Managing Acquisitions Workflows in Alma

ExLibris
a ProQuest Company

Session Objectives

- Session Description:
  This session will expose attendees to end-to-end acquisitions workflows and best practices. Topics include workflows for: purchasing, receiving print materials, and invoicing.

- Session Objectives
  - By the end of this sessions you will be able to:
    - Understand how library acquisitions workflows take place in Alma
    - Set up vendors, ledgers, and funds
    - Purchase, receive, and invoice print materials in Alma
    - Configure purchasing and invoicing rules

Agenda

1. Overview
2. Vendors, Ledgers and Funds
3. Purchasing Workflows
4. Receiving Workflows
5. Invoicing Workflows
6. Next Steps, Support Resources and Feedback

- **Overview**
- Vendors, Ledgers, and Funds
- Purchasing Workflows
- Receiving Workflows
- Invoicing Workflows
- Next Steps, Support Resources and Feedback

Library Acquisitions Workflows

Place an order → Receive or gain access to items → Pass items to cataloging → Shelve physical items → Pay for the items

Create purchase order → Mark item received or activate item; catalog and shelve → Create an invoice

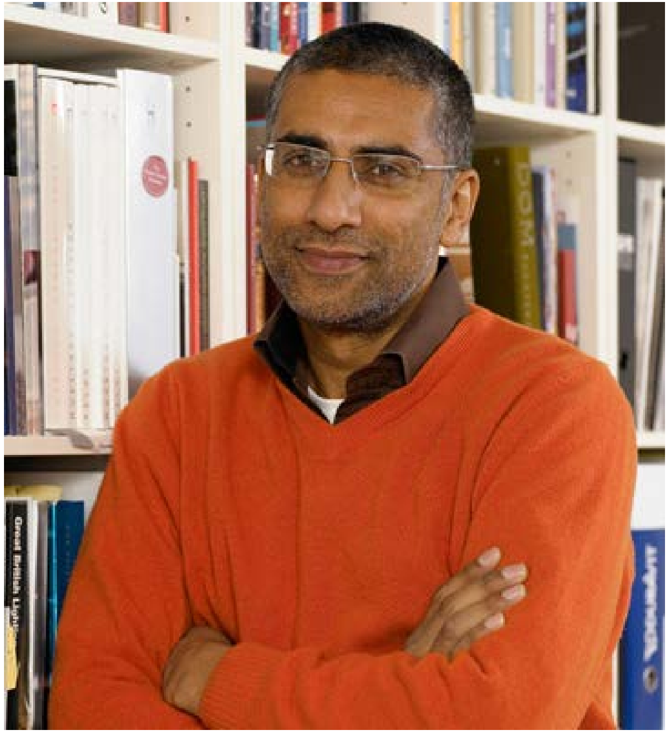
Acquisitions Workflows in Alma

Place an order → Receive or gain access to items → Pass items to cataloging → Shelve physical items → Pay for the items

Purchasing → Receiving or Activating → Invoicing

Acquisitions Roles in Alma

- Acquisitions administrator
- Vendor manager
- Ledger manager
- Fund manager
- License manager
- Purchasing manager, operator and extended
- Receiving operator, limited
- Invoice manager, operator and extended
- Selector, extended
- Trial manager, operator, participant



Acquisitions Types

	One time	Continuous / Subscription	Standing
Physical	Closed when received & invoiced One holding created per location One item created per copy Use for print books, media, microfilm…	Open until canceled One holding created per serial run One item created per issue Use for serial subscriptions	Open until canceled Inventory created manually Not received through receiving workbench Use for approval plans, memberships, series monographs…
Electronic	Closed when invoiced/activated Standard activation; activated indefinitely Use for single-payment e-resources	Open until canceled Standard activation; can be activated for range of subscription Use e-resource subscriptions	N/A; use electronic subscription.

- Overview
- **Vendors, Ledgers, and Funds**
- Purchasing Workflows
- Receiving Workflows
- Invoicing Workflows
- Next Steps, Support Resources and Feedback

ExLibris

Vendor and Vendor Accounts

Vendor

- Aggregators/publishers that sell library materials
- Need to define vendor before creating purchase orders

Vendor Account

- Describes how to perform business activities with a specific vendor
- Active vendors must have at least one account with at least one payment option selected

Alma Role = Vendor Manager

Vendor Types

Material Supplier

- Supplies reading material or subscriptions to materials.

Access Provider

- Provides access to electronic resources.

Licensor

- Provides licenses to other vendors' electronic resources.

Governmental

- Provides material or access, and receives use tax (VAT) for an invoice payment from non-governmental vendors.

SUSHI Vendor

- Provides COUNTER (Counting Online Usage of NeTworked Electronic Resources) compliant usage statistics.

