

Kuali Open Library Environment Select and Acquire/Manage Entity Relationships Overview

June 2013, Milestone Release 0.8

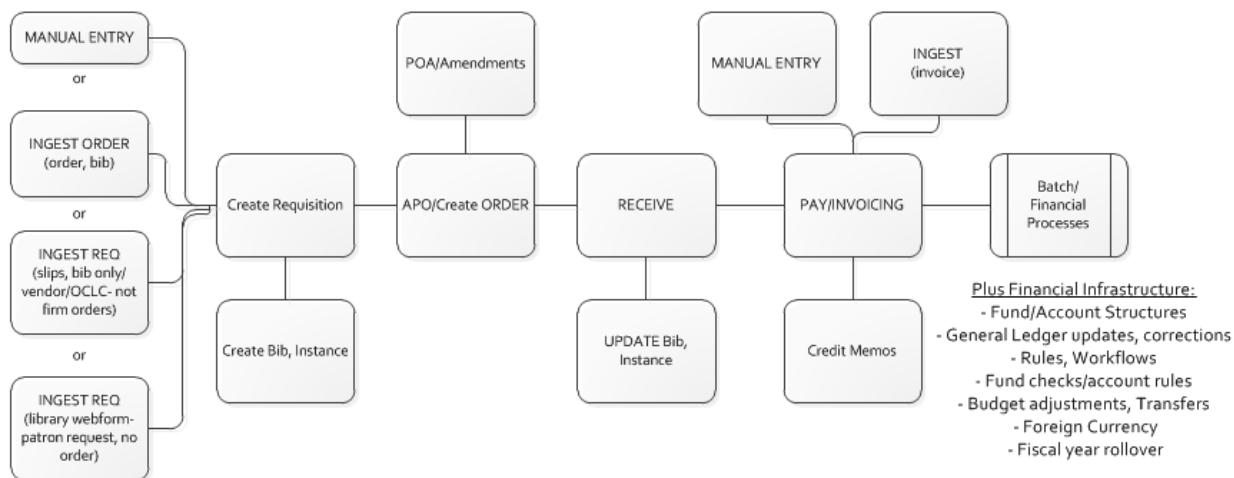
Introduction

The Select & Acquire module encompasses Financial, Selection, Acquisitions, Receiving, Payment/Invoicing, Licensing, and Electronic Resource Management (ERM), a component that support operational processes for demand-driven acquisitions of library resources. The module manages pre-order and selection of all types of order requests for library materials, and upholds the complete purchasing, receiving and payment operations of ordered library materials. Select & Acquire components will also provide workflow design and functionality to encompass print and electronic serials, subscriptions, interval check-in, and productivity reports.

By the 1.0 release, financial and budgeting structures within the system will allow flexibility for library materials to be purchased outright, leased, or licensed. OLE offers fully automated EDI features for direct data exchange with vendors. By the 1.5 release, the ERM component will support the lifecycle of electronic resources and packages including licensing, purchasing, and daily administration. The Global Open Knowledgebase (GOKb), a community-managed knowledge base of subscribed resources, will be tightly integrated with OLE for ingesting and maintaining acquired electronic books and serials.

Overview Diagram

OLE ACQUISITIONS



Select and Acquire Features:

- Re-examines library business operations
- Focuses on digital-based workflows
- Interoperates and integrates with other enterprise and network-based systems
- Ability to ingest bibliographic information from Webform
- Ability to ingest files of bibliographic records and orders

Financial

In the OLE environment, all acquisitions transactions require fund structures, financial processing, and accurate maintenance of the OLE General Ledger. OLE has adapted Kuali Financial System (KFS) for Budget Adjustment documents, and continues to modify various Fiscal Year End e-documents to manage budgets. OLE will use and adapt the KFS Pre-Disbursement Processor (PDP) to export encumbrances, expenses/invoices, credits, and prepayment requests/disbursement vouchers, which can then be batch exported to university financial systems. In turn, OLE will be developing an import/incoming financial integration tool that allows the library to receive updates from the university financial office.

Financial Features:

- Chart of Accounts/Financial Structures
- Budget Adjustment, Transfers, Pre-Encumbrance
- Accounts: Block, Restrict, SFC, +/-, Fund checks, Access Security
- Fiscal Year Rollover transactions
- Foreign Currency exchange
- Vendor/Publisher record management
- Will communicate with campus financial system
- Load budgets, account structures
- OLE Attributes of Legacy Fund Codes, Stewardship

Chart of Accounts

Acquisitions transactional documents within OLE require a fund to pay for items in the order process. OLE relies on a variety of Chart of Accounts (COA) tables to function. These tables define attributes and values used by the system to validate transactions. They also control the often complex relationships between elements in the Chart of Accounts that must be leveraged for internal and external reporting. For example, tables store basic information such as the sub-fund groups to which new accounts may be assigned and the calendar month that correlates to the first month of your institution's fiscal year. This type of flexibility is one of the features that make OLE a highly configurable application to support Acquisitions.



