each document in the upper right hand corner of the cover (or title page if the cover is shiny) with the ink stamp which says "Depository <today's date>". Find the document by its title on the shipping list and make a pencil check over the item no. and classification. Tangible electronic documents, generally CD-ROMS, are received in boxes with the paper documents but are listed on their own -E shipping lists. If you can do so, remove the booklet or title sheet from inside the top of the CD-ROM jewel case and stamp with the depository stamp. In addition, place a Federal Publication sticker in the lower left-hand corner of the front of the jewel case. If a CD-ROM or diskette comes in a paper container, stamp and write on the container.

Digital documents are received from Marcive, Inc. and covered under [Procedure #77](#).

Microfiche documents are usually received in bags from a GPO microfiche contractor and are listed on -M shipping lists. Because Cornell does not select many of the microfiche item nos., it often will be easier to reverse the shipment receipt process for a bag of microfiche and to first determine what we do not receive before checking in what we do receive (see Item Lister below). The fiche which are listed on a shipping list will generally be folded inside that shipping list. Remove the contents of the bag carefully, as there will be multiple shipping lists. Stamp all fiche envelopes with the depository date stamp in the upper right-hand corner. Find the fiche or group of fiche on the shipping list and place a pencil check on the item number (for a group of fiche with the same item number you should first be sure that all fiche listed are received). You do not need to write the item no. on all fiche. When many fiche are received on a shipping list with the same item number they will be banded together, write the item number on the top fiche only (example: Item no. 830-H-14).

A paper shipment box may contain a Separate -S shipping list. Match the Depository Shipping List number against the separate packages which are stored behind the receiving table and open all of the boxes which have the appropriate SL# on the white label. Stamp hardcover books on the first page inside the cover in the upper right-hand corner. Stamp softcover books as appropriate. Pencil-check each item no. on the shipping list.

A paper shipment box may contain a Separate 2023< > -S shipping list. These shipping lists list NIMA (National Imagery and Mapping Agency) maps. These separate map shipments are addressed directly to the Map Department and should be received there (if a bag is delivered by Shipping to our table do not open; write Maps on this bag and put on the Maps delivery shelf ). Mail this shipping list in a campus envelope and address to the maps librarian.

5a. Missing Shipping List. You may find publications in a shipping box or bag which are not on any shipping list. This probably means that the shipping list was not included in the container. You will need to obtain a shipping list in order to receive these documents by checking shipping lists in PDF Format on the FDLP Desktop at <https://www.fdlp.gov/>. Enter the shipping list number, which you can probably guess or ask for the latest shipping list by format.

6. Item Lister. Item Lister provides an electronic list of all item nos. which are available for depository library selection. Open your web browser and go to [https://selections.fdlp.gov/OA\\_HTML/gpolibItemLister.jsp](https://selections.fdlp.gov/OA_HTML/gpolibItemLister.jsp) Select "non-selections", enter our depository library number "0388" and click the "submit" bar. The Item Lister will create a list of all item numbers which our depository 0388 does not select. Match the item nos. which you have not checked off on each shipping list against this list. If the item number appears on the non-selections list, write NO next to the number on the shipping list.

