



The State University of New York

Fiscal Year Roll Over in Alma

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Fiscal Year Roll Over in Alma

In this session we will cover:

1. Required roles
2. How to extend the closing ledger's fiscal grace periods
3. How to rollover ledgers
4. How to change the fiscal period displays in the ledger
5. How to delete a ledger if it did not rollover as expected
6. How to mark One-time PO Lines (POLs) as fully invoiced
7. How to rollover PO Lines (POLs)
8. How to close the previous fiscal year period
9. How to make changes to funds and ledgers for the new fiscal year



Required Roles to Roll Over the Fiscal Year in Alma

- The following role is required to roll over the fiscal year in Alma:
 - Fiscal Period Manager
- One of the following roles is required to mark a One-Time POL as fully invoiced for institutions not creating invoices:
 - Acquisitions Administrator
 - Catalog Administrator
 - Catalog Manager
 - Digital Inventory Manager
 - 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
- One of the following roles is required to change the ledger's fiscal period/year display and to close the previous fiscal year:
 - Acquisitions administrator
 - General System Administrator



Fiscal Year Roll Over in Alma

- Fiscal year roll over is only required for institutions using acquisitions in Alma
- Fiscal year roll over is not required to be done on June 30th unless the institution does not use:
 - Fiscal period end encumbrance grace periods
 - Fiscal period end expenditure grace periods
- “Active” encumbrances are what drives which POLs will rollover
- The following order types can be rolled over:
 - Continuous (waiting for renewal)
 - Standing Order (waiting for renewal)
 - One-time POLs (not fully invoiced) can be rolled over
- Technical, Gift, or Depository Acquisition Methods that are not associated with funds will not roll over
- One-time PO Lines (POLs) for institutions not creating invoices in Alma will need to change received invoice statuses to “Fully Invoiced” or they will roll over
- Alma will always associate 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



Fiscal Year Roll Over in Alma

Steps to rolling over the fiscal year in Alma:

1. Adjust the ledger's grace periods (optional)
2. Rollover Ledgers
 1. Draft Mode
 2. Active Mode
3. Rollover PO Lines (POLs)
 1. Marking received One-time POLs as "Fully Invoiced" (**ONLY** for institutions not creating invoices in Alma)
 2. Report Mode
 3. Active Mode
4. Change the Ledger's fiscal year display (optional)
5. Close the previous fiscal year



EXTENDING THE CLOSING LEDGER'S GRACE PERIODS (OPTIONAL)

Extending the Closing Ledger's Grace Periods (Optional)

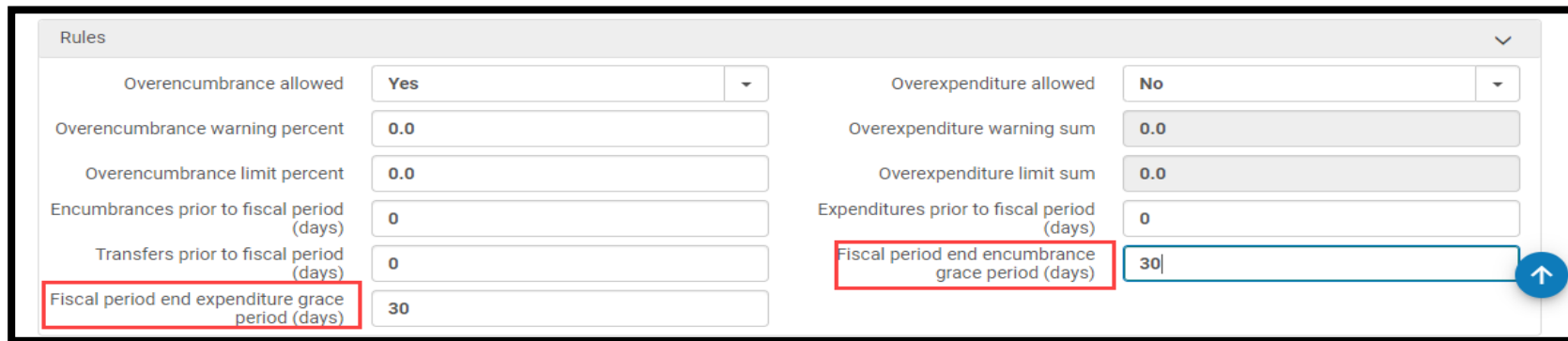
- The following grace periods can be adjusted for the closing fiscal year's ledger(s):
 - Fiscal period end encumbrance grace periods:
 - Impacts the ability to add PO Lines to the closing fiscal year
 - Fiscal period end expenditure grace periods:
 - Impacts the ability to creates invoices on the closing fiscal year
- Ledgers must be active in order to extend the grace periods
- Grace periods should be adjusted if:
 - An institution's procurement office allows them to do the following after the end of the fiscal year:
 - Receive items
 - Pay invoices
 - The institution does not want to rollover their fiscal year prior to July 1st
- If the closing ledger is being extended:
 - The POLs that are rolled over (not encumbered) will display the year associated with the closing fiscal year until the grace period has ended
 - The POLs will change to reflect the new fiscal year once the extended grace period has ended
- Institutions that do not extended grace periods will need to rollover by July 1st



