

# FISCAL YEAR-END ROLL OVER IN ALMA

SUNY Library Shared Services  
Maggie McGee



# Required

Required role to roll over the fiscal year:

- Fiscal Period Manager

The following jobs must be run to close the current fiscal year and to roll over to the next fiscal year if your campus is not changing the Ledger/Fund structure:

1. **Rollover Ledger**– Copies the ledgers from the closing fiscal period to the next fiscal period
2. **Rollover PO Lines**– Copies PO lines encumbrances from the closing fiscal period to the next fiscal period

# Fiscal Year Rollover in Alma

- Ledgers are not required to be rolled over on the day they expire if the current ledger has extended the:
  - Fiscal period end encumbrance grace periods
  - Fiscal period end expenditure grace periods

The following order types are rolled over during fiscal period closure if they have active encumbrances associated with them:

1. Continuous/Subscription orders
2. Standing orders
3. One-Time PO Lines that are not “fully invoiced”

# Things to Consider Before Rolling Over Funds and Ledgers

- “Active” encumbrances are what drives which POLs will rollover
  - POL or PO status does not impact rollover
  - The “Receive” or “Activation” status does not impact POL rollover
- The “Rollover PO Lines” job will rollover:
  - One-Time POLs –if there is a remaining encumbrances and the PO Line is not fully invoiced
    - All active One-Time PO Lines (where the status is not Closed or Cancelled)
    - One-Time POLs that are not "fully invoiced"
      - You will need to change the POL to “Fully Invoiced” if your campus is not creating invoices in Alma
  - Continuous POLs– the encumbrances will be rolled (by encumbrance or by expenditure depending on the rollover job's parameter)

# Things to Consider Before Rolling Over Funds and Ledgers

- Technical, Gift, or Depository Acquisition Methods may not be associated with funds and therefore they will not roll over
  - These Acquisition Methods do not need to have an invoice statuses of “Fully Invoiced” because they do not rollover
- Alma will always associate any credits and invoices with the fiscal year in which the purchase occurred
- Do not make changes to holdings records while the fiscal year is being rolled over
  - It may prevent POLs from being rolled over or
  - Changes may not be saved

# EXTENDING A LEDGER'S FISCAL PERIOD

# Extending a Ledger/Fund's Fiscal Period

- Extend the Ledger/Funds fiscal period if your procurement office allows your campus to receive items and pay invoices past the end of the fiscal year
- If the previous Ledger's fiscal period has been extended:
  - The POLs that have been rolled over will display the year associated with the previous fiscal year if the POL has not been encumbered
  - The POLs will display the current fiscal year once the grace period has ended
    - Removing the previous Fund or Ledgers grace period will deactivate the funds and the POLs will display the new fiscal year

# Extending a Ledger/Fund's Fiscal Period

Before you begin, please note that the Ledger must be active in order to extend its fiscal year

1. Go to *Acquisitions>Acquisitions Infrastructure>Funds and Ledgers*
2. Select the Ledger or Fund to extend the fiscal period
  - a) If you change the ledger fiscal period it will apply to all funds
  - b) Fiscal periods can be extended on individual funds by adding/modifying a fund's grace periods
3. Click *Edit*
4. Scroll down to the 'Rules' section on the Summary tab
5. Edit the following values to extend the fiscal period:
  - a) **Fiscal period end encumbrance grace period (days)** – it will impact PO Lines
  - b) **Fiscal period end expenditure grace period (days)** – it will impact invoices
6. Click *Save*



# How to Extend a Ledger/Fund's Fiscal Period

Summary Details

Deactivate Cancel Save

Balance Type	Amount
1 Allocated Balance	
2 Expended Balance	
3 Cash Balance	
4 Encumbered Balance	
5 <b>Available Balance</b>	

Rules

Overencumbrance allowed	Yes	Overexpenditure allowed	No
Overencumbrance warning percent	0.0	Overexpenditure warning sum	0.0
Overencumbrance limit percent	0.0	Overexpenditure limit sum	0.0
Encumbrances prior to fiscal period (days)	0	Expenditures prior to fiscal period (days)	0
Transfers prior to fiscal period (days)	0	Fiscal period end encumbrance grace period (days)	30
Fiscal period end expenditure grace period (days)	30		

