# ACQP Learner’s Guide

## Vendors, Budgets & Invoice Payment

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1. Introduction

This class will acquaint staff with the basics of invoice payment and processing credits and internal adjustments. Participants will also learn about records that are created and maintained in the Administration Tab: vendor records, order unit vendor records, and budget records.

1.1 Accessing the Aleph Acquisitions Module

1. Click on Start>Programs>Aleph 181 and select the Acquisitions/Serials Module from the drop down menu.

2. Type the username and password

All of the panes found in the Acquisitions Module are described in the ACQO class-please see the Learner’s Guide for this class to see the definitions of each pane.
2. Budget records

The Budget record is used to track allocations, expenditures, and encumbrances from each fund within the Harvard University Library. Each Budget has a Budget Code. The Budget Code is a unique combination of tub, org, fund, activity, subactivity, and root values from the University’s Chart of Accounts. Most Acquisitions staff will only be able to view and not edit or create Budgets records.

2.1 University Account Coding

The Chart of Accounts (COA) structure is a seven-segment, 33 digit account coding structure. The COA structure has the following segments (length of each segment appears in parenthesis):

- TUB (3)
- ORG (5)
- OBJECT (4)
- FUND (6)
- ACTIVITY (6)
- SUBACTIVITY (4)
- ROOT (5)

Example of the coding structure:

415.36280.7031.000001.651123.0000.00000

Segment Definitions:

<table>
<thead>
<tr>
<th>Tub</th>
<th>415</th>
<th>Harv Coll Library</th>
</tr>
</thead>
<tbody>
<tr>
<td>Org</td>
<td>36280</td>
<td>Tozzer - Collections</td>
</tr>
<tr>
<td>Object</td>
<td>7031</td>
<td>Monographs for Library Collections</td>
</tr>
<tr>
<td>Fund</td>
<td>000001</td>
<td>Unrestricted -- Undesignated</td>
</tr>
<tr>
<td>Activity</td>
<td>651123</td>
<td>Acquisitions Genl</td>
</tr>
<tr>
<td>Subactivity</td>
<td>0000</td>
<td>Unspecified</td>
</tr>
<tr>
<td>Root</td>
<td>00000</td>
<td>Unspecified</td>
</tr>
</tbody>
</table>

Definitions for each segment appear in the chart of accounts section of the Office of the Controller’s website available at this address: http://vpf-web.harvard.edu/ofc/aa/app_coa.shtml

2.2 The Budget Node

To view Budget records in the Acquisitions module:

1. Click on the Administration Tab or press the F6 key. The Administration Tab is used to create and edit budget and vendor records, and is also used by the Office for Information Systems to update currency tables.

The system default is set to open on the Budgets Node in the Administration Tab. The Budget Node will open in the Upper and Lower Panes.
2.3 Searching for Budget Information

Search for budgets on the left hand side of the Upper Pane. There are five search options available in the drop down list:

1. **Browse**: Search for budget by beginning of budget code. For example, to find a budget beginning with the number “215,” enter this in the search box. The system will show the first instance of a budget beginning with that number in the Budget list to the right of the search box. To search for a FY2006 budget beginning with 215, add the year 2006 in the Year field to filter results.
Budget Browse Search

**Budget Filters:**

Three filters are available when performing a Browse Search for a budget:

- **Sub-library:** This should be labeled “order unit.” Ordinarily order unit filters on budgets are not used at Harvard. A few units may be restricting budgets by order unit.
- **Status:** This filter can have the value of AC (active) or NA (not active).
- **Year:** Type in the fiscal year of budgets.
- **View Authorized:** Check “View Only Authorized Budgets” box to see authorized budgets (determined by login id).

Click go to perform a search. Click the clear button to clear search term and the filters.

2. **Keywords:** Keyword search for budget name. For example, to find all budgets containing the word “friend,” select Keyword from the drop down list and type friend in the search box. Click the go button or press the <Enter> key. **NOTE:** filters are not available on keyword searches.

3. **Exact:** Enter an entire budget string to find the exact match.

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4. **Wildcard**: Search for a set of budgets that share the same attributes. Use wildcards anywhere in the string, e.g. a search for 235* will bring up all of the budgets beginning with 235. **Note**: filters are not available on wildcard searches.

When performing a **wildcard** search, the search term will display on the top of the budget display. In the Lower Pane, a balance tab will display that shows the balance information of all budgets beginning with the search term. Use CTRL+P to print the balance information (the print button is grayed out).
Balance for all Budgets beginning with 415 Tub

5. **Group**: Group search can be used if the Budget Group field is filled in on budget records and allows users to group budgets by type of material, etc.