Extending the Closing Ledger's Grace Periods (Optional)

To extend the closing ledger's grace periods:

1. Go to **Acquisitions>Acquisitions Infrastructure>Funds and Ledgers**
2. Select the Ledger (or fund) to be extended
 - Extending a ledger's grace periods will be applied to all funds
 - Grace periods can be extended on individual funds using the same workflow
3. Click **Edit** from the ledger (or fund)
4. Scroll down to the "Rules" section
5. Edit the following values to add the number of days the closing fiscal period will be extended:
 - Fiscal period end encumbrance grace periods:
 - Fiscal period end expenditure grace periods:
6. Click **Save**



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



ROLLOVER LEDGERS

Rollover Ledger Job

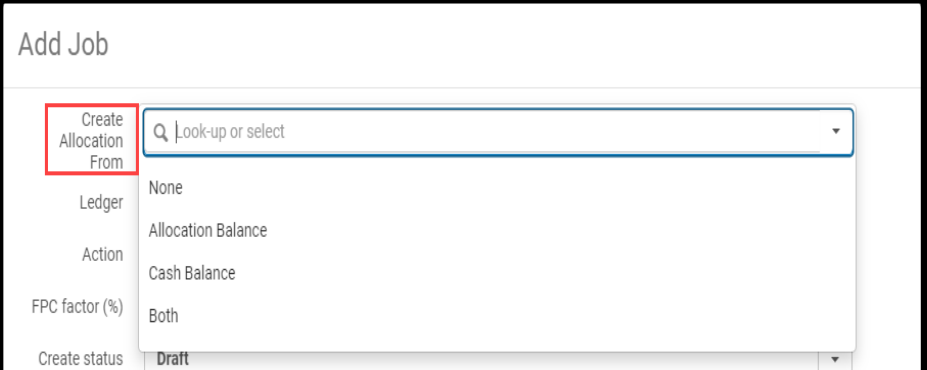
- The following things are copied from the current fiscal year:
 - Ledger
 - Summary funds
 - Allocated funds
- Ledgers can be rolled over:
 - One at a time
 - All at once
- Creates a new fiscal year if one does not already exist in configuration
- Allows the user to rollover the ledger in “Draft” or “Active” mode
- Draft mode is recommended because it allows the user to see what the ledger rollover will look like prior to committing to the changes
- Ledgers must be changed to “Active” if they were created in “Draft” mode
- **DO NOT** edit the ledger name and/or code in draft mode:
 - Ledger/fund structure will not match if changes are made and changed will cause the PO Line rollover to fail