Ledgers and Funds

Ledgers

- A collection of funds
- Defined for a fiscal period and currency
- Defined for institution or individual libraries
- Contains rules determining over-encumbrance and over-expenditure

Funds

- Money in an account
- Fiscal period and currency are inherited
- Rules are inherited from ledger, but can be overridden

Alma Roles = Ledger Manager, Fund Manager

Fund Types

Allocated

- Used for purchases and invoices
- Includes allocations and transfers

Summary

- Not used for ordering or invoicing
- Provides aggregate reporting on subordinate (child funds)
- Cannot add allocations or perform transfers to a summary fund

Transaction Terminology

Available Balance

- Money available for use in an allocated fund
- *[Available balance] = [allocated amount] – [encumbrances] – [expenditures]*

Cash Balance

- Money currently in fund/ledger
- *[Cash balance] = [allocated amount] – [expenditures]*

Transaction

- Financial activity that may impact the fund’s balance
- Allocations, encumbrances, disencumbrances, expenditures, transfers

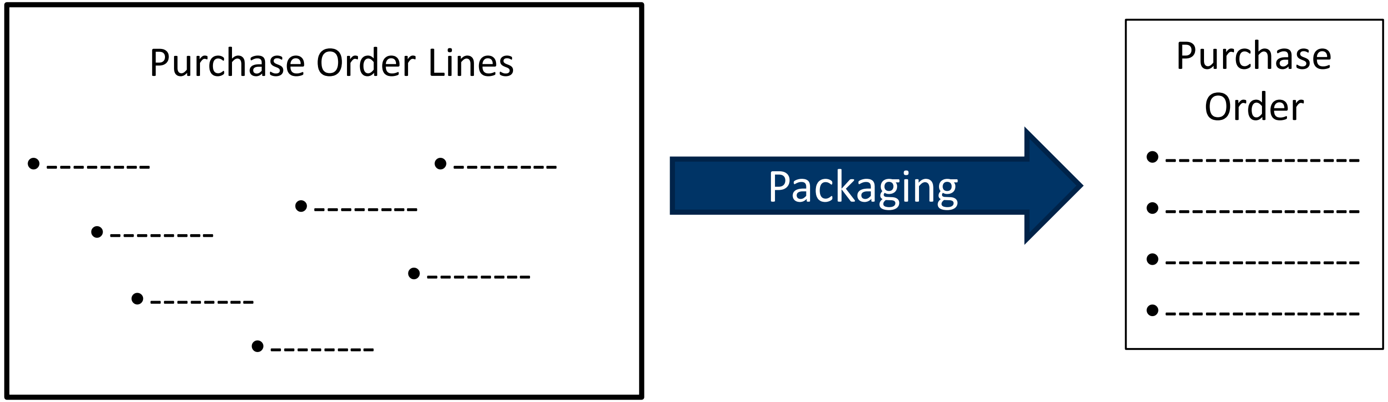
- Overview
- Vendors, Ledgers, and Funds
- **Purchasing Workflows**
- Receiving Workflows
- Invoicing Workflows
- Next Steps, Support Resources and Feedback