Budget Group Search
2.4 **Reviewing the Budget Record**

Highlight the budget on the Budget List in the upper pane and view information about that budget on the Lower Pane:

There are three buttons on the right hand side of the Budget List:

- **New**: Creates a new budget. Only authorized users can create or edit budget records
- **Duplicate**: Duplicates an existing budget. Only authorized users can duplicate budget records
- **Delete**: Deletes budget records. Only authorized users can delete budget records

2.4.1 **Tab 1: Budget Info 1**

**Tab 1**: Displays budget information from the Budget Record. Only staff with authorization to edit budget records can make changes on this form.
The fields on Tab 1:

- **Open Date**: System supplied date that the record was opened
- **Department**: Optional field
- **External Name**: Not in use at Harvard
- **Budget Code**: 33 digit unique code + fiscal year by which the system identifies the budget
- **Budget Parent**: Not in use at Harvard
- **Use Parent Budget for Invoice Report**: Not in use at Harvard
- **Budget Type**: Used only at fiscal year rollover. The types used at Harvard are:

<table>
<thead>
<tr>
<th>Budget Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>EN</td>
<td>Endowment (EN)</td>
</tr>
<tr>
<td>GF</td>
<td>Gift (GF)</td>
</tr>
<tr>
<td>SS</td>
<td>Sponsored Support (SS)</td>
</tr>
<tr>
<td>UD</td>
<td>Unrestricted Designated (UD)</td>
</tr>
<tr>
<td>UU</td>
<td>Unrestricted Undesignated (UU)</td>
</tr>
<tr>
<td>BML</td>
<td>BML (BML)</td>
</tr>
<tr>
<td>SAO</td>
<td>SAO (SAC)</td>
</tr>
<tr>
<td>DNR</td>
<td>Do Not Roll Over (NA Non-Active)</td>
</tr>
</tbody>
</table>

- **Budget Name**: Enter the Name of the Budget, e.g. "KSG BCCSIA Ctr Science+Intl Affairs Endow (1977)" in this field. This field holds up to 60 characters
- **Valid From-To**: Enter the dates between which orders may be placed against the budget. At Harvard, fiscal years run from July 1-June 30
- **Budget Groups**: Optional field that may be used to combine several budgets in a group in order to produce a report on the budgets

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### Budget Status
Status types include: active (AC) or non-active (NA). The system default for budget status is active (AC)

### Note 1-4
Optional fields that can contain up to 100 characters

#### 2.4.2 Tab 2: Budget Info 2

Tab 2 contains Object Code Information associated with the budget. Only authorized users can make changes to this tab.

<table>
<thead>
<tr>
<th>Object Code</th>
<th>Expressed as Percentage</th>
<th>Limit to Under Exp./Inc.</th>
<th>Annual Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audio-Visual Collections</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Manuscripts + Archival Collections</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Monographs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Print</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Microform</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sound Recording</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Slide</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Audio-Visual</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Photographs</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Max. Over/Under encumbrance (%) | 10.00
Max. Over/Under expenditure (%) | 0.00

Budget Node, Lower Pane, Tab 2: Budget Info (2)

The Fields on Tab 2:

- **Object Code**: Defines the types of materials that may be used on a budget

**NOTE**: Do NOT use the ALL button. ALL is automatically checked but will select only the first 20 object codes. Uncheck ALL and select all of the appropriate object codes for the budget.

- **Max.Over/Under Encumbrance**: The maximum amount by which the budget may be encumbered over or under the estimated budget balance. Used with the checkboxes: Expressed as Percentage and Limit to Under Enc./Exp.

- **Max.Over/Under Expenditure**: Maximum amount by which the budget may be debited over and above the estimated budget balance. This field also depends on the checkboxes: Expressed as Percentage and Limit to Under Enc./Exp.

- **Expressed as percentage checkbox**: The Expressed as Percentage checkbox works together with the Max.Over/Under Encumbrance and Max.Over/Under Expenditure fields that appear below the object code list. If the box is checked, the amount written in the Max. Over/Under Encumbrance and Max. Over/Under Expenditure fields will be taken as a percentage of the allocation. If the box is not checked, the amount written in the Max. Over/Under Encumbrance and Max. Over/Under Expenditure fields will be taken as the actual amount of the allocation.

For example: The value in the Max. Over/Under Encumbrance field is $20. The budget allocation is $1000. The Expressed as Percentage box is checked. The Maximum Over/Under
Encumbrance is 20% (that is $200). This amount will be added to the initial allocation of $1000 for a total of $1200 for Over encumbrance and $800 for Under encumbrance.

- **Limit to Under Exp./Enc. Checkbox**: This checkbox defines whether the amount (or percentage) registered in the fields Max Over/Under Encumbrance and Max.Over/Under Expenditure is an amount OVER or an amount UNDER.

If the Limit to Under Enc./Exp. IS checked (set as “Under”) this means that the amount/percent registered in Max.Over/Under Encumbrance and Max.Over/Under Expenditure is to be subtracted from the budget balance amount. The user will not be able to encumber beyond the limit set.

If the Limit to Under Enc./Exp. is NOT checked (set as “Over”), the amount/percent registered in the fields Max Over/Under Encumbrance and Max Over/Under Expenditure is to be added to the budget balance amount.