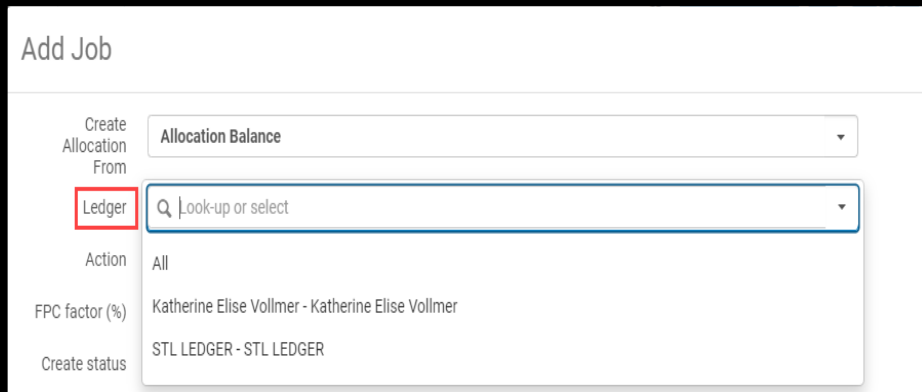
Rollover Ledgers

To rollover ledgers:

1. Go to **Acquisitions>Advanced Tools>Rollover Ledgers**
2. Click **Add Job**
3. Add Job screen displays:
 1. Create Allocation From:
 - None – does not create allocations
 - Allocation Balance – copies allocated funds
 - Cash Balance – cash balances populates as the allocations
 - Both – copies the allocation balance + cash balance to create the allocations
 2. Ledger
 - All – rolls over ALL ledgers
 - Select ledger from the drop-down list to rollover one ledger at a time



The screenshot shows the 'Add Job' screen with the 'Create Allocation From' dropdown menu open. The menu options are: None, Allocation Balance, Cash Balance, and Both. The 'Create status' is set to 'Draft'.



The screenshot shows the 'Add Job' screen with the 'Ledger' dropdown menu open. The menu options are: All, Katherine Elise Vollmer - Katherine Elise Vollmer, and STL LEDGER - STL LEDGER. The 'Create Allocation From' is set to 'Allocation Balance' and the 'Create status' is 'STL LEDGER - STL LEDGER'.

Rollover Ledgers

3. Add Job screen displays continued:
 3. Action:
 - Copy – creates a new fiscal year in Alma and copies the selected ledger(s) to the new fiscal year
 - Delete – deletes the ledger from the new fiscal year if there are no encumbrances and expenditures associated with it
 4. FPC% Factor – is the % of increase or decrease to be applied to the allocated balances
 - Only appears if the Allocation Balance or Both are selected under “Create Allocation From:”
 - Default value when left blank is 0 (zero)
 5. Create Status – the status is top down
 - Active
 - Draft

The screenshot shows the 'Add Job' form with the following fields: 'Create Allocation From' set to 'Allocation Balance', 'Ledger' set to 'STL LEDGER - STL LEDGER', 'Action' set to 'Look-up or select' (highlighted with a red box), 'FPC factor (%)' set to 'Copy', and 'Create status' set to 'Delete'.

The screenshot shows the 'Add Job' form with the following fields: 'Create Allocation From' set to 'Allocation Balance', 'Ledger' set to 'STL LEDGER - STL LEDGER', 'Action' set to 'Copy', 'FPC factor (%)' set to a blank field (highlighted with a red box), 'Create status' set to 'Look-up or select' (highlighted with a red box), 'From Year' set to 'Active', and 'Copy Notes' set to 'Draft'.