Starting Points for Purchases

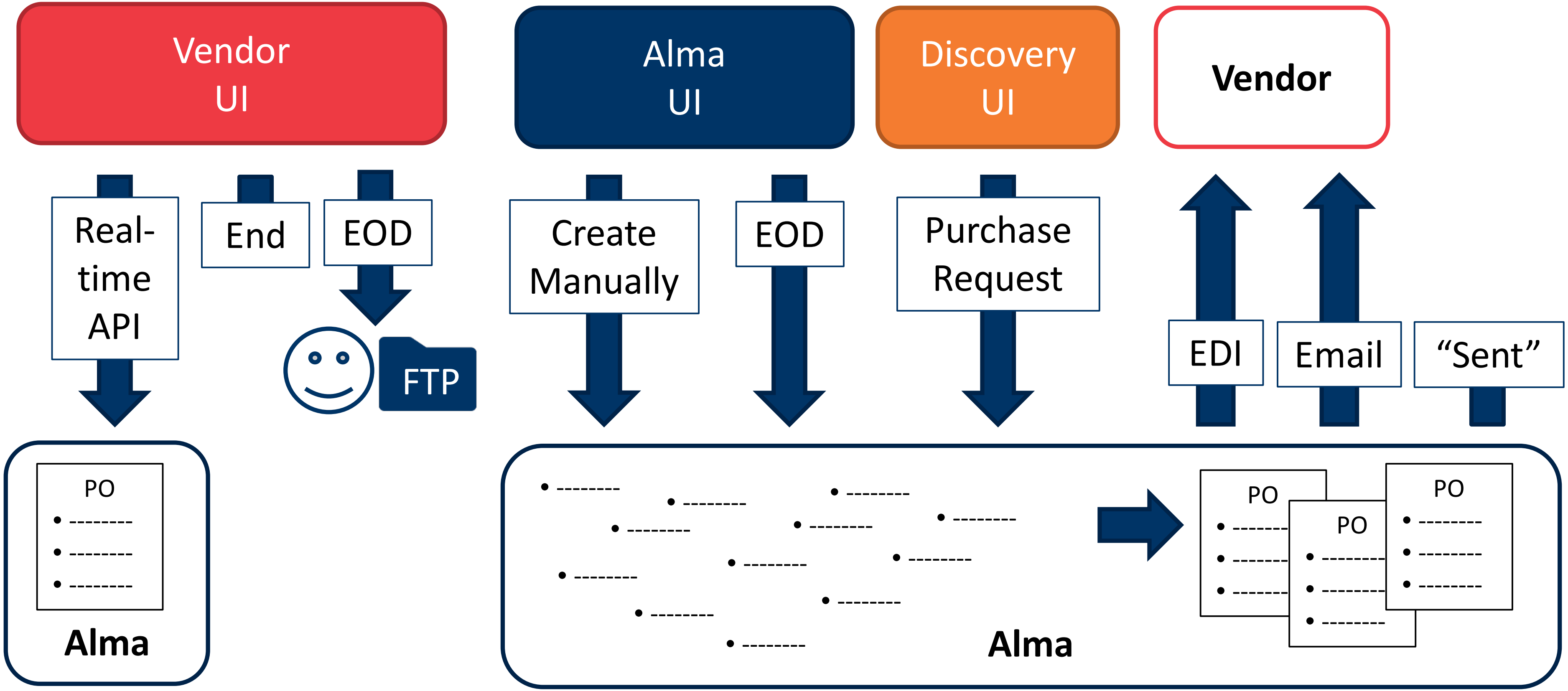
Vendor UI

Alma UI

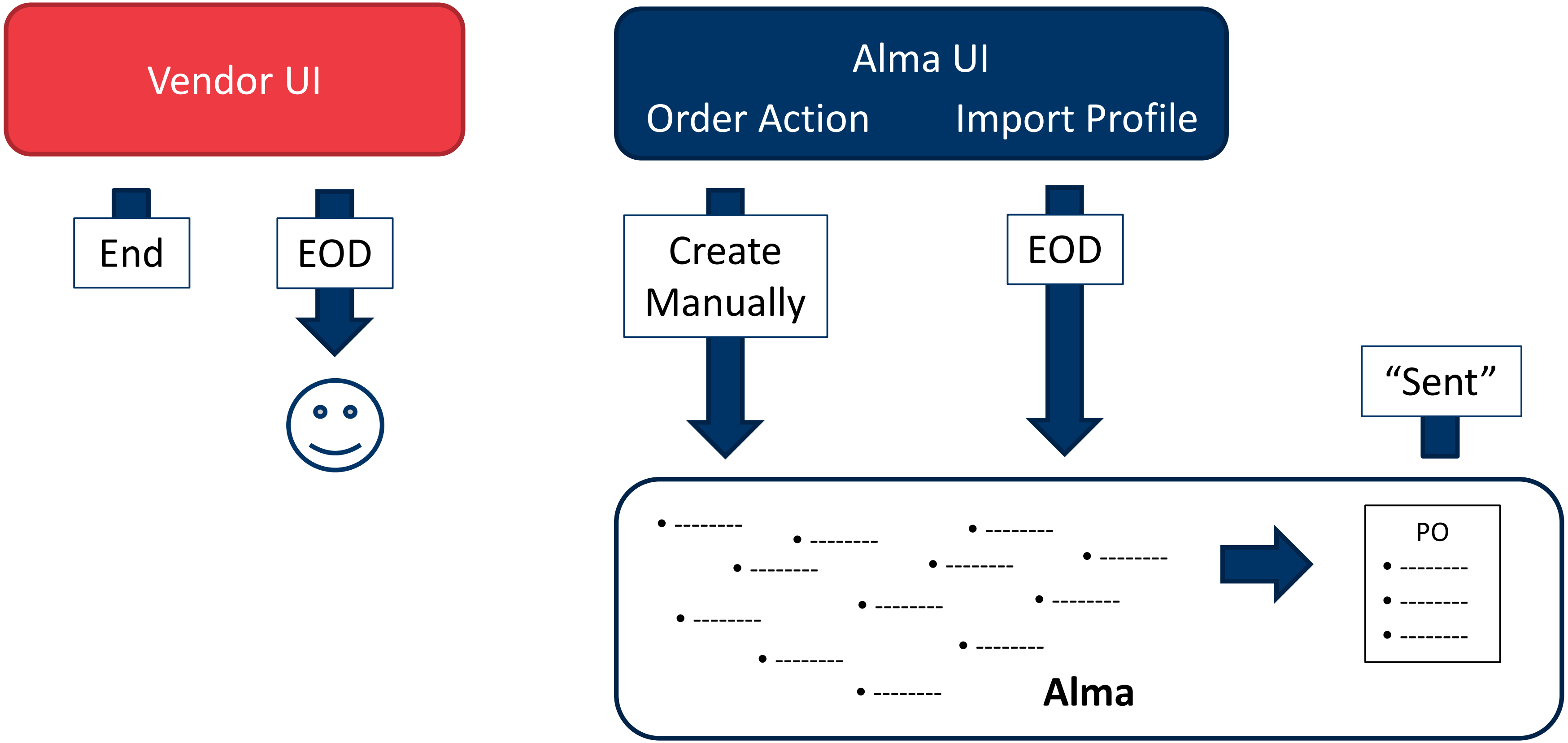
Discovery UI



Purchasing Workflow Options



Workflows Covered Today



- Overview
- Vendors, Ledgers, and Funds
- **Purchasing Workflows**
  - **Create Orders Manually**
  - Use Import Profiles to Upload EOD
  - Configure Purchasing Review Rules
- Receiving Workflows
- Invoicing Workflows
- Next Steps, Support Resources and Feedback

Purchasing Workflow: Create Orders Manually

PO line created
- Funds encumbered
- Inventory generated & attached to bib record

PO line validated
- Automatic validation

PO created
- Automatic: by packaging job
- Manual: staff select PO lines to package

