Orbis Cascade Alliance
New Staff Training Group for Serials – Final report
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The New Staff Training Group for Serials was charged with outlining topics to be used in the development of training materials. This serials outline is intended to meet the needs of Alliance institutions when training new serials staff or staff taking on new serials responsibilities. Our work follows the model found in the reports of the New Staff Training Group for Acquisitions and New Staff Training Group for Resource Management. We have borrowed from the work of these groups, adapting and adding to their outlines as appropriate for serials.

Serials work covers a wide variety of activities found within Alma's acquisitions and resource management modules and includes resources in both physical and electronic formats. Serials staff must be familiar with all of the functions in these areas in order to adequately manage serials for their institutions. The level of detail that staff must understand varies widely depending on which specific aspect(s) of the serials life-cycle fall within their purview. The following training outline includes all serials functions and the specifics that serials specialists at various staffing levels will need to know to perform their work. It can be used in conjunction with the training outlines for Acquisitions, Resource Management, and Electronic Resource Management (not yet written) as appropriate.

The training outline is organized as follows:

Alliance specific training
1. Overview of the Alliance & Contact Points
2. Areas of Alma That Impact the Whole Alliance

General training
1. Introduction to Repository Searching
2. Basic understanding of bibliographic records

Working in the Acquisitions functional area
1. Ordering
    a. Bibliographic records
    b. PO Line types
    c. POL creation and life cycle
    d. Continuations and standing orders
2. Receiving Workbench
3. Invoicing
4. Claiming
5. Renewing
6. Vendor records

7. Additional steps
    a. Relinking of POLs
    b. E-resource activation
    c. Introduction to funds and ledgers
    d. Licensing

Working in the Resource Management functional area
1. General
2. Bibliographic records
3. Holdings records
    a. Predictions
4. Item records
    a. Overview
    b. Description templates
5. Work orders
6. Manage sets
7. OCLC and the Network Zone
8. Electronic resources
    a. Portfolios
9. Physical processing
    a. Binding
    b. Label printing

Working in the Administration functional area
1. Alma Analytics
2. Running jobs
3. User management for Alma Acquisitions and Resource Management

General areas
1. Task list
2. Community Zone Updates Task List

Outline of Training Topics for Serials

Alliance-specific training (modified from Resource Management report)

1. Overview of the Alliance & Contact Points

Description: Covers Alliance mission, organizational structure, membership, purpose of working in Alma/Primo, etc. as well as key training resources and help for working in Alma. Includes key contacts for Serials (and other functional areas).

Audience: Anyone new to Alma or the Alliance

Objectives: Understand the Alliance organizational structure, know where to look for contacts or tools to answer questions

- Create contact lists, identify contacts at member libraries for various issues related to topics in Serials
- Become familiar with other resources for training and help, subscribe to appropriate e-mail lists
    - ExLibris Knowledge Center (including Alma Help)
    - Alliance Technical Services Discussion Lists
        - General technical services list
        - Acquisitions list
        - Cataloging list
        - Electronic Resources list
    - Alliance web pages
    - Alma-L List

2. Areas of Alma That Impact the Whole Alliance

Description: In conjunction with the overview training, acts as an introduction to using Alma as a member of the Alliance. Includes Alliance bibliographic record policies and operational policies, the structure of Alma's three zones, and some basic principles relating to import profiles.

Audience: Anyone new to Alma or the Alliance

Objectives: Understand the basic infrastructure of Alma's three zones and where to find more information, Alliance bibliographic record policies and operational policies, best practices related to serials, and how to apply these policies/practices to import profiles and record loads.

- Become familiar with the different zones (IZ, NZ, CZ) and how they relate, interact
    - Recognize the meaning of icons
- Understand Alliance bibliographic record policies (previously called mandates) for shared bibliographic records and Alma operational policies
- Understand other Alliance best practices related to work with serials
    - Become familiar with where to find information about these best practices
- Understand how to do record loads and set up/use import profiles

General training

1. Introduction to Repository Searching (modified from Resource Management report)

Description: Knowing what information is available via a Repository Search and how it is indexed is not always self-evident, but it is important to understand in order to prevent duplication of records and efficiently manage tasks.

Audience: Anyone searching for bibliographic records and inventory in Alma.