7. Claims. If an item number has not been checked on the shipping list, and if it does not appear on the "non-selections" Item Lister list, then you may need to send a depository claim for this publication. First, look beside the Item no. on the shipping list to see if either a "+" or "%" symbol appears. These items have not been sent to our library at this time and should not be claimed. Be sure to check through your mail to see that you have not overlooked the publication during check-in. If this is an item number which we should have received but did not, and it has not been rain-checked or shipped short, then you should send a depository claim. Sending a claim for an item on a GPO-issued shipping list: Use the Web Claim form on the FDLP Access Desktop and submit the claim to GPO electronically at <http://www.fdlp.gov/webclaimform> Print a copy of the Web Claim form as submitted and file in the GPO Depository Claims folder. Sending a claim for an item on a microfiche shipping list: With a ruler draw a box around the item or items not received. Write in the information at the bottom of the shipping list, including our depository library #, SL # and address. With a pen sign the documents librarian's name and again fill in our library number. Fax or mail the original complete shipping list (all pages) to the microfiche contractor at the address on the shipping list. File one of the shipping list copies in the file marked "Claims on GPO Deposit". Receiving a claim: A paper shipping box may include a paper or electronic item which you have previously claimed. Generally, the item will have the original claim form which you submitted attached to it. Stamp the item, pencil check it on the original list that is now filed and write the item number. Pull the shipping list copy from the GPO Claim folder and discard. Microfiche claims are mailed to us in an envelope. The strip which you had written on, including the shipping list #, is attached to the microfiche but the rest of the shipping list is not returned. Pull the claim from the GPO Claim folder and check the item on the claim copy which you filed in the shipping list file.

8. Distribution. Many depository documents are serials. Check in serials and periodicals in FOLIO. Place depository documents which are monographs, pamphlets or other non-serial material on the documents review shelf behind the receiving table. Mark maps Maps and place on mail shelf for Maps (near 110-C office).

9. GPO Depository Microfiche. Microfiche received on deposit are handled in the following ways:

- a. Cataloged serials to which a microfiche number has been assigned are checked in and/or added to FOLIO holdings record. These are usually depository serials which used to come in paper but now come in fiche. These serials generally share one bibliographic record and have two holdings records, one for paper with a call number and one for fiche with a sequential microfiche number.
- b. Monographs are generally not cataloged. They are filed in the (orange) GPO Microfiche File in Olin's Maps, Microtexts, Newspapers Department in SuDocs classification order.

10. Maps. Most depository maps are received directly in the Maps Department. Maps staff check the shipping lists, stamp the maps, make any claims and process the maps. Maps from the USGS and from NIMA (formerly Defense Mapping Agency) are received directly. Other maps and charts are received in our regular depository shipments and should be sent directly to Maps for processing. The most common ones are:

- a. Nautical charts and recreational charts from National Ocean Service. These are generally received in tubes and listed on separate shipping lists. Open the tubes and check the charts on the shipping list but do not stamp them (they will be stamped in Maps). Add the chart number to the MARC holdings record of Bib#3796122 or Bib#3796124. Return the map to the tube and take to Maps.
- b. Forest Service maps (Item no. 80-G).
- c. CIA Maps (Item no. 856-A-1).

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## B. United Nations Depository

1. Our U.N. Depository Library number is DL-6.

2. U.N. depository materials arrive in boxes, envelopes and shrink-wrapped packages. They are labeled with the return address of the United Nations, but not always clearly designated as depository shipments with DL-6 on the label. The containers and their contents are distinctive, however, and will be recognizable as U.N. depository materials.

3. Symbol documents. The majority of U.N. depository publications received are symbol documents. Many of the working documents (called "Masthead documents" by the U.N.) of the main United Nations organs are now received only in electronic form as part of the United Nations Official Document resource or ODS. Our depository continues to receive the Official Record symbol documents in paper form. Each document has printed on it a United Nations document series symbol (example: A/AC.105/703). (Some documents with covers may have the symbol printed on the title page or title page verso only.) These documents are received in boxes or smaller containers in random order. Serials are to be checked-in. Monos and symbol documents go on the documents review shelf.