Rollover Ledgers

3. Add Job screen displays continued:
 6. From Year:
 - Choose the most recent fiscal year
 7. Copy Notes:
 - Check the box to copy all notes to the new fiscal year
 8. Copy Attachments
 - Check the box to copy the contents on the attachments tab to the new fiscal year
4. Click **Add and Close**
5. Review the job rolled over the ledger(s) without error

Add Job

Create Allocation From: Allocation Balance

Ledger: STL LEDGER - STL LEDGER

Action: Copy

FPC factor (%):

Create status: Draft

From Year: FY-2021

Copy Notes

Copy Attachments

Add Close Add and Close

Rollover Ledgers

1 - 9 of 9

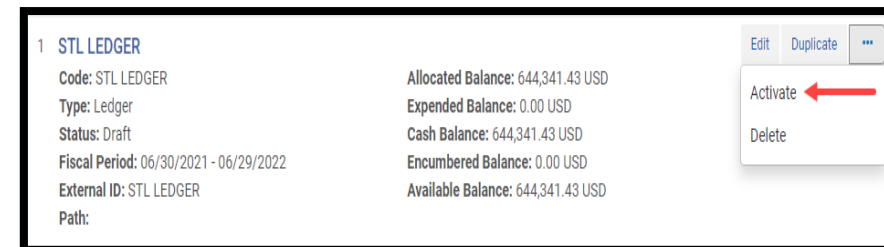
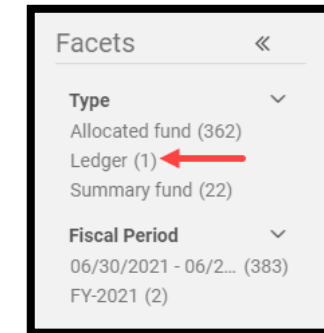
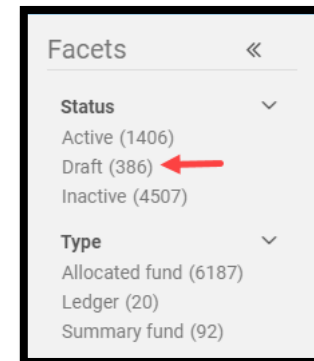
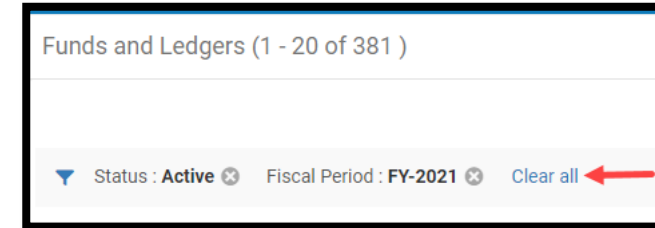
Job ID	Status	User	Time Started	Time Ended	Number Finished	Number Failed
1. 1860214630004844	Completed Successfully	maggie-nz	06/04/2021 12:52 PM	06/04/2021 12:54 PM	1	0



Changing the Ledger from “Draft” to “Active Mode”

To change the Ledger that was rolled over from “Draft” to “Active:”

1. Go to **Acquisitions>Acquisitions Infrastructure>Funds and Ledgers**
2. Click “**Clear All**” next to the filters
3. Click on **Draft** from the Status facet
4. Click the **Ledger** from the Type facet
5. Click **Activate** from the ellipses of the ledger(s) to be activated



CHANGING THE LEDGER'S FISCAL PERIOD DISPLAY

Changing the Ledger's Fiscal Period Display (Optional)

To change the ledger's fiscal period display:

1. Go to **Configuration>Acquisitions>General>Fund and Ledger Fiscal Period**
2. Edit the "Description field"
3. Click **Save**

1 **STL LEDGER** BEFORE

Code: STL LEDGER
Type: Ledger
Status: Draft
Fiscal Period: 06/30/2021 - 06/29/2022
External ID: STL LEDGER
Path:

Allocated Balance: 644,341.43 USD
Expended Balance: 0.00 USD
Cash Balance: 644,341.43 USD
Encumbered Balance: 0.00 USD
Available Balance: 644,341.43 USD

17 17 **06/30/2021 - 0** 07/01/21 06/30/21 Active System 05/31/2021

17 17 **FY-2022** 07/01/21 06/30/21 Active System 05/31/2021

1 **STL LEDGER** AFTER Edit Duplicate

Code: STL LEDGER
Type: Ledger
Status: Draft
Fiscal Period: FY-2022
External ID: STL LEDGER
Path:

Allocated Balance: 644,341.43 USD
Expended Balance: 0.00 USD
Cash Balance: 644,341.43 USD
Encumbered Balance: 0.00 USD
Available Balance: 644,341.43 USD

DELETING A LEDGER IF IT DID NOT ROLLOVER AS EXPECTED

Deleting Ledgers

- Ledgers can be deleted after they have been rolled over if they did not have:
 - Encumbrances
 - Expenditures

To delete a rolled over ledger:

1. Go to **Acquisitions>Advanced Tools>Rollover Ledgers**
2. Click **Add Job**
3. Select “**Delete**” from the Action drop-down menu
4. Select the Ledger(s)
5. Select the rolled over fiscal year period from the From Year drop-down
6. Click **Add and Close**
7. Review the job deleted the ledger(s) successfully

Add Job

Ledger: STL LEDGER - STL LEDGER

Action: Delete

From Year: 06/30/2021 - 06/29/2022

Buttons: Add, Close, Add and Close

Rollover Ledgers

1 - 10 of 10

Job ID	Status	User	Time Started	Time Ended	Number Finished	Number Failed
1 1860254450004844	Completed Successfully	maggie-nz	06/04/2021 1:51 PM	06/04/2021 1:51 PM	1	0

Buttons: Back, Refresh, Add Job

MARKING ONE-TIME POLS
FULLY INVOICED FOR
INSTITUTIONS NOT
CREATING INVOICES IN
ALMA

Marking One-time POLs as Fully Invoiced

- One-time POLs that have been received will need to be marked as “Fully invoiced” for institutions that:
 1. Create POLs with associated funds
 2. Do not create invoices in Alma
- Marking One-time POLs as “Fully invoiced” must be done prior to Rolling over One-time POLs

To mark One-time POLs as fully invoiced:

1. Create a set of One-time POLs
 - Advanced repository search
 - Rolling over One-time POLs in “Report” mode
2. Review the POLs
3. Run the “Update PO Line Information” job on the set



Create a Set of One-time POLs

To create a set for One-time POLs from an advanced repository search to be marked “Fully invoiced:”

1. Perform an “Order lines” advanced repository search for each type of One –Time POL using the search below:
 - **PO Line: Workflow>Equals>Sent AND PO Line Type>Equals>[One-Time POL Type]**
2. Click **Save Query** to create a set
3. The Set Details screen opens:
 - Name: [Name the set]
 - Description: [Optional]
 - Private: [Default is ‘YES’]
 - Status: [Active}
4. Click **Save**

Search in: Order lines ▾

Workflow ▾ Equals ▾ Sent ▾ + 📄 ✕

AND PO Line Type ▾ Equals ▾ Print Book - One Time ▾ + 📄 ✕

Clear form → Search

Reviewing the Set of One-Time POLs

- Export the set of POLs
- Review the One-time POLs set for:
 - Titles that have been received
 - Titles that have not been received
- Remove POLs from the exported set that have not been received
- Create an itemized set of One-time POLs that have been received



Marking One-time POLs as Fully Invoiced

- Run the “Update PO Line Information” job on each 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 that have been received
 6. Click **Next**
 7. Task parameters screen opens:
 1. Check the box next to Invoice Status
 2. Select “Fully Invoiced”
 3. Select “Unconditionally”
 8. Click **Next**
 9. Review the job
 10. Click **Submit**
 11. Click **Confirm**



ROLLOVER PO LINES

Rollover PO Lines (POLs)

