



EDI Implementation Guidelines for Library Book Supply

**Issue 1, Version 1.2
QUOTES to INVOICES**

August 2001

EDItEUR EDI Implementation Guidelines for Library Book Supply

QUOTES TO INVOICES: ISSUE 1, VERSION 1.2

Issue 1 of the *EDItEUR EDI Implementation Guidelines for Library Book Supply* covers the use of EDI messaging to handle quotations, orders, order responses and other order-related messages, and invoices/credit notes. The contents are as follows:

- L.1 Overview**
- L.2 Structure of an EDIFACT transmission**
- L.3 Using the Quotation message in library book supply**
- L.4 Using the Purchase Order for book orders**
- L.5 Using the Purchase Order Response for order responses and reports**
- L.6 Using the Purchase Order Change for order changes and cancellations**
- L.7 Using the Order Status Enquiry for book order chasers**
- L.8 Using the Invoice for billing and for credit notes**

EDItEUR acknowledges the assistance of EAN International. “EANCOM” is a trademark of EAN International. Part of the work involved in developing and maintaining these *Guidelines* was funded by the Commission of the European Union under the EDILIBE and IMPRESS projects.

ISSUE AND VERSION NUMBERING

Each time Issue 1 of the *EDItEUR EDI Implementation Guidelines for Library Book Supply* is updated, it is given a new version number, eg 1.1, 1.2 etc. A new Issue will occur only when there is a major general revision, eg a move to a more recent EDIFACT Directory (which is not currently planned).

CHANGES SINCE VERSION 1.1

The following is a summary of changes from Version 1.1 dated March 1998.

- Section L1 Substantially revised to cover a wider range of transaction patterns.
- Section L2 Expanded to cover all aspects of EDIFACT syntax, including transmission headers and trailers.
- Sections L3 to L8 There have been extensive revisions, and full lists of code values are now included within the *Guidelines*. The first page of each section has a list of changes.

COMMENTS, QUERIES AND CHANGE REQUESTS

Comments, queries or requests for changes or additions to these *Guidelines* will be welcomed. They may be sent to the EDItEUR Secretariat: email info@editeur.org.

L.1 OVERVIEW

In this issue of *EDItEUR EDI Implementation Guidelines for Library Book Supply*, the library book supply business cycle covers the sequence:

Title notification - Order - Order response - Order change - Order chaser - Invoice.

“Book” is interpreted here as including any non-serial or monographic publication in any medium. Continuation orders for monographic series may be handled as part of book or journal supply. In *EDItEUR Guidelines*, therefore, they are covered under both books and serials.

A library book supply transaction may begin with either a QUOTES message or an ORDERS message.

L.1.1 TRANSACTIONS BEGINNING WITH QUOTES

There are two broad patterns for a transaction which begins with an EDI QUOTES message:

L.1.1.1 QUOTES followed by ORDERS

The supplier sends the customer a notification of a title

- which the supplier believes that the customer may be interested in acquiring (in paper-based trading this type of notification was traditionally a paper slip or small card); or
- which the customer has selected from the supplier’s CD-ROM or on-line database; or
- which the customer has selected during a visit to the supplier’s showroom; or
- which matches the customer’s profile under the terms of a “supplier selection” agreement where the customer requires the right to confirm the supplier’s selection before it becomes a firm order.

In all of these cases the notification is sent as a QUOTES message, and the supplier requires an order to confirm the transaction. The customer may decide not to place an order, in which case the transaction is at an end. Otherwise, the transaction cycle proceeds with the ORDERS message.

L.1.1.2 QUOTES not requiring ORDERS

The supplier ships – or, after processing, will ship – to the customer a copy of a title:

- which matches the customer’s profile under the terms of an approval plan or “blanket order” agreement; or
- which is part of a series for which the customer has set up a continuation order; or
- which the customer has selected for firm order during a visit to the supplier’s showroom; or
- which matches the customer’s profile under the terms of a “supplier selection” agreement where the customer does not require the right to confirm the supplier’s selection.

In all of these cases, no ORDERS message is expected. The supplier should send a QUOTES message to notify and describe what is being supplied, and an INVOIC to accompany the actual shipment. If copy-related data is assigned during processing, an ORDRSP message may be sent ahead of shipment to communicate this data electronically.

L.1.2 TRANSACTIONS BEGINNING WITH ORDERS

The customer initiates a transaction by sending the supplier an order, in the form of an EDI ORDERS message, for an item which has not been the subject of a notification.

If the item cannot be supplied immediately on the terms which the customer expects, the supplier replies with an ORDRSP (order response) message. The customer may choose to cancel the order with an ORDCHG (order change) message, or to accept the terms offered or wait for a delayed supply.