To learn more about managing Chart of Accounts and the associated E-documents, see the relevant section of *Guide to Managing and Encumbering Funds*. This and other OLE user guides are available for download from [OLE 0.8 Milestone User Documentation](#).

General Ledger

OLE is adapting the KFS General Ledger (GL) for use in the generation of offsets and the posting of transactions to the balance tables, from various acquisitions transactions. The GL is the official repository for all of OLE financial and budget information. It stores account balance and budget information for multiple fiscal years and stores a detailed record of all financial transactions. Users interact with the GL by creating electronic documents that, when fully approved, are posted to the GL. The OLE General Ledger is a batch processing application that expects all GL pending transactions to be collected in batch form from the GL entry files. The daily batch contains transactions generated in OLE as well as transactions created in external applications and converted to the GL entry format.



To learn more about the General Ledger and the associated E-documents, see the relevant section of *Guide to Managing and Encumbering Funds*.

Financial Processing

The Financial Processing (FP) component allows users to create and maintain a variety of e-documents (maintenance and transactional), generate reports, and upload data in batch. Many of the financial processing documents are not dependent on other financial processing module documents and independent of other OLE

modules. For example, the Disbursement Voucher is for processing payments that are not transacted through the Acquisitions module of OLE.

➔ To learn more about Financial Processing within OLE, see the Managing Funds section of *Guide to Managing and Encumbering Funds*.

Selection

OLE Selection supports procuring decisions that library collection managers, patrons or acquisitions staff make through acquisitions workflows. In OLE, select functions are often considered Pre-orders, wherein Requisitions become placeholders for future acquisitions review. Requisitions are managed through action lists, and the Order Holding Queue.

Selection Features:

- *Webform* allows patrons to enter a request for an item the library does not own
- Manual requisition allows staff to create an order for an item
- Enhanced Pre-Order selection
- Title search capability (Docstore)
- Initiate patron requests and workflows
- Order Holding Queue
- Ingest Bibliographic records only
- Ingest slips

➔ To learn more about Requisitions, see the *Guide to Purchasing and Accounts Payable*.

➔ To learn more about the Order Holding Queue, see the relevant section of *Guide to Purchasing and Accounts Payable*.

➔ To learn more about the Ingesting records, see the relevant section of *Guide to Purchasing and Accounts Payable*.

This and other OLE user guides are available for download from [OLE 0.8 Milestone User Documentation](#).

Acquisitions

The Acquisitions module or purchasing functions encompass all related encumbrance, expense, ordering, receiving, and payment for titles in a variety of formats. Depending on the format, the acquisition of an item may have an associated license/registry that the system will be equipped to manage and document in OLE 1.0 as described in OLE Electronic Resource Management Overview- License Requests documentation. Brief bibliographic records are created or edited/linked in the system and an order is created for acquisition. The order is received and paid for upon receipt from the supplier.

The Acquisitions module is used to order, receive and process payments for library materials. Invoices and Credit Memos are sent to the Pre-Disbursement Processing Module (PDP) for disbursement. It includes several e-documents to help libraries manage its acquisitions and accounting processes. OLE users may initiate Requisition e-documents (“Pre-Orders”) to suggest titles for ordering. Fully approved Requisition e-documents are then processed through workflows, and then become purchase orders. Under certain conditions (specified by your library’s business

rules in OLE), fully approved requisitions may become purchase orders automatically without any additional processing.

➔ To learn more about Requisitions, see the relevant section of *Guide to Purchasing and Accounts Payable*.

➔ To learn more about Purchase Orders, see the relevant section of *Guide to Purchasing and Accounts Payable*.

Serials Acquisitions

Serials Acquisitions component, available in the 1.0 release, will support the selection and acquisitions of continuing resources. OLE will accommodate receipts for the variety of publishing schedules - annual or irregular, numbered or unnumbered, monographic or non-monographic books in series.

Serials Acquisitions Features available in 1.0:

- DocStore supports Bibliographic record and Instance records: Holdings and Items
- Serials single title order
- Serial bundles, includes print and electronic versions of title
- View and edit subscriptions
- Action Interval-based receiving record
- Deposits and prepayments
- Claiming reports; Unpaid subscriptions reports


Receiving

OLE Receiving supports the receiving and cataloging of ordered library materials, as the first step to making library materials available for circulation, following the completion of all required cataloging activities. OLE allows receiving of a quantity and/or parts on line items, as well as offers the ability to report unordered line items or damaged items or return items. In addition, OLE accepts record annotations such as receiving note(s), and special handling directives.