For example: A budget has a balance of 100 USD and the Max. Over/Under Expenditure field is set to 20%. The Limit to Under Enc./Exp. checkbox is checked. The system will allow the user to spend only 80 USD. If the Limit to Under Enc./Exp. checkbox is NOT checked, the system will allow the user to spend 120 USD.

- **Annual Budget**: Check this box on all budgets because annual budgets roll over at the end of the fiscal year.

### 2.4.3 Tab 3: Balance and Object Code Information

**Tab 3** displays **Balance** information about the budget. The Balance Tab provides information about the current budget balance and also breaks down the payments made by object code.

**Budget Node, Lower Pane, Tab 3: Balance Information**

The fields on the Budget Balance:

- **Initial Allocation**: Not in use at Harvard
- **Allocation**: Total amount of all allocation (ALC) transactions made to this budget
- **Carryover**: Amount carried over from previous year's budget
- **Transferred**: This is the sum of all transfers to the budget minus all transfers out of the budget
- **Total Allocation YTD**: Displays the total allocation of the budget (Allocation + Carryover + / – Transferred = Total Allocation YTD)
- **Encumbrances**: An amount set aside in a **Budget** in anticipation of paying for an item
- **Invoices**: Displays the amount of invoices created on a budget
- **Payments**: Not used at Harvard
- **Free Balance**: Displays the actual balance minus any payments and encumbrances made against the. (Free balance = total allocations - (paid + unpaid invoices + encumbrances).)
- **Actual Balance**: Balance not calculating encumbrance:
  
  \[
  \text{actual balance} = \text{total allocations} - (\text{paid} + \text{unpaid invoices})
  \]
- **Over Commitment**: The amount that can be allocated over the encumbrance assigned to the budget. Financial officers in each tub set this value.
- **Over Expenditure**: The amount that can be spent over the amount allocated to this budget. Financial officers in each Tub set these values
- **Expended+Encumbered**: Defines the percentage of the total allocation that is used for expenditure and encumbrances. For example: If the total allocation is 1000.00, the encumbrance amount is 200.00 and the expenditure amount is 400.00 than this field will be 60%
- **Expended**: Defines the percentage of the total allocation used for expenditure (paid and unpaid invoices). For example: If the total allocation is 1000.00 and the expenditure is 400.00 than this field will be 40%
- **Tab 3, lower pane**: Beneath these fields is a breakdown by object code of all paid and unpaid amounts on this budget. The Paid column is not used at Harvard. Amount in Not Paid column is the expenditure for that object code on the selected budget.

![Budget Node, Tab 3, Lower Pane, Balance: Object Codes](image)

2.4.4 **Tab 4: Transactions**

Tab 4 displays Transactions associated with this budget. The Transaction List of the Budget window lists transactions for the selected budget, indicating whether they are Credits (C) or Debits (D). The transactions list can be filtered by transaction type.

There are six types of transactions that may appear in the list:

- **ILC (Initial Allocations)** – Not in use at Harvard
- **ALC (Regular Allocations)**
- **CRO (Carry-overs)**
- **TRN (Transfers)**

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- ENC (Encumbrances)
- INV (Invoices)

Budget Node, Lower Pane, Tab 4: Transactions

The buttons on the Transactions Tab:

- **Filter**: Select a type of transaction in the upper window and click the filter button to see a type of transaction
- **Allocate**: Used by financial officers to add funds to a budget
- **Print**: Print all or filtered transactions on a selected budget. Follow these steps to print:
  1. Check off all or filter the transactions list using the Filter button
  2. Click **Print**. To see a preview, click on the print configuration icon located at the bottom right hand corner of the screen and set the print configuration settings to preview.
2.4.5 Harvard Budget Summary Report

A budget summary report is published biweekly and made available on the web for authorized users. Please contact OIS via the Aleph support center to request access to these reports.

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

2.4.6 Tab 5: Order Unit

Tab 5 displays Order Unit information associated with the budget. Order unit restrictions are not added to most budgets though some units may be using them.
2.5 **Budget Creation and Maintenance**

2.5.1 Create a Budget Record

1. From the Budget List in the Upper Pane, click on the new button. The Lower Pane will open to Tab 1.

2. In the **Budget Code** field, enter 29 numbers of the budget, using the following convention: 415.37720..000001.654091.0000.00000-2008

   **Note**: the two dots (..) replace the object code which will be supplied at another point

3. **Valid From**: fill in with the appropriate date. For most units, the fiscal year begins on July 1 of each year at Harvard.

4. **Valid To**: fill in with the appropriate date. For most units the fiscal year ends on June 30 of the subsequent year.