If the order can be supplied immediately or if the customer chooses to wait for a later supply, the shipment will be accompanied by an INVOIC message. If copy-related data is assigned during processing, a separate ORDRSP message may be sent ahead of shipment to communicate this data electronically.

[A special case occurs when the item required is known to be not currently in print (eg a secondhand or antiquarian title). In this case the customer may send an order which is in effect a request to the supplier to trace a copy. This can be expressed as an EDI ORDERS message with an upper limit on price.]

L.1.3 ORDER RESPONSE

The ORDRSP message has three uses: first, to give an immediate response to an ORDERS message (or an order change or cancellation sent as an ORDCHG message); second, to report on the status of an outstanding order; and third, to send “copy-related data” resulting from the supplier’s processing of an ordered item.

L.1.3.1 Responding to an ORDERS message

Whenever the customer sends an ORDERS message, the supplier should reply immediately with an EDI order response (ORDRSP) detailing order lines which cannot be supplied from stock, in full and in accordance with the terms stated in the order. The order response lists all such items, even when the variation from the terms stated in the order falls within tolerances agreed between the trading partners to allow the order to proceed without further authorisation from the customer. It shows the reason for non-fulfilment and, where applicable, the terms on which the item can be supplied; and it shows what action the supplier is taking. It does not normally list those items which can be supplied in full in accordance with the order, though some trading partners may agree to exchange comprehensive order responses.

Items which can be supplied are processed, packed and despatched, and an INVOIC message is sent to the customer. The invoice lists all lines which are being supplied in whole or in part. It does not list lines which are not part of the consignment to which it refers. Items from a number of separate orders may be batched into a single consignment and be listed in a single invoice.

It follows that all lines from an order message should appear either in order response messages or on an invoice sent by the supplier as soon as the order has been processed. Lines which are being supplied in part, or which are being substituted by an alternative title, will appear on both an order response and an invoice.

The supplier’s order response will show the order line as cancelled if the item cannot be supplied at all. If it cannot be supplied immediately, but will be available in due course on terms which fall within tolerances on price and expected delivery time agreed with the customer, the order line will be shown as recorded as a backorder or “due”. If the item can be supplied, but only outside of such tolerances, there

are two possible forms of response, depending on the approach to order change (see section L.1.4) which the trading partners have adopted. The supplier can either:

- (a) Show the order line as cancelled, in which case the customer must issue a new order if the item is still required, or
- (b) Show the order line as having been placed on hold, awaiting further instructions from the customer, which may be sent as an order change message.

When a backorder or “due” is eventually supplied, it will of course be listed in an accompanying EDI INVOIC message.

An order response message should not carry bibliographic detail or other product description which has already been exchanged in a quotation or order message.

L.1.3.2 Reporting on outstanding orders

The ORDRSP message can be used not only to reply to an order but also to send reports on the status of outstanding orders. Suppliers are encouraged to use it in this way, thus minimising - or avoiding altogether - the necessity for order chasing (see L.1.4 below).

Depending on the agreement between trading partners, two approaches are possible:

- (a) Periodic reports on all outstanding orders, sent at agreed intervals, or
- (b) Reports on changes of status only, either as they occur or at agreed intervals.

Further reports on an outstanding item may lead to the order being cancelled by the supplier (if it cannot now be supplied) or by the customer (if unwilling to accept a price change or further delay in supply).

L.1.3.3 Sending “copy-related data”

In addition, the ORDRSP message can be used, and is used in UK public library practice, to enable the supplier to communicate – shortly before delivery – “copy-related data”, such as accession or barcode numbers, shelfmarks, etc which have been added to individual copies during the supplier’s processing of the books. Sending this information electronically means that copy-level detail can be loaded into the library’s computer system before the books arrive, thus simplifying the process of checking them in and making them available on the shelves.

L.1.4 ORDER CHANGE, INCLUDING ORDER CANCELLATION

As implied in Section L.1.3, there are two approaches to the use of the ORDCHG message. Trading partners must agree which they will adopt.

L.1.4.1 For cancellation only

In general trade practice (ie between booksellers and publishers), order changes are not admitted. This approach has also been adopted by some library supply sectors in the UK.

Where the supplier cannot meet the order as stated, but can offer to meet it at a later date or on different terms, one of two situations may arise:

- (a) The revised terms are within tolerances agreed between the parties as mutually acceptable. In this event, the supplier sends an order response which gives the buyer full details of the change, and indicates that supply will proceed in the normal way.
- (b) The revised terms are outside any agreed tolerances. In this event, the supplier sends an order response which shows whether the ordered item can be supplied on other terms, and cancels the order. The buyer must send a new order – NOT an order change – if the item is still wanted.