Receiving Features:

- Receiving Queue - global actions promote receiving across Purchase Orders from single Search UI
- Combined Receiving, Invoicing - interactions prompt auto or manual processing of Invoice while concurrent Line-Item Receiving
- Create additional Item records for each “copy” received
- Initial Requisition, Purchase Orders auto-create single items regardless of quantity during ordering
- Based on the action- interval established for a title, OLE will offer an alternative to line item receiving for serials/journals in 1.0, and, in 0.8, optional receiving for multi-part monographs
- Receiving staff can update full cataloging records during processing of bibliographic instance or holding item cataloging
- Slip-printing option for internal “in transit” to Technical Services, Circulation Desks, Shelf Prep, or other physical location for completing preparation of physical items for Circulation will be available in 1.0

➔ To learn more about Receiving within OLE, see the relevant section of *Guide to Purchasing and Accounts Payable*.

 To learn more about the Receiving Queue and other Acquisition searches, see the Custom Document Search section of *Guide to Purchasing and Accounts Payable*.

Receiving Business Rules:

OLE can set maximum receiving thresholds (\$) to require reception even if the initial order indicates “no Receiving required”. Receiving Requirements for purchase orders can be set at “yes” or “no” on the Requisition indicating whether receiving is required or not for an item. Based on Receiving Required rules, Purchase Requisition will run checks that display errors if a user attempts to process Invoice/ Purchase Requisition for quantities greater than quantities actually received.

Payment/Invoicing

OLE processes vendor invoices as payment requests, and processes any negative amounts or credits as separate credit memos. Payments (“paid”) display on purchase order line items. Related document links display on purchase orders and payment requests, linking them, plus Receiving and Requisitions.

Payment/Invoicing Features:

- Payment schedules are indicated on initiating Purchase Order
- Library invoice types and sub-types allow for specialized rules and processing of invoices
- Many-to-one purchase order to payment request or credit memo (1.0)
- Prepayments
- Deposit account (full functionality in 1.0)
- Payments charged to credit card
- Pro-forma Invoicing
- \$0 invoices
- Prorated additional charges
- Payment requests process in US Dollar equivalency
- Payment details from university financial (TBD)
- Purchase order payment holds (remove hold)
- Payment methods (TBD for Purchase Requisition)
- Payment request (single purchase order or multiple purchase order)
- Credit memo (single purchase order or multiple purchase order)

 To learn more about Payment Requests within OLE, see the *Guide to Purchasing and Accounts Payable*.

Licensing

OLE created extensive specifications for the licensing process. Licensing is also a variable step in the electronic acquisitions process. Some resources do not require a license at all and can be used within the guidelines of copyright law, while others require extensive negotiation of business and licensing terms. In lieu of a negotiated license, some vendors use standard Shared Electronic Resource Understanding (SERU) agreements to bypass complicated licensing processes. The goal of the licensing specifications is for a license editor that is flexible enough to encode the rights for a variety of scenarios making them easy to query, rather than recording the terms only for fully negotiated licenses. License Request e-documents, used to manage negotiations, are available in the 0.8 release.

Licensing Process in OLE:

- Request a standard license from a publisher for a resource
- Assign the license to a “shepherd” or license owner
- Compare the license with standard requirements established by the institution and/or library
- Back and forth negotiation with the publisher and library administration to modify license language if necessary
- If approval, final signatures from both parties recorded
- Storage of final license document (generally a PDF) is stored OLE
- Coding machine-readable interpretation of license terms in OLE via a license editor (will be stored as ONIX-PL in the DocStore) will be available in a future release.

The licensing process requires significant workflow support, as defined in the existing specifications, because the back and forth with external parties can lead to long delays. The workflow is such that library staff frequently has to refer back to coded license terms to help resolve access issues with electronic resources. Therefore, OLE will have the license accessible from a primary E-Resource record. Available in 1.0 this will be used to manage the e-acquisition process, as well as from the title(s) that make up that E-Resource.

➔ To learn more about the current functionality of Licensing within OLE, see the *Guide to Licensing*.

Continuing Functionality Modification Plans

Below have already been modified in OLE’s use of KFS, or are planned:

Bibliographic information

Additional fields and action buttons added to line items to capture Bibliographic/cataloging functions. Includes line-item sub-tabs; bibliographic fields added to Doc Searches and miscellaneous lookups.

➔ To learn more about working with titles during purchasing, see the Requisition section of *Guide to Purchasing and Accounts Payable*.

Foreign Currency conversion

OLE supports foreign currency conversion. When a Foreign Vendor is selected, and that vendors bills in other than USD, then the system displays a foreign currency conversion tab for each line item, within REQ, PO, POA (and versions), PREQ. Unit cost, and extended line item costs, and document totals are still maintained in USD. In addition OLE plans to add foreign currency to the Disbursement Voucher. Keeping foreign currency conversions current is also being explored for OLE.