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5. **Budget Name**: The recommended practice is to give the budget a name that coincides with the name given by financial administration. See the document entitled *Best practice recommendation: fund naming* available at the Harvard Aleph Documentation Site: [http://hul.harvard.edu/ois/systems/aleph/docs/fundnames_recommendation.pdf](http://hul.harvard.edu/ois/systems/aleph/docs/fundnames_recommendation.pdf)

6. Click on **Tab 2**

### 2.5.2 Add Budget Codes and Set Encumbrance/Expenditure Limits

1. On **Tab 2 (Budget Info 2)** select the **Object Codes** valued for this budget. The limit is set to 20 object codes per budget. Do not check the ALL box.


3. Check off the **Annual Budget** box. All budgets should be annual budgets.

4. Click **Add** to add this budget. The system will highlight the new budget Budget List in the Upper Pane.

---

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2.5.3 Adding Funds to a Budget

1. On the Lower Pane, click on Tab 4, Transactions
2. Click on the **Allocate** button. This will open the **Allocate Transaction Window**:  

The fields on the Allocate Transaction Window:  
- **Date**: Default setting is the date of entry. The date may be changed if necessary by clicking on the down arrow and selecting from the calendar  
- **Initial** and **Regular**: Always choose Regular  
- **Currency**: System will supply. The default setting for all budgets at Harvard is USD for US dollars. USD in the currency field may also be selected from a drop down list  
- **Currency Date**: Default setting it the date of entry  
- **Sum**: Add the amount to the budget  
- **Debit** and **Credit**: Select the Credit radio button is the one selected  
- **Note**: Free text field that holds up to 60 characters  

3. Confirm that the **Regular** radio button is selected  

4. Add the appropriate amount to the **Sum** field  

5. Confirm that the **Credit** radio button is selected  

Optional: add a **Note** to the **Note** field.  

7. Click **OK** or press the <Enter> key to add funds to the budget.  

---  

Allocate Transaction Window Filled In  

View the allocation on the Transaction Tab:  

---  

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2.6 **Duplicating an Existing Budget**

Duplicate existing budgets to save time when creating new budgets.

1. On the Upper Pane, highlight the budget to duplicate on the **Budget List**

2. Click the **Duplicate** Button. The Lower Pane opens to Tab 2. Notice that the Valid From and Valid To dates will be filled in and the Budget Name filled in from the duplicated budget.

---

**Duplicate Budget Tab 1**

1. **Tab 1**: add a Budget Code and a new Budget Name. Add or edit other fields as appropriate. Click to Tab 2.

2. **Tab 2**: notice that the Object Codes from the original budget will duplicate. Edit these as appropriate and click Add.

3. **Tab 4**: Add an Allocation
2.7 **Budget Transfers**

Aleph offers two ways to transfer funds between budgets in the Administration Tab:

- Transfer button found on Tab 4 of the Budget Window, Transactions
- Budget Transfer Node on the Navigation Pane

2.7.1 Transfer from Tab 4, Transactions

1. Highlight one of the budgets on the Budget List in the Upper Pane

2. Click on Tab 4, Transactions, in the Lower Pane

3. Click on the Transfer button. A Budget Transfer Window will display. In the left hand window, notice the budget highlighted on the Budget List:
4. On the right hand window, type in the number of the other budget. Select the List Box to bring up a Budget List.
The same filters and keyword search options are available as on the regular Budget Node. Click the Select button to choose a budget. The budget number will populate the field on the right hand window:

5. Add the budget transfer amount to the Amount field in the middle of the window

6. Transfer money from the budget on the left hand window to the budget on the right hand window, or vice versa

Optional: add a Note at the bottom of the window.

To transfer funds:

A. To move funds from the budget on the left to the budget on the right: click the button pointing to the right.

The following dialog box confirms the transaction:
Budget Transfer Note Display on Budget Window

7. Click OK. Notice the funds transferred from the budget on the left to the budget on the right:

Budget Funds Transferred

Look at the budget on the left in the Transferred field. Notice the amount transferred in parenthesis [in the example above, this is (1000.), indicating that the amount has been debited from the fund.]
Click the arrow pointing to the left to transfer money from the right to the left. The same Budget Transfer message, with the appropriate budget transfer information.

8. **Click the X** in the top right hand corner to close the window.

### 2.7.2 Transfer Using the Budget Transfer Node

Click on the Budget Transfer Node from the Navigation Pane:

![Budget Transfer Node](image)

Follow the same instructions as outlined in section 2.7.1. The only difference is that users must supply the budget number on the left hand side as well as on the right hand side.

### 2.8 **Fiscal Year Rollover**

Additional information for financial managers concerning fiscal year rollover and other administrative information is available from the Office for Information Systems. New financial managers in need of additional documentation should contact the Aleph Support Center 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)
3. The Aleph Vendor File

Each record in the Aleph Vendor File serves three basic purposes:

1. Provides name and address information for orders, claims and returns
2. Provides default information for order records and invoice records within Aleph
3. Provides a link with a record in the University’s vendor file in central Accounts Payable (if the record is set up to enable payment)

Aleph provides a two-tiered structure for Vendor Records: each vendor had a Master Vendor Record, and may also have an Order Unit Level Record. To ensure the integrity of the data, the Master Records in the Aleph vendor file are created and maintained by the Book Accounts department of HCL Financial Services. The procedure for submitting a request to Book Accounts to set up a new master record requires submitting a web-based form that is available at http://hul.harvard.edu/ois/systems/aleph/docs/f-vndr-form.html

**Order Unit Level Vendor Records** allow order units to set their own Delivery Delays and methods for sending orders and will be created and maintained by a few designated operators within each Order Unit.