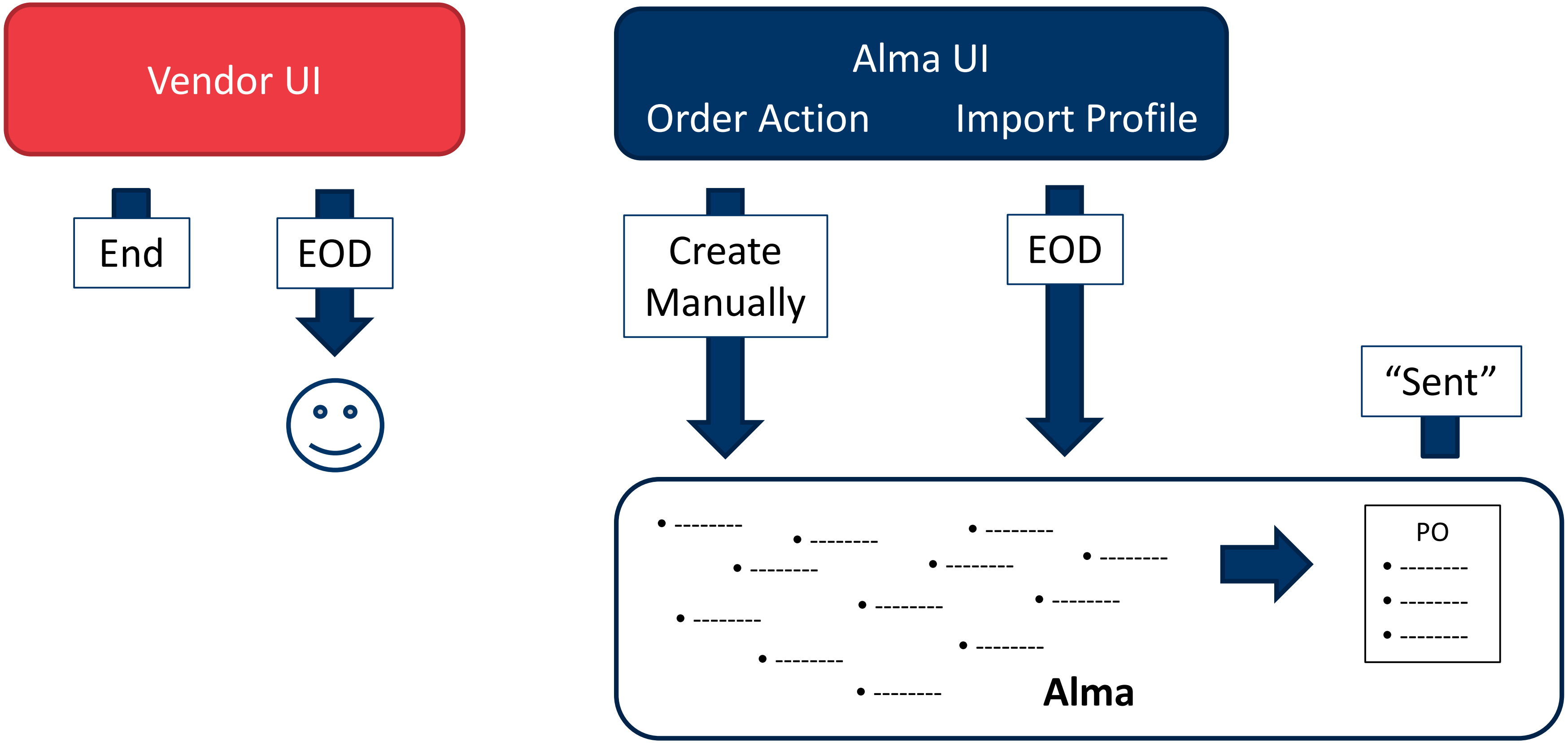
PO validated
- Automatic validation

PO approved
- Default: Automatic approval

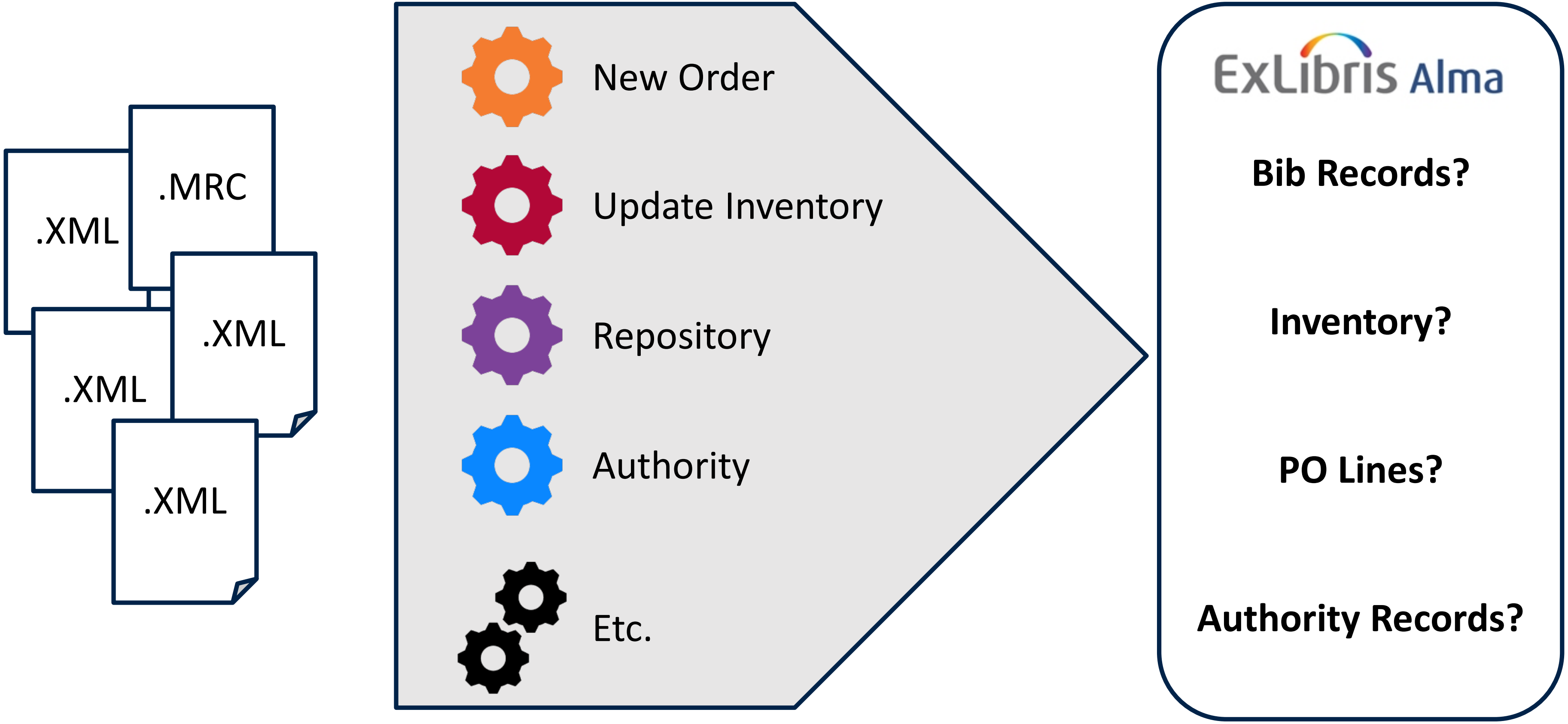
PO sent to vendor
- EDI
- Email
- Marked Sent

- Overview
- Vendors, Ledgers, and Funds
- **Purchasing Workflows**
  - Create Orders Manually
  - **Use Import Profiles to Upload EOD**
  - Configure Purchasing Review Rules
- Receiving Workflows
- Invoicing Workflows
- Next Steps, Support Resources and Feedback

Workflows Covered Today



What are Import Profiles?



The New Order Import Profile

New Order

Match Profile
- Identify matches?
- Handle matches?

PO Line Information
- Vendor?
- Fields to Map to PO

Profile Details:
- Upload or FTP?
- XML or Binary?

Management Tags:
- Publish to discovery?
- Synch with other systems?

Mapping
- Funds?
- Locations?

Normalization and Validation
- Filter out records?
- Correct the data?

Inventory Information
- Electronic, Mixed, Both?
- Fields to map?

