ACQB Learner’s Guide
Receipts and Invoices

Table of Contents

1. Introduction..........................................................................................................................3
   1.1 Accessing the Aleph Acquisitions Module ..................................................................3
2. Recording a Monograph Arrival .........................................................................................4
   3.1 Arriving (recording receipt of) a Single Monograph Order ..........................................6
      3.1.1 The Order Completely Arrived box ......................................................................8
      3.1.2 Removing Action Dates from the Order Log ......................................................11
      3.1.3 Item Processing Status for Arrived Orders ......................................................11
   3.2 Recording a Partial Arrival .........................................................................................12
3. Recording a Monograph Arrival While Paying an Invoice .......................18
4. Standing Order Characteristics .........................................................................................27
5. Recording the Receipt of a Standing Order ......................................................28
   6.1 Modifying the Order Form after the First Receipt of a Standing Order ...............32
   6.2 Manual Item Creation for a Standing Order Receipt ...........................................32
   6.3 Updating the HOL Record for a New Standing Order .............................................38
6. Duplicating an Existing Item Record, Setting Defaults and Closing a Standing
   Order .................................................................................................................................38
   7.1 Duplicating an Item ..................................................................................................38
   7.2 Setting and Deleting Defaults in an Item Form ......................................................40
   7.3 Changing the Status of a Standing Order to Complete ............................................40
7. Other Options for Recording Receipts of Standing Orders ..........................44
   8.1 Memberships and Blanket Orders ............................................................................44
   8.2 Other Types of Orders that Could be Processed as a Standing Order ..................44
8. Creating a New General Invoice ....................................................................................45
   9.1 Invoice Types ...........................................................................................................45
   9.2 General invoice Creation .........................................................................................45
   9.3 How to Make a Linked Monograph Payment .........................................................47
   9.4 Paying for a Line Item on another Budget .............................................................53
   9.5 Posting a Payment for Postage (Unliked Payment) .................................................58
   9.6 Deleting a Payment ..................................................................................................60

Revised December 12, 2011
© 2011 President and Fellows of Harvard College
http://hul.harvard.edu/ois/systems/aleph/docs/train-acqb.pdf
9.7  Split Coding ................................................................. 61
9.8  Editing a Line Item Payment ............................................. 63
9.9  Invoice Status Change ..................................................... 63

10  Credits, Deductions and Discounts ..................................... 64
10.1 Credit memos .................................................................. 64
10.2 Deductions ..................................................................... 65
10.3 Discounts ....................................................................... 65

11  Adjustment Invoices ............................................................ 65
11.1 XPCARD Vendor Code ...................................................... 66
11.2 Approval Process for Adjustment Invoices ......................... 66

12. Review Existing Invoice Information ...................................... 66
12.1 Locate an Existing Invoice Using the Invoice Bar .................. 66
12.2 The Invoice Tab-Line Items Node ...................................... 69
  12.2.1 The columns on the Line Items List ............................... 69
  12.2.2 The buttons on the Line Items List ............................... 69
  12.2.3 The Lower Pane of the Line Items Node ........................ 69
12.3 The Invoice Tab-The General Invoice Node ......................... 71
  12.3.1 The General Invoice Node Upper Pane ......................... 72
  12.3.2 The Lower Pane of the General Invoice Node .................. 75
12.4 Clearing Invoice Information ............................................. 76
12.5 Reviewing Invoices Using the Invoice Node on the Order Tab ... 77

13. Getting Help with the Acquisitions Module ............................. 80
1. Introduction

This class provides acquisitions staff with the basic skills to search for order information by using the Order Bar, Order Index or the Search Tab. The class will also instruct learners how to receive/arrive monographs and standing orders, create and modify item records in the Order Tab, and update holdings information in the Cataloging Module.

1.1 Accessing the Aleph Acquisitions Module

The Acquisitions/Serials Module will open.

All of the panes found in the Acquisitions Module are described in the ACQA class—please see the Learner’s Guide for this class to see the definitions of each pane.
2. Recording a Monograph Arrival

When you open your title on the **Order Tab**, you will see the **Order List** in the Upper Pane. Highlight your order on the **Order List**. You will see details of your order in the Lower Pane. **Tab 1** of the Lower Pane will give you a summary of the order information.

On the Navigation Pane to the left, you will see **Order Root** information that will include the **Order Number**, **Vendor Code** and **Order Status** of the order that is highlighted in the Upper Pane.

Specific details about this order are available on the Nodes beneath the **Order Root**.

One of these nodes is the **Arrival Node**. Next to the word **Arrival**, you will see a parenthesis with numbers inside. This parenthesis will provide you with a visual clue as to whether or not the order has arrived.

- The first number in the parenthesis indicates the number of items that have been processed as Arrived. If this number is 0, this means that none have yet arrived.
The second number indicates the number of copies ordered on this order, based on the **Number of Units** ordered field found on Tab 4 in the Lower Pane.

You can also see the Arrival Status of an Order by looking at the **Arr St** column on the **Order List**:

![Arr St Column on the Order List](image)

There are three possible values for **Arr St**:

- **None**: None Arrived
- **Ptl**: Some items on order processed as arrived
- **Cmp**: All items on order processed as arrived
3.1 **Arriving (recording receipt of) a Single Monograph Order**

1. Highlight the desired order from the **Order List** and click on the **Arrival Node** on the **Navigation Pane**. The **Arrival Window** will open on the right.

   ![Arrival Window](image)

   **Arrival Window**

   The Upper Pane will display the **Arrival List**. The Lower Pane will contain the **Arrival Expand Form**.

   **Columns on the Arrival List:**

   - **No. Units Ordered**: total number of units (copies) on this order
   - **No. Units Reported**: number of units that have already arrived (this will be zero since we have not yet received/arrived this book)

   **Header fields:**

   - **No. Units Arrived**: number of units already received/arrived
   - **Arrival Date**: date that unit was received/arrived
   - **Note**: free text (supplied from the **Arrival Expand Form**)

   These fields are automatically filled in by the system after a piece is received/arrived. Since we have not yet added this book, all of these fields are blank.

Revised December 12, 2011

© 2011 President and Fellows of Harvard College

http://hul.harvard.edu/ois/systems/aleph/docs/train-acqb.pdf
The buttons on the Arrival List:

- **Add**: This button will open the Arrival Expand Form in the Lower Pane
- **Delete**: to remove an arrival from the Arrival List (Does NOT delete the order, just arrival information).
- **Print**: to print an Arrival Slip (do this after you have received the piece)

2. Click on the Add button. An Acquisitions Administration Note box will pop up if the Library Note field on the Order Form has been filled in.

3. Read and follow any of the processing instructions from the Acq. Administration Note. Then click OK to close the Note. The Arrival Expand Form will open in the Lower Pane.

Information on the Arrival Expand Form:

- **No. Units Arrived**: The number of units that you are receiving/arriving now. This will default to the number of units reported, but you can change this to whatever number is appropriate.
- **Shipment Date**: date on which the vendor sent the shipment (optional).
- **Arrival Date**: defaults to the current date (but can be changed).
- **Note**: free text of up to 60 characters. If you are receiving a set, this is where you will record the volume number.
3.1.1 The Order Completely Arrived box

This box is checked by default for monograph orders.

- When the box is checked, the order is recorded as completely arrived (arrival status is `Cmp` on the Order List).
- When the box is not checked, the order is recorded as partially arrived (arrival status if `Ptl` on the Order List).

The buttons on the Arrival Expand Form:

- **Add**: to record the arrival
- **Cancel**: to cancel the arrival

4. Click on **Add** to record the arrival; the arrival will be recorded in the Arrival List on the Upper Pane:

Arrival List Denoting Receipt

Note that the **No. Units Arrived** and **Arrival Date** fields are now filled in.
5. Click **Print** button to print the **Arrival Slip**. The slip will print directly to your designated printer; a preview is shown here so you can see what it looks like:

![Arrival Slip Preview](image)

Arrival Slip

6. Click the **Order List Root** on the **Navigation Pane** on the left (or press the `<Ctrl>+<Alt>+L` keys) to return to the **Order List**. Note that the Arr. St. is now **Cmp** (complete). Also, if you look at the **Arrival Node** on the **Navigation Pane**, you will see that the parenthesis now says (1/1), indicating that one unit has arrived and one copy was ordered.
7. From the Navigation Pane, check to see if there is any action dates on the Order Log Node. If there are, the date will appear in parenthesis next to the words Order Log [e.g. (AD:12/21/2003)].