Where the buyer wishes to change an outstanding order, it must cancel the outstanding order and send a new order incorporating the change.

It follows that under this approach the only use of the purchase order change message is to cancel an outstanding order.

L.1.4.2 For changes and cancellations

Alternatively, trading partners may make full use of the ORDCHG message for changes and cancellations.

In this case, if an ordered item can be supplied, but only outside of agreed tolerances for price or delivery, the supplier sends an order response which specifies the terms on which the order line can be accepted and places the line on hold. The customer can choose whether or not to proceed with the order, and sends an order change line either confirming acceptance of the supplier's terms or cancelling the order. The trading agreement may include a time limit after which the order will be deemed to have been cancelled.

In this case purchase order change messages may include both change lines and cancellation lines. An order response message is used to send the supplier's confirmation of acceptance of changes.

L.1.5 ORDER CHASERS OR CLAIMS

The EDIFACT order status enquiry message (OSTENQ) can be used for book order chasers or claims. The recommended response to an order chaser is, however, an order response (ORDRSP) rather than the order status report message (OSTRPT), which is less suitable for book trade requirements.

L.1.6 INVOICES AND CREDIT NOTES

The final message in a normal transaction cycle is an INVOIC. It should be noted that in library supply it is not usual to send a despatch advice since each consignment is invoiced as it is sent, so that the INVOIC message, which should normally reach the customer in advance of the actual shipment, effectively doubles as a despatch advice as well as an invoice.

The INVOIC message format can also be used to send a credit note. Credits should always be handled by separate INVOIC messages. EDItEUR does not support the practice of sending credit lines as part of an invoice.

L.1.7 IDENTIFICATION OF TRANSACTIONS AND PRODUCTS

Complete and unambiguous identification of every transaction and every product (ie title) which is the subject of a transaction is fundamental to successful electronic trading. This is particularly the case in library supply where typically the items which form part of a single order will be subject to wide variations in delivery time, so that they must be processed, and referenced in EDI messages, as individual items rather than as a single combined order.

Indeed, it is best to think of the order line as the fundamental and self-sufficient unit for library EDI. The “packaging” of order lines into messages is best regarded as an accident of timing.

It is very strongly recommended that:

- (a) Suppliers should give every line item in a QUOTES message a unique transaction identifying number, which both parties can cite in subsequent order-related messages. This number should be sent in QUOTES RFF segment 28, DE 1154, with the code QLI (“supplier’s quotation line number”) in DE 1153. Customers sending an order line which is based on a quotation line should send back this reference in ORDERS RFF segment 51.
- (b) Customers should give every line item in an ORDERS message a unique transaction identifying number, which both parties can cite in subsequent interchanges. This number should be sent in ORDERS RFF segment 51, DE 1154, with the code LI (“buyer’s order line number”) in DE 1153. Both suppliers and customers should repeat this reference in every subsequent message line referring to the order line item.
- (c) Either the ISBN or an EAN product number incorporating the ISBN, or an alternative industry standard product code, should be used as a unique identification of the title ordered. However, because the ISBN is not always a reliable identification, parties may agree to include elements of description (eg title, author, edition, publisher, format) for confirmation. Once such descriptive detail has been sent in either a QUOTES or an ORDERS message, it need not, and should not, be repeated in subsequent transaction messages referring to the same line item by its unique transaction reference.
- (d) Where no ISBN or other industry-standard product code is available, as is still quite commonly the case with titles traded in library supply, the supplier initiating a transaction by sending a QUOTES message should include its own unique product number, to which both parties can refer in subsequent exchanges.
- (e) Where the customer is initiating a transaction by sending an order message, and no ISBN or other industry-standard product code is known, PIA segment 19, for coded identification of the item ordered, should be omitted, and the item should be fully described in IMD segment 20. Customers should not attempt to assign and use their own codes for product identification in an EDI message.

L.1.8 MULTI-VOLUME SETS AND MONOGRAPHIC SERIES

Many “books” are in fact sets or series of several printed volumes or a mixture of items in different media. They may form a finite set, or be part of an indefinite series published at regular or irregular intervals. In certain circumstances, a “main line” and “sub-lines” may be used in an EDI message to describe a set and its constituent items. The following cases may be distinguished:

L.1.8.1 A finite set supplied only as a complete set

Where a finite set is sold and supplied only as a complete set, the set as a whole will usually be identified by an ISBN. The individual items may also carry ISBNs in order to facilitate claiming if the set is delivered incomplete or partly damaged. Only the set itself has a price. The recommended treatment is as follows:

QUOTES

To communicate bibliographic detail of the individual items, a main line and sub-lines may be used for the set as a whole and for each of its constituent parts. Only the main line carries a price. The lines may be coded in IMD segment 20 to show that only the set as a whole can be ordered.