Embedded Order Data (EOD)

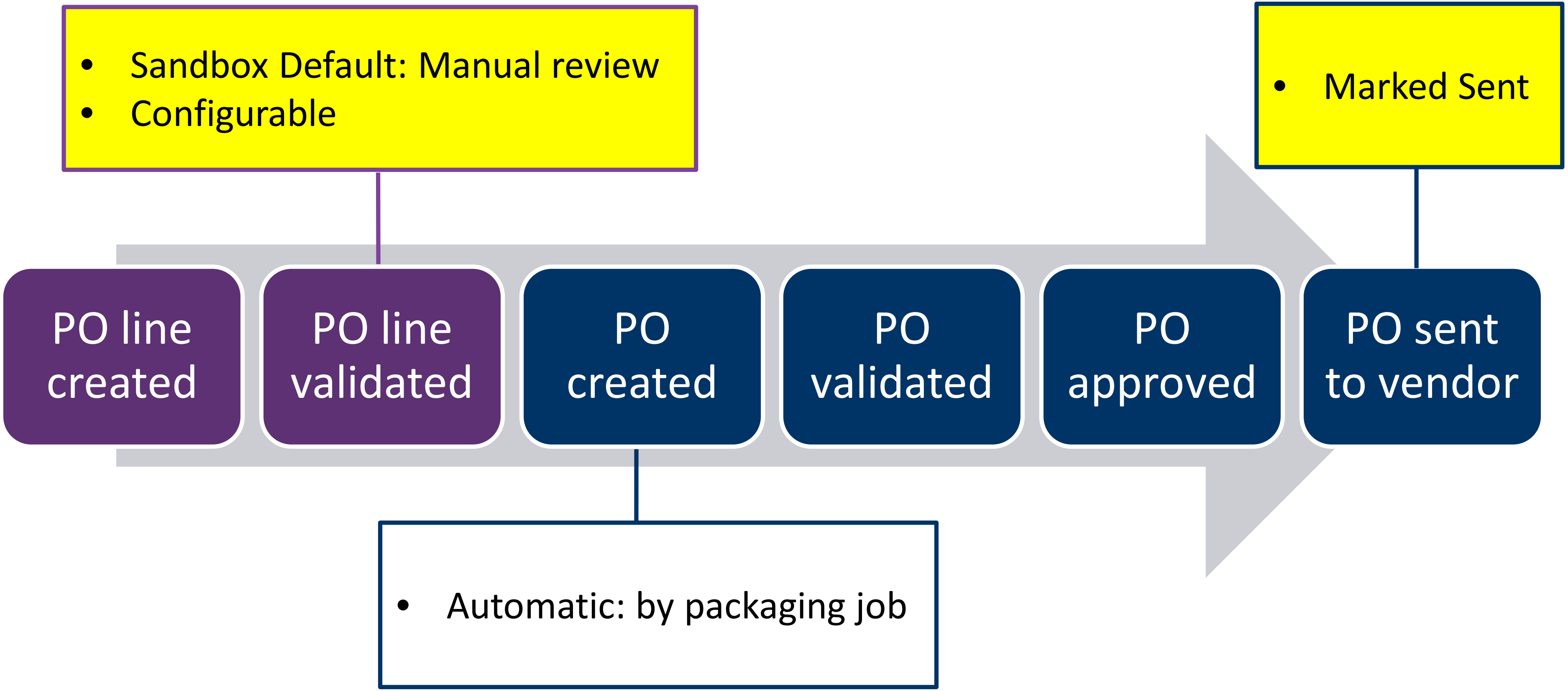
```
<?xml version="1.0" encoding="UTF-8" ?>
<marc:collection xmlns:marc="http://www.loc.gov/MARC21/slim" xmlns:xsi="
http://www.w3.org/2001/XMLSchema-instance" xsi:schemaLocation="http://www.loc.gov/MARC21/slim
http://www.loc.gov/standards/marcxml/schema/MARC21slim.xsd">
    <marc:record>
        <marc:leader>04771cam a2200481 i 4500</marc:leader>
        <marc:controlfield tag="001">19294561</marc:controlfield>

        <datafield tag="852" ind1=" " ind2=" ">
            <subfield code="y">2</subfield>
        </datafield>
        <datafield tag="980" ind1=" " ind2=" ">
            <subfield code="b">30.00</subfield>
        </datafield>

    </marc:record>
    <marc:record>

</marc:collection>
```