8. To review the Order Log Node, click on the Node from the Navigation Pane or press the <Ctrl>+<Alt>+G keys.
3.1.2 Removing Action Dates from the Order Log

If you find any action dates that are no longer relevant, highlight the entry containing the action date. You can highlight the text of the note and delete it. You can then click the Remove A. Date button to remove the Action Date. Note that the entry will not be deleted; just the text and the action date.

3.1.3 Item Processing Status for Arrived Orders

As you may recall from the ACQA class, when you create a monograph order in Aleph an item record is created at the same time. When the item is created, it is given an Item Processing Status of OR-On Order. This status displays in the public catalog so that the patron is aware that a particular library has ordered the piece.

When you Arrive a monograph in Aleph, the system changes the OR-On Order Status to RE-Ordered-Received. It does this automatically as you check the piece in and the Ordered-Received status will also display in the public catalog. Once the piece is cataloged, the cataloger will removed the RE status and the regular circulation policy ("regular loan", "in-library use" etc.) will display in the public catalog.

Here are the steps to check the current arrival status of the item:
1. From the **Navigation Pane**, click on the **Items/Subscription** Node, or press the <Ctrl>+<Alt>+I keys. Note that next to the words **Items/Subscriptions** the number of items associated with this order appears. When you click on the Node, an **Item List** will appear to the right in the Upper Pane and the Item Record will display on the Lower Pane.

More about the Item List and item record creation and editing will be covered in section 5, standing order receipts.

### 3.2 Recording a Partial Arrival

There are times when everything does not come in as expected. We will now demonstrate how to receive a partial order.

**To Record the Arrival of a Partial Receipt**

1. Search for your title using one of the search strategies described in section 2 and move it into the **Order Tab**.

2. Highlight your order on the **Order List** and review order details on **Tab 1** of the Lower Pane.
Arrival Node lists (0/2) indicating two copies ordered.

Order Info will also indicate 2 copies order in Number of Copies field

3. Click on the Arrival Node or press the <Ctrl>+<Alt>+A keys.

4. The Arrival List and Arrival Expand Form will display in the Upper and Lower Panes. Note that there are two units listed in the No. Units Ordered field -- this is because the order is for two copies.
Arrival List: Multiple Copies Ordered

5. Click the Add button to call up the Arrival Expand Form.

Arrival Expand Form: Multiple Copies

6. Note that the default for the No. Units Arrived field is “2.” If you only want to record the receipt of 1 copy:
   - Change 2 to 1 No. Units Arrived field.
7. **Uncheck** the **Order Completely Arrived** box. This will change the arrival status to Ptl (partial) on the Order List.

![Arrival Form Modified to Record Partial Arrival]

8. Click **Add** to record the arrival. You will see the arrival information on the **Arrival List** in the Upper Pane.

![Partial Arrival on Arrival List]
The **No. Units Ordered** is still 2 while the **No. Units Reported** has changed to 1. The window under the Header fields is now filled in: the **No. Units Reported** is 1, the **No. Units Arrived** is 1 and the Note explaining the status of c. 2 is displayed.

9. Click on the **Order List Root** from the **Navigation Pane** or press the <Ctrl>+<Alt>+L keys to go back to the **Order List**

![Order List with Partial Arrival](image)

Order List-Arr St Ptl (Partial)

Note that the **Arr. St.** is now **Ptl** (partial).

10. Click the **Order Log** Node from the Navigation Pane or type the <Ctrl>+<Alt>+keys.

11. Click **Add** to add a **General Note**.

12. Type “second copy backordered; due 11/2007” in the **Log Text** field. Set the appropriate **Action Date**; click the **Add** button -- the note is added to the log.

Revised December 12, 2011

© 2011 President and Fellows of Harvard College

http://hul.harvard.edu/ois/systems/aleph/docs/train-acqb.pdf
Note Added to Order Log

You will see the **Action Date** added in parenthesis to the **Order Log Node** on the **Navigation Pane**. The order will appear on the order log report when the Action Date expires.
4. Recording a Monograph Arrival While Paying an Invoice

You will learn about invoice payments below, so we will focus mostly on the arrival portion of this procedure.

Creating an Invoice and Paying for a Monograph Order

**Note:** Before you begin processing the invoice, you must know the order number of your order.

1. Click on the **Invoice Bar**, which is the third bar from the top of the **Acquisitions Module**.

2. Enter a vendor code (e.g. “Yankee.”) If you do not know the Vendor code, click on the **List Box** to the right of the Vendor field to open the **Vendor List**. Here you can search for a vendor by name or code. Click **Select** to enter the vendor code into the **Invoice Bar**.

3. Enter an invoice number (use the vendor's invoice number or, if the vendor did not supply an invoice number add a number according to your local library practice) into the second field. Note that invoice numbers for each vendor cannot be duplicated in Aleph (i.e., you cannot have two Yankee invoices numbered 1234 even if they are for different sub-libraries and/or have different dates). Please also note that if you use alphabetical characters, you must differentiate between uppercase and lowercase letters.

4. Click on the **Blue Arrow** or press <Enter>. If this is a new invoice, the system will bring up a dialog box asking you to confirm that you wish to create the invoice:

   ![New Invoice Confirmation Box](image)

5. Click **Yes** to confirm. This will open the Invoice Tab and display the **General Invoice Form** in the Upper Pane.
6. Enter invoice total of (e.g. 50.00) in the **Net Amount** field.

7. Make sure that the **Debit** radio button is filled in (this is the default).

8. Enter **Invoice Date** (type a date or choose one from the calendar that is accessible from the drop-down arrow).

9. Click **Update** to file the invoice.

The **General Invoice & Line Items** screen appears (note that the invoice number and vendor name appear in the title bar).
10. Click on the **Line Items Node** from the **Navigation Pane** to add the line item for your order. The **Line Items window** will open in the Upper and Lower Panes.
Line Items Node and Window

11. To add a **Line Item**, click the **Add** button. This will bring up the **Get Order** window.

**Get Order Window**

**Order Number** will be the index selected by default, but you can change the index to search for your order via other indices by clicking on the down arrow next to **Order Number**. For purposes of this demonstration, an order number will be entered into the **Index Text** field. The **OK** button will darken.

12. Click **OK**. The **Get Order** window will disappear, and the Lower Pane will be opened to the **Invoice Line Item Expand Form**. The **Vendor Code** and **Invoice Number** fields will be filled in from the values you supplied on the **General Invoice Form**. The **Estimated Price** field will be filled in with the value that you entered into **Tab 4** of the **Order Form** in the **Price** field.

**Invoice Line Item Expand Form**

You can check the details of this order before you pay the invoice by clicking on the **Tab 2, Order Info** (you can also press the **<Alt>+2** keys.)
Order Info Tab

13. Check the order information in the **Order Details** window. You can view order details by either clicking on the **Order Details** window in the background or clicking the **View Order** button in the **Line Item** window.

   - It is important to check the order information here before making payment.

14. Close the Order Info Tab to return to the Line Item Expand Form.

15. Enter Net Amount (e.g. 50.00).

16. Type in or select Object Code.

17. Verify that the Debit radio button is filled in (this is the default).

18. Verify that the Number of Units field is filled in correctly.

   Also note that the Invoice Completely Received box is checked off. This indicates that the invoice *for this particular order*, NOT the invoice itself, is completely received. Keep this box checked off if your order is completely paid for with this line item payment.

19. Click Add to record payment (note: if you do not have a budget encumbered for this piece, or if you wish to pay on another budget, you will have to add or modify a budget. See the invoice section below for more information about modifying budgets.)
Invoice Line Item Expand Field Filled in

20. A dialog box appears with the message, “Would you like to record the material as having arrived?” This is the point of arrival -- there will be no Arrival Form to fill in. Click Yes. A Library Note box will pop up if this field was filled in on the Order Form. You are not given the option of printing an Arrival Slip.

Arrival Note on Invoice

21. Click Yes if you wish to arrive the material. If there are any processing instructions in the Library Note field of the Order Form, this information will display in an Acq. Admin. Note. After reading any notes, click OK. The Line Item payment will display in the Upper Pane, which will display the payment you just made.
Line Item Displayed on Invoice

- The amount in the **Total Amount Gen. Inv.** field should match the amount in the **Total Amount Line Items** box in the same field.
- The number of **Line Items** is 1. (This is not the same as the **Number of Units**.)

22. Click the **Order button** on the right hand side of the Line Items List. This will bring you back to the **Order List**. We are going to print out an **Arrival Slip** for your Order.

23. Click on the **Arrival Node** to bring up the **Arrival List**.
Arrival Node

- Note that the No. Units Ordered matches the No. Units Reported and that the fields under the Header bar have been filled in, indicating that this piece had already been recorded as having arrived.