# STEP 1: ROLLOVER LEDGERS

# Rollover Ledgers

## Rollover Ledgers:

1. Copies the existing ledger for the current fiscal year, which includes:
  - a) Summary details
  - b) Allocated funds
2. Alma creates a new fiscal year if one does not already exist
3. Roll over the ledger as a draft:
  - Allows you to see what the roll-over will look like before committing (not necessary, but recommended)
  - If ledgers are created as a draft they will need to be changed to “Active” before rolling over PO Lines
  - **Note: Do Not Edit** the Ledger Name and Code in draft mode because the PO Line Rollover will fail due to the Ledger/Fund structures no longer matching

# To Rollover Ledgers

1. Go to *Acquisitions>Advanced Tools>Rollover Ledgers*
2. Click *Add Job*
3. The **Add Jobs** screen appears
  1. Create Allocation From:
    - None – no allocations created
    - Allocation Balance – allocated funds copied
    - Cash Balance – cash balance populates the allocated balance
    - Both – allocation and cash balances combined populate the allocated balance

The screenshot shows the 'Add Job' interface. A red box highlights the 'Create Allocation From' dropdown menu, which is currently open. The menu lists four options: 'None', 'Allocation Balance', 'Cash Balance', and 'Both'. Below the menu, the 'From Year' is set to 'FY-2020'. There are two checkboxes: 'Copy Notes' and 'Copy Attachments', both of which are currently unchecked. At the bottom right of the screen, there are three buttons: 'Add', 'Close', and 'Add and Close'. The 'Add and Close' button is highlighted in blue.

# To Rollover Ledgers

## 3. Add Jobs screen continued

### 2. Ledger

- All – will rollover all ledgers
- Select Ledger from the drop-down list

### 3. Action

- Copy – copies the ledger to the new fiscal year and creates a new fiscal period if it does not exist
- Delete – deletes the ledger from the new fiscal period if there are no encumbrances/expenditures

The image displays two screenshots of the 'Add Job' form, illustrating the 'Action' dropdown menu options.

**Top Screenshot:** The 'Action' dropdown is open, showing the following options: 'All', 'STL LEDGER - STL LEDGER', and 'GENERAL\_LEDGER - GENERAL\_LEDGER'. The 'Create Allocation From' dropdown is set to 'None'. The 'Ledger' dropdown is open with the text 'Look-up or select'. The 'Copy Notes' and 'Copy Attachments' checkboxes are unchecked. The bottom right corner contains 'Add', 'Close', and 'Add and Close' buttons.

**Bottom Screenshot:** The 'Action' dropdown is open, showing the following options: 'Copy' and 'Delete'. The 'Create status' dropdown is set to 'Copy'. The 'From Year' dropdown is set to 'Delete'. The 'Copy Notes' and 'Copy Attachments' checkboxes are unchecked. The bottom right corner contains 'Add', 'Close', and 'Add and Close' buttons.

# To Rollover Ledgers

## 3. Add Jobs screen continued

4. FPC% Factor - only appears if Allocation Balance or Both are selected for Create Allocation for

- The % of increase/decrease applied to continuous POLs
- Default increase is 0% if no value is input

5. Create Status – Status is top down, and funds will inherit the status chosen here

- Active
- Draft

6. From Year

- Choose the most recent FY, which is the year that is currently ending

**Add Job**

Create Allocation From: Allocation Balance ⓘ

Ledger: All ⓘ

Action: Copy ⓘ

FPC factor (%): ⓘ

Create status: Draft ⓘ

From Year: FY-2020 ⓘ

Copy Notes

Copy Attachments

Add Close Add and Close

# To Rollover Ledgers

## 3. Add Jobs screen continued

### 7. Copy Notes

- Check the box to copy all notes to the new FY

### 8. Copy Attachments

- Check the box to copy the contents of the attachment tab to the new FY

## 4. Click *Add and Close*

## 5. Job automatically runs

The screenshot shows the 'Add Job' form with the following fields and values:

- Create Allocation From: Allocation Balance
- Ledger: All
- Action: Copy
- FPC factor (%):
- Create status: Draft
- From Year: FY-2020

At the bottom, there are two checked options:

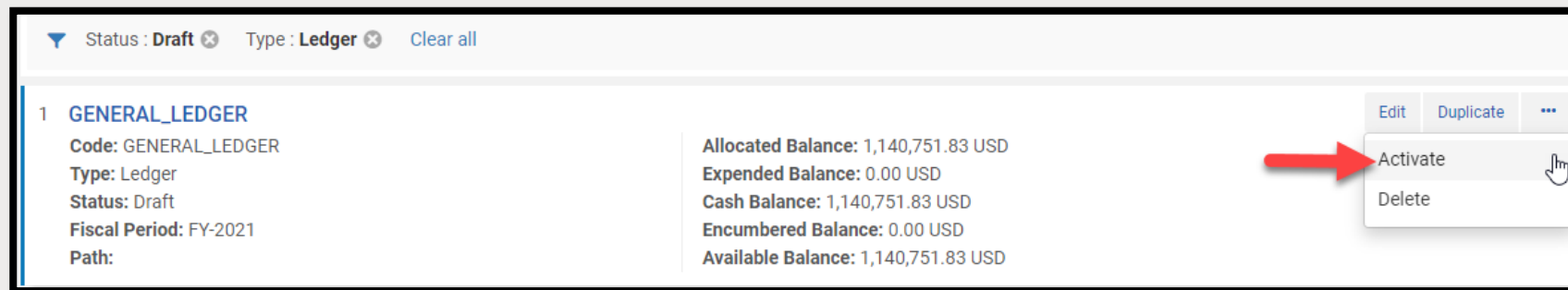
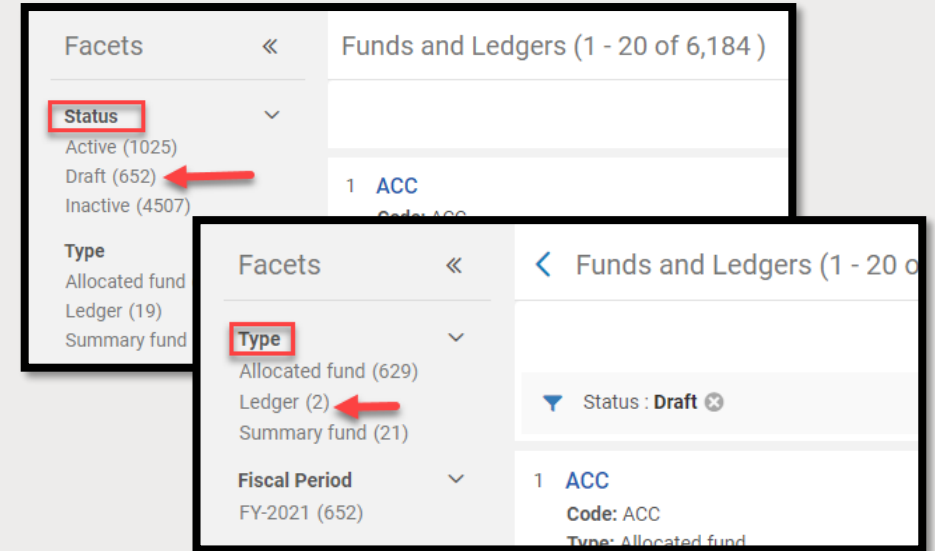
- Copy Notes
- Copy Attachments

The 'Add and Close' button is highlighted with a red arrow.

# Ledger in Draft Mode

The ledger needs to be changed from Draft to Active before rolling over PO Lines

1. Go to *Acquisitions>Acquisitions Infrastructure>Funds and Ledgers*
2. Click *Clear All* to clear filters
3. Click on *Draft* under Status
4. Click *Ledger* under Type
5. Click *Activate* from the ellipses of the Ledger(s)





# HOW TO MARK A POL AS FULLY INVOICED WHEN IT IS ASSOCIATED WITH A FUND

# Marking a POL Full Invoiced

One-Time POLs that are associated with funds will be rolled over unless POLs are marked as “Fully Invoiced”

- This workflow should only be done at campuses where POLs are associated with a fund, but invoices are not created and managed in Alma
- This step needs to be done prior to rolling over One-Time POLs
- One of the following roles is required to run the “Update PO Line Information Job:

Acquisitions Administrator	Catalog Administrator	Catalog Manager	Digital Inventory Operator	Digital Inventory Operator Extended
Fulfillment Administrator	General System Administrator	Physical Inventory Operator	Purchasing Manager	Purchasing Operator
Repository Administrator	Repository Manager	Requests Operator	User Administrator	User Manager