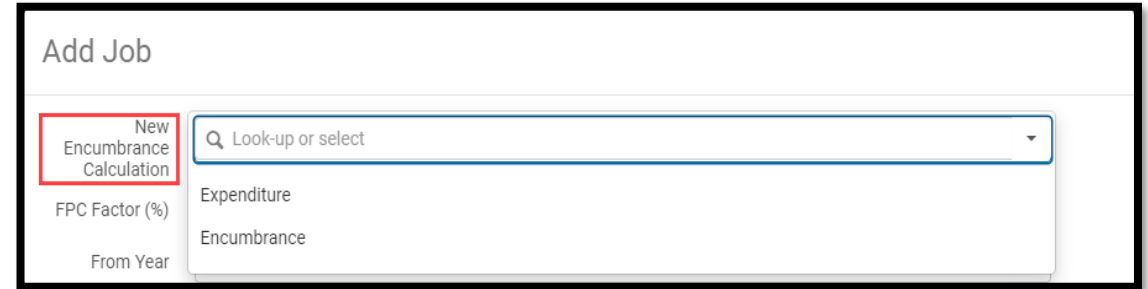
- One-time POLs rollover on the encumbrance
- Continuous POLs are rolled over on either the:
 - Encumbrance (anticipated amount when ordered)
 - Expenditure (actual amount paid)
- Rolling over continuous POLs using the expenditure reflects a more accurate cost for continuous resources
 - Alma will use the encumbrance if no invoice/expenditure exists at the time of rollover
- One-time POLs must have an invoice status of "Fully Invoiced" or else they will roll-over
 - Institutions using POLs with Funds and not using invoices in Alma will need to change one-time POLs to "fully invoiced" using a job
 - This step **MUST** be done prior to rolling over One-Time POLs
- FPC Factor (%) is only applied to Continuous POLs



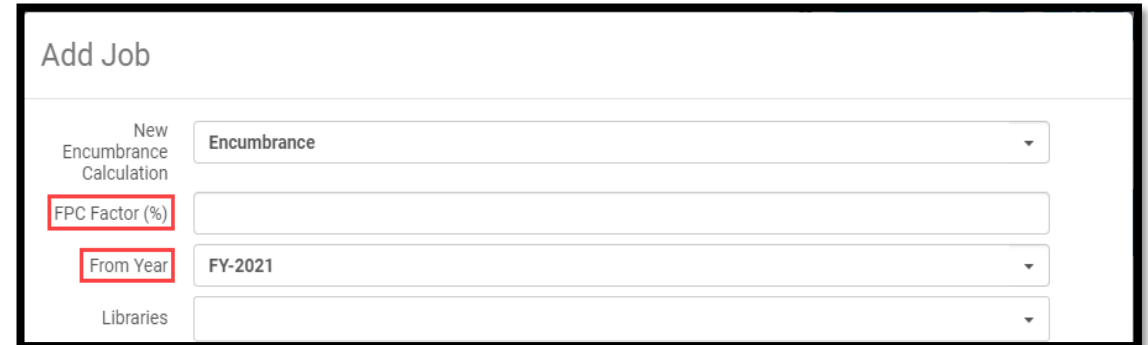
Rollover PO Lines (POLs)

To rollover PO Lines:

1. Go to **Acquisitions>Advanced Tools>Rollover PO Lines**
2. Click **Add Job**
3. The Add Job screen displays:
 1. New Encumbrance Calculation (only impact continuous POLs):
 - Encumbrance
 - Expenditure
 2. PFC %:
 - The % of increase/decrease to be applied to continuous POLs
 - Leaving the field blank defaults to 0 (zero)
 3. From Years:
 - Choose the previous fiscal year



The screenshot shows the 'Add Job' form. The 'New Encumbrance Calculation' dropdown menu is open, displaying a search bar with the text 'Look-up or select' and two options: 'Expenditure' and 'Encumbrance'. The 'Encumbrance' option is highlighted. Other fields visible include 'FPC Factor (%)' and 'From Year'.



The screenshot shows the 'Add Job' form with the following values: 'New Encumbrance Calculation' is set to 'Encumbrance', 'FPC Factor (%)' is empty, 'From Year' is set to 'FY-2021', and 'Libraries' is empty. The 'FPC Factor (%)' and 'From Year' fields are highlighted with red boxes.