24. Click on Print to print the Arrival Slip.

25. Click on the Order List Node from the Navigation Pane to bring up the Order List.
Order List: Arr St and Inv St Cmp

Note that the **Arr St** and the **Inv St** fields now have the status of **Cmp**, for **Complete**.
5. Standing Order Characteristics

As you know, there are three order types in Aleph:

- **Monograph**: used for orders for single-volume monographs, multi-volume monographs when all volumes are published at the same time or have all been published at the point of order, and for single issues or miscellaneous volumes of multi-volume monographs or serials
- **Serial**: used for periodical subscriptions, annuals, and other materials which are received on a regular basis
- **Standing Order**: used for monograph series, memberships, blanket orders; may also be used for multi-volume monograph orders

See the document entitled *Types of Orders*, a document prepared by the Aleph Acquisitions Advisory Team that describes the characteristics of Serial and Standing Order types and offers examples of the types of orders appropriate for each. This document is available on the web at: [http://hul.harvard.edu/ois/systems/aleph/docs/types_of_orders.pdf](http://hul.harvard.edu/ois/systems/aleph/docs/types_of_orders.pdf)

**Standing Order Type can be used for...**

- blanket orders
- memberships
- networked resources
- orders for which you do payment but do not do check-in (e.g. daily newspapers, vertical file material)
- works-in-parts where publication schedule is unknown
- the following types of monograph series:
  - unnumbered series
  - analyzed titles with pieces cataloged and classed separately (no volume holdings information on serial record, items are made on monograph records)
  - numbered or unnumbered series when you want the item record on the analytic (with or without volume holdings information in the holdings record)

**Important Points to Remember about Standing Orders...**

- all processing for *Standing Orders* is done on the Order Tab in the Acquisitions module
- no item records are created automatically for *Standing Orders* (you decide if item records should be made and where they should be made--e.g. items for a work-in-parts may be made on the order record while items for a monograph series may be made on the analytic records)
- OPAC display of order status for *Standing Orders* is derived from the Acquisition Status in the HOL (holding) record (3=on order, 4=currently received)
- cannot use predictive check-in for *Standing Orders*
Note that some of these could also be ordered as a Serial Order. In Aleph, it is possible that one sublibrary may treat a title as a Standing Order and another library treat the same title as a Serial Order.

Each library will ultimately decide which order type is appropriate for each one of their titles. Once you understand the characteristics of the two order types, you’ll have a better sense of which type is appropriate for your own orders.

6. Recording the Receipt of a Standing Order

Processing the arrival of a standing order in Aleph has a couple of more steps than processing the arrival of a monograph order.

The following instructions assume you are going to process the first volume of a new standing order and have the Aleph Order Number:

1. From the Order Bar, select the Order Number index and type in your Order Number. The Order Tab will open and the Order List will appear in the Upper Pane.

Look at the Type field in the Order List. A Standing Order in Aleph is denoted with an O for the Standing Order Order Type.

Note that the Order List shows an Arr St field of NONE. This indicates that no arrivals have been recorded on this order. If this status said Ptl, it would mean that some items have already arrived on this order.

You should check the order details of this order by reviewing Tab 1 of the Lower Pane, Order Display, before you proceed with the arrival.
Order Display Tab on Lower Pane

2. To begin the arrival of this new order, click on the Arrival Node from the Navigation Pane (or type <Ctrl>+<Alt>+A) to bring up the Arrival List. Note that there are no arrivals recorded in the Arrival List.

3. Click on the Add button to add the arrival of your new volume.

4. If there was a Library Note in the Order Record, that note will come up:

   Library Note from Order Record

   Read note, follow any special processing instructions and then click OK. The Arrival Expand Form will open in the Lower Pane.
The Number of Units Arrived field has a 1 in it, which has been supplied by Aleph based on the number of units field in the Order Form. This number signifies the number of copies of the title ordered, NOT the number of expected volumes.

5. Enter volume information into the Note field. This is where you indicate which piece you've received. This is a general note field—there is no field specifically for volume information—so this field can be used for other notes as well. General notes about the order should be added to the Order Form or to the Order Log.

Order completely arrived: Note that for Order Type O (Standing Order) this box is always disabled (you'll be given an opportunity to mark the order as completely arrived at a later step).

6. Click Add. The arrival will be recorded in the Arrival List in the Upper Pane.
Arrival List with Standing Order Arrival

7. Highlight the volume you just arrived on the Arrival List and click Print to print out an Arrival Slip.

8. Click on the Order List on the Navigation Pane or press the <Ctrl>+<alt>+L keys to return to the Order List. Note the Arr St column in the Order List now says "Ptl" for Partial.

Order List: Arrival Status Change

"Ptl" for Partial.
6.1 Modifying the Order Form after the First Receipt of a Standing Order

If this is the first arrival of a standing order, you may want to edit the Order Form for this piece:

1. Make sure your order is highlighted on the Order List in the Upper Pane. Click to Tab 2, Order Information, on the Lower Pane.

2. On Tab 2, check the Library Note to see if the information is still relevant for subsequent volumes. Delete or change the note depending on the circumstances.

3. Click to Tab 3, Vendor. Look at the Maximum Arrival Days field. This sets the number of days after your arrival that you are willing to wait for the next receipt. If the piece is not received after the Maximum Arrival Days has expired, the order will appear on a claim report and you can manually claim the piece. If you placed an order with a vendor and expected your first receipt in 90 days and then expect subsequent volumes a year from now, you will want to change the Maximum Arrival Days accordingly.

4. After you finish editing the Order Form, click Update to save your changes.

6.2 Manual Item Creation for a Standing Order Receipt

Aleph does not automatically create items for Standing Orders.

Here is the process for creating an item record for a Standing Order. We are going to create the item in the Acquisitions Module so that the order information can be linked to the item record.

Note that this same process being described here can also be used for a multiple volume monograph order.
1. From the Navigation Pane, click on the Items/Subscriptions Node or press the <Ctrl>+<Alt>+I keys. The Items List will display in the Upper Pane and Item Record Information will display on the Lower Pane. Since we have no items for this order so far (note that next to the words Items/Subscriptions it says (0 items), the Item List is blank.

The Items/Subscriptions Node

Columns on the Items List in the Upper Pane:

- **Seq.**: Barcode Sequence No.
- **Sbs.**: Subscription Sequence No.
- **Hol no.**: Holdings Record Number
- **Hol +**: Holdings Record number + sublibrary, collection and call number information
- **Sublibrary**: The full name of the sublibrary
- **Sublibrary code**: The three-letter code of the sublibrary
- **Collection**: The full collection name (note: GEN will display as blank)
- **Coll. Code**: The collection code
- **Temp Loc**: If the item has a temporary location, a red checkmark will appear in this column.

- **Call number**: call number from holdings record

- **Description**: Piece level information (v.1, v.1:no.1 (2003:Jan.), for example)

- **Pages**: If you wish to record the pages of a serial that has continuous numbering, you can enter this information on the Item Form and that information will display in this column.

- **Copy no.**: the Copy number from the Copy ID field of the Subscription

- **B-C**: The item’s barcode

- **Notes**: If the item contains an OPAC Note, Circulation Note or Internal Note, a red checkmark will appear in this column

- **Loans**: If the item is out on loan, an asterisk will appear in this column

- **Status**: The Item Status written out (e.g. “Regular Loan”, “In-Library Use”, etc.)

- **Item Stat. Code**: The Item Status display by code (e.g. “01”, “02, etc.)

- **Enum-a**: If there is any data in the Enum-a field on the Serials Levels tab, that information will display in this column.

- **Call number 2**: If there is any data in the call number 2 field on the Item, it will appear in this column (note: this field is not used at Harvard).

You can add or subtract to the column headings in the Items List by following these steps:

a. **Right click** next to the words on a column heading to bring up the **Header Configuration box**.

b. **Check off** the column headings you want to display in the Items List. **Uncheck** any columns you do no want to display on the **Items List**.

c. Click **OK** to save your changes.

The columns will remain persistent on your workstation until you change them.

**Buttons to the right of the Items List:**

- **New**: Add a new Item

- **Duplicate**: Duplicate an Existing Item

- **Delete**: Delete an item (you must have authorization in your login to do this)

- **Label**: Print a single label for a single item. To print labels for a group of items, use the Utilities>Print Item Labels menu option.

- **Global Change**: Not yet in use at Harvard.

- **Bind/Change**: You can select a set of items to merge into a single item record representing the bound volume.