3a. Sales Documents. As part of our U.N. deposit we receive a number of publications which are also sold by the United Nations Sales Office. These documents have United Nations symbols and also U.N. Sales numbers. These publications do not look like other symbol documents. They generally have colored covers and are monograph firm orders or serials, rather than meeting documents. Put monographs on the documents review shelf. Sales documents which are serials generally check in FOLIO even if they have United Nations symbols. Check for a FOLIO check-in or bibliographic record. A special category of serials is Yearbooks. (Examples: Demographic Yearbook, Energy Statistics Yearbook, Statistical Yearbook, National Accounts Statistics). We often receive a depository copy of a yearbook and maintain a standing order for one or more additional copies for unit libraries. It is important to distinguish the depository copy from the standing order copy of a Yearbook and check it in on the appropriate FOLIO record, because the depository copy is free to the receiving library and the standing order copies are charged to selectors' bookfunds. Rule of Thumb: Depository copies of yearbooks have paper covers and no invoice. Standing order copies often have hard covers and arrive with invoices and/or packing lists. Periodicals received on U.N. deposit may or may not have a United Nations series symbol. (Examples: Cepal Review, Industry and Environment, Monthly Bibliography, Monthly Bulletin of Statistics, United Nations Chronicle). Check-in periodicals in FOLIO.

4. Documents without Symbols. Interspersed with symbol documents or arriving separately, will be U.N. documents which do not have symbols. If they are serials, check them in in FOLIO. If they are monographs or pamphlets, stamp them (with the depository stamp) in the upper right hand corner of the cover or title page, place them on the Documents review shelf. If they are new serials give to the documents specialist to set up for decision review.

5. Check-in. All publications to be checked in as serials or added as monographs should be stamped with the depository stamp in the upper right hand corner.

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### **C. European Union Depository - Cancelled in 2015**

1. Our library is a European Documentation Center. Our registration number is 00204606.

2. Depository copies of EU publications are mailed to us separately as they are published, generally in mailing pouches or clear bags. Identify an EU depository publication by the label or sheet inserted in the mailing bag. The label will have our registration number "00204606" on it and the mailing address "Cornell University Library, Documents Section, 110-B Olin Library, 14853-5301, Ithaca, NY 14853, ETATS UNIS d'Amerique."

3. Stamp the depository copies with the depository stamp in the upper-right hand corner of the publication's cover or title page.

4. We receive other EU publications which are not depository. These come on mailing lists from other EU departments. You can distinguish these publications by the labels on their packages. The labels have numbers which are not our registration number and often are addressed to individuals, the Serials Department, or have purchase order numbers as part of the address. Do not mark these publications with the depository stamp.

5. Check EU serials in on FOLIO. Put monographs and pamphlets on the documents review shelf. Give new serials to the documents specialist to set up for decision review.

6. CLAIMS. Like U.S. depository serials, EU depository serials may be claimed only when we fail to receive them in an official depository shipment. Each month we receive a list called Resume of Publications Sent. The Resume lists all depository publications sent to us in the previous month. Monthly, the Resume is checked against FOLIO (by the documents specialist) to identify any publications which have not been received. Claims are then sent on the official form to the EUR-OP "Information Networks" Distribution Section.

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### **D. MAILING LIST DOCUMENTS**

1. Many documents are received by us through agency mailing lists. This is how we receive our state documents, including New York State when we cancelled our New York State paper depository shipments in 2011. We also receive U.S., municipal, foreign and international organization documents in this way.

2. Open these documents and keep the mailing envelope, generally sliding this inside the publication. This will be an aide for identification in FOLIO check-in for serials or identifying orders.

3. Check in serials in FOLIO and place monographs and other materials on the documents review shelf.

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### **E. RECEIVING ORDERS**

1. The Government Printing Office (GPO) is our source for copies of federal documents which we do not receive on deposit. We have standing orders, and place unit orders on our GPO deposit account. Our GPO deposit account # is 080484-9.

2. GPO STANDING ORDERS. Standing order documents arrive in boxes or envelopes with a card recording the publication's title and year and/or volume number. Identify a standing order by the standing order code on the card, standing order numbers begin with "Z" (example: ZSTAC for the Statistical Abstract of the United States or ZIRSC for Internal Revenue cumulative bulletin). To receive a standing order, match card and book and stamp card with the Cornell University Library date stamp. There is no order form in the GPO Orders file for a standing order publication. Give the card to the documents specialist for filing. Place book on the serials check in shelf for FOLIO check in, writing "GPO" in the upper right hand corner of the first page.

