Order – Acquire – Disseminate [v.3]

1. Order Request Submitted

Order requests are submitted in many ways, therefore mode of order request receipt (GOBI, e-mail, etc.) is not specified.

2. Real Time Acquisitions or EOD File Available?

Real Time Acquisitions matches or creates bib records in the NZ or IZ using various APIs and matching rules. For details see the Ordering – Real Time Acquisitions workflow posted on the ULMS Project Wiki /*will provide a link when other workflow is posted.*/ and the [Real Time Acquisitions blog entry] on the Developer Network. As of August 2016 Real Time Acquisitions is only compatible with YBP and Harrassowitz and Coutts.
Using EOD to order creates bib records and PO Lines automatically via normalization rules and import profiles (see details in Section 6 of this document).

Real Time Acquisitions or EOD File Available?

- ➢ If NO proceed to section 3
- ➢ If YES proceed to section 6

3. Search for bib record

Search results appear in three tabs – Institution, Network or Community.

- The Institution tab shows all records, physical and electronic, that are available to your institution. Institution Zone records can be locally created records only accessible to your institution, or shared records that reside in the Network or Community Zones.
- The Network tab shows bib records for items held within the CSU system. This includes CO maintained electronic resources and physical titles held by other libraries in the CSU. The “Held By” (for physical items) and “Available For” (for electronic items) fields indicate what your institution can access.
- The Community tab displays records for electronic resources in Alma across all Alma Institutions.

For detailed screenshots of the differences between each type of search, action links in each tab see OLH Topic [Searching in the Repository]. The [Search Result Icon table] on this page may be particularly helpful in deciphering where the bib record originated from and what type of access your institution has.

Acceptable match found?

- ➢ If NO proceed to section 4
- ➢ If YES proceed to section 5

4. Create or import new bib record

The method for importing and creating bibliographic records is determined by the type of record being imported or created. This process is outlined in more detail in the following workflow:

/*link to other workflows with more detail about cataloging in the NZ vs. IZ here. Once these processes are solidified I will try to provide a brief summary in this section, if it's possible to do so*/

5. Create PO Lines and inventory in Alma

There are 3 ways to create PO Lines in Alma:

- Manual creation
- Real Time Acquisitions API (see Ordering – Real Time Acquisitions workflow) /*will link directly once up on the project wiki*/
- Import an EOD file – see section 6

Manual PO Line Creation

Role required: Purchasing Manager, Purchasing Operator

Breadcrumbs: Find the title you want to purchase using the Search Box.

In the search results, click the Order link to create a POL. Fill in and verify information on POL screen.

Inventory is automatically created when a POL is created unless otherwise specified. If you opted to assign inventory manually you'll need to do so before it can be sent for packaging.

For step-by-step instructions see Online Help (OLH) Topic Manually Creating a PO Line.

Configuration options

Enable/Disable PO Line Types

Role required: Acquisitions Admin, General Systems Admin

Breadcrumbs: Acquisitions > Acquisitions Configuration > Configuration Menu > Purchase Orders > PO Line Types

PO Line Types inform the workflow the item will go through and the inventory created as a result of the purchase. PO Line Types are based on format (physical or electronic) and continuity type (one-time or continuous). PO Line Types cannot be changed in configuration, only enabled or disabled.

See OLH topic Enabling/Disabling PO Line Types.

Default Acquisition Method

Role required: Acquisitions Admin, General Systems Admin

Breadcrumbs: Acquisitions > Acquisitions Configuration > Configuration Menu > Purchase Orders > Acquisition Method

Configure default acquisition method (purchase, approval plan, etc.) that automatically appears in the drop down list when creating a PO Line.

See OLH topic Configuring the Default Acquisition Method.

- ➢ Proceed to section 7

6. Place Order or Import EOD file to create bibs and POLs

If Real Time Acquisitions is used, placing the order with the vendor will trigger bib record and POL creation in Alma.

If your institution is using EOD the file must be imported to trigger bib and POL creation.

EOD import

Role required: Purchasing Operator, Purchasing Manager, Catalog Manager, Catalog Administrator

Breadcrumbs: Acquisitions > Import > Import

Import or FTP the file using a New Order import profile configured for EOD.

If report status = “manual handling required” click the link to find out what the issue is and resolve it. You can also view successful status reports if you wish to do so.

OLH Topic Resolving Import Issues may help troubleshoot import problems.

See OLH Topic Importing Records Using an Import Profile.