Rollover PO Lines (POLs)

3. Add Job screen displays continued:
4. Libraries:
 - Leave blank to select ALL libraries
 - Select individual libraries if they have their own ledger and not handled centrally by a centralized acquisitions department
 - **DO NOT** select the Resource Sharing Library
5. PO Line:
 - Leave blank to rollover ALL POLs
 - Individual POLs can be selected to be rolled over
6. Check Over Encumbrance:
 - Check this box to apply over-encumbrance rules during the rollover process
 - Keep the box unchecked if:
 - The ledger was rolled over without allocations
 - The institution does not want to apply over-encumbrance rules, which can prevent POLs from failing to rollover if there are not enough funds

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

- New Encumbrance Calculation: Encumbrance
- FPC Factor (%):
- From Year: FY-2021
- Libraries: Q Look-up or select (dropdown menu is open)
- PO Line: Empire State VI
- Check Over Encumbrance: Resource Sharing Library - do not use (with a red X over the text)
- Report Mode: Sojourner Truth Library

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

- New Encumbrance Calculation: Encumbrance
- FPC Factor (%):
- From Year: FY-2021
- Libraries: Sojourner Truth Library
- PO Line:
- Check Over Encumbrance:
- Report Mode:

Rollover PO Lines (POLs)

3. Add Job screen displays continued:
 7. Report Mode:
 - Recommended to check this box so view how the POLs will rollover
 - Report is created to identify errors that need to be resolved
 8. Continuous Orders Only, Standing Orders Only. And One-Time Orders Only:
 - Check all boxes or leave unchecked to rollover ALL POL types
 - Check selected POL types if the user does not want to rollover all POLs at once
 - It is recommended to rollover POL Type individually for troubleshooting purposes
4. Click **Add and Close**
 - Click **Add** if each POL will be selected to run in a separate report

The screenshot shows the 'Add Job' form with the following details:

- New Encumbrance Calculation:** Encumbrance
- FPC Factor (%):** (empty)
- From Year:** FY-2021
- Libraries:** Sojourner Truth Library
- PO Line:** (empty)
- Check Over Encumbrance:**
- Report Mode:** (highlighted with a red box)
- Continuous Orders Only:** (highlighted with a red box)
- Standing Orders Only:**
- One-Time Orders Only:**

Buttons at the bottom right: Add, Close, Add and Close. A red arrow points from the 'Close' button to the 'Add and Close' button.

Review Rolled Over PO Lines (POLs)

To review rolled over POLS:

1. Click **View** from the ellipses of the job
2. Click on **Errors** under Job Events
3. Correct errors in Alma
4. Run the Rollover PO Lines job in “Report Mode” again to make sure errors have been corrected
5. Run the Rollover PO Lines job without checking “Report Mode”

Job Id	Status	User	Time Started	Time Ended	Number Finished	Number Failed
1 947688960004844	Completed with Errors	kristy	07/15/2019 11:00 AM	07/15/2019 11:01 AM	119	1
2 947696130004844	Completed with Errors	kristy	07/15/2019 11:06 AM	07/15/2019 11:07 AM	119	1
3 947704200004844	Completed Successfully	kristy	07/15/2019 11:15 AM	07/15/2019 11:17 AM	120	0

Job Events
PO line rollover success(119)
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)

Error message	PO Line reference
1 The fund "LATACC" has exceeded the over-encumbrance limit of 10.0%. Transaction is not allowed.	664636-1

CLOSING THE PREVIOUS FISCAL YEAR PERIOD

Closing the Previous Fiscal Year Period

- The fiscal year period needs to be closed after the fiscal year period ends
 - Inactive and Closed act the same way in Alma
- Fiscal years will continue to be available to from the rollover jobs unless they are closed

To close a fiscal year period:

1. Go to ***Configuration>General>Fund and Ledger Fiscal Period***
2. Select **Closed (or Inactive)** from Status the drop-down menu
3. Click **Save**