3. GPO UNIT ORDERS. Unit orders are placed online on GPO Access at the U.S. Government Online Bookstore. Unit orders are received in boxes or envelopes with a card recording the quantity, publication stock no. (order no.), title and year and/volume number (for serial volumes) and price. To receive a unit order, match card and book and check for quantity. Stamp the order and the card with the Cornell University Library date stamp. If the book is a monograph, receive and fastcat as appropriate. Serials are placed on the shelf for FOLIO check-in. Give the card to the documents specialist for filing.

### **LIBRARY OF CONGRESS, CATALOGING DISTRIBUTION SERVICE (CDS)**

1. The Cataloging Distribution Service of the Library of Congress supplies Library of Congress publications which we do not receive on deposit. We have standing orders and place unit orders with CDS when requested. CDS no longer establishes deposit accounts as of 2014, prior to that our CDS deposit account # was 193003.


2. CDS publications arrive in boxes with 8 1/2 x 11 white packing slips. Standing orders for serials will not have an order form. Place standing order items on serials check-in shelf for FOLIO check-in. To receive a CDS unit order, pull Library of Congress Correspondence file from Documents file. Stamp the order with the Cornell University Library date stamp. Put serials on check-in shelf for FOLIO check-in. Follow any instructions written on the order for monographs or new serials.

### **DOCUMENTS WITH INVOICES**

1. Some documents are received with invoices, both monographs and serials, both standing orders and unit orders.


2. Documents with invoices come from dealers (example: World Bank, International Monetary Fund, Council of Europe) or from individual government agencies. Some of our regular dealers, such as Rowman & Littlefield, send books and invoices separately.

3. Serial volumes which come on standing orders with invoices are paid and checked in on receipt. Create a FOLIO invoice record. Pay the invoice, adding the POLs (the title or titles) to the FOLIO invoice record, inputting any required information and saving the invoice. Pay Postage (Fund 999) under

Adjustment 1 

Description *	Amount *	Type	Pro rate *	Relation to total *	Export to accounting
Postage / handlr	112.44	<input type="radio"/> % <input checked="" type="radio"/> \$	Not prorated ▾	In addition to ▾	<input checked="" type="checkbox"/>

Remaining amount to be distributed: \$0.00

Fund ID *	Value *	Type	Amount	
999 Postage (999) ▾	100	<input type="radio"/> % <input checked="" type="radio"/> \$	\$112.44	

[Add fund distribution](#)

"Adjustments"

4. Monographs with invoices have been ordered in FOLIO with a purchase order. Search FOLIO and locate the order record. Create a FOLIO invoice record. Add the POL or POLs and receive the title to the FOLIO invoice, input any fields required and save the invoice. Put a library flyer in the book and fastcat as appropriate.

4a. Invoices without invoice numbers. (Assigning a CUL number). Monographs may be received from government agencies on bills without invoice numbers. If this occurs, use the Bates consecutive number stamp and stamp once at the top of the bill. Write cul in front of this number. Create a FOLIO invoice and use this number as the invoice number. Pay as in 4.

5. Shared Invoices (Council of Europe). Council of Europe shipments, from Manhattan Publishing, mix monographs and serials, and also are shared by Olin and Law. Pay for the serials, including the Law serials, and give the monographs and invoice to the Approvals coordinator. Send Law a copy of the invoice and any books for processing (we do NOT receive anything for LAW).

#### PREPAID ITEMS & PROCUREMENT CARD PAYMENTS

1. Sometimes we must send a government agency a check or pay with a credit card before we can receive the material we want. Prepaid items have FOLIO invoice records and purchase orders. Receiving prepaid items requires the additional step of pulling the prepaid order from the Documents prepayment folder.

2. Items paid with the procurement card have a procurement card order in the **Procurement Card Charges** folder in the Documents file. Pull this record, place in the book along with the receipt and place on Serials check-in shelf.