Configuring EOD import profile

New Order import profile must be used. There are 2 ways to create a new import profile:

- Copy an existing profile
- Create a new profile from scratch

Copy an existing import profile

Role required: Purchasing Operator, Purchasing Manager, Repository Admin, Catalog Admin, General System Admin

Breadcrumbs: Resource Management > Resource Configuration > Configuration Menu > Record Import > Import Profiles

Find the Profile you want to copy. Select Actions > Copy.

Modify appropriate data.

See OLH Topic Managing Import Profiles.

Create a new profile from scratch

Role required: Catalog Administrator

Breadcrumbs: Resource Management > Resource Configuration > Configuration Menu > Record Import > Import Profiles

Add New Profile and select New Order as Profile Type.

The Import Profile Details Wizard will guide you through set up. This is where you schedule the job to retrieve the files at regular intervals.

/*Will insert the following text if TSWG policy recommends adding everything to the NZ: Configure match actions to “Use NZ record” if a match is found instead of creating a new record. Also specify Add to NZ if no match is found.*/

See OLH Topic Managing Import Profiles.

For step-by-step instructions to create Normalization Rules (for stepe 3 in the Wizard) see OLH Topic Working with Normalization Rules.

Configuration Options

Purchasing Review Rules

Role required: Acquisitions Admin, General Systems Admin

Breadcrumbs: Acquisitions > Configuration Menu > Purchase Orders > Purchasing Review Rules

Only for use with EOD imports or Create POL API.

Indicates whether or not PO Lines must be reviewed by staff prior to packaging.

Input parameters: assertion code (type of alert generated, for example “Already have inventory”), acquisition method, vendor code, PO line type, source type

Output: True = PO lines sent for review, False = PO lines not sent for review and goes to packaging

See OLH Topic Configuring Purchasing Review Rules

7. Purchase Order used to pay for items?

- If NO proceed to section 10
- If YES proceed to section 8

8. Review and package PO Lines

Review

PO Lines are sent for review if:

- there are data issues associated with the line (ex: incomplete or missing information)
- a purchase review rule indicates that PO Lines created by an EOD file or the Create POL API require manual review. Configuration options outlined above in "Purchasing Review Rules."

Role Required: Purchasing Operator, Purchasing Operator Extended, Purchasing Manager
Breadcrumbs: Order lines – review – [assigned to you or unassigned] in task list

Depending on your role and the PO Line you may perform the following actions to a PO Line in review: edit, assign or release assignment, start a trial, order now, defer, relink (to another bib record), cancel, delete.

See OLH Topic Reviewing PO Lines.

Package

Packaging PO Lines is the process of creating a PO to send to the vendor. Manual or Automatic PO Line packaging is specified at the time of PO Line creation.

Automatic Packaging

PO Line Packaging Job must be enabled:
Role required: Acquisitions Admin, General System Admin
Breadcrumbs: Acquisitions > Acquisitions Configuration > Configuration > Acquisitions Job Configuration

Configure frequency and numerical item limit for PO Line packaging.
Vendor acct, owner, currency, continuity, acq method, source type and fund must be the same for POLs packaged together.
See OLH topic Configuring the PO Line Packaging Job.

Manual Packaging

Role Required: Purchasing Operator, Purchasing Manager
Breadcrumbs: Acquisitions > Purchase Order > Package OR Order lines – packaging in Task List

Check off each PO line you want to include on the PO and click Create New PO.
Once PO is created it is ready for approval.
See OLH Topic Packaging PO Lines into a PO.

Configuration options

Shipping Method

Role required: Acquisitions Admin, General Systems Admin
Breadcrumbs: Acquisitions > Acquisitions Configuration > Configuration Menu > Purchase Orders > Shipping methods

Create additional shipping methods available in the drop down list options during manual PO Line packaging.
See OLH topic Configuring Shipping Methods.

9. Review, approve and send PO to vendor

PO Review

Role required: Purchasing Operator

Breadcrumbs: Acquisitions > Purchase Order > Review OR Orders – review in task list

If information is missing or invalid when the PO is created it is sent for review. Once the information is corrected the PO moves to Approval.

See OLH Topic Packaging PO Lines into a PO > Reviewing POs.

/*does the review page indicate what was missing or made the PO go into review? PO *Line* review does indicate this but not sure about PO Review.*/

PO Approval

Automatic approval

Automatic PO approval is configurable by Ex Libris. In this case, once the PO Lines get packaged into a PO and reviewed, the PO moves through approval and is sent to the vendor without staff intervention.