# Marking a POL Full Invoiced

1. Perform an advanced repository search for each type of One -Time POL that needs to be marked as fully invoiced: *PO Line: Workflow>Equals>Sent AND PO Line Type>Equals>[One-Time POL Type]*
2. Create a Set
  1. Click **Save Query**
  2. The Set Details screen opens
    1. Name: [Name the set]
    2. Description: [Optional]
    3. Private: [Default is 'YES']
    4. Status: [Active]
  3. Click **Save**

# Marking a POL Full Invoiced

1. Run the “Update PO Line Information” job on the set
  1. Go to **Admin>Manage jobs and Sets>Run a Job**
  2. Search for the “**Update PO Lines Information**” job
  3. Click on the radio button for the “**Update PO Lines Information**” job
  4. Click **Next**
  5. Click on the radio button next to the set of One-Time POLS
  6. Click **Next**
  7. Task parameters screen opens
    1. Check the box next to Invoice Status
    2. Select “Fully Invoiced”
    3. Unconditionally
  8. Click **Next**
  9. Review the job
  10. Click **Submit**
  11. Click **Confirm**

# Marking a POL Full Invoiced

Run a Job - Enter Task Parameters

1 2 3 4 Cancel Back Next

Task Parameters: Update PO Lines Information

<input type="checkbox"/>	Material supplier	Select from a list	Unconditionally
<input type="checkbox"/>	Access provider	Select from a list	Unconditionally
<input checked="" type="checkbox"/>	Invoice status	Fully invoiced	Unconditionally
<input type="checkbox"/>	Receiving note		Unconditionally
<input type="checkbox"/>	Claiming grace period (days)		Unconditionally
<input type="checkbox"/>	Acquisition method	Purchase at Vendor System	Unconditionally

# STEP 2: ROLLOVER PO LINES

# Rollover PO Lines

## Rollover PO Lines

- PO Lines are rolled over on either the encumbrance (expected amount) or the expenditure (actual amount paid):
  - One-time POLS – rollover on the encumbrance
  - Continuous POLS– rollover on either the encumbrance or the expenditure
    - FPC Factor (%) is only applied to Continuous POLs
- Rolling over continuous POLs using the expenditure reflects a more accurate cost of the continuous resources
  - Alma will use the encumbrance if no invoice/expenditure exists at the time of rollover

# To Rollover PO Lines

1. Go to *Acquisitions>Advanced Tools>Rollover PO Lines*
2. Click *Add Job*
3. The Add Job screen opens
  1. New Encumbrance Calculation (only impacts continuous POLs, One-Time Pols always rollover using the encumbrance)
    - Encumbrance
    - Expenditure
  2. PFC Factor (%)
    - The % of increase/decrease applied to continuous POLs
    - Default increase is 0% if no value is input

The screenshot shows the 'Add Job' interface. The 'New Encumbrance Calculation' option is selected and highlighted with a red box. A dropdown menu is open, showing 'Expenditure' and 'Encumbrance' as options. The 'Check Over Encumbrance' checkbox is checked. The 'Report Mode' section includes 'Continuous Orders Only', 'Standing Orders Only', and 'One-Time Orders Only', all of which are unchecked. At the bottom right, there are three buttons: 'Add', 'Close', and 'Add and Close'.



# To Rollover PO Lines

## 3. The Add Job screen continued

### 3. From Years

- Usually choose current FY that is coming to a close

### 4. Libraries

- Leave blank to select ALL libraries
- Can select individual libraries if the library has its own ledger and it is not handled by a centralized technical/acquisitions services department
- Do not select the Resource Sharing Library

### 5. PO Line

- Leave blank to rollover ALL PO Lines
- Can select one POL to rollover

The screenshot shows the 'Add Job' form with the following fields and options:

- New Encumbrance Calculation:** Expenditure (dropdown)
- FPC Factor (%):** (text input)
- From Year:** FY-2020 (dropdown, highlighted with a red box)
- Libraries:** (dropdown, highlighted with a red box)
- PO Line:** (dropdown with menu icon, highlighted with a red box)
- Check Over Encumbrance:**
- Report Mode:**
- Continuous Orders Only:**
- Standing Orders Only:**
- One-Time Orders Only:**

Buttons at the bottom: Add, Close, Add and Close.