Objectives:

- Understand which fields are indexed in each search field
- Understand how the type of search (Physical titles vs. Physical Items, for example) affects what information and record links will be presented
- Understand the Alma concept of inventory:
    - Physical (holdings and items)
    - Electronic (portfolios)
- Understand the differences in searching the IZ, NZ, and CZ and when to use each
- Understand what the icons mean
- Understand how the Boolean operators vary between the different Advanced Search options
- ADVANCED: Understand how to save queries into sets (See also Manage Sets)
- ADVANCED: Know the difference between Logical and Itemized sets
- ADVANCED: Know how to combine sets
- ADVANCED: Know how to export/import a set

2. Basic understanding of bibliographic records (modified from Acquisitions report)

Description: An understanding of basic bibliographic description and the fields of a catalog record are necessary in order to accurately determine whether an institution or the Alliance already has access to a given resource, facilitates ordering new materials, aids in preventing unwanted duplication, and is vital for determining the correct record for continued receiving.

Audience: Staff searching for or creating bibliographic records in Alma, creating orders, or receiving materials

Objectives:
- Be able to evaluate bibliographic records for quality based on presence or absence of record fields
- Recognize and interpret basic MARC fields in serial records (e.g. 022, 1XX, 245, 246, 260/264, 300, 310, 362, 6XX, 77X, 78X), including the meaning of indicator values in some fields (e.g. 246, 264, 78X)
- Be able to identify the correct record for the serial in hand, including checking the title proper, variant titles, date range covered by the record, etc.
- Understand how Alma interprets MARC fields (e.g. whether it determines something is a ceased record or not; |z in ISSN fields)
- Understand how the 78x fields from CKB MARC records work
- Understand ExLibris and Alliance policy on editing CKB MARC records
- Understand the difference between electronic and print serial records

Working in the Acquisitions functional area

1. Ordering

1a. Bibliographic Records (modified from Acquisitions report)

Description: Understand bibliographic mandates, best practices, and how zones interact, whether one is using records loaded from a file, an individual export from OCLC, or creating a brief record.

Audience: Anyone placing or creating orders

Objectives:
- Understand and be familiar with bibliographic mandates/best practices, especially to check the NZ before importing record/creating brief record
- Be familiar with the use of CZ vs. NZ bibs for e-resources (no Alliance policy on this currently)
- Understand how to use both OCA (Orbis Cascade Alliance) and local brief bibliographic templates
- Understand consequences of using NZ "Order" vs. link to IZ before ordering (i.e. greater choice of material types, POL types)
- Learn the difference between creating an Order from a Portfolio vs. linking a Portfolio after creating the POL
- Suppression of records
    - When to do so
    - How to do so (including to do so only in the IZ and not in the NZ)

1b. PO Line Types (modified from Acquisitions report)

Description: Understand what each PO Line type does, and what PO Line type links to what inventory type. Understanding the differences between the available PO Line types and how they function is necessary in order to avoid unwanted ramifications to workflows down the line. You will learn to choose an appropriate PO Line type based on the type of inventory being ordered.

Audience: Anyone creating or importing an order into Alma; anyone relinking a POL

Objectives:
- Understand the Alma PO Line types: one-time, continuous, and standing order
- Understand the Alma inventory formats: physical, electronic and (optionally) digital
- Understand what type of inventory each particular PO Line type can be attached to
- Understand what steps need to be taken with each PO Line type in order to complete the workflow
- Understand what fields in each PO Line type impact the steps involved in the PO Line type's workflow

1c. POL creation and life cycle (modified from Acquisitions report)

Description: Understand the Alma POL life cycle, including the implications for not following prescribed Alma workflows in order to avoid duplicate work.

Audience: Anyone creating an order

Objectives:
- Understand the Alma POL life cycle (create, package, send, claim/renew, receive/activate, pay, close/cancel)
- Understand how to create, use and modify POL templates
- Learn how to create print serial POL

- Understand the options for Comes with/Membership POL, such as a Technical POL or associating a POL line
- Understand the difference between one-time POL and continuous/standing order life cycles.
- Learn how to create Electronic serial POL
- Learn how to create Collection & database POL
- Learn how to create other POL types (Print Monograph, Electronic Monograph, Microform, Visual, Access Service, etc.)