A Vendor Record must be set up in Aleph the system to pay a vendor. This record includes a vendor code that has been assigned by the Book Accounts office. There are three categories of generic vendor records for use in limited circumstances:

1. Use the following vendor codes for orders placed outside of Aleph with vendors that do not have a Master Vendor Record on file: XPHONE, XFAX, XEMAIL, or XWEB
2. Use the following vendor code for gifts: XGIFT
   
   **NOTE:** This vendor will not allow payment in Aleph. It will also not allow units to track where the gift came from. To track gift receipts, libraries must request vendor records for the donors. These records will be set up as a gift-only vendor.
3. Use the following code for internal adjustments and one-time orders paid by p-card: XPCARD
   
   **NOTE:** For vendors paid by P-Card, e.g., Amazon, use the vendor record for that vendor

3.1 Locating Vendor Records

1. Administration Tab and select the Vendor Node. To access the Vendor Node, click on it in the Navigation Pane or press the <Ctrl> + <Alt> + V keys.
There are four ways to search for vendor information:

**Code Search**: Search for a vendor by vendor’s code

**Name Search**: Search for Vendor by name
Vendor Name Search

**Exact Search:** Enter the vendor code exactly to display the vendor in the Vendor List.

**Keywords:** Search for a vendor name using keywords as well as truncation

Vendor Keywords Search

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Keywords will search only the following fields in the Vendor Record:

- Vendor Name
- Country
- Contact
- Additional code
- Vendor order address

**Note:** Vendor Code is NOT among the fields searched for keywords

### 3.1.1 The Vendor List

The vendor list displays to the right of the search box. Highlight a vendor from the Vendor List to display the master vendor record (HVD50 Harvard University Library) and any Order Unit vendor records if applicable.

There are four buttons located to the right of the Vendor List:

- **New**: This can be used only by HCL Financial Services to create a new Master Vendor Record
- **Duplicate**: This button can be used by HCL Financial Services to duplicate a Master Vendor Record
- **Delete**: Not in use at Harvard. Obsolete vendor records are given the status of NA (Not Active)
- **Address**: Click to view vendor address information
There are five types of addresses. Fill each out accordingly.

Fill out the appropriate web forms to update a vendor’s address information located at: http://hul.harvard.edu/ois/systems/aleph/vformchange.html.

3.1.2 Vendor sub level list

Beneath the Vendor List is the Vendor Sub Level List. This list shows the Master Unit Vendor Record (it will say HVD50 Harvard University). Beneath this will be any existing Order Unit Vendor Records for this vendor:
Vendor sub level list

There are two buttons on the side of the Vendor Sub Level List:

- **Add**: Creates a new Order Unit Vendor Record
- **Delete**: Deletes a new Order Unit Vendor Record

### 3.1.3 The Lower Pane of the Vendor Node

Highlight a specific vendor in the Upper Pane to display the vendor record information in the lower Pane. There are four tabs found on the Lower Pane:

**Tab 1** contains Vendor Record Information. Only HCL Financial Services can edit information on this tab for the master vendor record.

- **Open Date**: Date record was created (grayed out)
- **Update Date**: Date record was last updated (grayed out)
- **Cataloger**: Name of the person who created the record (grayed out)
- **Vendor Code**: Unique alphanumeric code, used to place orders and pay invoices (grayed out)
- **Vendor EDI Code**: Used for EDI transactions (not yet implemented at Harvard)
- **Vendor EDI Type**: Used for EDI transactions (not yet implemented at Harvard)
- **Additional Code**: If one or more numbers are in this field, the vendor may be used for payment in Aleph. The numbers link the Aleph Vendor record with a vendor record in the University's central Accounts Payable database. If no numbers are present, the vendor may not be used for payment—it may only be used for tracking gifts or making internal adjustments in Aleph.

- **Vendor Name**: Name that appears in the Name index in the Vendor List

- **Vendor Status**: Code to indicate whether the vendor is active or inactive, which may be used for reporting and filtering

- **Vendor Language**: Language of forms (orders, claims, etc.) to be sent to the vendor. This field provides a default value for order records.

- **Country**: Country where the vendor is located.

- **Material Type**: Type of material usually ordered from the vendor. This field will not be filled in on master Vendor records

- **Note**: notes concerning the vendor—for reference only.

**Tab 2**: Contains the account number, currency, and order method (print letter, email, etc.). This information defaults on the Order Record. Users may add account numbers and default order formats and methods to an Order Unit Vendor Record here. Only HCL financial services are able to edit Master Vendor records.