# To Rollover PO Lines

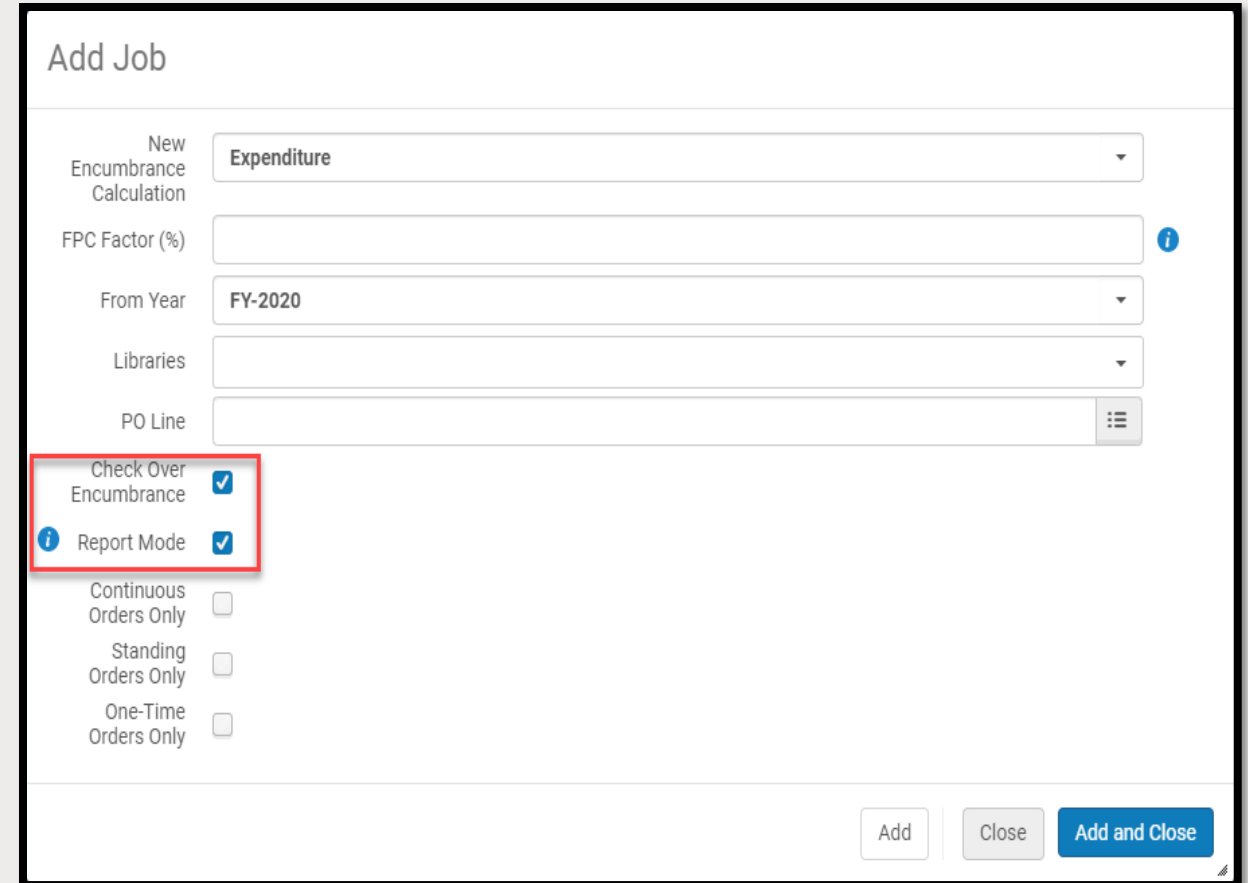
## 3. The Add Job screen continued

### 6. Check Over Encumbrance

- Check this box to apply over-encumbrance rules are included during the rollover process
- Uncheck this box if the ledger rollover was run without allocation or you do not want to apply over-encumbrance rules

### 7. Report Mode

- Recommended to check this box the first time to rollover POLs in “test” mode to see they rollover
- A report will be generated that helps identify errors that need to be resolved



The screenshot shows the 'Add Job' form with the following fields and options:

- New Encumbrance Calculation: Expenditure
- FPC Factor (%): [Empty field]
- From Year: FY-2020
- Libraries: [Empty field]
- PO Line: [Empty field]
- Check Over Encumbrance:
- Report Mode:  (highlighted with a red box)
- Continuous Orders Only:
- Standing Orders Only:
- One-Time Orders Only:

Buttons at the bottom: Add, Close, Add and Close.