1d. Continuations and standing orders (modified from Acquisitions report)

Description: This training will explain the different subscription-type orders and the workflows each type impacts.

Audience: Anyone creating or importing continuous or standing orders

Objectives:

- Understand the difference between continuous and standing orders in Alma
- Understand the various PO fields
- Understand which PO fields are required at minimum.
- Understand what workflow steps each PO field impacts (or doesn't impact)
- Understand the difference between the Subscription Date versus the Renewal Date
- Understand how to manually and automatically renew a POL, and the benefits of each

2. Receiving workbench

Description: Understanding how to receive physical materials is important for making sure item availability is accurate for the individual institutions and for Summit lending.

Audience: Anyone receiving serials

Objectives:

- Learn how to navigate within the workbench, including the difference between one-time and continuous tabs
- Understand how to search within the receiving workbench
    - Learn how to search for closed POLs from within the workbench
- Understand how to read and interpret information in the holdings record and POL from within the workbench
- Learn how to receive new items in the workbench
    - Understand how to duplicate the most recent item record and the limitations of this function
- Learn how to receive with predictions
    - Understand the benefits and limitations of receiving with predictions, including the impact on Primo display and availability data
- Learn how to receive a one-time serial order
- Learn how to receive standing orders (including monographic series and serials analyzed or cataloged as separates)

3. Invoicing

Description: Invoicing allows for tracking prices and payments in Alma.

Audience: Anyone who creates or approves invoices.

Objectives

- Understand the Alma workflow for invoicing and its effect on PO Lines (i.e., a PO Line with a PO type of purchase must be invoiced in order to close)
- Learn how to access the Acquisition training materials for more in-depth information

4. Claiming

Description: Claiming ensures you are receiving the issues you are expecting.

Audience: Anyone who claims purchased items.

Objectives

- Understand the challenges of using Alma to track claims
- Understand what POL types can create claiming tasks
- Understand what POL and item record fields will create claiming tasks
- Understand how to clear a claim from the Order Lines with Claims task list
- Understand the difference between claiming manually received items versus predicted items (advanced)
    - Understand how to change the expected receive date and the implications of doing this

5. Renewing

Description: Understanding the difference between Manual renewal and System (automatic) renewal

Audience: Anyone ordering, invoicing, activating resources, or renewing

Objectives:

- Understand the fields in a POL that affect Manual vs System renewal
- Learn how to troubleshoot POLs In Review
- Understand how to remove an order line from the Waiting for Renewal task list
- Understand how to manage the Manual Handling tasks that can result from batch record importing

6. <u>Vendor Records</u> (modified from Acquisitions report)

Description: Contact and account information are stored in vendor records, which are used when creating purchase orders and invoices.

Audience: Staff who need access to vendor records, or create/edit vendor records and interfaces

Objectives
- Learn how to search and navigate vendor records
- Learn how to create and edit vendor records and accounts
- Learn how to create vendor interfaces
- ADVANCED: Learn how to set up EDI
- ADVANCED: Learn how to set up SUSHI accounts

7. <u>Additional Steps</u>

7a. <u>Relinking of POLs</u> (modified from Acquisitions report)

Description: Moving or relinking orders and inventory from one bibliographic record to another is a common practice. Alma presents the option in both order and holdings records and it is important to know when to employ each.

Audience: Staff working with orders and inventory

Objectives:
- Recognize when relinking of a continuing resource POL is necessary
- Understand when relinking of a POL may be done by relinking the holdings record and when it must be done as a separate step
- Understand the difference between "Relink" and "Change bibliographic reference"
- Understand the steps required to relink POL for title changes
- Be able to recognize common issues and troubleshoot (e.g. complications when an order is canceled, when an item has a hold/request)

7b. <u>E-Resource activation</u>

Description: Many institutions "receive" serials electronically. Understanding how to activate electronic materials is important for making sure item availability is accurate for the individual institution. Additional, more detailed, electronic resource training will be included in a separate Electronic Resource training outline.