![Vendor Node, Lower Pane, Tab 2: Vendor Info (2)]

- **Account No. (M)**: Vendor account number for monograph orders. This field will not be filled in on master Vendor records

- **Account No. (S)**: Vendor account number for serial orders. This field will not be filled in on master Vendor records

- **Vendor's Bank Acct.**: This field will not be filled in on master Vendor records

- **Currency 1-4**: Currencies used to place orders. Only those currencies entered in these fields may be used in order records. However, any currency may be used on an online invoice to pay the vendor.

- **Terms Sign**: Leave blank. (A plus sign would indicate the presence of a consistent added charge for encumbrances on all orders sent to this vendor; a minus sign would indicate the presence of a consistent discount on encumbrances for all orders sent to this vendor.)

Revised: September 9, 2008
- **Terms Percent**: Leave blank. (A value in this field would indicate the presence of a consistent percentage of discount or added charge on encumbrances for all orders sent to this vendor.)

- **Order Delivery**: Indicates the manner in which orders will be sent to the vendor. The choices are “Letter” and “List.” If the value here is “Letter,” the order will print or be sent by email immediately. If the value is “List,” the order will be printed or emailed later when a batch job is run. This field provides a default value for order records.

- **Letter Format**: The printed format for orders sent by “letter” in Order Delivery. (Show the drop-down menu.) This field provides a default value for order records.

- **Letter Send Method**: Method of sending the “Letter” orders to the vendor. “Print” and “Email” are the two possible choices. Email will work only if the vendor’s email address is filled in on the Vendor Addresses record. If “Email” is selected and the vendor’s email address is not filled in on the Vendor Addresses record, the orders will print. This field provides a default value for order records.

- **List Format**: The printed format for orders sent by “List” in Order Delivery

- **List Send Method**: Method of sending the “List” orders to the vendor. “Print” and “Email” are the two possible choices. As in the Letter Send Method field above, email will only work if the vendor’s email address is filled in on the Vendor Addresses record. If the vendor’s email address is not in the record, the list will print. This field provides a default value for order records.

- **EDI Format**: Not yet available at Harvard

- **EDI Send Method**: Not yet available at Harvard

**Tab 3** contains Order Delivery information that defaults into the Order Record

<table>
<thead>
<tr>
<th>Vendor Info 1</th>
<th>Vendor Info 2</th>
<th>Vendor Info 3</th>
<th>Order 1</th>
<th>Order 2</th>
<th>Order 3</th>
<th>Order 4</th>
<th>Order 5</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Contact 1</strong>:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Contact 2</strong>:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Contact 3</strong>:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Contact 4</strong>:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Contact 5</strong>:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Delivery 1 (ACQ)</strong>:</td>
<td>S</td>
<td>Delivery Delay 1</td>
<td>90</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Delivery 2 (ACQ)</strong>:</td>
<td>A</td>
<td>Delivery Delay 2</td>
<td>30</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Delivery 3 (ACQ)</strong>:</td>
<td>C</td>
<td>Delivery Delay 3</td>
<td>10</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Delivery 4 (BE)</strong>:</td>
<td>S</td>
<td>Delivery Delay 4</td>
<td>90</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Delivery 5 (BE)</strong>:</td>
<td>A</td>
<td>Delivery Delay 5</td>
<td>15</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Vendor Node, Lower Pane, Tab 3: Vendor Info (3)

- **Contacts 1-5**: Optional fields that will not be filled in on a master record. Create an order unit level vendor record to provide specific contact information

- **Delivery Type 1-3 (ACQ)**: The codes in these fields indicate the ways in which we expect materials that will be checked in as monographs or standing orders will be delivered from the vendor. Each Delivery Type has an associated Delivery Delay. The value set in Delivery Type 1 provides a default value for monographs and standing order type order records

Revised: September 9, 2008
- **Delivery Type 4-5 (SER)**: The codes in these fields indicate the ways in which we expect that materials that will be checked in as serials will be delivered from the vendor.

- **Delivery Delay 1-3**: Used with Delivery Type 1-3 to calculate the Estimated Date of Arrival for orders that will be checked in as monographs or standing orders. (For standing orders, the Delivery Delay governs the Estimated Date of Arrival for the initial receipt only.) The number of days allowed here will differ according to the Delivery Type. Delivery Delay 1 provides a default value for order records for monographs and standing orders.

- **Delivery Delay 4-5**: Used with Delivery Type 4-5 to calculate the Estimated Date of Arrival of the initial receipt for orders that will be checked in as serials. The number of days allowed here will differ according to the Delivery Type. Delivery Delay 4 provides a default value for order records for serials.

Tab 4 contains Order Unit information. This tab is not used at Harvard.

### 3.2 Create Order Unit level Vendor Records

Look at "master" vendor records to see that certain fields in the vendor record are used as defaults in order and invoice records. This presents a problem since it is unlikely that the values in the "master" vendor record will work for all libraries. Libraries can select values other than the defaults supplied from the vendor record and set local defaults for vendors used regularly by creating an order unit level vendor record.