Manual approval

Role required: Purchasing Operator

Breadcrumbs: Acquisitions > Purchase Order > Approve OR Orders – approval in task list

Verify vendor and order information. Edit, delete or approve and send the PO.

For E-Resources an Activation Task is automatically created after approval.

See OLH Topic Approving and Sending POs.

Sending

Configuration options

PO Line Cancellation Reasons

Role required: Acquisitions Admin, General Systems Admin

Breadcrumbs: Acquisitions > Acquisitions Configuration > Configuration Menu > Purchase Orders > PO Line Cancellation Reasons

Add to the dropdown list of reasons available for selection when a PO Line has been cancelled.

See OLH topic Configuring PO Line Cancellation Reasons.

10. Receive invoice

11. Create invoice in Alma

There are 3 ways to create an invoice in Alma

- EDI
- Excel Import
- Manual Creation or Creation from a PO

For step-by-step instructions for each method of invoice creation and information about VAT or accrual accounting see OLH Topic Creating Invoices.

EDI

Configuration

Role required: Vendor Manager

Breadcrumbs: Acquisitions > Acquisitions Infrastructure > Vendors

Select a vendor to configure. Navigate to the EDI Information tab. Consult directly with the vendor for information needed to fill in all the fields. This tab is also where you schedule the FTP job to send and receive files.

The EDI Information Tab Fields table on the OLH page [Electronic Data Interchange (EDI)] describes in detail what information is required in each field.

Additional configuration details may be found on the Developer Network page [EDI Integration in Alma].

Configuration note: You must check the Invoices box in this tab to ensure receipt of invoices.

Working with EDI files

Role required: Invoice Manager, Invoice Operator

Breadcrumbs: Search for the vendor in the search box.

EDI files can be found in the Attachments tab. You may edit, delete, download, reload or view a report for an EDI file.

See OLH Topic Electronic Data Interchange (EDI) > [Working with EDI Files].

Excel import

Role Required: Invoice Manager, Invoice Operator, Invoice Operator Extended

Breadcrumbs: Acquisitions > Receiving and Invoicing > Create Invoice

Creating the excel file: once the "From file" invoice creation option is selected on the Create Invoice page there is a link to an "Excel example" download that can be used as a template for your import.

Once a file is uploaded on the Create Invoice page click Monitor jobs OR navigate to Administration > Manage Jobs > Monitor Jobs to see job progress and correct any errors indicated in the Alerts section.

Manual or From PO

Role required: Invoice Manager, Invoice Operator, Invoice Operator Extended

Breadcrumbs: Acquisitions > Receiving and Invoicing > Create Invoice

Manually: Select "Manually" on the Create Invoice page and enter invoice details.

Create invoice lines, assigning PO Line number, quantity, price, reporting code, funds, adding notes or attachments in the corresponding tabs.

From PO: Select "From PO" on the Create Invoice page. Search for and select PO. Invoice lines auto-populate from the PO, one invoice line for each PO Line. Edit as needed and save.

The Alerts tab indicates any errors or system generated messages.

Configuration options

Reporting Codes

Role required: Acquisitions Admin, General Systems Admin

Breadcrumbs: Acquisitions > Acquisitions Configuration > Configuration Menu > Purchase Orders > Reporting Codes

Configure reporting codes used for acquisitions analytics. Codes are selected from a drop down menu during invoice creation.

See OLH Topic [Configuring Reporting Codes].

VAT Codes

Role required: Acquisitions Admin, General Systems Admin

Breadcrumbs: Acquisitions > Acquisitions Configuration > Configuration Menu > Invoices > VAT Codes

Establish a VAT percentage that can be assigned to an invoice or invoice line as a default instead of manually entered every time.
See OLH Topic Configuring VAT codes.

Default Payment Method

Role required: Acquisitions Admin, General Systems Admin

Breadcrumbs: Acquisitions > Acquisitions Configuration > Configuration Menu > Invoices > Payment Method

Configure the default displayed in the dropdown menu when selecting payment methods during new invoice creation.
See OLH topic Configuring the Default Payment Method.

Invoice Line Type

Role required: Acquisitions Admin, General Systems Admin

Breadcrumbs: Acquisitions > Acquisitions Configuration > Configuration Menu > Invoices > Invoice Line Types

Configure what special invoice lines automatically appear on each new invoice (shipment, insurance, overhead and discount automatically appear out-of-the-box).
OLH topic Configuring Invoice Line Types.