➔ To learn more about working with foreign currency, see the Payment Request (Modifying Titles) section of *Guide to Purchasing and Accounts Payable*.

Prorating

OLE has implemented Prorating on Purchase Request for below-the-line item additional charges, allowing users to take a \$500 Shipping & Handling charge (or other types) and optionally assign accounting lines to it (KFS behavior), or prorate it across line items above: manually, by quantity, or by dollar amounts. This function will need to be applied on Prepayment Requests (PPRQ) with the M:1 functionality expected in the 1.0 release, with added complexity of attributing additional charges across multiple Purchase Orders.

➔ To learn more about how prorating currently works in OLE, see the Payment Request (Additional Charges) section of *Guide to Purchasing and Accounts Payable*.

Sufficient Funds Check

OLE adds over and under tolerances for Encumbrances and for Expenses. Sufficient funds checking for Encumbrances and Expenses are formulated differently within OLE. OLE will allow Sufficient Funds Check options like KFS (at Object Code, Object Level, Consolidation, Account, Cash), but will also allow users to set a block when the fund check equals the set limit, block/notify within a %/\$ range of depletion, or allow overages to a \$/%. Sufficient fund checks can occur on Requisitions (REQ), Purchase Orders (PO), Purchase Order Amend (POA), Payment or Prepayment Requests (PREQ/PPRQ).

→ To learn more about Sufficient Funds Checking on Accounts, see the Account section of *Guide to Managing and Encumbering Funds*.

Acquisitions & Chart of Account Workflows & Roles

OLE has already greatly modified Payment Request (PREQ) routing as noted above. We also anticipate removing more Parameters for the PREQ. We have already modified REQ, PO, APO and PREQ workflows to largely ignore Fiscal Officer, and other KFS Chart routings. We have eliminated most of the Contract Manager Assignment, but continue to modify the affected APO rules. In place of the existing rules/routings revolving around CoA, we have implemented workgroups, such as Selectors (can create REQs), Acquisitions (REQ, POs), Receiving (RCVL), and Invoicing (PREQ) - with no more than 2 roles/stops in routings in most cases. Future edits may have conditional routings or FYIs based on other metadata (in our Bib records, or over \$\$, etc.). We still have to edit Taxation roles/routings for Foreign Vendors.

Deposit Accounts

OLE will accommodate advance payments to vendors, and allow a variety of batch jobs, to ensure accurate information to university financial office.

→ To learn more about Deposit Accounts as they currently function in OLE, see the *Guide to Managing and Encumbering Funds*. This and other OLE user guides are available for download from [OLE 0.8 Milestone User Documentation](#).

Serials Action Interval-Based Receiving

OLE will offer a variation of line item receiving and Order Type in the 1.0 release.

Unordered line items

OLE presently offers function to add line items to a Payment Request (PREQ) for lines not on the original Purchase Order. This produces an unapproved Purchase Order Amend (POA). The POA must be processed before the PREQ can be approved. We have discussed removing this function and forcing users to first create POA, then PREQ. Decisions will be made for the 1.0 release as this may be critical to PREQ or Prepayment Request modifications.


→ To learn more about how Purchase Order Amend documents currently works in OLE, see the relevant section of *Guide to Purchasing and Accounts Payable*.

Pre-Disbursement Processing Module (PDP)

In KFS, the Pre-Disbursement Processor processes data from Payment Requests and Disbursement Vouchers and outputs a file for direct deposit banking. OLE is reusing PDP and Disbursement Vouchers (DV's). Disbursement Vouchers are now used to issue prepaid/deposits to vendors. OLE will use PDP to send batches of Payment Requests, requests for Advance payments/DVs, and Credit Memos to university systems. There may be times, however, when Libraries need the ability to remove a transaction from the batch load; correct and retransmit to university; or, have ability to stop a financial transaction. These continue to be modified for 1.0.

Order Types

OLE has added an Order Type attribute that provides rules for Purchase Orders, Receiving, and Payments. These order types affect how PO or POA line items are managed, whether Line Item Receiving or new Action-Interval/Serial Receiving are required, and how the order types interact with the Payment Request - especially if advance deposits made. Order Types will continue to be improved upon in 1.0.

 To see Order Types in Requisitions, Purchase Order, Receiving and Payment Requests, see the *Guide to Purchasing and Accounts Payable*.

Glossary

Docstore- Document store: Instance schema; import legacy holdings/item data to instance document; link bibliographic, selection, acquisitions, and instance documents

Acquisitions maintenance Documents

REQ – Requisition

PO – Purchase Order

POA, PORT, PO Split, POC, POV – Purchase order versions

PPRQ – Prepayment request

RCVL, RCVQ – Receiving

VND – Vendor

Webform-to-REQ

OHQ – Order holding queue

CM – Credit memo

DV – Disbursement voucher

For OLE terms and definitions, see the [OLE glossary](#)