- **Completed Volumes**: Not yet in use at Harvard.

- **Refresh**: Will refresh the Items List based on changes made to an item.
2. Click on **New** to create a new item record. The Lower Pane will open to **Tab 2, General Information**, which is the first tab where you can add item information. Note that **Tab 1, Item Display**, is grayed out and will remain that way until the item is created; this tab displays a summary of the item record information.

   ![The Aleph Item Form, Tab 2, General Information](image)

   As you can see, the **Sublibrary field** is filled in, based on the **Sublibrary** value you provided in the **Order Form**.

3. Fill in **Tab 2 of Item Form**:

   - **Barcode**  If your library normally places a physical barcode on the piece at point of order, you can scan in a barcode here. If not, leave blank and Aleph will supply a barcode number. This number can be replaced by a real number barcode later in Cataloging or End Processing.

   - **Sublibrary**  this will default to the sublibrary from the Standing Order record

   - **Collection**  This is for the collection code. All holdings in Aleph will have a collection. Leave this blank for now (the system will fill this in when you link to HOL record).

   - **Copy Number**  Enter copy number if appropriate.

   - **Material Type**  Select appropriate code from the dropdown list.

   - **HOL.Link**  Skip for now (will do in next step)

   - **85x Type**  Leave this blank (relevant on items for Serials only)

   - **Enum. Level 1**  Type 1 here. This is used by the system for sorting items.

   - **Enum.Level 2**  Leave this blank, since we have no second level enumeration on this piece.

   - **Description**  Type v.1 here. This is display for public catalog.

   - **Call Number Type**  Leave this blank. This field contains a code indicating the classification scheme used to classify this material. The system will fill in this in when you link to HOL record (see next step).

   - **Call Number**  Leave this blank. This field will fill in when you link to the HOL record (see next step).
- **2nd Call Number** Type Leave this blank.
- **2nd Call Number** Leave this blank
- **Item Status** This indicates the circulation policy for your piece. **Type the appropriate item status code** or choose from the drop down list.
- **Item Proc Status** Type RE (Ordered—received). This status will display in the public catalog until the piece is cataloged.
- **Temporary Location:** This box can be checked if the piece will be shelved at a location different from the collection specified in the holdings record. **Do not check this box until after you have linked your item to the HOL record** (see next step).

4. **Link item to holding (HOL) record**
   a. Click on dropdown list for HOL. Link.
   b. Select the HOL no. for your sublibrary.

5. Click on **Refresh** button. Several fields will fill in.

   Completed Tab 2 of Item Form

6. **Click on Tab 3 of Item Form, General Information (2)**

   Note that the **Order Number** field has been filled in with the Order Number.
Item Form Tab 3

There are several fields on Tab 3 that you may wish to fill in:

- **OPAC note** This note will display in the public catalog
- **Circ. note** This note can pop up when item is charged or discharged
- **Internal note** This note will not display in the public catalog
- **Item Statistic** This field can be used for library-specific information

The note fields here are for more permanent notes; not usually used for order information. Use of the **Item Statistic field** (can be used for reporting) is a local issue. Library policy on the use of these fields may vary.

**Tabs 4 and 5 of the Item Form**

The other tabs on the Item Form are used for serial-related information. These tabs will be covered in the serials processing classes.

**Tab 6: HOL Links** We will use this tab to access the holdings record for our standing order after we have added our item (see section 6.4)

**Buttons on the Item Form**

- **Add**: this will create the item
- **Save defaults**: when you click this button, the information you entered in the item record will be automatically entered in every Item Form you create. See section 7.2 for instructions on how to save and delete defaults.
- **Refresh**: This will refresh the screen
- **Cancel**: This will cancel the Item Form.

7. Click on **Add** to create the item. The new item will display in the Items List on the Upper Pane.
New Item Added to Items List

6.3 **Updating the HOL Record for a New Standing Order**

Now that you have recorded the arrival and created your item, you may need to update the holdings record with the receipt information. Updating holdings records is covered in the CATB training.

7. **Duplicating an Existing Item Record, Setting Defaults and Closing a Standing Order**

After a period of time, we expect to receive the next volume of this standing order. Once you have created an item for the first volume you receive on a standing order, creating additional items can be easily handled by using the **Duplicate** button on the **Items List**.

Please note that the procedure for duplicating an item described in section 7.1 can also be used to duplicate items for a multiple volume monograph order.

7.1 **Duplicating an Item**

We will now pretend that we have received v.2 of our standing order. Once v.2 has been arrived, an item will need to be created for volume 2.
1. Arrive volume 2. To review the arrival process, see lesson 6.

2. From the Navigation Pane, click on the Items/Subscriptions Node. The Item List will display in the Upper Pane:

   ![Image of Item List]

   **The Items List**

   3. To easily create an item when items are already present on the items list click on the **Duplicate** button. When you click on **Duplicate**, an item record will open that contains all of the information that was input previously for volume 1. The only field not filled in for is the **Barcode field**, which will be filled in by either wanding in a Harvard barcode or will be filled in by the system when you click Update.

   4. On the Item Form, fill in the following fields on Tab 2:
      - **Enum.Level.1 (A)(Vol):** replace 1 with 2
      - **Description field:** replace v.1 with v.2
      - Check the **Item Processing Status** to make sure it says "RE" for Ordered-Received.

Revised December 12, 2011
© 2011 President and Fellows of Harvard College
http://hul.harvard.edu/ois/systems/aleph/docs/train-acqb.pdf
7.2 Setting and Deleting Defaults in an Item Form

If you are processing a number of items, it is possible to save certain fields on the Item Record as defaults so that you do not have to fill them in again. Fields such as Material Type and Item Status and Note fields can be saved as defaults.

To save defaults:

1. Click New to create a new item
2. Select the fields you wish to save as defaults such as Material Type and Item Status

   Note that you should not include a link to holdings unless you intend to use this for a large multiple volume set AND you intend to Clear your Defaults after all of the volumes have been added.

   Click the Save Defaults button (or press <Alt>+V). The system will ask if you wish to save defaults, click Yes.

   Whenever you create a new item, the defaults will automatically populate into your item record.

To Clear Item Defaults: From the Main Menu, select Items>Clear Item Defaults.

7.3 Changing the Status of a Standing Order to Complete

When all of the volumes of your standing order have arrived, you should change the status of the standing order from Ptl (Partial) to Cmp (Complete).

1. Click on the Order List Root on the Navigation Pane or press the <Ctrl>+<Alt>+L keys. The Order List will display in the Upper Pane.
Standing Order List

2. Click on Tab 2 in the Lower Pane, General Information. In the middle of the Form, you will see a box with the label Arrival Status, “Complete.” Check off this box.

3. Click Update to update the order record. The Arr St column on the Order List in the Upper Pane will now say Cmp:
Order List: Arr St Cmp

4. Click on the **Items/Subscriptions Node** on the **Navigation Pane**.

5. Click on **Tab 6, HOL Links** and click the **Edit** button to open the **Holdings** Record in the **Cataloging Module**.

6. Update the **Holdings** record with the receipt of v.2 by adding the volume to the 863 field:
Update 863 in the Holdings Record

7. Change the Receipt or Acquisitions Status value in the 008 from 4 (currently received) to 2 (Received and complete or ceased. Code value 2 indicates that all parts of a multipart or serial item have been published or that the publication is no longer issued) in order to show that this item is completely received:

- Highlight the 008
- Hit the Ctrl + F key to open up the 008 form
- Change Receipt or Acquisitions Status from 4 to 2

8. Save your changes to the server.

Note: Your cataloging staff may actually do this step.
8. Other Options for Recording Receipts of Standing Orders

What has been described thus far are basic ways of treating a standing order in Aleph. There are other types of orders you may wish to use for a standing order, and how you choose to process these types of orders will be a library-by-library decision. Here are some order types you may want to consider ordering as a standing order in Aleph.

8.1 Memberships and Blanket Orders

For titles received on a membership, you may receive a periodical, a multi-volume monograph being published over time, or miscellaneous monographs received as part of the membership. As a result, you could have many types of orders linked to the standing order membership record:

- Standing Order for the Membership
- Serial order for the periodical received via the Membership
- Standing order for a multiple-volume work received via the Membership
- Monograph order(s) for any monographs received as part of the membership

You may wish to enter information in the Library Note field of your Membership Standing Order Record to indicate processing instructions for these types of pieces.

You may also wish not to do any kind of check-in on the Membership Standing Order record and simply use it for linking payment information. The decision as to whether or not you wish to check-in receipts on a membership or blanket order is a local library decision.