Number of items

List Price

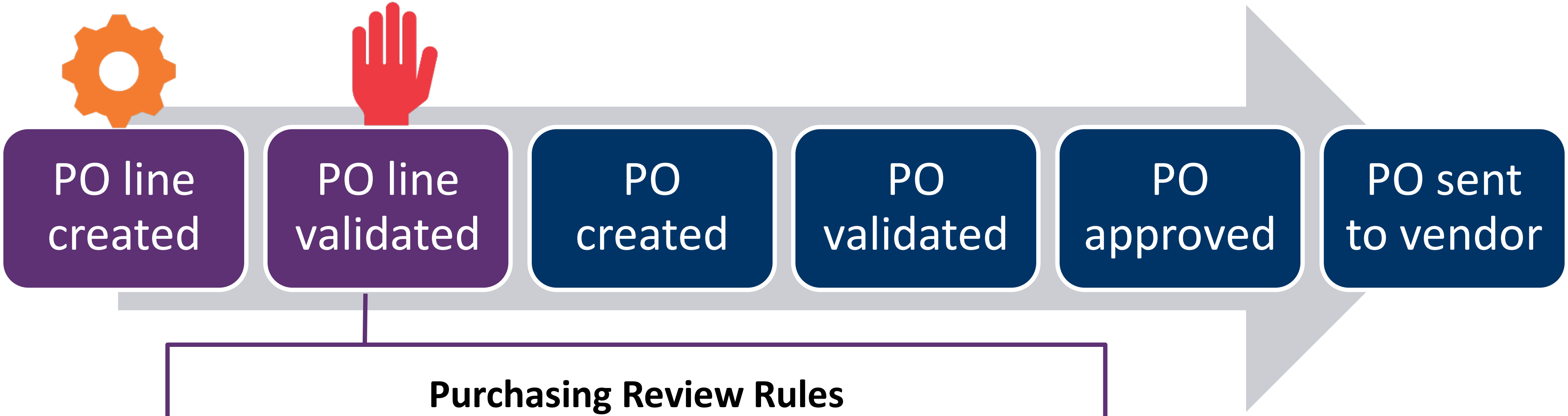
- Barcode
- Vendor
- Vendor Account
- Fund

Purchasing Workflow: Import Profiles for Uploading EOD



- Overview
- Vendors, Ledgers, and Funds
- **Purchasing Workflows**
  - Create Orders Manually
  - Use Import Profiles to Upload EOD
  - **Configure Purchasing Review Rules**
- Receiving Workflows
- Invoicing Workflows
- Next Steps, Support Resources and Feedback

Purchasing Review Rules



Purchasing Review Rules

- Determine whether PO Lines:
  - Are validated and moved directly to packaging
  - Or, require staff review before packaging
- Apply to:
  - PO Lines created automatically, not manually
- Default rule is checked before other rules

- Overview
- Vendors, Ledgers, and Funds
- Purchasing Workflows
- **Receiving Workflows**
- Invoicing Workflows
- Next Steps, Support Resources and Feedback

Receiving Workflow

Alert generated if item does not have barcode or a full record

Physical item received

Receiving department validations applied

Item marked for shelving or additional processing

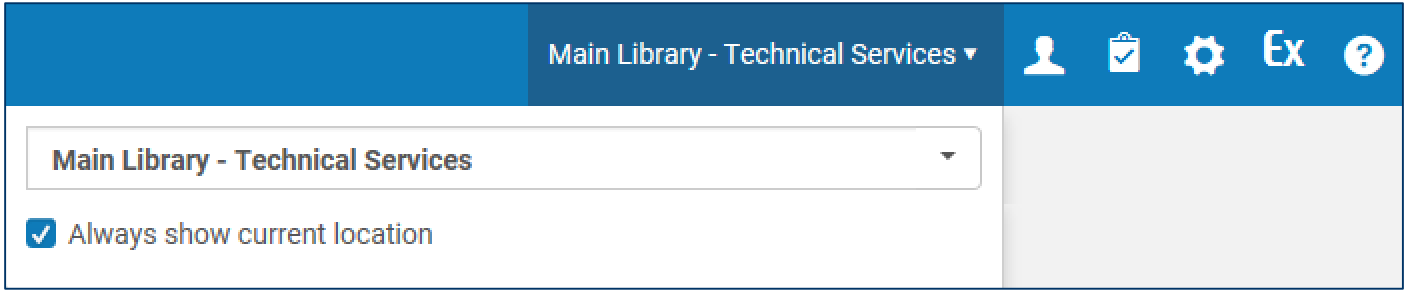
Claim created if applicable

Order renewed if applicable

Able to assign item a work order for additional processing

- Continuous orders
- Can be renewed automatically or manually

Select the Receiving Department



Alma Roles = Receiving Operator

Receiving Physical Items by Resource Type

One-time

- Received once
- Item record was created when it was ordered
- Item record updated when item received

Continuous/Serial

- Received at regular intervals
- Material received is connected to existing holding
- Able to configure prediction patterns to automatically create serial items

Standing Orders

- Received at irregular interval(s)
- For non-monograph material, multiple items are associated with a single holding
- For monograph material, unique workflow is invoked; standard receiving workflow not used

Alma Role = Receiving Operator

Receiving Physical Items by Outcome

Ready for Shelving

- Item(s) received
- Assigned barcode if needed

Needs additional processing

- Item(s) received
- Kept in Receiving Department
- Assigned Work Order Status:
  - *Copy cataloging*
  - *Original cataloging*
  - *Physical processing*
  - *Temp storage*
  - *Custom*