Enabled	Id	Description	Start Date	End Date	Status	Updated By	Last Updated
<input checked="" type="checkbox"/>	2	FY-2007	07/01/2006	06/30/2007	Inactive	System	05/31/2021
<input checked="" type="checkbox"/>	3	FY-2008	07/01/2007	06/30/2008	Inactive	System	05/31/2021
<input checked="" type="checkbox"/>	4	FY-2009	07/01/2008	06/30/2009	Inactive	System	05/31/2021
<input checked="" type="checkbox"/>	5	FY-2010	07/01/2009	06/30/2010	Inactive	System	05/31/2021
<input checked="" type="checkbox"/>	6	FY-2011	07/01/2010	06/30/2011	Inactive	System	05/31/2021
<input checked="" type="checkbox"/>	15	FY-2020	07/01/2019	06/30/2020	Inactive	System	05/31/2021
<input checked="" type="checkbox"/>	16	FY-2021	07/01/2020	06/30/2021	Q Look-up or sele	System	05/31/2021
<input checked="" type="checkbox"/>	13	FY-2018	07/01/2017	06/30/2018	Active	System	05/31/2021
<input checked="" type="checkbox"/>	14	FY-2019	07/01/2018	06/30/2019	Closed	System	05/31/2021
<input checked="" type="checkbox"/>	12	FY-2017	07/01/2016	06/30/2017	Draft	System	05/31/2021
<input checked="" type="checkbox"/>					Inactive		

MAKING CHANGES TO LEDGER AND FUND STRUCTURE FOR THE NEW FISCAL YEAR

Tips for Making Changes to the Ledger/Fund Structure

- The best time to make changes to ledger/fund structure is during the rollover process
- Questions to ask when changing the ledger/fund structure
 - Why is the Ledger/Fund structure being changed?
 - Does the fund structure need to be changed?
 - What will the new Ledger/fund structure look like?
- Create a Ledger/Fund tree for the new structure
- Contact vendors to update tech specs once the new ledger/fund structure is implemented if the institution uses:
 - New order APIs
 - New order Import Profiles
- Reach out to the SLS if your institution would like help creating or implementing a new Ledger/Fund structure



How to Change the Ledger and Funds Structure

- Two possible ways to rollover the fiscal year in Alma when changing the fund structure:
 1. Rollover ledger(s) only:
 1. Rollover ledger
 - Make sure the ledger is “Active” if not changing the ledger
 2. Add new or additional ledgers if necessary
 - Mark the new Ledger as Active
 3. Add new funds
 4. Allocate money to the new funds
 5. Update POLs with the new associated fund using the “Update PO Line Transactions” job
 6. Deactivate the old ledger and/or funds
 7. Delete the old ledger and/or funds not being used



How to Change the Funds and Ledgers Structure

- Two possible ways to rollover the fiscal year in Alma when changing the fund structure:
 2. Rollover ledger(s) and funds:
 1. Rollover ledger
 - Make sure the ledger is “Active” if not changing the ledger
 2. Add new or additional ledgers/funds
 - Make the new Ledger “Active”
 3. Allocate money to the new funds
 4. Rollover POLs
 5. Update POLs with the new associated fund
 6. Delete the old ledger/funds not being used



How to Update POLs with the New Associated Fund

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**” job
 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 POL set you want to update
 6. Click **Next**
 7. Select the check box next to Funds
 8. Select the Fund to be associated with the set of POLs
 9. Apply percentage (optional)
 10. Click **Next**
 11. Review the job
 12. Click **Submit**
 13. Click **Confirm**

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



SUPPORTING DOCUMENTATION

Supporting Documentation

- SUNY:
 - [Fiscal Year Rollover LibGuide](#)
- Ex Libris:
 - [Fiscal Period Closure](#)
 - [Fiscal Period Closure Resources and FAQs in Alma](#)
 - [Configuring Fund and Ledger Fiscal Periods](#)