8.2 Other Types of Orders that Could be Processed as a Standing Order

In addition to memberships, monographic series, multiple volume works and blanket orders, you may also wish to process other kinds of materials as a Standing Order. These kinds of orders are generally used when you do not want to create items or circulate the materials. Two examples of these types of orders:

- electronic resources
- daily newspapers

In cases such as these, a standing order record can be used just to record payment information in Aleph.
9. Creating a New General Invoice

This lesson will demonstrate creating an invoice that will include a monograph payment, a serial payment and a postage payment.

The lesson will also demonstrate how to delete payments and use split coding to make a payment using more than one budget.

9.1 Invoice Types

Before processing a new invoice, determine the appropriate method of payment:

1. **Regular Invoice**: A Regular invoice will be processed using the steps defined in section 4.2. All invoices processed as regular invoices are electronically fed to the University Accounts Payable office for final processing. Most invoices will be processed as a regular invoice.

2. **Adjustment Invoice**: If material was purchased using the University’s Purchasing Card (P-Card), or if it was purchased from another Harvard Department, or by the Web Voucher system, record the invoice as an Adjustment Invoice. For more information about adjustment invoices, see section 6.

9.2 General invoice Creation

1. Enter the vendor code in the first field on the Invoice Bar (or select the vendor from the Vendor List) in the first field. Please note that the Vendor Code may not be changed on the General Invoice Form. If the vendor is not correct click Cancel and begin the process again.

2. Enter the invoice number in the second field on the invoice bar. If the invoice does not contain a number from the vendor one must be supplied based on local practices. Please note that there is no separate, system-supplied Aleph-only invoice number. Invoices are identified in the system only by their vendor Code and the vendor’s Invoice Number.

3. Click on the Blue Arrow or hit the <Enter> key.

If this is a new invoice number, Aleph will display the following message:

![New Invoice Creation Dialog Box](image)
3. Click Yes or hit the <Enter> key. The Invoice Tab will open to the General Invoice Node.

![Image of ALEPH Acquisitions, Serials - Version 17.81](image)

New General Invoice

4. Fill in the following fields on the General Invoice Form:
   - **Net Amount:** Type the in the total amount of the invoice, including postage. Always enter this and all following amounts in the currency chosen for the currency field
   - **Invoice Date:** Type in the invoice date

5. Check the following fields to make sure they are correct:
   - **Type:** if payments are sent to Accounts Payable, this field should say REG. For any other kind of invoice payment (PCard, internal adjustment, web voucher), change the Type to ADJ for adjustment. For more information on creating adjustment invoices, see section 6
   - **Currency:** The value in this field will default to the first currency used by the vendor as stated in the Vendor Record. To change the value of this field, click on the drop down menu and choose another currency value
   - **Radio button should be next to debit**
   - **Verify Vendor Payment address in Lower Pane. If the payment address does not match the information in hand, cancel the invoice submit a vendor update form to HCL financial services**

Revised December 12, 2011
© 2011 President and Fellows of Harvard College
http://hul.harvard.edu/ois/systems/aleph/docs/train-acqb.pdf
7. Click refresh after entering data in Tab 1. Notice that the Total Amount, Local Amount, Received Date, and Shipment Date fields have been filled in by the system.

8. Click Update to file the invoice. The amount of the invoice will populate the Total Amount Gen. Inv. Field found at the top of the General Invoice. Notice that a parenthesis has been added to the line items node on the navigation pane: (0 -125.00/0.00)

---

This means that the number of line items payments that have been made is 0. The total of the General Invoice is $125.00. The total number of line items paid so far is 0.00.

Note that staff will not make any changes to Tab 2, Payment Information. For more information about this tab, see section 3.2.1 and Appendix 1.

We will now begin the actual payment process.

### 9.3 How to Make a Linked Monograph Payment

There are two basic types of line item payments: linked payments and unlinked payments.

- A linked payment is a line item payment that is made with a direct link, or relationship, to an order and bibliographic record. Most payments for materials for the collections are made as linked payments.
An unlinked payment is a payment that is not linked, or related, to any order or bibliographic record. An example of an unlinked payment might be a postage payment.

To make a linked payment for a monograph:

1. From the Navigation Pane, click on the Line Items Node or press the <Ctrl>+<Alt>+L keys.

2. From Upper Pane, click on the Add button. A Get Order dialog box will appear:

   - Enter or look up the Aleph order number in the Index Text field.
Drop Down Index List on Get Order Window

If none of these indexes is useful for finding the order, exit the index box and click on the list box at the end of the index text box. The order index list will appear (for instructions on how to search the Order Index, see the ACQA Learner’s Guide.)

Order Index

Highlight the order on the Order Index. View order detail information in the order info tab at the bottom of the screen. Click select to open up the invoice line item expand form.

3. Click OK or press the <Enter> key. The Invoice line item expand form will open in the Lower Pane of the Invoice Tab.
Line Items Node, Lower Pane, Invoice Line Item Expand

All of the fields on this form are defined in section 3.2.3. Note that the title of the piece will appear above the two tabs.

4. To see more information about the order, click on Tab 2, Order Info

Line Items Node, Lower Pane, Order Info Tab

To apply the Line Item Payment:

5. Fill in the Net Amount field with the invoice price of the item.

If there is a discount, enter the discounted price in this field. If the vendor does not itemize discounted prices they must be manually calculated item by item.

6. Fill in the Object Code field. To see a list of choices, click the arrow at the end of the field. Choose the appropriate object code value. In this example, the object code for “Print Monograph” will be chosen by double-clicking on it.
Note that the Order Completely Invoiced box is checked. Because this is a payment for a monograph, the system assumes that the box should be checked. If this is not the case, “uncheck” the box.

7. Click the Refresh button to refresh the screen. Note that the Total Amount and Local Amount fields have been filled in by the system.

Refreshed Line Item Window

Click the Add button to add the line item.

If the budget information needs to be reviewed or changed, click on the budgets button on the right hand side of the lower pane. Click on the budgets button to see the budget list of invoice window.
Budget List of Invoice Window

The fund on which the order was encumbered displays in the top window of the screen.

Click the close button on the right hand side of the window to close the window and return to the invoice line item expand form

Click Add to add the Line Item. The Line Item will display in the Line Items List in the Upper Pane. Notice the amount of the line item gets added to the total amt. line items box list on the upper pane. Look at the Navigation Pane on the left hand side of the screen to see that the amount of the line item has been added to the parenthesis following the words Line Items.
New Line Item Added

A dialog box will appear on the screen indicating that the invoice is not yet balanced when trying to leave the invoice before it is balanced:

![Invoice Not Balanced Message](image)

Click no and return to the Invoice Tab to add additional line items, or click Yes to return to the invoice later.

### 9.4 Paying for a Line Item on another Budget

To pay on another budget, first delete the budget on which the order is encumbered. From the Invoice Line Item Expand form, click the Budgets button to open the Budget List of Invoice window.

1. Click the Delete Budget button located on the right hand side, and then click the Yes button in the Delete Confirmation window.
Note that Delete Budget only deletes the budget selected for this order, it does not delete the budget record or budget fund.

3. To choose a new budget, click on the List Box found at the end of the Budget Code to Add field to open the Budget List and select a new budget.

**Budget List Unfiltered**

The Budget List is the above example is currently unfiltered. Click filter by … and choose filters to limit the budgets viewed in the budget list. Click Apply to see the filtered Budget List.
4. Select a budget from this list

5. Then click Select and the budget code will appear in the Budget Code to Add window of the Budget List of Invoice window

6. Click Add Budget to register the Budget in the upper half of the screen. To apply more than one budget to this line item, see the section on split coding, section 5.7.

7. Enter the amount in the amount to debit field
New Budget Added to Budget List of Invoice. Window

8. Click Close to return to the Invoice Line Item Expand form

9. Click Add to add the Line Item

The Line Item will display in the Line Items List in the Upper Pane. The line item amount will be added to the Total Amt. Line Items Box on the Upper Pane, and the line item amount will be added to the parenthesis next to the words Line Items on the Navigation Pane.
Second line item added to Line Items List

9.5 **Posting a Payment for Postage (Unlinked Payment)**

Units typically pay for postage with an unlinked payment.

1. Click the Add button on the Upper Pane. When the Get Order box appears, click Ignore

   ![Ignore Button on Get Order Window]

   Ignore Button on Get Order Window

   The Upper Pane will gray out, and the Invoice Line Item Expand field will open in the Lower Pane. Click on Tab 2, to get a blank Order Info screen

2. Enter the postage amount in the Net Amount field

3. Choose the Object Code for **postage** and enter it in the Object Code field

4. Enter the type of unlinked payment in the note field [add "Postage payment"] – not required
Postage Payment Line Item

The Order Completely Invoiced box will be checked off by default. Leave it checked.

