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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)

Code	Description
550020	550020 (P Book)
550021	550021 (P Serial)
550022	550022 (Rare)
550023	550023 (Media)
550024	550024 (Binding)
535209	535209 (Elec Res)
530122	530122 (KUSI)
535203	535203 (OCLC)
535017	535017 (ILL)
535011	535011 (Membership Dues not for materials only)
540329	540329 (Supplies)
530401	530401 (Postage for ILL shipments ONLY)
639305	639305 (UK Recycling Charge)
550025 (LAW Microforms)	550025 (Law Microforms Only)



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

ExLibris Alma | Tasks | Analytics | Currently at: Young Library - young Acqui...

Funds and Ledgers

Limit results to:

- Status: Active (10)
- Type: Allocated fund (9), Summary fund (1)
- Fiscal Period: FY-2017 (10)
- Ledger: \$ K State Ledger Main & Medical Center FY17 (2), \$ L Young Endowments Ledger FY17 (7), \$ NEH Endowment Ledger 1215357400 FY17 (1)
- Library: UK Libraries- University of Kentucky (UKY) (10)

Add Ledger


Search limited to: Status: **Active** | Fiscal Period: **FY-2017**

1	Name: K Music Continuations KMU5 FY17 Code: KMU5 Type: Allocated fund Status: Active Fiscal Period: FY-2017 External ID: 1012008710 Path: \$ K State Ledger Main & Medical Center FY17>K Main Campus Continuations Summary FY17 Available Balance: 272.73 USD Cash Balance: 9,567.42 USD Encumbered Balance: 9,294.69 USD Expenditure Balance: 32,260.58 USD Allocated Balance: 41,828.00 USD Edit Duplicate Deactivate Move Fund
2	Name: K Music Onetime KMU1 FY17 Code: KMU1 Type: Allocated fund Status: Active Fiscal Period: FY-2017 External ID: 1012008710 Path: \$ K State Ledger Main & Medical Center FY17>K Main Campus Onetime Summary FY17 Available Balance: 602.30 USD Cash Balance: 2,013.90 USD Encumbered Balance: 1,411.60 USD Expenditure Balance: 7,367.10 USD Allocated Balance: 9,381.00 USD Edit Duplicate Deactivate Move Fund
3	Name: L Little Music Continuations LLMU5 FY17 Code: LLMU5 Type: Allocated fund Status: Active Fiscal Period: FY-2017 External ID: 1215380550 Path: \$ L Young Endowments Ledger FY17>L Little Library Endowment LLLL FY17>L Music Little Summary Fund LL Music FY17 Available Balance: 1.73 USD Cash Balance: 1.73 USD Encumbered Balance: 0.00 USD Expenditure Balance: 21,134.27 USD Allocated Balance: 21,136.00 USD Edit Duplicate Deactivate Move Fund
4	Name: L Little Music Front Approval LLMU8 FY17 Code: LLMU8 Type: Allocated fund Status: Active Fiscal Period: FY-2017 External ID: 1215380550 Path: \$ L Young Endowments Ledger FY17>L Little Library Endowment LLLL FY17>L Music Little Summary Fund LL Music FY17 Available Balance: 1,107.60 USD Cash Balance: 1,153.72 USD Encumbered Balance: 46.12 USD Expenditure Balance: 14,846.28 USD Allocated Balance: 16,000.00 USD Edit Duplicate Deactivate Move Fund
5	Name: L Little Music Onetime LLMU1 FY17 Code: LLMU1 Type: Allocated fund Status: Active Fiscal Period: FY-2017 External ID: 1215380550 Path: \$ L Young Endowments Ledger FY17>L Little Library Endowment LLLL FY17>L Music Little Summary Fund LL Music FY17 Available Balance: 26,816.66 USD Cash Balance: 29,645.84 USD Encumbered Balance: 2,829.18 USD Expenditure Balance: 11,761.16 USD Allocated Balance: 41,407.00 USD Edit Duplicate Deactivate Move Fund
6	Name: L Little Music Standing Orders LLMU3 Code: LLMU3 Type: Allocated fund Status: Active Fiscal Period: FY-2017 External ID: 1215380550 Path: \$ L Young Endowments Ledger FY17>L Little Library Endowment LLLL FY17>L Music Little Summary Fund LL Music FY17 Available Balance: 747.00 USD Cash Balance: 2,000.00 USD Encumbered Balance: 1,253.00 USD Expenditure Balance: 0.00 USD Allocated Balance: 2,000.00 USD Edit Duplicate Deactivate Move Fund
7	Name: L MacAdam American Music Continuations LLAM5E FY17 Code: LLAM5E Type: Allocated fund Status: Active Fiscal Period: FY-2017 External ID: 1215379580 Path: \$ L Young Endowments Ledger FY17 Available Balance: 2.08 USD Cash Balance: 2.08 USD Encumbered Balance: 0.00 USD Expenditure Balance: 997.92 USD Allocated Balance: 1,000.00 USD Edit Duplicate Deactivate Move Fund
8	Name: L MacAdam American Music Onetime LLAM1 FY17 Code: LLAM1 Type: Allocated fund Status: Active Fiscal Period: FY-2017 External ID: 1215379580 Path: \$ L Young Endowments Ledger FY17 Available Balance: 11,510.74 USD Cash Balance: 14,470.74 USD Encumbered Balance: 2,960.00 USD Expenditure Balance: 0.00 USD Allocated Balance: 14,470.74 USD Edit Duplicate Deactivate Move Fund
9	Name: L Music Little Summary Fund LL Music FY17 Code: LL Music Type: Summary fund Status: Active Fiscal Period: FY-2017 External ID: 1215380550 Path: \$ L Young Endowments Ledger FY17>L Little Library Endowment LLLL FY17 Available Balance: 28,672.99 USD Cash Balance: 32,801.29 USD Encumbered Balance: 4,128.30 USD Expenditure Balance: 47,741.71 USD Allocated Balance: 80,543.00 USD Edit Duplicate Deactivate Move Fund
10	Name: N Music Monographs Onetime NMU1 FY17 Code: NMU1 Type: Allocated fund Status: Active Fiscal Period: FY-2017 External ID: 1215357400 Path: \$ NEH Endowment Ledger 1215357400 FY17 Available Balance: 273.00 USD Cash Balance: 273.00 USD Encumbered Balance: 0.00 USD Expenditure Balance: 0.00 USD Allocated Balance: 273.00 USD Edit Duplicate Deactivate Move Fund

Add Ledger



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

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