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Flattening Funds: Using Alma Fund Structure & Reporting Codes

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Flattening funds:
Using Alma fund structure & reporting codes
By Kate Seago
University of Kentucky

- Largest public land grant university in the state of Kentucky with undergraduate, graduate & professional programs including Law, Medicine, Pharmacy, Nursing and Agriculture.
- ARL Library with over 4 million volumes, approximately 450 licensed databases, 71,000 full text e-journals, & 1,127,500 ebooks
- 10 libraries including W.T. Young, Medical Center, Special Collections, Agriculture, Design, Education, Equine, Fine Arts, Science and Transportation with offsite storage at KUSI
- Regional Depository for Kentucky & a Center of Excellence for WPA materials and Appalachian Regional Commission
- Collections budget for FY17 is $7.4 million state funds with an additional $3 million in endowments
Goals for a Fund Structure

- Allow for accurate electronic transfer of information from the Library ILS to the University’s Accounting System
- Academic Liaison know what their allocations are and can track their expenditures during the year
- Pull expenditures in categories to assist with various reports such as ARL, IPEDS, AAHSL, etc.
- Reconcile the Library ILS and the University Accounting System on a quarterly basis
- Provides a defensible audit trail which means keeping ordering, invoicing and fund transfer separate
The Past - Voyager Fund Tree Structure

- Ledgers
  - Separate ledgers for separate acquisitions areas or separate cost centers (State, Endowments, etc)
- Summary Funds - Red Squares
  - Usually group funds by broad subject or format
- Allocation Lines - Blue Triangles
  - Subject lines and where the money is actually spent from
- Reporting Lines - Yellow Dots
  - Track formats primarily such as print, electronic and media
Voyager Fund Examples

Example of Hierarchy
- K Humanities Team
  - - KHUM Monographs
  - - - KCL1 Classics Mono
  - - - - KCL1M Classics Media
  - - - - KCL1R Classics Mono Rare
  - - - KEL1 English Mono
  - - - - KEL1M Eng Media
  - - - - KEL1E Eng E Res

Fund Code Structure
- K-ledger
- CL-Department/Subject grouping
- 1- monos, 3- standing orders, 5- serials
- 8 or 9 - approval plan
- R-Rare or E-Electronic or M - Media
Collections Budget - Separate Ledgers

- State Funds
- Young Endowment
- NEH Endowment
- Toyota Endowment
- Restricted Funds (collection of smaller endowments)

- Main Campus
- Medical Center
- Law Library
- Agriculture
Voyager Fund Information

- By 2015 there were 13 Ledgers with 855 funds including summary, allocated lines and reporting funds.
- Used the Institution ID for the SAP Cost Center and GL Code so relied heavily on reporting funds.
- Developed a set of Access reports that pulled fund expenditures on a regular basis.
- Library Specialist used the fund expenditure reports to send monthly updates to the academic liaisons.

System Limits
- 10 digit Fund Code
- 25 character Fund Name Limit
Data Transferred from Voyager to SAP

- Locally developed program pulled data nightly to an interface and then passed approved items to SAP
- Transmission from Voyager to SAP includes
  - Vendor SAP ID – matchpoint
  - Amount
  - Cost center (University Ledger) – matchpoint
  - GL code (Category of Expenditure for University) - required
  - Unique Identifier – Voyager voucher number
  - Invoice number (optional note field)
Mapping between Voyager and SAP

- Relied on the Voyager Institution ID field which contained the SAP Cost Center Code (Ledger) - GL Code (Type of Expenditure)
  - Ex. 1215355440-550020 would be for the NEH Endowment – Printed Book
- To achieve this in Voyager, the fund structure had a lot of reporting funds to show various types of expenditures under allocations
# Campus GL (Expenditure Types)

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<tr>
<th>Code</th>
<th>Description</th>
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<tr>
<td>550020</td>
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</tr>
<tr>
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<td>550021 (P Serial)</td>
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<tr>
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<td>550022 (Rare)</td>
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<td>535017 (ILL)</td>
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<td>535011 (Membership Dues not for materials only)</td>
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<td>530401 (Postage for ILL shipments ONLY)</td>
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<td>639305 (UK Recycling Charge)</td>
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<td>550025 (LAW Microforms)</td>
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<tr>
<td>550025</td>
<td>550025 (Law Microforms Only)</td>
</tr>
</tbody>
</table>
Fund Expenditure Codes (XC Codes)

- Developed to more accurately map the expenditures to the ARL Statistics
- Changed as the ARL Statistics changed
- More granular than the fund codes, so the serials fund code KCL5 Classics might have purchase orders with the following XC codes:
  - 5544 – Print only
  - 5555 – Print and electronic
  - 5546 – Electronic only
  - 4444 – Computer file or datasets
  - 5599 – Memberships
- Placed in the PO line note and in the invoice note field with ~1111~ on either side to be pulled by an Access Report running nightly
Voyager Fund Expenditure Reports

- Collection of reports available to anyone in at the UK Libraries from our Shared Drive
- Four Major Areas:
  - Reports based on XC code which showed what we were spending on that XC code
  - Expenditures by Fund, Vendor, PO and Cost Center
  - Open Order report by All or by fund
  - Fund snapshots - showed the entire hierarchy with allocations, encumbrances, expenditures.
- Data had been collected this way since FY05
Critical Migration Decisions

- The Go Live date was January 20, 2016 so in the middle of our fiscal year
- Migrated the reporting funds as allocated lines to Alma not as reporting codes
- For January 2016 to June 2016, the reporting codes were the Voyager XC codes and required to be assigned in POL and Invoices
Taking a Few Steps Backwards

- For Spring 2016, all invoices were double keyed between Alma and SAP. The interface did not go live until FY17.
- No effective way for most academic liaisons to check fund balances.
  - Analytics reporting not quite there.
  - Finding funds in Alma was not easy for inexperienced user.
- Lost the Access Reports for comparing ILS balances to SAP balances.
- Director of Acquisitions spent a lot of the Spring semester transferring money to funds.
Dean’s Office Review

- Voyager Report provided a voucher which captured the critical information for our Dean’s Office to Review.
- Review had taken place with the TRQ program that was the interface between Voyager and SAP.