12. Review and approve invoice

Review

Role required: Invoice Operator, Invoice Operator Extended, Invoice Manager

Breadcrumbs: Acquisitions > Receiving and Invoicing > Review OR Invoice – review in the Task List

On the Review screen you can edit, delete or reassign invoices.
See OLH Topic Reviewing Invoices.

Configuration options

Invoice review rules

Role required: Acquisitions Admin, General Systems Admin

Breadcrumbs: Acquisitions > Acquisitions Configuration > Configuration Menu > Invoices > Invoice Review Rules

Invoice Review Rules come into play after invoices pass Validation but generated an alert.
Input Parameters are: assertion code (type of alert generated, for example “Currency different from PO”), vendor code, invoice line number, invoice creation process.
Output Parameters: True = Send for manual review, False = Don’t send for manual review.
See OLH topic Configuring Invoice Review Rules.

Approve

Role required: Invoice Manager

Breadcrumbs: Acquisitions > Receiving and Invoicing > Approve OR Invoice – approval in the Task List

Browse or search for invoice. Once found you may edit, reassign or delete the invoice.
Click Approve to move invoice to Payment or Needs Additional Review to send back to review.
See OLH topic Approving Invoices.

Configuration options

Invoice approval rules

Role required: Acquisitions Admin, General Systems Admin
Breadcrumbs: Acquisitions > Acquisitions Configuration > Configuration Menu > Invoices > Invoice Approval Rules

Input parameters: Assertion code (type of alert generated, for example "Currency different from PO"), vendor code, invoice line number or invoice creation.

Output values: True = automated approval, False = manual approval.

See OLH Topic Configuring Invoice Approval Rules.

Invoice Disapproval Reasons

Role Required: Acquisitions Administrator, General Systems Admin
Breadcrumbs: Acquisitions > Acquisitions Configuration > Configuration Menu > Invoices > Disapprove Reasons

Add invoice disapproval reasons available in the drop down list.

See OLH Topic Configuring Invoice Disapproval Reasons.

13. Pay Invoice

/*This section requires the financial integration testing to be completed. CSU San Marcos and the Chancellor's office are currently working on this integration.*/

14. New/additional License required?

- If NO proceed to section 16
- If YES proceed to section 15

15. Create/update license record in Alma

Role required: License Manager
Breadcrumbs: Acquisitions > Acquisitions Infrastructure > Licenses

License information does not affect access or other functionality, license records in Alma are for record keeping.

Click add license and fill in information on the tabs presented by the license creation wizard:

- Summary – General information, date ranges, status.
- License Terms – terms of use, restrictions, etc.
- Inventory – populated if you associate the license with an activated e-Resource in your IZ

See OLH Topic Managing Licenses and Amendments.

Configuration options

License Sections Order

Role required: Acquisitions Admin, General Systems Admin
Breadcrumbs: Acquisitions > Acquisitions Configuration > Configuration Menu > Licenses > Sections Order

Configure the order each section appears in the License Terms tab. The name of each section is fixed but you can move them around or enable/disable sections depending on your institution's needs.

See OLH topic Configuring License Sections Order.

License Terms

Role required: Acquisitions Admin, General Systems Admin

Breadcrumbs: Acquisitions > Acquisitions Configuration > Configuration Menu > Licenses > Manage License Terms

Configure how you want license terms to appear in the License Terms tab. You may add or reorder terms and configure public display options.

See OLH topic Managing License Terms.

License Storage Locations

Role required: Acquisitions Admin, General Systems Admin

Breadcrumbs: Acquisitions > Acquisitions Configuration > Configuration Menu > Licenses > License Storage Locations

Define locations for physical license storage available in the drop down when adding a license.

See OLH topic Configuring License Storage Locations.

License Review Status

Role required: Acquisitions Admin, General Systems Admin

Breadcrumbs: Acquisitions > Acquisitions Configuration > Configuration Menu > Licenses > License Review Status

Define statuses available in the status drop down menu that describe where the license is in the review process.

See OLH topic Configuring License Review Statuses.

16. Receive or Activate resource

Physical Material Receiving

Role required: Receiving Operator

Breadcrumbs: Acquisitions > Receiving and Invoicing > Receive OR search for your PO Line in the Search Box

Ensure that you are “Currently At” the correct location to receive the item you are working with. Verify Received Date on the screen is correct. Check Keep in Department if additional work is required prior to shelving. A work order is automatically created if checked and Next Step is selected. Click Manage Items > Edit inventory to add barcode or other item information.

See OLH Topic Receiving Physical Material.