5. Click the Budgets button to select a budget for the postage payment

6. Find the postage budget by clicking on the arrow at the end of the Budget Code to add field

Notice that the Budget List window is still filtered

7. From here, select the budget. The budget code will appear in the Budget Code to Add window of the Budget List of Invoice window.

8. Click Add Budget to register the Budget in the upper half of the screen, and fill in the Amount to Debit field with the amount of my postage payment [in this example 10.00].

9. Click Close to return to the Invoice Line Item Expand form.

10. Click the Add button to add the postage payment. The postage line will appear beneath the line items to the Line Items List in the Upper Pane. The amount of the postage will be added to the Total Amt. Line Items Box in the Upper Pane and the amount will also be added to the parenthesis next to the Line Items Node on the Navigation Pane.
Line Items List with All Payments Made

Note that the amounts in the Total Amount Gen. Inv. Box and the Total Amount Line Items Box on the Upper Pane match when an invoice is paid. The amounts on the Line Items Node on the Navigation Pane also now match. This invoice is now completely paid and ready for approval.

9.6 Deleting a Payment

Payments may be deleted before an invoice is approved.

To delete a payment:

1. From the Upper Pane of the Line Items Node screen, highlight one of the payments and click the Delete button. A warning window will appear.

Delete Payment Confirmation

2. Click Yes.
9.7 Split Coding

Split payment for a line item between two or more budgets from the Budget List of Invoice screen.

1. From the Upper Pane of the Line Items Node screen, click the Add button

2. From the Get Order window, type the order number

3. Enter the appropriate amount in the Net Amount field

4. Choose the appropriate Object Code from the drop down menu in the Object Code field

5. Click the Budgets button to bring up the Budget List of Invoice screen. Search for a budget and select the appropriate budget.

6. Enter the amount to apply it to the budget.

7. Click Debit.

Split Payment Part 1: Partial Payment Applied to one Budget

**Note:** The Amount to Debit field now displays the amount of the remainder of the payment. Now search for and select another budget

8. Click the List Box at the end of the Budget Code to add field to bring up the Budget List screen
9. Highlight another budget to add to the list and click Select. The selected budget appears in the Budget Code to Add field.

Assign the remainder of the payment to this budget and then click the Add Budget button. The payment has been split coded. (More than two budgets may be used by following steps 8 & 9 again.)

### Split Payment Part 2: Remainder of Payment Applied to another Budget

10. Click Close to return to the Invoice Line Item Expand form.

11. Click Add to add the revised line to the Items List in the Upper Pane.

Note that the Budget that displays in the line item for the serial has an asterisk after it. This indicates that the payment was made on more than one Budget.
9.8 **Editing a Line Item Payment**

To edit an existing line item payment, follow these steps below:

1. Change the dollar amounts in BOTH the Net Amount and Total Amount fields.

![Diagram of Invoice Line Items](image)

Edit a Line Item: Change BOTH Net Amount and Total Amount Fields

9.9 **Invoice Status Change**

For monographs, the invoice status will change will change on the Order List in the Order Tab.

![Diagram of Order List](image)

© 2011 President and Fellows of Harvard College
http://hul.harvard.edu/ois/systems/aleph/docs/train-acqb.pdf
Inv Status Change on Order List

For serials and standing orders, the Invoice Status will say "Ptl" for partial, until the order is closed.

Ptl Payment for Serial Order (same for Standing Order)

10 Credits, Deductions and Discounts

10.1 Credit memos

To process a credit memo, create a general invoice and make line item payments as usual but with the following exceptions:

- If possible, in the Refers to Invoice field, reference the original debit invoice on which payment was made.
- Click the radio button labeled Credit to establish the polarity of the invoice.
- Use the note field to make any relevant comments as to why the credit has been issued.

To process a credit memorandum:

1. From the Order Bar, type in the Vendor Code or use the Vendor List to select a vendor.
2. Tab twice and type in the Invoice Number. If the system asks for confirmation of the creation of a new invoice, click Yes. The Invoice Tab will open to the General Invoice Node and the General Invoice will appear in the Upper Pane.
3. On the General Invoice Invoice Tab, choose Credit, rather than the Debit value in the radio button. Note that debit is the default value, so the value must be changed to credit.
4. Fill in the Net Amount and Invoice Date fields as before, and click Add.
5. Click on the Line Items Node or press the <Ctrl>+<Alt>+L keys. From the Upper Pane, click the Add button.
6. From the resulting Get Order screen, click Ignore.
7. On the resulting Line Item screen, set the Debit and Credit radio buttons to Credit.

In the Aleph system credits show as positive numbers and debits show as negative numbers—the logic being that a debit is subtracted from the budget and a credit is added to the budget.
10.2 Deductions

When an item in a shipment is invoiced but not shipped or is out of scope and approved for return, it is usually preferable to take a deduction rather than dealing with a credit memo. All deductions should be noted in the Note field on Tab 1 of the General Invoice Node.

1. Click Gen. Inv. to return to the General Invoice screen, add deduction information to the Note field.

10.3 Discounts

In Aleph, the amount of a vendor discount is recorded as a dollar amount, not as a percentage, on the Invoice tab of the General Invoice Node. This discount is spread proportionately across all line items attached to the general invoice. Currently it is not possible to exempt any individual line item from the discount (this includes postage) or to express the discount as a percent rather than as an absolute amount. We hope that this will be changed as part of future enhancements to Aleph; however, until then use a calculator to compute the net cost of items on an invoice to enter only net amounts on the Line Item screen for each payment.

11 Adjustment Invoices

Aleph fund accounting is what is known as a shadow accounting system—the University accounting system that actually generates checks to vendors is the central Accounts Payable system. It is very important that Aleph fund accounting be synchronized with the University’s accounting system to the best of our ability. There are three basic categories of acquisitions payment transactions that are not initiated from within Aleph:

- **P-Card transactions**: These are purchases made using a credit card issued by the University that are processed to the General Ledger via the P-Card settlement system.

- **Internal billings**: These are purchases from other University units that are processed directly in the General Ledger via a journal voucher. (Purchases from Harvard University Press are paid via internal billings.)

- **Web voucher/WebEx transactions**: These are transactions that are sent directly to Accounts Payable via the Web voucher system. Bank draft requests, requests to send any form of documentation out with the check, and reimbursements to an individual for purchases for the collections are examples of the types of transactions that must be processed via Web voucher/WebEx.

In all of these cases, the purchase is processed outside the Aleph system. The record of all financial transactions is a database known as the General Ledger (GL). By running reports on GL data a unit can identify all the transactions that have been processed outside of Aleph using funds that are allocated in Aleph. Once these transactions are identified each unit must adjust Aleph to reflect these expenditures—these are known as internal adjustments.

An internal adjustment is a transaction created to adjust the acquisitions records, including Budgets, in the Aleph system. Such a transaction does not generate a request for payment to be sent electronically to Accounts Payable or any other entity outside the Aleph system. The payment has already been made outside of Aleph. Internal adjustments to Aleph are made after

Revised December 12, 2011
© 2011 President and Fellows of Harvard College
http://hul.harvard.edu/ois/systems/aleph/docs/train-acqb.pdf
this payment has been recorded in the GL. In order to make Aleph fund accounting mirror the GL, it is necessary to create a general invoice record in Aleph and then make linked or unlinked payments for line items associated with that general invoice. Do this just as if the vendor payment were being initiated in Aleph; however, this data will never be exported from Aleph to Accounts Payable.

To create an adjustment invoice:

1. From the Invoice Bar, enter a Vendor Code and then tab twice to enter the invoice number. Click yes when a dialog box appears and asks for confirmation to create a new invoice, click Yes. The Invoice Tab will open to the General Invoice Node.

2. From here, create a General Invoice in the usual way, with two exceptions:
   1. In the Type field, choose “ADJ” from the drop down menu instead of the default value (REG).
   2. In the Note field, enter a note indicating the type of adjustment

11.1 XPCARD Vendor Code

There is an XPCARD vendor code for use in Aleph. This code should only be used in cases when the unit never expects to do any further business with the vendor. For all other P-Card adjustments, use the vendor code for the vendor paid in the P-Card transaction. If the vendor does not exist in the system, send a request to HCL Books Accounts to create a new master Vendor record for the vendor.