Audience: Staff working with electronic resources

Objectives:
- Learn to activate electronic serials, including creation of portfolios and editing of holdings statements
- Learn to de-activate electronic serials

    - Understand when to unlink the bib. from the CZ and NZ
    - Understand when to suppress or delete the IZ bib.
- Learn to operate/navigate the Manage Electronic Resource Activation Task List

7c. Introduction to funds and ledgers (modified from Acquisitions report)

Description: Understanding funds and ledgers, how to allocate/transfer funds, and how to read a given fund's balances are important to all levels of acquisitions staff

Audience: Staff who use the funds and ledgers (allocations, transfer, viewing balances)

Objectives:
- Learn how to navigate/search funds
- Learn to how allocate/transfer funds
- ADVANCED: Learn how to create funds/ledgers
- ADVANCED: Learn how to perform fiscal rollover

7d. Licensing (Advanced topic) (modified from Acquisitions report)

Description: The license record in Alma provides, in conjunction with vendor records, POLs, electronic collection records, and portfolios, information otherwise stored in an Electronic Resource Management system.

Audience: Acquisitions staff working with electronic resources, licenses, ILL

Objectives:
- Understand information presented in Alma license records, especially on the License Terms tab.
- Learn how to link inventory and POLs to license records.
- ADVANCED: learn how to create license records and code the License Terms tab.

Working in the Resource Management functional area

1. General

Description: Understand how to use the Metadata Editor and what activities can be performed from within the Metadata Editor

Audience: Anyone editing bibliographic or holdings records, anyone creating item records from within the Metadata Editor

Objectives:
- Learn how to open the Metadata Editor from the Alma main menu and from individual records that need maintenance
- Become familiar with the various tabs and functions available within the Metadata Editor
    - Left pane Records tab
    - View full or split screen
    - Edit menu
    - Creating and editing holdings and item records

- See Resource Management training materials for additional topics

2. Bibliographic Records

Description: Understand how to edit bibliographic records to reflect changes

Audience: Anyone editing bibliographic records

Objectives:
- Understand how to keep bibliographic records up to date
    - Understand Alliance policy that only local (590 and 9XX) fields be maintained from within Alma
    - Understand institutional policies about who does what types of edits to records
    - Understand how to insert a local field
- See Resource Management training materials for additional topics and details

3. Holdings records (modified from Resource Management report)

Description: Holdings records in Alma contain, at a minimum, location and call number information for a library's physical inventory. They may contain more detailed information about a library's holdings, particularly for serials. Holdings records control the Alma brief display of holdings information and the Primo display of location, call numbers, and volumes held by a given library.

Audience: Anyone responsible for adding or maintaining holdings for serials in Alma.

Objectives:
- Understand the MARC holdings fields (852-855, 863-865, 866-868) and where to locate more detailed information about these fields.
- Understand how the Alma implementation of the MARC holdings fields works, including how holdings statements are generated for display in Alma and Primo
- Learn how to create and edit holdings records
- Learn how to split holdings records in various ways: into separate holdings on one bibliographic record, or split between two or more bibliographic records
- Understand how to relink holdings to another bibliographic record
    - Understand how to relink from the POL, and how the results differ when relinking from the holdings record
    - Understand the challenges with relinking when an associated item has a request or work order
    - Understand the relationship between the data in the holdings record and the Primo display

3a. Predictions (advanced)

Description: Predictions are unreceived "empty" item records automatically generated based on the 853 in the holdings record. They aid with receiving, claiming, and ensuring accurate description data.

Audience: Anyone creating predictions

Objectives:
- Understand the MARC format for 853 patterns
- Understand how to locate the 853 templates in the Metadata Editor
- Understand how the 853 subfields function in Alma
- Understand how to generate (and delete) predictions
- Understand the benefits and limitations of using predictions in Alma

4. Item records

4a. Overview (modified from Resource Management report)

Description: Item records identify characteristics of an individual physical item (barcode, copy number, etc.) and show the availability of physical materials in Primo.

Audience: Anyone responsible for adding or maintaining items in Alma.

Objectives:
- Learn how to create item records
- Understand the meaning of each field in the item record
- Learn how to fill out the Enumeration and Chronology fields and how they impact display
- Learn how to generate the description field from the Enum/Chron fields
- Understand how to change location and put an item in a temporary location
- Understand the use of the Alternative Call Number field
- Learn how to move an item from one holdings record on a bibliographic record to another holdings record on the same bibliographic record
- Learn how to relink an item from one bibliographic record to another bibliographic record
- Learn how to withdraw items
    - Understand that the Alma “withdraw” function deletes the item record
    - Understand approaches for retaining withdrawn items, using suppressed locations rather than “withdraw”

4b. Description Templates (advanced)

Description: Description templates allow for customizing the automatically generated description in the item record during the receiving process, ensuring data consistency.