**REPLACE WITH**

- Voucher report from Alma Analytics. Available to Acquisitions as a widget on their Alma home page.
- Dean’s Office now does the final approval of invoices in Alma.
  - All invoices go to review.
  - Use the internal copy for items that do not need to go forward.
Refocus on the Goals not Method

- Allow for accurate electronic transfer of information from the Library ILS to the University’s Accounting System
- Academic Liaison know what their allocations are and can track their expenditures during the year
- Pull expenditures in categories to assist with various reports such as ARL, IPEDS, AAHSL, etc.
- Reconcile the Library ILS and the University Accounting System on a quarterly basis
- Provides a defensible audit trail which means keeping ordering, invoicing and fund transfer separate
What does Alma Offer?

- Alma’s fund structure consists of summary and allocated funds.
- Keyword searching by words in the fund names.
- Facets to limit ledgers and funds.
- Fund names have a much longer limit.
- Alma reporting codes - 1 per line item.
- See the fund balance, allocations on the index screen.
- Alma Analytics - get fund expenditure information.
- All the Acquisitions history migrated with us.
What do we need in FY17?

- ERP export from ALMA to be ingested by SAP for invoice transfer
- Director of Acquisitions spending less time transferring money from fund to fund
- Fund Expenditure reports for academic liaisons and Collections
- Ability to track and report for ARL, AAHSL, IPEDS, etc.
- Ability to reconcile between ALMA and SAP quarterly
Requirements For Alma Export to SAP

- Meet Campus IT requirements
  - SAP ingest is currently a flat file
  - Vendor financial system code (SAP ID) matchpoint
  - External id in the fund to map to Cost Center (matchpoint)
    - Decision point also have it make the GL code?
- Cannot use the TRQ program. Programmer no longer available for rewrite
- Need to vet invoices from Alma since not all move forward to SAP (credit card, credits, etc.)
Final Version of Alma ERP to SAP

- Alma ERP runs on a daily schedule
- Output is received by a program which maps the ALMA ERP elements to the SAP flat file requirements
- Flat file is received by SAP
- File Elements Include
  - Vendor ID
  - Cost Center
  - **GL code which is pulled from the Alma reporting code**
  - Alma Unique invoice Number
  - Amount of invoice
Process of Changing the Structure

- Gathered information from all parties about what was needed which confirmed the goals
- Run ideas by Dean’s Office, Acquisitions, Department Heads
- Read Alma documentation
- Attended the Tech Seminar
- Sketched out possibilities on paper, Excel, sandbox
- Played with Alma Analytics
New Fund Structure Guidelines

- Use the Alma reporting code as the GL code
- No need for the fund to reflect format rely on the GL code
- Spell out names in full
- Be consistent
- Keep familiar language, conventions and codes
- Remove unnecessary ledgers, summary funds and reporting lines
New Ledger and Fund Outline

- 7 Ledgers
- Summary funds for major areas (Social Science or Little Endowment)
- Fund Name Structure
  - Ledger Identification
  - Subject Name
  - Type Continuations, Approvals, Onetime
  - Fund Code
  - Fiscal Year
- Fund codes remained as much as possible the same we used Voyager
Ledgers

- # Ledger Gratis FY17 (4)
- $ K State Ledger Main & Medical Center FY17 (137)
- $ L Young Endowments Ledger FY17 (81)
- $ L Law Ledger Cumulative FY17 (8)
- $ NEH Endowment Ledger FY17 (39)
- $ P Toyota Endowment Ledger FY17 (2)
- $ Restricted Ledger FY17 (38)
Fund Name Structure

- Fund Name Structure
  - Ledger Identification
  - Subject Name
  - Type Continuations, Approvals, Onetime
  - Fund Code
  - Fiscal Year

- Fund Name Structure
  - K
  - Classics
  - Continuations
  - KCL5
  - FY17
K Classics Continuations KCL5 FY17
K Library Science Onetime KLS1 FY17
Music Funds in Alma FY17
Implementation of the Plan - STEP ONE

- Used Tools to extract FY16 Ledgers from Alma
- Created spreadsheets for each new ledger
- Deleted or Renamed the funds
- Double checked spreadsheets
- Show spreadsheets to everyone once more time before making changes
Implementation of the Plan - STEP TWO

- Roll the ledgers from FY16 to FY17 but not POL lines
- No money in the lines
- Use the Move Funds in Hierarchy
- Delete funds
- Delete ledgers as there are no funds attached
- Use Tools to extract funds and compare with spreadsheets
- Make corrections
- Enter the budget for FY17 in our new funds
So What Happened in FY17?

- Transfer from Alma to SAP has worked with minor glitches. Mostly back tracked to some one not entering the correct information.
- Added or adjust GL codes so Alma is more closely aligned to SAP which will be useful for reconciliation.
- Improved the Analytics Voucher report during the year.
- Developed fund expenditure reports that are delivered to the academic liaison the second of each month.
- Edited the ledgers to add two funds and remove a fund.
- Overall the new ledger structure appears to be working.
The Next Steps

- Still looking at the expenditures reports for the various ARL, IPEDS reports, etc.
- Working on the fiscal year close and rollover with the new funds and new POL lines
- In queue to have the payment information returned to Alma
- Develop an Acquisitions Dashboard with tailored reports
Contact Information

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