Acquisitions staff will be authorized to use one or several Order Unit codes. Logins control which Order Units can be used in an order and the Order Units for which a vendor record can be created. When creating an order, enter the Order Unit in the record. When adding a Vendor Code to the order, the system checks for a vendor record for that Order Unit. If one is found, the defaults from the Order Unit record are used. If there is no Order Unit record, the defaults from the "master" vendor record are used.

To create an Order Unit level Vendor record:

1. Select a vendor from the Vendor List in the Upper Pane. When the vendor is highlighted, the Master Unit Vendor Record and any Order Unit Vendor Records will display in the Vendor sub-Level List:

<table>
<thead>
<tr>
<th>Sublibrary</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>HVD50</td>
<td>Harvard University</td>
</tr>
</tbody>
</table>

![Vendor Sub Level List](image)

2. From the Vendor Sub-level List, click Add to get the Add Sub-Level dialog box. This generates an Order Unit level record that initially looks like a clone of the master Vendor record.

Revised: September 9, 2008
3. Choose a value for “Sublibrary/Order Unit” from the drop down menu. Sublibrary/Order Unit Selected

4. Click OK. The Vendor Information Form will open in the Lower Pane.

Order Unit Vendor Form

The fields that are grayed out may not be modified. All other fields may be modified with local information. Note that ALL of the fields on Tab 1 are grayed out, except for the Note field.

5. An Order Unit may choose to fill in one or more of the Contacts fields on Tab 1. These fields will print on purchase orders. The Note field can also be filled in, but keep in mind that it is only informational—it has no other functionality within the system.

Order Unit Vendor Record: Tab 1

6. Click on Tab 2, Vendor Info 2
On Tab 2 there are numerous fields that may be customized for a particular Order Unit. The Account No. (M), Account No. (S), Vendor Bank Account, Order Delivery, Letter Format, Letter Send Method, List Form and List Send Method fields all provide default values on order records. While an operator may override these default values on any order, individual Order Units may wish to customize these default values to suit their preferences.

On Tab 3, the following fields may be changed: Contacts 1-5, Delivery 1-5, Delivery Delay 1-5

**A Note about Delivery Delay on the Order Unit Vendor Record:** If an order was created with an Order Unit vendor record, certain values such as the Delivery Delay should come from the local record rather than the master vendor record.

7. Fill in and change data as appropriate

8. Click Update to save the record. Notice that the Order Unit has been added to the Vendor Sub-level List in the Upper Pane
Order Unit Level Record Added

To modify an Order Unit level record: highlight the record on this screen and add or subtract data from the appropriate tabs on the Lower Pane. Click Update to save changes.

If no Order Unit level record exists for an Order Unit, all operators in that Order Unit will have their defaults supplied by the master Vendor record.

Libraries may create only one unit-level vendor record per order unit so creation and maintenance of these records should be coordinated within each unit.

3.3 **Master & Order Unit Vendor Records in Order Records**

Values from the vendor record automatically populate the Aleph Order Record when a vendor is selected on Tab 3 of the Order Form.

The default information brought into Tab 3 depends on whether a library is using the Master Vendor Record or an Order Unit Vendor Record. In the figure above, this library is using the Master Vendor Record. The following information has been populated into these fields on Tab 3:
Order Delivery Type: LE, single letter

Delivery Type: S, Surface Mail

Letter Type: 01, standard purchase order form

Send Letter By: Print

In addition to these fields, the vendor has 90 days to deliver the material to the library unless an explicit date is entered into the Claim Date field. Though this value is not viewable in the order record, it is found on Tab 3 of the Vendor Record (if Delivery Type is S, then the number of days is 90).

If a library unit creates an Order Unit vendor record, then the values in these fields could change. The Design Library has an Order Unit Vendor Record for their DES01 Order Unit. On Tab 2 of the Order Form, Design indicates that Order Unit DES01 is creating the order. Now, when the staff person at Design selects the Yankee Vendor, here is what Tab 3 of the Order Form looks like:

Order Form, Tab 3, Vendor Information, Order Unit Vendor Record

DES01 is using the LI Order Delivery Type and there is also a Vendor Contact on Tab 3. In addition, DES01 added an account number to their Order Unit Vendor Record, and this will display on the purchase order when the list order is printed.

3.4 Maintenance of Aleph Vendor records

The two levels of the Aleph vendor record are maintained by two different groups of Aleph users. The master record is created, modified and/or deleted only by staff of the HCL Financial Services Office. It is their responsibility to make certain the master records in the Aleph vendor file are synchronized with the Accounts Payable oracle vendor file. Local order unit level vendor records are created, maintained and/or deleted by designated staff in each ordering unit.
The staff who maintain order unit level vendor records have a responsibility both to work with staff in HCL Financial Services to make certain that master vendor records are created or modified when appropriate and to make certain the order unit level vendors records meet the needs of their units.