Configuration options

Item sort routines

Breadcrumbs: Resource Management > Resource Configuration > Configuration Menu > General > Physical Item Sort Routines

Role Required: General System Admin

Create a customized way to sort/view items in the Receive Items list.

See OLH topic Configuring Physical Item Sort Routines.

Receiving department validations

Role required: Acquisitions Admin, General Systems Admin

Breadcrumbs: Acquisitions > Acquisitions Configuration > Configuration Menu > General > Receiving Department Validations

Activate department validation checks when an item exits receiving (for example: activate a dialog box asking if item has a barcode before leaving Receiving).
See OLH topic Configuring Receiving Departmental Validations.

Electronic Material Activation

Role Required: Electronic Inventory Operator, Electronic Inventory Operator Extended
Breadcrumbs: Resource Management > Manage Inventory > Manage Electronic Resource Activation
OR Electronic resources - activation in the Task List

Ensure that you are "Currently At" the correct location to receive the item you are working with.
From the E-Resources Activation Task List page you can edit, activate, test access, assign, change the status and delete the task.
Electronic collections are activated using the Activation Wizard. Search for the Electronic Collection in the search box. Look in the:

- Community tab for brand new resources that are not maintained by the CO
- Institution tab for new collections that were not found or not ordered in the CZ
- Note: The Network tab shows CO maintained resources but no local activation is required for each institution. The resource will appear as "Available for" your institution if you have access through the central license.

Once the appropriate collection is located click the Activate link and follow the steps of the Activation Wizard, entering information about the collection, services and activation method.
Click Actions > Done to remove the title from the Task List.
Portfolios do NOT need to go through the Activation Wizard. Portfolios require confirmation that the resource can be activated by clicking Actions > Activate.
Databases do not require activation; they are automatically activated.
Batch Activation: You can activate a collection or selected portfolios via Excel file upload. Details on batch activation can be found in the OLH Topic listed below.
See OLH Topic Managing Electronic Resources > Activating Electronic Resources.

17. Additional processing required?

- If NO proceed to section 20
- If YES proceed to section 18

18. Send to work order department

Role Required: Work Order Operator AND Receiving Operator OR Purchasing Operator
Breadcrumbs: Fulfillment > Resource Requests > Manage In Process Items OR
Acquisitions > Post-Receiving Processing > Receiving Department Items

Work orders are created to handle items that require additional processing before going to the shelf (for example copy cataloging, adding call number stickers, etc.).
Browse or search for the record on the In Process Items page. From the Actions button you can edit inventory, add notes, update expiration dates, print slips or un-receive. On this page you can also change the status of the record.
See OLH topic Post-Receiving Processing.

Configuration options

Work order types

Role required: General System Admin

Breadcrumbs: Administration > General Configuration > Configuration Menu > Work Orders and Departments > Work Order Types

Work order types indicate the general process to be carried out on an item (for example binding or cataloging).

See OLH Topic Configuring Work Order Types.

Work order type statuses

Role required: General System Admin

Work order statuses indicate what task within the work order process is being performed on a resource. Additional tasks may be specified by configuring work order type statuses (for example, adding a status to distinguish between the item residing in the on-site bindery or off-site bindery).

See OLH topic Configuring Work Order Types > Configuring Work Order Type Statuses.

19. Work order completed

20. Item/Resource available

Physical items must be scanned once they are ready for shelving to set the status from In Transit to Item in Place.

Role required: Requests Operator

Breadcrumbs: Acquisitions > Post Receiving Processing > Scan In Items

Select Done > Yes on the screen and enter information in the Scan item barcode field. Alma will indicate the next location for the item.

Points of Consideration for the Technical Service Working Group

The TSWG needs to make policy recommendations and clarifications in the following areas to allow for increased granularity in forthcoming workflows:

- Network Zone cataloging for new Physical Items
    - Are we cataloging in OCLC prior to importing a bib into Alma?
    - What types of records can go into the NZ? Can brief bibs go in the NZ? Do we suggest using brief bibs or having an acq staff member obtain a bib from OCLC or link to appropriate NZ record (even though they are not technically catalogers)?
    - Vendor provided bibs – can those go into the NZ? If some can't and some can how will we record and update this information?
    - Match rules – what parameters are used to compare and match imported records? Establish rules for NZ and recommendations for IZ?

- E-Resources policies
    - Recommendation of when to link to the CZ for collections and eBooks – what is a "good enough" record? How will this list be maintained and distributed pre and post-migration?
    - Will best practices include what to include in records to better organize electronic collections and portfolios? Or will this be left up to each institution? Is this practice necessary in Alma?