Audience: Anyone managing the receiving of physical serial items.

Objectives:
- Understand how to view & edit a rule
- Understand how to add a rule
- Understand the hierarchy when using multiple rules

5. Work orders (Advanced) (modified from Resource Management report)

Description: Work orders are used to monitor the processing of physical items. For example, when an item is received it can be put into a work order to send it to serials cataloging or to physical processing, or when an item needs repair a work order can be used to record its status within the repair process.

Audience: Anyone who works with physical items outside the usual circulation tasks may need to use work orders. Some Alliance libraries use work orders extensively; some do very little or not at all.

Objectives:
- Understand the purpose of work orders
- Understand the function of the “out of the box” Acquisitions/Technical Services work order and its impact on receiving, tracking items through cataloging, and Primo display of availability
- Understand how to change the status of an item in a work order
- Understand how to complete or remove a work order
- Understand the different types of work orders, their statuses, and their departments
- ADVANCED: Understand how to create a new work order department, work order type, and statuses

6. Manage sets (Advanced) (modified from Resource Management report)

Description: Sets can be used for many tasks including making changes to a group of records, exporting metadata, moving a group of records, and running jobs.

Audience: Anyone who needs to gather information about groups of records, manipulate a large number of records in Alma, or run jobs.

Objectives:
- Know the difference between Logical and Itemized sets
- Learn the uses for sets
- Understand how to create sets
- Understand how to save queries into sets
- Learn how to create, modify, and add members (records) to sets
- Learn how to combine sets
- Learn how to export/import set
- Learn how to delete sets
- Understand when to use Manage Sets vs. Analytics

7. OCLC and the Network Zone (Advanced) (modified from Resource Management report)

Description: This training will explain the ways in which OCLC is the focus for cataloging in Alliance libraries, given our particular model for sharing bibliographic records in the Network Zone (NZ).

Audience: Any staff who create, edit, or import bibliographic records

Objectives:

- Understand Alliance policy on:
    - Cataloging at the WorldCat level
    - Working in Alma and the Network Zone
    - Overlaying records
- Understand the mechanisms for records coming from Connexion into Alma (single record import to NZ, daily loads)
- Understand the importance of setting holdings in Connexion and methods of doing this
- Be aware of the OCLC guidelines on "When to Create a New Record" and know how to apply them
- Understand the importance of editing bibliographic records in Connexion rather than in Alma, and the types of edits that must be done in Alma
- Understand how to correct errors in WorldCat master records or report errors for correction
- ADVANCED: Use the "Control Headings" functionality in Connexion to help ensure correctly formulated authorized access points (ideally most catalogers control headings routinely, but this is labeled "advanced" because catalogers must know how to correctly formulate and assign access points before controlling)
- ADVANCED: Understand the consequences of WorldCat record merges and splits in the NZ and how to deal with them (*See also Database Maintenance*)

8. Electronic resources (copied from Resource Management report)

8a. Portfolios (Advanced)

Description: Portfolios identify characteristics of an individual electronic item (URL, coverage etc.) and generate links for access to and coverage of electronic resources in Primo.

Audience: Anyone responsible for providing or maintaining electronic resources

Objectives:

- Understand the factors to consider when deciding between a standalone portfolio and one in a collection
- Learn how to create standalone portfolios
- Learn when to create a local portfolio vs. adding it to the CZ
- Learn how to manage portfolios (standalone and collections)
- Understand how to activate and edit electronic collections

9. Physical processing (modified from Resource Management report)

9a. Binding

Description: Using the Alma Binding process to merge individual items into bound items.

Audience: Staff member responsible for the steps involved in the Bindery process.

Objectives:

- Use the “Bind Items” functionality to collapse issues into a ‘bound’ volume
- Understand options in Alma for both recording items in pockets and creating notes in the item record so that pocket items are counted during checkout and checkin

9b. Label printing

Description: Alma functionality related to label printing is limited. Many libraries use external software such as SpineOMatic. This training explains the available options for printing labels after cataloging and provides pointers to resources for specific information.