If there is a change to a vendor payment address, a vendor name or a vendor’s tax (legal) status or any other data that can only be modified at the master vendor record level, then the local vendor file administrator must notify HCL Financial Services. The OIS web site has the forms for requesting new master vendor records or requesting modifications to an existing master vendor record.

**New Vendor Request and Vendor Change Address Forms:**

http://hul.harvard.edu/ois/systems/aleph/docs/f-vndr-form.html

The forms and accompanying documentation must be submitted HCL Financial Services so they may create a new vendor record, modify the old vendor record, or, possibly, disable the old vendor record.

If there is a change to any of the data that can be modified in an order unit level vendor record, then the local vendor file administrator should make whatever modifications are necessary to the local record.

It is recommended that only one or two staff members serve as local vendor file administrators for each unit. Since only one order unit vendor record per vendor is allowed for each unit it is important that the record be created and maintained by a staff member who is proficient in vendor file maintenance and understands the impact of changes to a vendor record.
4. Review Existing Invoice Information

The General Invoice is the term for the screens on which the information that applies to the entire invoice, such as the vendor-supplied invoice number, invoice amount, currency, etc., is captured and displayed.

To pay an invoice in Aleph, create a General Invoice record and then assign line items (usually corresponding to payments for individual orders) to the invoice.

Aleph provides two ways to review existing invoice information:

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

4.1 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](image)

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:

Vendor Code Filled In from Vendor List

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.

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

4. 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:

   ![Invoice Tab, Line Items Node](image)

4.2 **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).
4.2.1 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.

4.2.2 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.

4.2.3 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**: This radio button should be checked off if a line item payment has been made.
- **Credit**: This radio button should be checked off if a line item 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.
### 4.3 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.

**General Invoice Node**

- **General Invoice Node selected**
- **General invoice information**
- **Vendor payment address information**

---

Revised: September 9, 2008
4.3.1 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: \((\text{Net amount} + \text{Shipment} + \text{Overhead} + \text{Insurance}) - \text{Discount}\)
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**

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.
  6. **Paid:** The status P is used to denote invoices that have been completely paid by Accounts Payable. It has not yet been implemented here at Harvard; a message will be send to hulinfo when this happens.

- **Approval Dep.:** The approving tab. It is possible to configure the Aleph client so that this value always defaults to a particular tab 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.

### 4.3.2 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

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)

### 4.4 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.

![Clear Invoice menu choice and Icon](image)

### 4.5 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 ACQO and ACQR Learner’s Guides).

The Order Tab will open:
Order Tab, Order List

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.
Order Tab, Invoice Node

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
- **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 and 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

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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.
5. 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.

5.1 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.

5.2 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)

New Invoice Creation Dialog Box

3. Click Yes or hit the <Enter> key. The Invoice Tab will open to the General Invoice Node.
4. Fill in the following fields on the General Invoice Form:
   - **Net Amount**: Type 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.

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.

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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)

![Image of invoice information added to line items node]

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.

### 5.2 How to Make 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
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 ACQR 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.
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

![Image of a form with fields filled out]

**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.

![Image of a form with fields filled out]
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.
Invoice amount is -125.00 but total sum of debit lines is -10.00.
Close anyway?
```

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

### 5.3 Adding a Serial Payment to an Invoice

1. From the Upper Pane click on the Add button

2. Enter an Aleph order number for a serial subscription in the Index Text field and click OK. The Invoice Line Item Expand form opens in the Lower Pane
Serial Invoice Line Item Expand Form

3. Enter the Net Amount

4. Enter or select the Object Code (e.g. “7051” for “Print Serials”) for the Object Code field.

5. Add any notes in the note field

Serial Line Item

Note the Check Subs. Date Overlap box. The Acquisitions Working Group recommends that the box be left unchecked because if additional payments for this subscription year are needed the system will produce an error message. If the box is left checked the Subs. – From Date and To Date fields must be filled in.

6. Enter the appropriate subscription period dates in the Subs. – From Date field, and in the To Date field.

Note: the Order Completely Invoiced field is grayed out for a serial payment.

7. Click Refresh to review the data on the screen.

To review the budget encumbered information, click on the Budgets button to open the Budget List of Invoice window.
5.4 **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.

![Budget List of Invoice Window](image)
Delete Budget from Line Item Confirmation Request

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.
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

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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.

5.5 Posting a Payment for Postage

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

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.

5.6 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](image)

Delete Payment Confirmation

2. Click Yes.
5.7 **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.

![Budget List of Invoice](image)

**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

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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.

Asterisked Budget Indicates More than One Budget Used to Pay Line Item

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5.8 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.

![Edit Line Item: Change BOTH Net Amount and Total Amount Fields]

5.9 Invoice Status Change

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

![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)]
6  Credits, Deductions and Discounts

6.1  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.

6.2  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.

6.3  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.
7. 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 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

7.1 **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.

### 7.2 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