11.2 Approval Process for Adjustment Invoices

Internal adjustment payments can also be approved in a process similar to the invoice approval process for general invoices. Financial manager who require this information should send an inquiry to the Aleph Support Center:

http://hul.harvard.edu/ois/systems/aleph/forms/f-supp-acq.html

12. Review Existing Invoice Information

Aleph provides two ways to review existing invoice information:

1. The Invoice Bar
2. Invoice Node from the Order Tab

12.1 Locate an Existing Invoice Using the Invoice Bar

Search for existing invoice information in the Invoice Bar, the third bar found at the top of the Acquisitions/Serials Module:
Invoice Bar

Note that the icon to the left of the Invoice Bar matches up with the Invoice Tab found at the top of the Navigation Pane. This Information entered into the Invoice Bar will open up the Invoice Tab.

To search for an existing invoice:

1. The **Invoice Bar** contains two fields. The first field is the **Vendor field**. Enter a valid **Vendor Code** in this field.

Click on the **List Box** to the right of the vendor field (or click the Tab key, then the space bar) to open up the **Vendor List** and search for vendor codes.

Vendor List

Search by vendor code, vendor name or keywords to locate the correct vendor. Select the vendor by highlighting the index entry and clicking select to populate the second field on the invoice bar with the vendor code:
2. In the second field, fill in the vendor invoice number. Search for invoice number by clicking on the arrow next to the second field to see a list of all of the invoice numbers for the vendor specified in the Vendor Field:

Invoice Numbers

Note that this list is the list of all vendor numbers, for all order units, for this vendor.

Also note that to search for an invoice number that includes letters that invoice numbers are case sensitive—an invoice created with a capital letter requires a capital letter in order to find the invoice. Otherwise, Aleph will create a new invoice.

Scroll down this list and select an invoice number from the menu.

1. After entering or selecting the number from the drop down list, click the Blue Arrow or hit the Enter key.

2. The Invoice Tab will open, the Line Item Node will be highlighted on the left hand side of the pane, and the line item(s) for the invoice will appear on the screen:
12.2 **The Invoice Tab-Line Items Node**

Notice the Vendor Name, followed by the Vendor Code and the Invoice Number in parenthesis next to the Invoice Bar.

The Invoice Tab will open to the Line Items Node.

The line items list is located in the Upper Pane. The three fields above the Line Items List indicate the number of Line Items, the Total Amount of the General Invoice, and the Total Amount of the Line Items paid on the General Invoice.

The columns on the Line Items List are configurable (right-click next to any column to get a Header Configuration Box).

### 12.2.1 The columns on the Line Items List

- **Seq**: The Line Item Sequence Number
- **Order Number**: if this line item is linked to a specific order, the order number will appear here.
- **Net Amount**: The amount of the line item, sans any additional amounts.
- **Total Amount**: The total amount of the line item.
- **Note**: This field will contain any note information that was added to the Line Item Expand Form in the Lower Pane. e.g. 1/1/07-12/31/07 v. 27(2007)
- **Budget**: the budget used to pay for the line item.
- **Object Code**: type of material paid
- **Local amt.**: Price of Line Item in US dollars.
- **Units in Invoice**: Total number of copies invoiced.
- **Units in Order**: Total number of copies ordered (comes from Tab 4 of the Order Form).
- **VAT Amount**: Not used at Harvard.
- **Euro**: Not used at Harvard.

### 12.2.2 The buttons on the Line Items List

- **Add**: Adds a new line item.
- **Delete**: Deletes an existing line item.
- **Order**: Opens the Order Tab to the order the line item is linked to. The order will be highlighted in the Order List on the Upper Pane. To see the order information click on the Order Info Tab in the Lower Pane of the Invoice Tab.

### 12.2.3 The Lower Pane of the Line Items Node

There are two tabs on the Lower Pane of the **Line Items Node**. The title of the piece that is being paid for will appear above the two tabs.
Tab 1 is the **Invoice Line Item Expand Form**, which provides more information about the line item that is highlighted on the Upper Pane.

The fields on the **Invoice Line Item Expand Form**:

- **Vendor Code**: The code should match the vendor code in the **Invoice Bar**
- **Invoice Number**: The number should match the invoice number in the **Invoice Bar**.
- **Net Amount**: The amount of the item on the invoice
- **Estimated Price**: The price for the item that was entered in the Unit Price Field on **TAB 4** of the **Order Form** at time of order.
- **Added Amount**: Not used at Harvard.
- **Currency**: The three-letter code of the currency used to pay for the piece.
- **Total Amount**: **Net Amount** plus **Added Amount**. Since Harvard does not use Added Amount, the Net Amount will equal the Total Amount.
- **Object Code**: The code represents the format of the material paid for, such as print monographs, electronic serials, maps, musical scores, etc.
- **Local Amount**: The price of the piece in US dollars, if paid for using a foreign currency
- **VAT Percent**: Not used at Harvard
- **Number of Units**: The number of copies ordered on **Tab 4** of the **Order Form**
- **VAT Amount**: Not used at Harvard
- **Debit** and **Credit**: Radio buttons should be checked off if a line item payment has been made or a credit has been made
- **Note**: Free text field used to record information about the line item, such as volume number or subscription year

There are four buttons to the right of the **Invoice Line Item Expand Form**:

- **Update**: edit the Invoice Line Item Expand Form, and this button will darken and to update the line item information
- **Refresh**: click on Refresh to update any changes made to the Total Amount and Local Amount fields
- **Budgets**: view or change the budget that was used to pay for this line item
- **Cancel**: This will cancel any changes made to the line item before pressing the Update button

Tab 2 of the Lower Pane will display **Order Information** about the line item. Review the order information to make sure that everything is correct.

---

**12.3 The Invoice Tab-The General Invoice Node**

To see the General Invoice that this line item is attached to, click on the General Invoice Node from the Navigation Pane or press the `<Ctrl>+<Alt>+G` keys.
12.3.1 The General Invoice Node Upper Pane

This Pane will display the number of Line Items paid on the invoice and the Total Amount of the General Invoice and the Total Amount of all Line Items. There are two tabs on the Upper Pane:

Tab 1 is the Invoice Tab. The Invoice Tab is used to record the information contained on the vendor’s invoice itself.

The fields on the Invoice Tab:

- **Vendor Code**: Supplied by the system, based on the selection on the Invoice Bar
- **Invoice Number**: Supplied by the system, based on the number entered in the Invoice Bar
- **Net Amount**: The total amount on the invoice
- **Refers to Invoice**: If the current invoice refers to another invoice notice that number here. For example, when processing a credit memo, enter the number of the original debit invoice here
- **Invoice Date**: The date on the vendor’s invoice. If no data is entered in this field, the system will supply the current day’s date
- **Shipment Amount**: Not used at Harvard. If postage gets entered here, it will be applied proportionately over every line item on the invoice
Type: Possible values for this field are REG (regular) or ADJ (internal adjustment). If this field is left blank, the invoice type defaults to REG

Received date: The date the library received the invoice. This is an optional field and does not necessarily provide useful information. This field may be left blank

Overhead Amount: Not used at Harvard. If, for example, a service charge is entered here, it will be applied proportionately over every line item on the invoice

Status: The invoice status may be REG (regular) or SUP (supplemental). If this field is left blank, the invoice status defaults to REG

Shipment Date: The date the vendor sent the shipment. If this field is left blank, it will default to the vendor’s invoice date. This is the recommended practice

Insurance Amount: Not used at Harvard. There should be no value field

Currency: The default value for this field comes from the Vendor record. However, users may override the default by choosing another currency code. There is a drop down list to select another currency code

VAT Recipient: Not used at Harvard

Discount Amount: Not used at Harvard. There should be no value in this field. Currently, only a dollar amount may be entered in this field (as opposed to a percentage), which will then be deducted proportionately from all line items, including postage. It is not possible to exempt any line item from the discount

Explicit Ratio: Not used at Harvard

VAT Percent: Not used at Harvard

Total Amount: The amount in this field is calculated by the system based on the following algorithm: (Net amount + Shipment + Overhead + Insurance) – Discount

Please note that the system takes the difference between the Net amount and the Total amount and adds it proportionally to all the orders linked to the invoice. The Acquisitions Working Group recommends not using the shipment, overhead or discount fields

Debit/Credit: Indicates whether the invoice is a payment to or a credit from the vendor. (The default value here is Debit)

VAT Amount: Not used at Harvard. There should be no value in this field

Local Amount: Supplied by the system. This is the total amount in the local currency

VAT Per Line Item: Not used at Harvard. There should be no value in this field

Note: Free-text field, up to 60 characters in length

There are four buttons to the right of the Invoice Tab:

Update: when changes are made to the Invoice Tab, this button will darken to save changes. Note that if the invoice has attained a certain processing status (see section 3.2.1), the invoice may not be edited

Refresh: change of the dollar amounts and then click on Refresh will update the Total Amount and Local Amount fields

Change Inv No: changes the invoice number of the invoice – use this cautiously
- **Cancel**: cancels any changes made to the line item before pressing the update button

Tab 2 of the General Invoice Node shows Payment Information

General Invoice Node, Payment Tab

<table>
<thead>
<tr>
<th>Line Item:</th>
<th>1</th>
<th>Total Amount:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>15.00</td>
<td>Total Amount:</td>
</tr>
<tr>
<td></td>
<td>15.00</td>
<td></td>
</tr>
</tbody>
</table>

- **Payment Date**: This field is left blank. Note that an invoice is not considered “paid” until after it becomes part of an electronic batch that is processed by central Accounts Payable. This information is not returned to Aleph for entry into the system.