Audience: Any staff who work with physical materials post-cataloging to print labels. Staff responsible for configuring and managing label printing (ADVANCED).

Objectives:

- Generate and print labels for cataloged material
- ADVANCED: Understand the options for label printing (SpineOMatic, Alma label printing tool (BIAF), Connexion)
- ADVANCED: Understand how to configure settings in the label printing application and printer
- ADVANCED: Understand how to parse call numbers and locations to format labels for printing

Working in the Administration functional area

1. Alma Analytics (Advanced) (copied from Acquisitions report)

Description: Alma Analytics can be a powerful tool for retrieving information from Alma.

Audience: Anyone who needs to gather statistics or produce reports.

Objectives:

- Understand when to use Manage Sets vs. Analytics
- Be able to create/edit basic reports in Analytics
- ADVANCED: understand how to create claim reports

2. Running jobs (Advanced) (modified from Resource Management report)

Description: Jobs can be used to perform a predefined action on a set of records in Alma, including changing, updating, withdrawing, deleting, and exporting. A basic understanding of what predefined jobs are available and how to best use them.

Audience: This is an advanced task that should be performed by staff with sufficient expertise to understand the impact of each job on the database.

Objectives:

- Understand how to use Manage Sets to create sets of records (on which to run a job)
- Understand the type(s) of record needed in the set for a particular job

- Understand the difference between scheduled jobs and manual jobs
- Understand how to export data with a job
- Understand that you get different data when exporting with a job than with Manage Sets (see also Manage Sets)
- Understand the various update jobs related to resource management tasks and what can be changed or deleted
- Understand the “Types” of jobs (Withdraw, MARC 21 bibliographic Normalization, Export, etc.)
- ADVANCED: Understand how to use normalization rules to make user -defined changes to a set of records (See also Metadata Editor -- Rules)
    - Understand the Alliance policy limitations on making edits to bibliographic records (OK for local data in bibs, for holdings records)
    - Find, copy/edit, or create a rule
    - Preview and test functionality of a rule
    - Understand how rules work with sets and how to apply them
    - Understand the difference between types of rules and in what cases they are used

3. User management for Alma acquisitions and resource management (Advanced) (modified from Resource Management report)

Description: Alma privileges and roles determine what areas of Alma operators can access and what operations they can perform

Audience: All staff need to understand that their roles determine what they see and do. The objectives here are intended for serials staff with a manager or administrator role.

Objectives:
- Understand the difference between Alma privileges, roles and profiles
- Understand the privileges contained in each Alma Acquisitions and Alma Resource Management role
    - Understand that the Cataloger role allows editing of NZ bibs (and understanding of Alliance policy on editing should be required)
- Understand what Alma privileges/roles may be required in order to perform serials tasks
- Understand how to create an Alma profile (Advanced)
- Understand how to edit a staff user’s roles (Advanced)

General areas

1. Task List

Description: the Task list in Alma helps to track what actions need to happen in order to continue various workflows.

Audience: Anyone ordering, invoicing, receiving, activating resources, renewing, or claiming.

Objectives:

- Understand what POL types can appear on the Order Lines - Waiting for Renewal task list
- Understand POL status values, how they relate to the Order Lines - Waiting for Renewal task list, and what fields impact them.
- Understand how to remove an order line from the Waiting for Renewal task list.
- Understand the Electronic Resources Activation tasks
- ADVANCED: Understand how to manage EDI tasks

2. Community Zone Updates Task List

Description: The Community Zone Updates Task list in Alma tracks changes to portfolios. Including removing deleted portfolios from collections, updating the URL, linking parameters or Portfolio coverage.

Audience: Anyone involved with electronic resources, and maintaining local access.

Objectives:

- Understand the various Report types
- Understand how to limit by Report type & Collection
- Understand which Report types and Collection records need individual attention
- Understand when to use Dismiss Selected,. Dismiss All v. Dismiss in the Action dropdown
- Understand the difference between the Review tab and the All tab
- Understand when to modify a portfolio to use Local Only v Global options to reflect the Library's dates of coverage
- Understand the various kinds of Collections: Selective packages, Aggregator packages and Databases and which can be deleted without reviewing