ORDERS, ORDRSP, ORDCHG, INVOIC

Sub-lines are not used in ORDERS or in ORDCHG, since the transaction can only refer to the whole set. They may be used in an ORDRSP or INVOIC message, where the supplier has to communicate to the library information which refers to the individual pieces which are being supplied, eg bibliographic data or accession numbers.

L.1.8.2 A finite set or indefinite series supplied only as single items

Where a multi-volume set or monographic series is supplied only as single items, each item in the set or series should carry its own ISBN and price. The set or series as a whole has no ISBN or price, but the series may carry an ISSN. A library may wish to order single items, or to place a continuation order for all items from the set or series to be supplied as they become available. The recommended treatment is as follows:

QUOTES

In a QUOTES message, a main line and sub-lines may be used to communicate details of the set or series as a whole and of as many individual items within it as are known to the supplier at the time of sending the quotation. Often, only part of the set or series will have been announced by the publisher. The main line carries neither an ISBN nor a price, but may carry an ISSN. Each sub-line should normally carry an ISBN and a price. The lines may be coded in IMD segment 20 to show that items are supplied individually, and to indicate whether the supplier will accept a continuation order for the series.

ORDERS

In this case, two types of library order are possible: a simple order for one or more single items, or a continuation order. Sub-lines are not used in either case.

In the simple order, each item is a separate order line, citing the ISBN and price of the item in question. Order lines of this type may be grouped together with other normal book orders in a single message.

In a continuation order, the set or series may be identified in PIA segment 40 by giving the ISSN of the series and/or by listing one or more ISBNs of individual items, coded to indicate “series includes ISBN xxxxxxxxxx” (code 5V in PIA DE 4347). Where applicable, the starting volume must be identified by giving its ISBN in another repeat of PIA segment 40 (code 5S in DE 4347) and/or by description in IMD segment 41. The order line must be sent as part of a separate ORDERS message coded in BGM segment 2 to show that it contains standing orders.

ORDRSP, ORDCHG, INVOIC

The response to the single item order described above will be exactly the same as for any other order for an individual book, and the same will be true of its treatment through all subsequent stages of the transaction.

Continuation orders must be treated differently from this point. The supplier's order response should confirm that a continuation order has been recorded. This confirmation is conveyed in an order response line for the series, also giving the supplier's continuation order reference. This may be accompanied by sub-lines for individual volumes which cannot be supplied immediately but for which the supplier has availability information. Volumes which can be supplied immediately will be invoiced in the usual way, each as a separate item with its own invoice line.

When a subsequent volume becomes available, the supplier will despatch it to the library, together with an invoice and, if required, a QUOTES message giving bibliographic detail. Both of these messages will cite the library's and the supplier's standing order references.

L.1.8.3 A finite set supplied either as a complete set or as single items

Where a finite set may be supplied either as a complete set or as separate items, both the set and each individual item should carry an ISBN and a price. The recommended treatment is as follows:

QUOTES

In a QUOTES message, a main line and sub-lines may be used to communicate details of the set or series as a whole and of each individual item. Both the main line and each sub-line should carry an ISBN and a price. The lines may be coded in IMD segment 20 to show that either the complete set or individual items can be supplied.

ORDERS, ORDRSP, ORDCHG, INVOIC

The library may order the whole set or one or more individual items. In either case each entity ordered will be a separate line item, both in the order message and in all subsequent transaction messages. If individual items are ordered, sub-lines are not used at any stage. If the whole set is ordered, sub-lines may be used in ORDRSP and INVOIC messages as described in section L.1.8.1; and they may be used in an ORDRSP to give availability details for any individual items which cannot be supplied immediately.

L.1.8.4 Summary

A QUOTES message may use a main line and sub-lines to describe a set or series and some or all of the constituent items.

Sub-lines are never used in ORDERS or ORDCHG messages.

The only circumstances in which sub-lines may be used in an ORDRSP message are:

- (a) To report the availability status of items in a series for which a standing or continuations order has been placed,
- (b) To report the availability status of individual items in a set which has been ordered as a whole but within which some items are not immediately available, and
- (c) To communicate bibliographic or other detail on individual items in a set which has been ordered as a whole.

The only circumstances in which sub-lines may be used in an INVOIC message is to communicate bibliographic or other detail on individual items in a set which has been ordered as a whole.