# To Rollover PO Lines

3. The Add Job screen continued
  8. Continuous Orders Only, Standing Orders Only, and One-Time Orders only
    - Check all or leave all unchecked to roll-over All encumbrances types
    - Check selected PO Line Types encumbrances to be rolled over individually
    - It is recommended to rollover order types individually for review/troubleshooting
  9. Click **Add and Close**
    - Add is used if you are rolling over POLs individually as it keeps the box open
4. The job will automatically run

The screenshot shows the 'Add Job' interface with the following fields and options:

- New Encumbrance Calculation:** Expenditure
- FPC Factor (%):** (Empty field with an information icon)
- From Year:** FY-2020
- Libraries:** (Empty dropdown menu)
- PO Line:** (Empty field with list and refresh icons)
- Check Over Encumbrance:**
- Report Mode:**
- Order Types (highlighted in red box):**
  - Continuous Orders Only:
  - Standing Orders Only:
  - One-Time Orders Only:

At the bottom right, there are two buttons: 'Add' and 'Add and Close'. A red arrow points to the 'Add and Close' button.

# To Rollover PO Lines

## 5. Review the Report

1. Click **View** from the ellipses of the job
2. Click on the errors under Job Events

Job Report

PO Line - Fiscal Period Rollover

Completed with Errors

Process ID	1325168630004844	Started on	05/14/2020 7:16 PM
Finished on	05/14/2020 7:22 PM	Total run time	6 Minutes 27 Seconds
Status	Completed with Errors	Status date	05/14/2020 7:22 PM
Records processed	951	Records with exceptions	1

Alerts

Of the 951 records processed, 1 records failed. For more information view the report details (or contact Support using the process ID).

Job Events

- PO line rollover success(950)
- Next fiscal period does not exist(0)
- Fund for next fiscal period does not exist(0)
- No encumbrance linked to PO line(0)
- Fund does not have enough money(0)
- Fund is not active(0)
- General Error(1)

Events Report

General Error

1 - 1 of 1

Error message	POLine reference
1 The fund "HISACCD" has exceeded the over-encumbrance limit of 10.0%. Transaction is not allowed.	POL-933

# To Rollover PO Lines

5. Correct the errors
6. Run the Rollover PO Lines job again in “Report Mode”, with “Report Mode” checked to make sure the errors have been fixed
7. Run the Rollover PO Lines job again, but without “Report Mode” unchecked

### Add Job

New Encumbrance Calculation:  ⓘ

FPC Factor (%):

From Year:

Libraries:

PO Line:

Check Over Encumbrance:

Report Mode:

Continuous Orders Only:

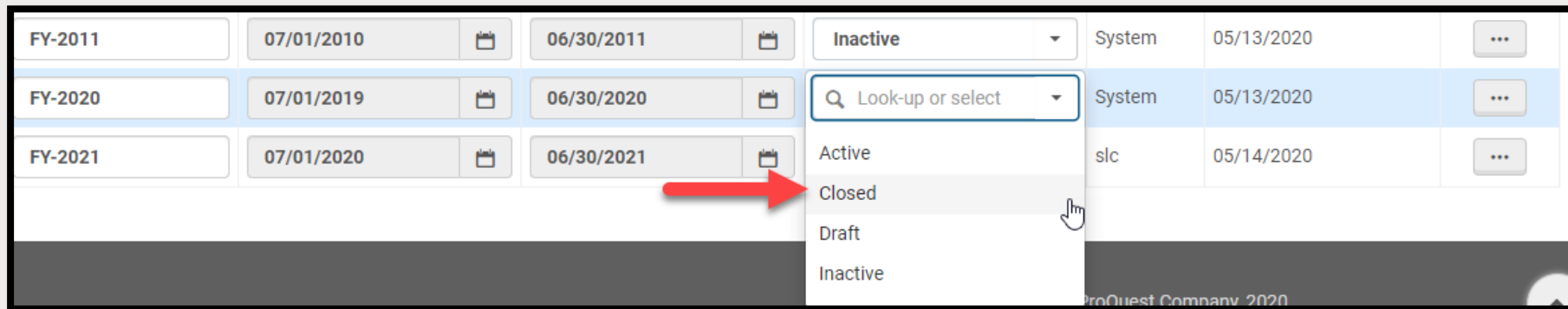
Standing Orders Only:

One-Time Orders Only:

AFTER THE FISCAL YEAR  
ROLLOVER IS COMPLETE

# Things to do after the Fiscal Year Rollover is Complete

- Change the previous fiscal year Ledger to “Closed”
    - Wait to do this after the grace period ends if your campus is using grace periods
1. Go to *Configuration>General>Fund and Ledger Fiscal Period*
  2. Select **Closed** from Status the drop-down menu
  3. Click **Save**



# INTERESTED IN CHANGING THE LEDGER/FUND STRUCTURE?



# Interested in Changing the Ledger/Fund Structure?

- Changing the Ledger/Fund structure in Alma requires a new tree
- It is best to take your time to develop a new Ledger/Fund structure:
  - Ask why you are changing the Ledger/Fund structure
  - Think about what the new Ledger/Structure will look like
  - Create a Ledger/Fund map of you new structure
- Reach out to the SLSS or Ex Libris if your campus needs helping in creating or implementing a new Ledger/Fund structure

# Interested in Changing the Ledger/Fund Structure?

Outline of the process to change the Ledger/Fund Structure in Alma:

1. Rollover the Ledger as in Step 1
  - Rollover the ledger in Draft mode
    - This allows you to change the Ledger's code and/or name
2. Create additional ledgers (if applicable)
3. Create Funds
  - a) Summary - A summary fund is not used for ordering and invoicing, but provides aggregate reporting on subordinate funds
    - Summary fund(s) are used to house the allocated funds
    - The number of summary funds depends upon the new Ledger/Funds structure
  - b) Allocated – An allocated fund contains money that has been paid out or has been reserved for an open purchase
    - The number of allocated funds depends upon the new Ledger/Funds structure

# Interested in Changing the Ledger/Fund Structure?

Outline of the process to change the Ledger/Fund Structure in Alma continued:

3. Allocate Funds
4. Update POLs with the new associated fund
5. Make the Ledger “Active”

# Interested in Changing the Ledger/Fund Structure?

To update POLs to the new fund structure:

1. Create a set of POLs that need to be added to the new Ledger/Fund structure
2. Run the “Update PO Line Transactions” job on the set
  1. Go to [Admin>Manage Jobs and Sets>Run a Job](#)
  2. Search for “Update PO Lines Transactions”
  3. Click on the radio button next to the “Update PO Lines Transactions” job
  4. Click **Next**
  5. Click on the radio button next to the set you want to update POLs
  6. Click **Next**

# Interested in Changing the Ledger/Fund Structure?

To update POLs to the new fund structure:

7. Click in the check box next to Funds
  1. Select the Fund
  2. Apply percentage (optional)
8. Click **Next**
9. Review the job
10. Click **Submit**
11. Click **Confirm**

**Note:** This job may need to be run multiple time depending on the campus' fund structure

Run a Job - Enter Task Parameters

Task Parameters: Update PO Lines transactions

<input type="checkbox"/>	List price	<input type="text"/>	Unconditionally
<input type="checkbox"/>	Quantity	<input type="text"/>	Unconditionally
<input type="checkbox"/>	Release remaining encumbrance	<input type="checkbox"/>	Unconditionally
<input type="checkbox"/>	Fund	Select from a list <input type="text"/>	Percent <input type="text"/>
<input type="checkbox"/>	Fund	Select from a list <input type="text"/>	Percent <input type="text"/>
<input type="checkbox"/>	Fund	Select from a list <input type="text"/>	Percent <input type="text"/>
<input type="checkbox"/>	Fund	Select from a list <input type="text"/>	Percent <input type="text"/>
<input type="checkbox"/>	Fund	Select from a list <input type="text"/>	Percent <input type="text"/>

# SUPPORTING DOCUMENTATION

# Supporting Documentation

Ex Libris Documentation:

- [Fiscal Period Close Resources and FAQ](#)
- [Alma Fiscal Period Closure](#)
- [Fiscal Period Closure](#)
- [Adding a Fund](#)