- **Check number**: This field is left blank. The check is not issued until central Accounts Payable processes the data in the electronic batch to which this invoice belongs. This information is not returned to Aleph for entry into the system.

- **Amount**: This field is left blank.

- **Status**: Only authorized invoice approvers may enter data into this field. There are five statuses:
  1. **N – not approved**: The default status assigned to an invoice at the point of creation. New invoices retain this status until they receive preliminary approval. Invoices with status N may be updated and new line items may be attached.
  2. **A – preliminary approval**: Status assigned to an invoice by an authorized approver after pre-audit work has been performed. Invoices with status A do not yet have batch numbers. Once an invoice has a status of A, it may no longer be edited unless an authorized approver changes the status back to N.
  3. **B – approved and printed**: Status B is assigned by the system the first time the invoice report is run. Invoices with status B have a batch number and behave like status A, that is, they may not be edited unless an authorized approver changes the status back to N.
  4. **F – frozen**: Authorized signers assign the status F via a batch report after they review the invoice report and, if necessary, the invoice in the system. Invoices with status F may not be updated.

Please note that Acquisitions staff will not enter any data on this tab. The person approving the invoice uses these fields. View these fields to determine where an invoice is in the approval process.

The fields on this Tab:

- **Payment Date**: This field is left blank. Note that an invoice is not considered “paid” until after it becomes part of an electronic batch that is processed by central Accounts Payable. This information is not returned to Aleph for entry into the system.

- **Check number**: This field is left blank. The check is not issued until central Accounts Payable processes the data in the electronic batch to which this invoice belongs. This information is not returned to Aleph for entry into the system.

- **Amount**: This field is left blank.

- **Status**: Only authorized invoice approvers may enter data into this field. There are five statuses:
  1. **N – not approved**: The default status assigned to an invoice at the point of creation. New invoices retain this status until they receive preliminary approval. Invoices with status N may be updated and new line items may be attached.
  2. **A – preliminary approval**: Status assigned to an invoice by an authorized approver after pre-audit work has been performed. Invoices with status A do not yet have batch numbers. Once an invoice has a status of A, it may no longer be edited unless an authorized approver changes the status back to N.
  3. **B – approved and printed**: Status B is assigned by the system the first time the invoice report is run. Invoices with status B have a batch number and behave like status A, that is, they may not be edited unless an authorized approver changes the status back to N.
  4. **F – frozen**: Authorized signers assign the status F via a batch report after they review the invoice report and, if necessary, the invoice in the system. Invoices with status F may not be updated.
5. **R – released.** The status R is assigned when the invoice is exported as part of an electronic batch to central Accounts Payable

- **Paid:** The status P is used to denote invoices that have been completely paid by Accounts Payable.

- **Approval Dep.:** The approving tub. It is possible to configure the Aleph client so that this value always defaults to a particular tub number. Financial managers should contact the Aleph Support Center for more information

- **Approval Number:** Not used at Harvard

Financial managers who need to know the invoice approval process should consult Appendix 1 of this document.

### 12.3.2 The Lower Pane of the General Invoice Node

This pane contains Address information for the Vendor indicated in the Vendor field of the General Invoice. Only HCL Financial Services can update the information on this Tab for all sublibraries.

These tabs display of the Vendor Address Information. At Harvard, **only HCL Financial Services staff has the authority to change any of the information found in this display.** The Address information is entered/updated on the Administration Tab in the Vendor Node. See section 7.3 for more information and how to contact HCL Financial Services to edit or update Address Information found on these tabs.

There are four tabs on the Lower Pane:

**Tab 1** contains the Order/Payment Address for this vendor:

![General Invoice Node, Lower Pane, Tab 1:Payment/Order Address](image)

**Tab 2** contains **Claims Address** information for the vendor:
General Invoice Node, Lower Pane, Tab 2: Claim Address

Note that the second line of this display indicates that if no address is shown, the **Order/Payment Address** on **Tab 1** is used.

**Tab 3** contains **Return Address** Information:

General Invoice Node, Lower Pane, Tab 3: Return Address

Note that, like the **Claim Address Tab**, the second line of this display indicates that if no address is shown, the **Order/Payment Address** on **Tab 1** is used.

**Tab 4** of the Lower Pane contains **EDI Address** information. EDI is Electronic Dissemination of Invoices. Units that are interested in using EDI orders and invoices should contact OIS and view the documentation on the Aleph Documentation website: [http://hul.harvard.edu/ois/systems/aleph/doc-acq.html#edi](http://hul.harvard.edu/ois/systems/aleph/doc-acq.html#edi)

**12.4 Clearing Invoice Information**

To clear the invoice from the Invoice Tab, select the View Menu…Clear Invoice or press the Clear Invoice icon located to the right of the Invoice Bar.
12.5 Reviewing Invoices Using the Invoice Node on the Order Tab

To review an invoice made on an order look at the Invoice Node on the Order Tab.

1. Search for an order using the Order Bar or push a title from the Search Tab into the Order Tab (specific instructions on how to do this can be found in both the ACQA Learner’s Guides).

The Order Tab will open:
The tab will open to the Order List in the Upper Pane.

2. Highlight the order in the Upper Pane. The Order Root on the Navigation Pane to the left will populate with the Order Number, Vendor and Order Status. Beneath the Order Root is the Invoice Node that is used to view information on any invoice payments that have been made on this order.

3. To access the Invoice Node, click on it from the Navigation Pane or press the <Ctrl>+<Alt>+I keys. The Invoice Node will open to a line item display that is similar to the Line Items Node display on the Invoice Tab.

Invoice information appears in the Upper Pane. As with the Line Items List on the Invoice Tab, this is a configurable column heading display; right click on any of the columns to get a Header Configuration List to add or subtract columns to this display.

The columns on the Invoice Node List:

- **Vendor**: The Vendor code of the vendor
- **Invoice No.**: The vendor invoice number
Acquisitions: Receipts and Invoices

- **Invoice Date**: The invoice date assigned to the invoice
- **Currency**: The three letter code of the currency used to pay for the invoice
- **Amount**: The line item amount
- **Note**: Free text field from the Line item Expand Form
- **Type**: REG indicates a regular payment; ADJ indicates an adjustment payment
- **Status**: REG indicates a regular invoice
- **Units**: The number of units paid for by the line item
- **Pay Status**: Letter will indicate the current invoice status (N, A, B, etc.)
- **Local**: The net amount in local currency
- **Euro**: Not used at Harvard

There are two buttons to the right:

- **New**: Create a new invoice from the order. Note that this is not the recommended practice at Harvard unless the invoice for this book only
- **Gen. Invoice**: Click this button to open the Invoice Tab General Invoice Node. See section 3.3 for information about the information found here

The Lower Pane displays the **Invoice Line Item Expand Form** and the **Order Info** Tabs. These tabs work the same way as the tabs found on the **Invoice Tab**: see section 3.2.3 for more information.
13. **Getting Help with the Acquisitions Module**

**Documentation Site**

Documentation about how to process orders in Aleph can be found at the Harvard Aleph Documentation Web Site, located at [http://hul.harvard.edu/ois/systems/aleph/doc-acq.html](http://hul.harvard.edu/ois/systems/aleph/doc-acq.html).

**Aleph Support Center**

If you find that the Aleph client is not working as you expect it to, or you see other discrepancies in order information in Aleph, please report these problems to the Aleph Support Center, located on the Web at: [http://hul.harvard.edu/ois/systems/aleph/forms/f-supp-acq.html](http://hul.harvard.edu/ois/systems/aleph/forms/f-supp-acq.html).