Priority Items

- Item(s) received
- Interested users
- Requests

Didn't Receive It

- Items(s) not received
- Claim created
- Can be created automatically or manually
- Can be sent via email or letter depending on type

Alma Role = Receiving Operator

- Overview
- Vendors, Ledgers, and Funds
- Purchasing Workflows
- Receiving Workflows
- **Invoicing Workflows**
  - **Working with Invoices**
  - Configuring Invoice Review and Approval Rules
- Next Steps, Support Resources and Feedback

Invoicing Workflow

- Can invoice through your financial system
- Can record payment manually

Invoice created → Invoice validated → Invoice approved → Reserved funds released → Invoice paid → Invoice closed or marked for renewal

- Manually
- From PO
- From File
- Automatically (EDI)

ExLibris

Invoice Statuses

- **In Review** - invoice was created but not yet reviewed
- **In Approval** - invoice is waiting for manual approval
- **Ready to be Paid** - invoice was approved and is ready to be sent to the ERP
- **Waiting for Payment** - invoice was approved and sent to the ERP (or skipped the ERP if the institution does not use one)
- **Closed** - invoice is paid and closed

Invoice Creation Methods

Manually

- Create invoice
- Add invoice lines manually by selecting PO lines
- Can select full or partial invoicing
- Used to invoice individual PO lines if there are discrepancies between invoice and PO

From PO

- Create invoice
- Add invoice lines based on PO Lines in a PO
- PO lines in the PO are marked as fully invoiced and closed

From File

- Can be Excel or EDI file
- Use a file on your local system to create the invoice
- Invoice creation runs as a batch job, and you receive an email notification when the job is completed

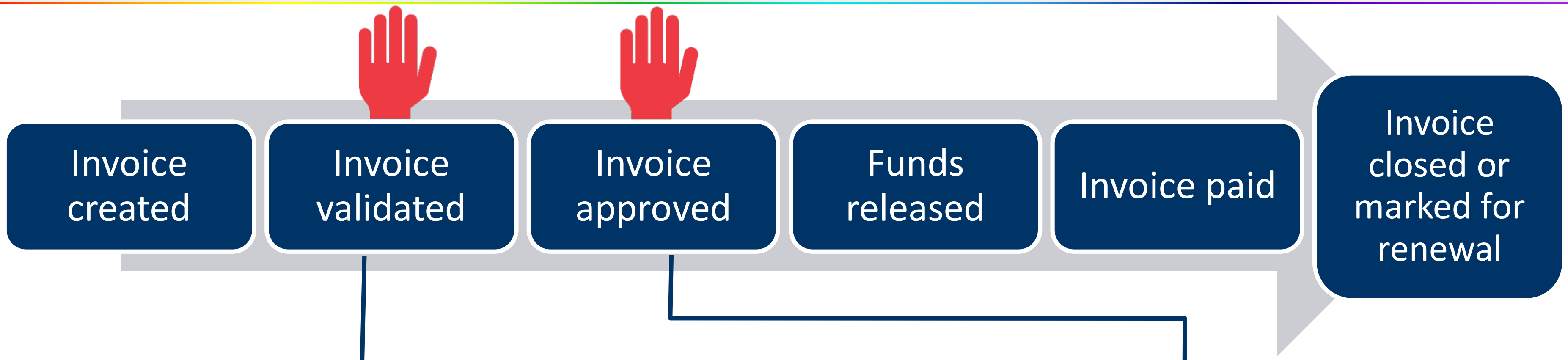
Automatically (EDI)

- Invoices can be created using EDI when the Invoices check box is selected on the EDI Information tab of the Vendor Details page

Alma Roles = Invoice Manager, Invoice Operator, Invoice Operator Extended, Receiving Operator

- Overview
- Vendors, Ledgers, and Funds
- Purchasing Workflows
- Receiving Workflows
- **Invoicing Workflows**
    - Working with Invoices
    - **Configuring Invoice Review and Approval Rules**
- Next Steps, Support Resources and Feedback

Invoice Review Rules and Approval Rules



Invoice Review Rules

- Determine whether validation:
  - Is automatic
  - Requires manual staff review
- Do *not* apply to invoices created manually
- Default rule is checked after other rules

Invoice Approval Rules

- Determine whether approval:
  - Is automatic
  - Requires manual staff approval
- Apply to all invoices
- Default rule is checked after other rules

- Overview
- Vendors, Ledgers, and Funds
- Purchasing Workflows
- Receiving Workflows
- Invoicing Workflows
- **Next Steps, Support Resources and Feedback**

Next Steps and Resources

- Acquisitions resources in the Ex Libris Knowledge Center:
  - Alma Online Help
  - Alma Essentials Training
  - Alma Administration Certification Training

- Additional support resources within the ExLibris Ecosystem:
  - Idea Exchange
  - Developer Network

- 2018 Technical Seminar Presentations

Questions?

Any Final Questions?

Thank You!